

***EVALUATION OF THE COMMISSION'S SUPPORT  
TO THE REGION OF EASTERN AND SOUTHERN  
AFRICA AND THE INDIAN OCEAN***

***Regional Level Evaluation***

Final Report

Volume 2

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*Evaluation for the European Commission*







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*The opinions expressed in this document represent the authors' points of view which are not necessarily shared by the European Commission or by the authorities of the countries concerned.*



# Evaluation of the Commission's support to the Region of Eastern and Southern Africa and the Indian Ocean Regional Level Evaluation

## FINAL REPORT

### VOLUME II

The report consists of three volumes:

**Volume I: Final report**

**Volume II: Annexes**

**Volume III: Inventory**

#### VOLUME I: FINAL REPORT

- 1. Evaluation Framework:** brief background and purpose of the evaluation, which sets out the evaluation questions and introduces the methodology
- 2. Regional Context:** overview of the ESA-IO political, economic and social situation including challenges related to the existence of multiple RIOs with overlapping agendas and mandates
- 3. EC support to the ESA-IO region:** summary of EC strategies and programmes
- 4. Findings:** presented through answers to the evaluation questions
- 5. Conclusions:** based on answers to the evaluation questions
- 6. Recommendations:** based on conclusions

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- 3. List of people met**
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**ANNEX 1: TERMS OF REFERENCE**

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**Evaluation of the Commission's support to  
the Region of  
Eastern and Southern Africa  
and the Indian Ocean  
  
Regional Level Evaluation**

**TERMS OF REFERENCE**

**January 2007**

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## 1. MANDATE AND OBJECTIVES

Systematic and timely evaluation of its expenditure programmes is a priority of the European Commission (EC), as a means of accounting for the management of the allocated funds and of promoting a lesson-learning culture throughout the organisation. Of great importance also, particularly in the context of the programmes of the so-called Relex Family of Directorates-General<sup>1</sup>, is the increased focus on impact against a background of greater concentration of external co-operation and increasing emphasis on result-oriented approaches.

The evaluation of the Commission's co-operation with Region of Eastern and Southern Africa and the Indian Ocean is part of the 2006 evaluation programme as approved by External Relations and Development Commissioners.

The main objectives of the evaluation are:

- to provide the relevant external co-operation services of the EC and the wider public with an overall independent assessment of the Commission's past and current cooperation relations with the region .
- to identify key lessons in order to improve the current and future strategies and programmes of the Commission.

## 2. BACKGROUND

**The Region of Eastern and Southern Africa and the Indian Ocean comprises 21 States:** Angola, Burundi, Comoros, Djibouti, DR Congo, Eritrea, Ethiopia, Kenya, Madagascar, Malawi, Mauritius, Namibia, Rwanda, Seychelles, Somalia, Sudan, Swaziland, Tanzania, Uganda, Zambia, and Zimbabwe.

For the 9<sup>th</sup> EDF, the duly mandated regional organisations are: COMESA, EAC, IOC and IGAD.

The geographical configuration of as introduced by the RSP 9<sup>th</sup> EDF comprises the East Africa and Indian Ocean Regions of previous EDFs plus the COMESA countries of Southern Africa. The terms of reference refer to the RSP 9<sup>th</sup> EDF Eastern and Southern Africa and Indian Ocean and to the earlier EDFs covering the relevant countries.

The E&S Africa region is an extremely heterogeneous and diverse one in all aspects. It nevertheless shares a common theme of relatively low economic development and high levels of poverty, which is being addressed through economic policies aimed at economic liberalisation, improved efficiencies in governance, and integrating the national economies into the regional and global economies.

The RSP 9<sup>th</sup> EDF covers the combined membership of the Common Market for Eastern and Southern Africa (COMESA), the East African Community (EAC), the Intergovernmental Authority on Development (IGAD) and the Indian Ocean Commission (IOC) and which are also members of the Africa-Caribbean-Pacific (ACP) group. This group of countries is referred to in this paper as the

E&S Africa Region. Table 1 in the 9<sup>th</sup> EDF RSP gives details of the membership of each regional organisation, as does Annex 6 of the 9<sup>th</sup> EDF RSP. Egypt is a member of COMESA and France, on behalf of its Overseas Department of la Réunion, is a member of IOC but neither are members of ACP and so are not eligible for EDF funding. All the countries involved in this RSP (apart from Somalia) are members of more than one regional integration organisation.

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<sup>1</sup> Directorates General of External Relations, (RELEX), Development (DEV), Enlargement (ELARG), Trade (TRADE) and the EuropeAid Co-operation Office (AIDCO).

Table 2 of the 9<sup>th</sup> EDF RSP summarises the main areas of intervention by the Regional Integration Organisations (RIOs). As can be seen from Table 2, there are overlaps in policies as well as memberships of RIOs. Countries that are signatories to a number of both international and regional trade agreements face the potential problem of having to conform to different tariff reduction schedules, rules of origin and other requirements. This has created a complex set of incentives facing investors, producers, importers and exporters. To address this problem task forces have been set up between COMESA and EAC and COMESA and SADC which are working towards the harmonisation and co-ordination of policies and programmes and to remove any policy contradictions overlap may cause. In addition to these task forces, SADC has been involved in the preparation of this E&S Africa RSP through the SADC Secretariat's attendance of most preparatory meetings. Further co-operation takes place with the establishment of the Inter-Regional Co-ordinating Committee (IRCC) which has as its members COMESA, EAC, IOC, IGAD, SADC and the EC. RIOs can include in their delegations representatives of their respective Member States and/or Non-State Actors.

**The overall aim of the RSP 9<sup>th</sup> EDF** was to increase economic growth and reduce poverty through higher levels of regional economic integration. The specific objective was that all countries in the region would become members of regional Free Trade Areas and/or a Customs Union; will improve implementation of WTO provisions; would have started negotiations on EPAs; and would use the resources of the RIP to reduce poverty through economic development and regional integration.

The main strategy being followed to achieve poverty reduction through higher levels of export-led economic growth is economic liberalisation including liberalisation of trade policy, harmonisation of tax policy and paying attention to more efficient and effective forms of economic management) and promotion of investment and supply-side measures to assist the region to increase production. The specific challenges are the establishment of a Customs Union, which will follow on from preferential trade areas and free trade areas. The COMESA FTA was launched in October 2000 with 9 of its member states (11 at present) and COMESA is planning to implement a Customs Union by 2008. EAC Customs Union has been operational since January 2005 with Rwanda and Burundi joining during 2007. Finally, IOC and IGAD plan to fast-track their trade policies in harmony with COMESA and SADC. These reform programmes at the regional level build on the policies implemented at the national level. EPAs are given a high priority in the RSP as a means of assisting the region to more successfully integrate itself into the global trading system.

The three main focal areas (Economic Integration, Natural Resource Management and Transport and Communications) were selected because they address the major constraints to economic development and poverty alleviation in the region. Regional Economic Integration allows countries of the region to continue to pursue economic liberalisation policies at a regional level, within the framework of WTO, which should help the region's producers to obtain improved market access and attract investment into the productive sectors. Programmes in Natural Resource Management aim to improve the economic development of the region through the more efficient and sustainable management of the region's natural resource base. Programmes in Transport and Communications aim at reducing costs of transport and communications mainly through improved utilisation of existing infrastructure and services and through the development of a masterplan which will address the most immediate requirements in this focal sector.

The non-focal areas include programmes in conflict prevention, resolution and management, capacity building, higher education and culture. Involvement of non-state actors is a process in

development (rather than an event) and cross-cutting issues (such as environment, capacity building and gender) concerns will be mainstreamed in all programmes.

The Regional Indicative Programme of an amount of €223 million was allocated to sectors within the following percentage ranges of the financial envelope:

Economic Integration and Trade: 45%-55%

Management of Natural Resources: 15%-25%

Transport and Communications: 15%-25%

Non Focal Areas: 10%-15%.

**The 8<sup>th</sup> EDF (194 mio ECU) for the region of East Africa** indicated the following priority areas and indicative allocation of resources:

- Food Security and Conservation of Natural Resources about 20%
- Transport, Trade and Regional Integration about 75%
- Other actions and Contingencies about 5%

**The 8<sup>th</sup> EDF ( 25.5 million ECU) for the region of the Indian Ocean** indicated the following focal sectors:

- protection and sustainable management of natural and maritime resources
- development of trade in goods and services

These two areas account for 85% of the resources allocated.

A maximum of 15% of the allocation was to be used for financing operations outside the above two focal sectors.

The 10<sup>th</sup> EDF is under preparation and – subject to approval - the Regional Indicative Programme is expected to have an amount of €465 million (excluding any further resources which may be available under the incentive tranche ) and will be allocated as follows:

Regional Economic Integration and Infrastructure,:	65%-75%
Management of Natural Resources, Environment and Food Security	15%-20%
Other Programmes:	10%-15%.

Under the focal sector Regional Economic Integration and Infrastructure the following specific objectives shall be pursued:

- Trade-related assistance and Capacity development in ESA-IO countries in trade policy, negotiations of ESA-EPA and other regional/multilateral trade agreements, and trade facilitation, including for the ESA-IO small and vulnerable economies;
- Support member countries in participating fully in the regional trade arrangements as well as in the implementation of other trade arrangements with the European Community (EPA) by alleviating the impact of economic and fiscal adjustments on public expenditure;
- Support private sector development to enable firms in taking full advantage of regional integration policies and to foster higher productivity and more value adding activities in the region.
- Removal of supply-side constraints, notably on physical infrastructure.

EPAs: The negotiations between the Eastern and Southern Africa Group (“ESA”, comprising Burundi, Comoros, DR Congo<sup>2</sup>, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Malawi, Mauritius, Rwanda, Seychelles, Sudan, Uganda, Zambia and Zimbabwe), and the EC were launched on 7 February 2004 in Mauritius. A joint roadmap was drafted, laying down objectives and principles, negotiating structure and a schedule for the negotiations. The negotiations are lagging behind the timetable.

<sup>2</sup> DR Congo left the ESA group in November 2005 to join the CEMAC – Central Africa group.

### 3. SCOPE

The scope of the evaluation is the Commission's co-operation with the region of Eastern and Southern Africa and the Indian Ocean (definition of the region as above) and the implementation for the period 1996-2007.

The evaluation should be forward looking and allow for lessons learnt to finetune the implementation of the 10<sup>th</sup> EDF.

The Consultant should assess:

- the relevance, coherence<sup>3</sup> and complementarity of the Commission's co-operation regional strategies for the period 1996-2007; the consultant should assess carefully the *raison d'être* of the composition of the region as defined in the 9<sup>th</sup> EDF; the choice of the focal sectors in view of the political and economic situation of the countries composing the region
- the consistency between programming and implementation for the same period;
- the coherence and complementarity between the Commission strategies at regional and country level, (RSP and CSPs of the countries); and complementarity to the SADC RSPs and RIPs.
- the implementation of the Commission's co-operation, focusing on effectiveness, impact and efficiency for the period 1996-2002, and on intended effects for the period under the programming cycle 2002-2007;

The co-operation focal areas are as defined in the RSPs: Economic Integration and Trade; Management of Natural Resources; Transport and Communications; Conflict prevention, resolution and management.

NB: Previous and ongoing relevant evaluations, at country level as well as global thematic evaluations relating to the country and evaluations of instruments are important reference material to be taken into account. The Consultant should not deal the points already covered by these evaluations but use them and carry out further analyses. In this context notably the evaluations on support to SADC (ongoing), Transport (2004) and Trade Capacity building (2006) are to be considered.

### 4. METHODOLOGY AND APPROACH

The evaluation basic approach will consist of **five phases** in the course of which several methodological stages will be developed. The Consultant's contribution is essentially the area marked grey in the table below, to which the launch note should be added.

<i>Phases of the evaluation:</i>	<i>Methodological Stages<sup>4</sup>:</i>
1. Preparation Phase	<ul style="list-style-type: none"><li>▪ Reference group constitution</li><li>▪ ToR's drafting</li><li>▪ Launch Note (Consultant)</li></ul>

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<sup>3</sup> COM (2005) 134 of 12/4/05

<sup>4</sup> These components are not entirely sequential.



<i>Phases of the evaluation:</i>	<i>Methodological Stages<sup>4</sup>:</i>
2. Desk Phase <sup>5</sup> 3. Field Phase 4. Synthesis phase (seminar in the country)	<ul style="list-style-type: none"> <li>▪ Structuring of the evaluation</li> <li>▪ Data Collection<sup>6</sup>, verification of hypotheses</li> <li>▪ Analysis</li> <li>▪ Judgements on findings</li> </ul>
5. Feedback and Dissemination	<ul style="list-style-type: none"> <li>▪ Quality Grid</li> <li>▪ Summary for the Commissioners concerned</li> <li>▪ Evinfo (summary for OECD and Commission databases)</li> <li>▪ Fiche contradictoire (a statement of key recommendations followed by the Commission's response)</li> </ul>

#### **4.1 Preparation Phase**

The evaluation manager identifies the Commission services to be invited to be part of the reference group, taking care that the objectives are met: an input of expertise and information, the expression of a range of pertinent opinions from the Commission and the legitimacy of the evaluation process.

The reference group acts as the main professional interface between the Consultant and the Commission services. The group's principal functions will be:

- to provide an opinion on the Terms of Reference prepared by the Evaluation Unit;
- to provide the Consultant with all available information and documentation about the object of the evaluation;
- to examine the inception note and subsequent reports produced by the Consultant;
- to provide a judgement on the quality of the work of the Consultant;
- to assist in assuring feedback and the update of the findings and recommendations from the evaluation into future programme design and delivery.

The evaluation manager prepares the ToR of the evaluation and sends it to the Consultant.

The Consultant will present a *launch note*<sup>7</sup> which should contain: (i) his understanding of the ToR; (ii) the provisional composition of the evaluation team with CVs; (iii) a budget proposal. The launch note will be referred to the reference group for comments.

#### **4.2 Desk phase**

##### *4.2.1 Inception report*

Upon approval of the launch note by the Evaluation Unit, the Consultant proceeds to the structuring stage, which leads to the production of an inception report.

<sup>5</sup> It includes interviews in Brussels and could include a short mission

<sup>6</sup> The study will draw on the contents of (i) all relevant documentation supplied by the Commission Services, and (ii) documentation from other sources (to be precised).

<sup>7</sup> In the case of a tender procedure, the launch note will be replaced by the financial and technical proposal of the tender

The main part of the work consists in the analysis of all key documents which are to the Commission's co-operation (past and present) with the **Region of Eastern and Southern Africa and the Indian Ocean** (in particular the strategy and programming documents). The Consultant will also take account of the documentation produced by other donors and international agencies.

On the basis of the information collected and analysed, the Consultant will:

- a) reconstruct the intervention logic of the EC in the framework of its co-operation with **the Region of Eastern and Southern Africa and the Indian Ocean**. The reconstructed logic of the intervention will be shaped into one or more logical diagrams of effects which must be based strictly on official texts. Prior to the elaboration of the effects diagram(s), the Consultant will have (i) identified and prioritized the co-operation objectives as observed in official texts;(ii) translated these specific objectives into intended effects. These intended effects will form the "boxes" of the diagram(s). Possible "gaps" in the intervention logic should be indicated and filled on the basis of assumptions to be validated by the reference group. The logical diagram(s) of effects will help to identify the main evaluation questions;
- b) propose evaluation questions and prepare explanatory comments for each. The choice of the questions determines the subsequent phases of information and data collection, elaboration of the methods of analysis, and elaboration of final judgements;
- c) identify appropriate judgement criteria and preliminary indicators for each evaluation questions selected. For each question, at least one judgement criterion should be identified, and for each such criterion appropriate a limited number of quantitative and qualitative indicators should be identified;

*A first meeting will be held with the reference group to explain and approve the logical diagram(s) and the evaluation questions.*

- d) include a description of the development/co-operation context of the Commission with the **Region of Eastern and Southern Africa and the Indian Ocean** .
- e) propose suitable working methods to collect data and information in the Commission's headquarters and in the country and present appropriate methods to analyse the collected data and information, indicating any limitations.

The report will also confirm if necessary, (i) the final composition of the evaluation team and (ii) the final calendar. These two latter points will be agreed and confirmed through a formal exchange of letters between the Consultant and the Commission.

This phase may include a short preparatory and exploratory visit in the field by the Consultant and/or a representative of the Evaluation Unit.

#### *4.2.2 Desk phase report*

Upon approval of the inception report, the Consultant proceeds to the final stage of the desk phase during which he will:

- present the finalised quantitative and qualitative indicators;
- present the first elements of responses to the evaluation questions and the first hypotheses to be tested in the field;

- present suitable methods of data and information collection in the country indicating any limitations and describing how the data should be cross-checked; for example: interviews both structured and unstructured interviews, focus groups, questionnaires, additional literature, seminars or workshops, case studies, etc. The consultant will also indicate selection criteria and suggest the **countries to be selected for case studies**. It is expected that a limited number of countries (4 – 5), will be selected as case studies.
- propose appropriate methods of analysis of the information and data collected, again indicating any limitations of those methods;
- propose a list of activities, projects and programmes for in-depth analysis in the field, examples of project assessment sheets, examples of interview guides, etc.

At the conclusion of this work, the Consultant will present a draft desk phase report<sup>8</sup> setting out the results of this first phase of the evaluation including all the above listed tasks (the major part of the Inception report will be put as an annex of the desk phase report). **The field mission may not start until the proposed methodology will be approved by the evaluation manager.**

#### 4.3 Field phase

Following acceptance of the desk phase report, the Consultant undertakes the field mission in the countries selected as case studies. The fieldwork shall be undertaken on the basis set out in the desk phase report and approved by the reference group in accordance with the relevant Delegations. If during the course of the fieldwork any significant deviations from the agreed methodology and/or schedule are perceived necessary, the Consultant must have received the approval of the Evaluation Unit before they can be applied. At the conclusion of the field study, the Consultant presents the preliminary findings of evaluation:

- (1) during a de-briefing meeting with the Delegations;
- (2) to the reference group, shortly after his return from the field.

#### 4.4 Final report-writing phase

The Consultant will submit the draft final report in conformity with the structure set out in annex 2 with account being taken of comments received during de-briefing meetings with the Delegations involved and the reference group (cf.4.3).

If the evaluation manager considers the report of sufficient quality (cf. annex 3), he will circulate it for comments to the reference group, which will convene to discuss it in the presence of the evaluation team.

On the basis of comments expressed by the reference group and the Evaluation Unit, the Consultant will make the appropriate amendments. The revised draft final report will be presented at a seminar to be held in the region or if not possible, in Brussels. The purpose of the seminar is to present the results the conclusions and the preliminary recommendations of the evaluation to the National Authorities, to the Delegations as well as to all the main stakeholders concerned by the co-operation (representatives of civil society organisations, other donors, etc.).

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<sup>8</sup> See annex 2 for the draft outline structure of the desk phase report

The Consultant should prepare a presentation (*power point*) for the seminar. This presentation shall be considered as a product of the evaluation in the same way as the reports.

On the basis of the comments expressed at the seminar and on the basis of further comments from the reference group, the Delegation and/or the evaluation manager, the Consultant will prepare the final report. The Consultant may either accept or reject the comments but in case of rejection he must motivate (in writing) his reasons (the comments and the Consultant's responses are annexed to the report).

The presentation (*power point*) will be revised in accordance to the final report.

#### **4.5 Dissemination and follow-up**

After approval of the final report, the Evaluation Unit proceeds with the dissemination of the results (conclusions and recommendations) of the evaluation. The Evaluation Unit (i) makes a formal judgement on the quality of the evaluation (cf. annex 3); (ii) prepares an evaluation summary following the standard DAC format (EvInfo); (iii) prepares and circulates a "Fiche contradictoire". The final report, the quality assessment grid, the EvInfo and the "Fiche contradictoire" will be published on the Website of the Evaluation Unit.

### **5. EVALUATION QUESTIONS**

The evaluation will be based on the criteria endorsed by the OECD-DAC: relevance, impact, effectiveness, efficiency and sustainability. The criteria will be given different weightings in based on the priority accorded to the evaluation questions.

In general, questions (to a maximum of 10) will refer to the following main areas:

- ***Relevance of the strategy/programme:*** this includes both relevance to the general objectives of the EC and relevance to the needs and priorities of **the Region of Eastern and Southern Africa and the Indian Ocean** (including the choice of target groups).
- ***Design of the intervention strategy/programme:*** this mainly concerns the extent to which the resources foreseen are adequate in relation to the objectives set out in the programming documents. The Consultant will also verify the extent to which the intervention modalities (instruments, aid delivery channels, etc.) are appropriate to the objectives.
- ***Consistency of the implementation in relation to the strategy:*** the Consultant shall verify the extent to which the calendar and implementation of the intervention programming (type of interventions, geographical and sectoral distribution, instruments, aid delivery channels, etc.) are consistent with the regional strategy. He shall demonstrate who are the real beneficiaries, direct or indirect, of the intervention and compare them to the target population(s) in the programming documents.
- ***Achievement of main objectives:*** the Consultant shall identify all recorded results and impacts, including any unintended ones, and compare these to the intended. The Consultant will also identify the changes which occurred in the areas on which EC programmes were supposed to produce an impact.
- ***Efficiency of the implementation:*** it will be necessary to question to what extent funding, human, resources, regulatory, and/or administrative resources contributed to, or hindered, the achievement of the objectives and results.
- ***Sustainability of the effects:*** an analysis of the extent to which the results and impact are being, or are likely to be, maintained over time.

- **Key cross-cutting issues:** for example gender, environment human rights, HIV/AIDS, institutional capacity building, etc. Verification should be undertaken, on the one hand, of the extent that account has been taken of these priorities in the programming documents and, on the other hand, to what extent these issues have been reflected in the implementation modalities and in the effects of the intervention.
- **The 3Cs (co-ordination, complementarity and coherence):**  
Co-ordination and complementarity with EU Members States, and other donors; coherence with EU policies (including the Member State own policies).
- **Community (European) value-added**  
The extent to which the development intervention adds benefits to what would have resulted from Member States' interventions only in the partner country.

This area covers advantages or weaknesses of an intervention on european multilateral level (as opposed to a bilateral level) and is related to programming, implementation and complementarity under the three C's.

## 6. RESPONSIBILITY FOR THE MANAGEMENT AND THE MONITORING OF THE EVALUATION

The Evaluation Unit (AIDCO 03) is responsible for the management and monitoring of the evaluation with the assistance of the reference group (cf.4.1).

## 7. THE EVALUATION TEAM

The evaluation team should possess a sound level of knowledge and experience in:

- evaluation methods and techniques in general and, if possible of evaluation in the field of development and cooperation; and a sound knowledge of the Commission procedure (particularly those related to EDF);
- the region;
- the following fields: trade and regional integration, transport, natural resource management, as well as conflict prevention, resolution and managment.
- the following languages: English and, Portuguese in case of missions in one or more PALOP countries.

The Evaluation Unit strongly recommends that the evaluation team should include local consultants (notably, but not only, during the field phase) with in-depth knowledge of key areas of the evaluation.

## 8. TIMING

The dates mentioned in the following section may be changed with the agreement of all concerned.

<i>Evaluation Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings</i>
RG Composition	Notes	December 2006	
ToR	Draft	January 2007	
	Final	February 2007	
Starting Stage	Launch Note	February 2007	

<b>Desk Phase</b>			
Structuring Stage	Short presentation (logical diagram and EQ)	March 2007	RG Meeting (kick off meeting)
	Draft Inception Note	March 2007	
	Final Inception Note	April 2007	
Desk Study	Draft Desk Report	April 2007	RG Meeting
	Final Desk Report	May 2007	
<b>Field Phase</b>			
	Presentation	June 2007	RG Meeting
<b>Final Report-Writing Phase</b>	Draft Final Report		
	1 <sup>st</sup> draft Final	July 2007	RG Meeting
	2 <sup>nd</sup> draft Final	August 2007	
	Seminar	September 2007	
	Final Report	October 2007	

## 9. COST OF EVALUATION

The overall cost of the evaluation is expected to be around 235 000 [€]

This amount includes a provision (reimbursable costs) of maximum € 7.000 for the organisation of the seminar in the region.

The budget for the seminar (fees, per diems and travel) will be presented separately in the launch note.

## 10. PAYMENTS MODALITIES

The payments modalities shall be as follows: 30% on acceptance of the inception note; 50% on acceptance of draft final report; 20% on acceptance of final report. Seminar related costs are to be invoiced, and paid, separately.

## **Annex 1: Indicative documentation for the evaluation**

*NB: the following list is indicative and has to be adapted/expanded where appropriate*

All legal texts and political commitments for the periods covered

All Country Strategy Papers/National Indicative Programmes (and equivalent) for the periods covered

All Regional Strategy Papers/Regional Indicative Programmes (and equivalent) for the periods covered.

Annual reports and mid-term reviews

Relevant documentation from local authorities and other local partners

The relevant Commission Regulations

Other Commission/Government Agreements

Key Local Organisations and Government Policy and Planning Documents

Previous Evaluations and Monitoring Reports relating specifically to the region

Previous Evaluations and Monitoring Reports (ROM database) relating specifically to the region

Relevant documentation from other donors

## **Annex 2: Outline Structure of the Final Report**

The final report should not be longer than approximately 50/60 pages. Additional information on overall context, programme or aspects of methodology and analysis should be confined to annexes.

The detailed report structure will be agreed during the evaluation process, taking into account the lessons learnt from the ongoing Country strategy evaluations and the specificity of the present evaluation.

1. Executive summary (5 pages maximum)
2. Evaluation framework: brief background to the evaluation, the purpose of the evaluation, evaluation questions and evaluation methodology.
3. Context (including Commission objectives, overall political economic social situation in **the Region of Eastern and Southern Africa and the Indian Ocean Southern Africa Development Community**, Commission strategies and programmes, regional programmes if relevant)
4. Findings: they should be presented through answers to the evaluation questions. The analysis leading to findings must be clearly visible in the report.
5. Conclusions: they will be organised by clusters (not necessarily following the order of the evaluation questions). Each conclusion should both include a synthesis of the related findings and express a judgement on the aspect of the EC support considered. This part will also include an overall assessment on the EC support to **the Region of Eastern and Southern Africa and the Indian Ocean**.
6. Recommendations: they should be clearly linked to the conclusions and prioritised, options should be presented)

Annexes should include:

- logical diagrams of EC strategies;
- judgement criteria forms;
- list of the projects and programmes specifically considered;
- project assessment fiches;
- list of people met;
- list of documentation;
- ToRs;
- any other info which contains factual basis used in the evaluation or tables
- etc.



### Annex 3 - Quality assessment grid

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

## ANNEX 2: BIBLIOGRAPHY

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### Main EC/EU relevant documentation

#### EC strategy documents for the ESA-IO region (RSP/RIP, CSP/NIP)

##### ***RSP/RIP***

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- Framework of Regional Cooperation Indian Ocean / European Union / Regional Indicative Programme (1997)
- Region of Eastern and Southern Africa and the Indian Ocean – European Community. Regional Strategy Paper and Regional Indicative Programme for the period 2002-2007 (2002)
- Strategy Paper - Regional Cooperation in Southern Africa (1996)
- SADC : RSP and RIP 2002-2007 (2002)

##### ***CSP/NIP- 8<sup>th</sup> EDF***

- EC Country Strategy for Namibia 1996-2000, (1996)
- Framework for Cooperation between the Kingdom of Swaziland and the European Community – National Indicative Programme – 8<sup>th</sup> EDF (1996)
- Framework of Cooperation Malawi/ European Community National Indicative Programme - 8<sup>th</sup> EDF (1997)
- Framework of Cooperation - Republic of Zambia/European Community. National Indicative Programme – 8<sup>th</sup> EDF (1997)
- Cadre de coopération entre la République du Burundi et la Communauté Européenne. Programme Indicatif National (8<sup>ème</sup> Fonds Européen de Développement) (2001)
- Financing agreement between the EC and Zambia - Mining sector Diversification programme – 8th EDF (2006)
- Framework of Cooperation between the State of Eritrea and the European Community. National Indicative Programme – 8<sup>th</sup> EDF (2001)

##### ***CSP/NIP- 9<sup>th</sup> EDF***

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- United Republic of Tanzania – Country Strategy Paper And National Indicative Programme for the period 2001-2007 (2001)
- Uganda - European Commission. Country Strategy Paper and National Indicative Programme for the period 2002-2007 (2002)
- Zambia- European Community Country Strategy Paper And Indicative Programme for the period 2001-2007 (2001)

**Selected EC policy and sectoral documents** (chronological order)

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## **WEBSITES**

### **Pan-African organisations**

<a href="http://www.africa-union.org/root/au/index/index.htm">http://www.africa-union.org/root/au/index/index.htm</a>	African Union
<a href="http://www.nepad.org/2005/files/home.php">http://www.nepad.org/2005/files/home.php</a>	The New Partnership for Africa's Development
<a href="http://www.uneca.org">www.uneca.org</a>	UNECA
<a href="http://www.comesa.int/institutions/Non-COMESA/ircc/">http://www.comesa.int/institutions/Non-COMESA/ircc/</a>	IRCC (Inter-Regional Coordinating Committee)
<a href="http://www.circ-ircc.org/index.html">http://www.circ-ircc.org/index.html</a>	

### **Regional Economic Communities**

<a href="http://www.comesa.int/index_html/view">http://www.comesa.int/index_html/view</a>	Common Market for Eastern and Southern Africa (COMESA)
<a href="http://www.eac.int/">http://www.eac.int/</a>	East African Community (EAC)
<a href="http://www.ceeac-eccas.org/">http://www.ceeac-eccas.org/</a>	Economic Community of Central African States (ECCAS)
<a href="http://www.ecowas.int/">http://www.ecowas.int/</a>	Economic Community of West African States (ECOWAS)
<a href="http://www.igad.org/">http://www.igad.org/</a>	Intergovernmental Authority for Development (IGAD)
<a href="http://www.sadc.int/">http://www.sadc.int/</a>	Southern African Development Community (SADC)
<a href="http://www.coi-ioc.org/">http://www.coi-ioc.org/</a>	Indian Ocean Commission (IOC-COI)

### **Research institutions**

<a href="http://www.idasa.org.za/">http://www.idasa.org.za/</a>	Institute for a Democratic Alternative in South Africa
<a href="http://www.seapren.org/">http://www.seapren.org/</a>	Southern and Eastern Africa Policy Research Network (SEAPREN)
<a href="http://www.sardc.net/redi/index.htm">http://www.sardc.net/redi/index.htm</a>	The programme on Regional Economic Development and Integration (REDI)
<a href="http://www.cris.unu.edu/">http://www.cris.unu.edu/</a>	United Nations University – Comparative regional integration studies

### **Statistical Databases**

<a href="http://ddp-ext.worldbank.org/ext/">http://ddp-ext.worldbank.org/ext/</a>	World Bank MDGs Indicators
<a href="http://ddp-ext.worldbank.org/ext/DDPQQ/">http://ddp-ext.worldbank.org/ext/DDPQQ/</a>	World Bank DDP Quick Query
<a href="http://genderstats.worldbank.org/genderstats/query/default.htm">http://genderstats.worldbank.org/genderstats/query/default.htm</a>	World Bank Gender Statistics
<a href="http://www.mdgmonitor.org/">http://www.mdgmonitor.org/</a>	MDG Monitor UNDP
<a href="http://www.imf.org/external/datamapper/index.php">http://www.imf.org/external/datamapper/index.php</a>	IMF Data Mapper
<a href="http://stats.unctad.org/FDI/ReportFolders/ReportFolders.aspx?CS_referer=&amp;CS_ChosenLang=fr">http://stats.unctad.org/FDI/ReportFolders/ReportFolders.aspx?CS_referer=&amp;CS_ChosenLang=fr</a>	UNCTAD FDI <sup>STAT</sup>
<a href="http://stats.unctad.org/handbook/ReportFolders/ReportFolders.aspx">http://stats.unctad.org/handbook/ReportFolders/ReportFolders.aspx</a>	UNCTAD Handbook of Statistics 2007
<a href="http://mdgs.un.org/unsd/mdg/Metadata.aspx">http://mdgs.un.org/unsd/mdg/Metadata.aspx</a>	UNSTAT
<a href="http://www.devinfo.info/mdginfo2007/home.aspx">http://www.devinfo.info/mdginfo2007/home.aspx</a>	DevInfo v5.0 – MDG 2007
<a href="http://stats.oecd.org/wbos/">http://stats.oecd.org/wbos/</a>	OECD.Stat
<a href="http://comstat.comesa.int/loginwindow.php">http://comstat.comesa.int/loginwindow.php</a>	COMSTAT Statistical Database
<a href="http://new.prio.no/CSCW-Datasets/Data-on-Armed-Conflict/UppsalaPRIO-Armed-Conflicts-Dataset/Armed-Conflicts-Version-4-2007/">http://new.prio.no/CSCW-Datasets/Data-on-Armed-Conflict/UppsalaPRIO-Armed-Conflicts-Dataset/Armed-Conflicts-Version-4-2007/</a>	CSCW-Center for the Study of Civil War Datasets
<a href="http://faostat.fao.org/site/544/default.aspx">http://faostat.fao.org/site/544/default.aspx</a>	FAOSTAT
<a href="http://faostat.fao.org/site/535/default.aspx">http://faostat.fao.org/site/535/default.aspx</a>	FAOSTAT Trade <sup>STAT</sup>

**ANNEX 3: LIST OF PEOPLE INTERVIEWED**

<b>DRN/ 184/ Eastern Southern Africa and the Indian Ocean- Interviews Brussels</b>					
<b>DGs, Delegations &amp; Others</b>	<b>Name</b>	<b>Role</b>	<b>Team member</b>	<b>Date meeting</b>	<b>Contact Address</b>
DG AIDCO	Athlin Joanna	Expert governance	F. Cook	19.06. 07	Aidco E4- Tel. +(32) 2 2997783 <a href="mailto:Joanna.athlin@ec.europa.eu">Joanna.athlin@ec.europa.eu</a>
	Bosuener Henning	Project/Process Officer - Head of Sector "Eastern Africa I" - Geographical Coordinator for regions COMESA, ESA, IOC, IGAD	E. Caputo M. Davenport	10.01.08	Aidco C1 Tel. +(32) 2 2968411 <a href="mailto:Henning.bosuener@ec.europa.eu">Henning.bosuener@ec.europa.eu</a>
	Brosseau Frederica	NRM Manager (C4)	I. Morawski	14.01.08	Aico C4 Tel. +(32) 2 2981312 <a href="mailto:Frederica.brosseau@ec.europa.eu">Frederica.brosseau@ec.europa.eu</a>
	Leemans Tom	Regional integration and trade in the ESA-IO region.	E. Caputo M. Davenport	10.01.08	Aidco E2 Tel. +(32) 2 2999435 <a href="mailto:Tom.leemans@ec.europa.eu">Tom.leemans@ec.europa.eu</a>
	Mascagni Oscar	Quality Management Officer Wildlife management, forests – FLEGT	I. Morawski	07.01.08	Aidco E6 Tel. +(32) 2 2951806 <a href="mailto:Oscar.mascagni@ec.europa.eu">Oscar.mascagni@ec.europa.eu</a>
	Moussy Patrice	Quality Management Assistant Coastal management, fisheries, national marine protected areas	I. Morawski	18.12.07	Aidco E6 Tel. +(32) 2 2951796 <a href="mailto:Patrice.moussy@ec.europa.eu">Patrice.moussy@ec.europa.eu</a>
DG DEV	Cools Jan	Policy Officer Sustainable management of natural resources	I. Morawski	18.12.07	Dev B2 Tel. +(32) 2 2954178 <a href="mailto:Jan.cools@ec.europa.eu">Jan.cools@ec.europa.eu</a>
	Kennes Walter	Head of sector Sustainable management of natural resources	M. Davenport		Dev B2 Tel. +(32) 2 2992724 <a href="mailto:Walter.kennes@ec.europa.eu">Walter.kennes@ec.europa.eu</a>
	Lorkeers Aloysius	Desk officer Kenya	E. Caputo I. Morawski	18.12.07	Dev E2 Tel. +(32) 2 2951789 <a href="mailto:Aloysius.lorkeers@ec.europa.eu">Aloysius.lorkeers@ec.europa.eu</a>
			M. Davenport F. Cook	06.06. 07	
Lester Jeremy	Head of Unit Relations with the countries and the regions of the Horn of Africa, Eastern Africa and Indian Ocean	F. Cook	06.06. 07	Dev E2 Tel. +(32) 2 2953760 <a href="mailto:Jeremy.lester@ec.europa.eu">Jeremy.lester@ec.europa.eu</a>	

	Olthof Willem	Policy Desk Officer Sustainable management of natural resources	I. Morawski	18.12.07	Dev B2 Tel. +(32) 2 2986618 <a href="mailto:Willem.othof@ec.europa.eu">Willem.othof@ec.europa.eu</a>
	Souque Maylis	Expert in governance and budget support	E. Caputo	18.12.07	Dev C3 Tel. +(32) 2 2985130 <a href="mailto:Maylis.souque@ec.europa.eu">Maylis.souque@ec.europa.eu</a>
	Thompson John Bruce	Policy Group Coordinator Economic development: Infrastructure and communication networks, trade and regional integration	J. Clifton	18.12.07	Dev B1 Tel. +(32) 2 2993067
	Van Houtte Florence	Policy Officer Sustainable management of natural resources	I. Morawski	07.01.08	Dev B2 Tel. +(32) 2 2961254 <a href="mailto:Florence.vanhoutte@ec.europa.eu">Florence.vanhoutte@ec.europa.eu</a>
	Von Pistohlkors Erik	Regional Desk Officer Relations with Horn of Africa, Eastern Africa and Indian Ocean (ESA/IO)	E. Caputo I. Morawski	18.12.07	Dev E2 Tel. +(32) 2 2990048 <a href="mailto:Erik.vonpistohlkors@ec.europa.eu">Erik.vonpistohlkors@ec.europa.eu</a>
DG RELEX	Buxton Inger	Policy Officer Crisis response and Peace Building	F. Cook	22.06.07	Relex DDG1 A 2 Tel. +(32) 2 2959633 <a href="mailto:Inger.buxton@ec.europa.eu">Inger.buxton@ec.europa.eu</a>
	Nino Perez Javier	Relations with Cuba	F. Cook	04.07	Tel. +(53) 7 040327
DG RESEARCH (JRC-IES)	Roggeri Paolo	Scientific/Technical Officer Former ECD Comoros & AIDCO	I. Morawski	14.01.08	JRC H3 Tel +(39) 0332 785014 <a href="mailto:Paolo.roggeri@ec.europa.eu">Paolo.roggeri@ec.europa.eu</a>
DG Trade	Figuerola-Santos Belen	Economist	M. Davenport	18.12.07	Trade C3 <a href="mailto:Belen.figuerola@ec.europa.eu">Belen.figuerola@ec.europa.eu</a>
EU Council	Fischer Andreas	European COUNCIL	F. Cook	30.05.07	
Saferworld	Giarmata Virginie	CPRM liaison officer with EU	F. Cook	14.08.07	
Independent Expert	Monette Jean Paul	CPRM Africa expert working for EC	F. Cook	8.06.07	

DRN/ 184/ Eastern Southern Africa and the Indian Ocean- Interviews Field Mission								
N°	Organization	Role	Name	Issue(s)	City	Team member	Date meeting	Contact Address
<b>DJIBOUTI</b>								
1	EC Delegation	Resident Official in charge	J. Gonzalez Ducaay	Governance, Security, peace building, conflict prevention, CPRM, regional activities in the Horn of Africa	Djibouti	F. Cook	30.03.08	Tel. +253 352615 <a href="mailto:Flore.TORTELIER@ec.europa.eu">Flore.TORTELIER@ec.europa.eu</a>
2		Attache Cooperation	Yves Picaud		Djibouti	F. Cook	30.03.08	Tel. +253 352615 <a href="mailto:Yves.picaud@ec.europa.eu">Yves.picaud@ec.europa.eu</a>
3	IGAD Secretariat	Director, Peace and Security	Daniel Yifru		Djibouti	F. Cook	31.03.08	Tel. +253 354050 <a href="mailto:igad@igad.org">igad@igad.org</a> <a href="mailto:daniel.yifru@igad.org">daniel.yifru@igad.org</a> <a href="mailto:sizer.kebede@igad.org">sizer.kebede@igad.org</a> <a href="mailto:ahmed.habbane@igad.org">ahmed.habbane@igad.org</a>
4		Planning and Coordination Manager	Ahmed Yonis Habane		Djibouti	F. Cook	31.03.08	
5	UNDP	In charge of UNDP Djibouti	Hassan Ali		Djibouti	F. Cook	31.03.08	Tel: +253 351719
6	GTZ	HoA and responsible for CPRM and IGAD	Stefan Bruene		Djibouti	F. Cook	3.04.08 (over the phone)	
7	World Bank	Disaster Risk Management in the HoA region	Sergio Mora C.		Djibouti	F. Cook	29.03.08	
8	USAID	Head of USAID	Janet Schulman		Djibouti	F. Cook	29.03.08	Tel. 254-20-862 2000 Fax 254-20-862 2680 <a href="mailto:estafrica-info@usaid.gov">estafrica-info@usaid.gov</a>
9		Food security section	Nasser		Djibouti	F. Cook	29.03.08	
10		Governance, electoral reform section	Kanni Osman		Djibouti	F. Cook	29.03.08	
11		Governance, electoral reform section	Farida Abdi		Djibouti	F. Cook	29.03.08	
<b>ETHIOPIA</b>								
12	EC Delegation	Conflict Prevention and Institutional Strengthening	Brenda Candries	Horn of Africa (JAM); IGAD, EPA; Panafrican perspective; 10 <sup>th</sup> EDF RIP; Contribution agreements	Addis Ababa	E. Caputo	26.03.08	Tel. (+251) 11 612511 <a href="mailto:Brenda.candries@ec.europa.eu">Brenda.candries@ec.europa.eu</a>
13					Addis Ababa	F. Cook	26.03.08	
14		Head of Development Cooperation	Nicola Delcroix		Addis Ababa	E. Caputo	26.03.08	<a href="mailto:Nicola.DELCROIX@ec.europa.eu">Nicola.DELCROIX@ec.europa.eu</a>
15		Head of Section - Operations - African Union and Regional Cooperation	V. Auricchio		Addis Ababa	E. Caputo	26.03.08	<a href="mailto:Valentina.AURICCHIO@ec.europa.eu">Valentina.AURICCHIO@ec.europa.eu</a>
16						F. Cook	26.03.08	

17		Head of Political and Information Section, Political Advisor	Dietmar Krisser	Principle of subsidiarity; EU-AU Partnerships; IGAD problems; CPRM	Addis Ababa	E. Caputo	26.03.08	<a href="mailto:Dietmar.krisser@ec.europa.eu">Dietmar.krisser@ec.europa.eu</a>
18						F. Cook	26.03.08	
19		Head of Governance Unit	Irene Mingasson	Governance, Security, peace building, conflict prevention, CPRM, regional activities in the Horn of Africa	Addis Ababa	F. Cook	26.03.08	<a href="mailto:Irene.mingasson@ec.europa.eu">Irene.mingasson@ec.europa.eu</a>
20	EU Delegation to African Union	Project Advisor, Peace and Security	Gaby Hagmuller	Principle of subsidiarity; EU-AU Partnerships; IGAD problems; CPRM	Addis Ababa	E. Caputo	26.03.08	
21						F. Cook	26.03.08	
22	DFID	Regional Conflict Advisor	Julie Chappell	Governance, Security, peace building, conflict prevention, CPRM, regional activities in the Horn of Africa	Addis Ababa	F. Cook	27.03.08	Tel: +251 116 180601 Fax: +251 116 180635
23	African Union	Directorate Economic Affairs	Rene N'guettia Kouassi	AU Rationalisation Strategy; EPA	Addis Ababa	E. Caputo	26.03.08	African Union Headquarters P.O. Box 3243 Addis Ababa Ethiopia Tel: (251) 11 551 77 00 Fax: (251) 11 551 78 44
24	USAID	Supervisory Program Officer	Nancy Estes	Governance, Security, peace building, conflict prevention, CPRM, regional activities in the Horn of Africa	Addis Ababa	F. Cook	27.03.08	USAID/Addis Ababa Department of State Washington, DC 20521-2030 Tel: 251-1-510-088 Fax: 251-1-510-043
25		Democracy and Governance Chief	Steven Smith	Governance, Security, peace building, conflict prevention, CPRM, regional activities in the Horn of Africa	Addis Ababa	F. Cook	27.03.08	
26	UNDP	Governance programming	Deborah Mekonnen	Governance, Security, peace building, conflict prevention,	Addis Ababa	F. Cook	26.03.08	UN ECA Campus Old Building, 7th Floor, Africa Hall Addis Ababa Ethiopia 5580 Tel: +251-11-5515177
27		Business development	Anne Jupner		Addis Ababa	F. Cook	26.03.08	



28		Food security and recovery	Takele Teshome		Addis Ababa	F. Cook	26.03.08	
29		Manager Democratic Institutions Programme	Elobaid Elobaid		Addis Ababa	F. Cook	28.03.08	
30	GTZ	GTZ advisor to IGAD (i.e. to their regional conflict early warning mechanism)	Simone Kopfmüller	Governance/security/peace building (conflict prevention/CPRM) regional activities in the Horn of Africa	Addis Ababa	E. Caputo	27.03.08	Tel. 00251-911-442026 <a href="mailto:Simone.Kopfmuller@gtz.de">Simone.Kopfmuller@gtz.de</a>
31						F. Cook	27.03.08	
32	Italian Embassy	Italian ambassador (formally President of the IGAD partners group)	Raffaele de Lutio	Governance/security/peace building (conflict prevention/CPRM) regional activities in the Horn of Africa	Addis Ababa	E. Caputo	27.03.08	Ambasciata d'Italia Addis Abeba Villa Italia – Kebena' – P. O. Box 1105, Addis Abeba Tel. +251-11-1235717 <a href="mailto:ambasciata.addisabeba@esteri.it">ambasciata.addisabeba@esteri.it</a>
<b>MAURITIUS</b>								
33	EC Delegation	Head of Delegation	Claudia Wiedey-Nippold	IOC institutional analysis. IOC Contribution agreement, donors coordination	Port-Louis	I.Morawski	09.04.08	Tel +230 2071515 <a href="mailto:Claudia.Wiedey-Nippold@ec.europa.eu">Claudia.Wiedey-Nippold@ec.europa.eu</a>
34		Head of Section IOC Regional Coop. + NRM	F. Tranquilli	IOC institutional analysis. IOC Contribution agreement, donors coordination	Port-Louis	I.Morawski	09.04.08	<a href="mailto:Franco.Tranquilli@ec.europa.eu">Franco.Tranquilli@ec.europa.eu</a>
35		Regional cooperation officer	Chris Bisoonahsing	IOC institutional analysis. IOC Contribution agreement, donors coordination	Port-Louis	I.Morawski	09.04.08	<a href="mailto:chris.bisoonahsing@ec.europa.eu">chris.bisoonahsing@ec.europa.eu</a>
36		NRM officer	Corinne Paya	Regional NRM programmes	Port-Louis	I.Morawski	09.04.08	<a href="mailto:corinne.paya@ec.europa.eu">corinne.paya@ec.europa.eu</a>
37		Head of section, NIP Mauritius and economic affairs	H. Rhein	Mauritius Budget support. Reg/nat complementarity. Regional trade & EPA	Port-Louis	I.Morawski	09.04.08	<a href="mailto:Hans.RHEIN@ec.europa.eu">Hans.RHEIN@ec.europa.eu</a>
38		Project officer	Carole Ramalingun	Sugar protocol: strategies and EC coherence	Port-Louis	I.Morawski	09.04.08	<a href="mailto:carole.ramalingun@ec.europa.eu">carole.ramalingun@ec.europa.eu</a>
39		Project officer	Anna Costantini	NSA support projects, links with regional NSA support	Port-Louis	I.Morawski	09.04.08	<a href="mailto:Anna.costantini@ec.europa.eu">Anna.costantini@ec.europa.eu</a>
40	IOC Secretariat	Secretary General and RAO	Monique Andreas Esoavelomandroso	IOC role in ESA-IO region. Strengthening of IOC Secr. Political issues. EC value added	Quatre Bornes	I.Morawski	10.04.08	<a href="mailto:monique.andreas@coi-ioc.org">monique.andreas@coi-ioc.org</a>
41		Programme Officer & D-RAO	Raj Mohabeer	Regional instit. framework IOC role and priorities. Management & efficiency. Complementarity & subsidiarity. Donors coordination. EC value added.	Quatre Bornes	I.Morawski	8.04.08	<a href="mailto:Raj.mohabeer@coi-ioc.org">Raj.mohabeer@coi-ioc.org</a>
42		Programme officer	Gina Bonne		Quatre Bornes	I.Morawski	Tel. +230 425 1652 Fax. +230 425 9564 <a href="mailto:Gina.bonne@coi-ioc.org">Gina.bonne@coi-ioc.org</a>	
43		Programme officer	Denis Bossard		Quatre Bornes	I.Morawski		<a href="mailto:denis.bossard@coi-ioc.org">denis.bossard@coi-ioc.org</a>

44		Programme officer	Fatoumia Bazi	French regional programme on MPA	Quatre Bornes	I.Morawski		<a href="mailto:fatoumia.bazi@coi-ioc.org">fatoumia.bazi@coi-ioc.org</a>
45		Programme officer	Gilbert Andrianantoanina		Quatre Bornes	I.Morawski		<a href="mailto:gilbert.andrianantoanina@coi-ioc.org">gilbert.andrianantoanina@coi-ioc.org</a>
46		TA Environment	Denis Etienne		Quatre Bornes	I.Morawski		<a href="mailto:denis.etienne@coi-ioc.org">denis.etienne@coi-ioc.org</a>
47		IRCC project officer	Raj Lutchman		Quatre Bornes	I.Morawski		<a href="mailto:raj.luchman@coi-ioc.org">raj.luchman@coi-ioc.org</a>
48		TA University Cooperation	Laurence Cordonnery		Quatre Bornes	I.Morawski		<a href="mailto:laurence.cordonnery@coi-ioc.org">laurence.cordonnery@coi-ioc.org</a>
49	SCS Project	Regional coordinator	David Ardill	Implementation of regional programmes (from 7 to 9 EDF). Empowerment and impacts at national levels. Sustainability. Complementarity and synergies between regional and national levels. Efficiency of management arrangements. Coordination and coherence with other initiatives	Quatre Bornes	I.Morawski	8.04.08	<a href="mailto:david.ardill@coi-scs.org">david.ardill@coi-scs.org</a>
50	PRPV project	Regional Coordinator	Claude Soopramani		Quatre Bornes	I.Morawski		<a href="mailto:csoopramanien@intnet.mu">csoopramanien@intnet.mu</a>
51	Ministry of Fisheries, Mauritius	Technical officer	Kalid Dopramena		Quatre Bornes	I.Morawski		<a href="mailto:kdopramenad@mail.gov.mu">kdopramenad@mail.gov.mu</a>
52	Albion Fisheries Research, Mauritius	Regional coral reef monitoring network	Mira Koonjul		Quatre Bornes	I.Morawski		<a href="mailto:mkoonjul@mail.gov.mu">mkoonjul@mail.gov.mu</a>
53	Tuna tagging project	Technical staff	Julien Million		Quatre Bornes	I.Morawski		<a href="mailto:julien.million@iotc.org">julien.million@iotc.org</a>
54	RECOMAP project	ICZM specialist	Winfried Wiedemeyer		Quatre Bornes	I.Morawski		<a href="mailto:winfried.wiedemeyer@coi-ioc.org">winfried.wiedemeyer@coi-ioc.org</a>
55		Admin & Finance officer	Lamberto Orilia		Quatre Bornes	I.Morawski		<a href="mailto:lamberto.orilia@coi-ioc.org">lamberto.orilia@coi-ioc.org</a>
56	IO Fisheries Surveillance project (DG-Fish)	Coordinator	Vincent Esclapez	Coordination and complementarity with SCS project. Coherence DG-DEV/DG-FISH	Quatre Bornes	I.Morawski	10.04.08	c/o IOC Secretariat
57	Ministry of Finance & Economic Development, Mauritius	Vishnu Bassant	Deputy Director and Deputy-NAO	Mauritius policy and strategy in regional integration. EPA. Relations with COMESA, SADC, IOC. Harmonisation and convergence	Quatre Bornes	I.Morawski	10.04.08	<a href="mailto:vbassant@mail.gov.mu">vbassant@mail.gov.mu</a>
<b>TANZANIA</b>								
58	EC Delegation	Head of Economic section and programme officer (regional and trade)	Douglas Carpenter	Regional institutional framework, EPA, EC financing instruments, donors coordination, 10th EDF; Contribution	Dar Es Salaam	I.Morawski	31.03.08	Tel. (255-22) 11 74 73 <a href="mailto:Douglas.Carpenter@ec.europa.eu">Douglas.Carpenter@ec.europa.eu</a>
59						M.Davenport	31.03.08	
60						E. Caputo	09.04.08	
11.04.08								

				Agreement; RISP; Relevance of ESA IO program; Trade				
61	Economic section	Frederic Woringer	Regional inst. framework, EPA, EC financing instruments, donors coordination, 10 <sup>th</sup> EDF; Contribution Agreement; RISP; Relevance of ESA IO program; Trade	Dar Es Salaam	I.Morawski	31.03.08	Tel. (+255)-22 11 74 73 <a href="mailto:Frederic.Woringer@ec.europa.eu">Frederic.Woringer@ec.europa.eu</a>	
62					M.Davenport	31.03.08		
63					E. Caputo	09.04.08 11.04.08		
64	Embassy of Finland	Economic adviser	Marko Nokkala	Donors coordination. EAC Partnership Fund	Dar Es Salaam	I.Morawski	31.03.08	<a href="mailto:marko.nokkala@formin.fi">marko.nokkala@formin.fi</a>
65		M.Davenport	31.03.08					
66		Forestry adviser	Timo Vihola	Donors coordination. EAC Partnership Fund	Dar Es Salaam	I.Morawski	31.03.08	<a href="mailto:timo.vihola@formin.fi">timo.vihola@formin.fi</a>
67	National Environment Management Council	Director, Environment Planning and Research	Ruzika Muheto	Impacts of regional programmes in tanzania, Regional/national complementarity, aid delivery, EC value added	Dar Es Salaam	I.Morawski	01.04.08	<a href="mailto:muheto@hotmail.co.uk">muheto@hotmail.co.uk</a>
68	LVFO	LVFO regional level Executive Secretary LVFO	Thomas Maembe	EC support projects to Lake Victoria fisheries: achievements, impacts, organisation and needs	Dar Es Salaam	I.Morawski	31.03.08	Tel. +255 754 -059104 OR Fax. +255 222 861444 <a href="mailto:maembe@lvfo.org">maembe@lvfo.org</a>
69	Ministry of Industry, Trade and Marketing	Trade Policy Advisor	Seppo Sipila	regional institutional framework, EPA, donors coordination	Dar Es Salaam	M.Davenport	31.03.08	Tel: +255 754 752420 <a href="mailto:Jitap-tanzania@covision2000.com">Jitap-tanzania@covision2000.com</a> <a href="mailto:pastorymasomhe@yahoo.co.uk">pastorymasomhe@yahoo.co.uk</a>
70		ex Deputy PS, Department of Commerce, now Chamber of Commerce	Afwilwle Mwakijungu	ASYCUDA, EUROTRACE, Single Declaration Document, tariff nomenclature; EPA; private sector; EBA	Dar Es Salaam	M.Davenport	31.03.08	
71	DFID	Head of DFID Tanzania	Roy Trivedy	EAC renaissance; EPA; Aid for Trade	Dar Es Salaam	E. Caputo	11.04.08	Tel: +255 22 2110141 Fax: +255 22 2110130/8 <a href="mailto:f-matsert@dfid.gov.uk">f-matsert@dfid.gov.uk</a>
72	East African Community	Principal Agricultural Economist	Marwa Moses	Agriculture and food security. Links with regional networks and initiatives	Arusha	I.Morawski	03.04.08	Tel: +255 27 2504253/4/6/7/8 Fax: +255 27 2504255/2504481
73		Principal wildlife and tourism officer	Shedrack Mashauri	NRM and tourism: strategies, achievements and priorities	Arusha	I.Morawski	03.04.08	<a href="mailto:mashauri@eachq.org">mashauri@eachq.org</a>
74		Senior livestock officer	Timothy Wesonga	Lake Victoria Fisheries, livestock programmes, new avian flu project	Arusha	I.Morawski	03.04.08	<a href="mailto:wesonga@eachq.org">wesonga@eachq.org</a>
75		Principal energy officer	Mr Peter Kinuthia	EAC energy policy and strategy. Regional approach	Arusha	I.Morawski	03.04.08	<a href="mailto:kinuthia@eachq.org">kinuthia@eachq.org</a>

76		Assistant of Dr James Njagu, Principal Resources Mobilisation officer	Fatumah	EAC Partnership Fund	Arusha	I.Morawski	04.04.08	<a href="mailto:njagu@eachq.org">njagu@eachq.org</a>	
77		Director General (Customs and Trade)	Peter N. Kiguta	Consistency, complementarity, implementation of RI projects, role of IRRC, role of MS, a single COMESA CU, effect of EAC EPA on COMESA CU, NTBs, tax reform	Arusha	M.Davenport	02.04.08	<a href="mailto:kiguta@eachq.org">kiguta@eachq.org</a> <a href="mailto:aida@eachq.org">aida@eachq.org</a>	
78		Principal Trade Officer (Internal)	Nduati wa Karanja		Arusha	M.Davenport	02.04.08	<a href="mailto:musonda@eachq.org">musonda@eachq.org</a>	
79		Trade Officer	Kenneth Bagamuhunda		Arusha	M.Davenport	03.04.08	<a href="mailto:bagamuhunda@eachq.org">bagamuhunda@eachq.org</a>	
80		Principal Resources Mobilisation Officer	James Njagu		Arusha	M.Davenport	02.04.08	<a href="mailto:njagu@eachq.org">njagu@eachq.org</a>	
81	GTZ	GTZ representative attached to EAC	Gerhard Anger		GTZ priorities. Donors coordination. Partnership Fund	Arusha	I.Morawski	04.04.08	<a href="mailto:gerhard.anger@gtz.de">gerhard.anger@gtz.de</a>
82	East African Business Council	Trade Economis	Ogwal Mosses	Consistency, complem., implementation of RI projects, role of MS, NTBs, tax reform, financial services	Arusha	M.Davenport	02.04.08	<a href="mailto:info@eabc-online.com">info@eabc-online.com</a> <a href="mailto:mog@eabc-online.com">mog@eabc-online.com</a>	
83		Communications and Marketing Officer	Agatha Nderitu		Arusha	M.Davenport	02.04.08		
<b>ZAMBIA</b>									
84	EC Delegation	Head of the section Economic and Trade-related Cooperation	Francesca Di Mauro	RISM, COMESA, EAC Contribution Agreement, IRCC; 10 <sup>th</sup> EDF, RISP	Lusaka	M.Davenport	26.03.08	Tel (+260) 1 251140 <a href="mailto:Francesca.di-mauro@ec.europa.eu">Francesca.di-mauro@ec.europa.eu</a>	
85						E.Caputo	07.04.08		
86		Operations Manager - Head of Operations	Rafael Aguirre Unceta	COMESA, EAC, CAs, IRCC, SADC CU; NIPs; IGAD	Lusaka	M.Davenport	26.03.08	Tel. (+260) 1 251140	
87						E.Caputo	07.04.08		
88		Trade and Regional Co-operation Advisor	Jean-Yves Lacascade	COMESA, EAC, CAs IRCC, SADC CU; NIPs; IGAD	Lusaka	E.Caputo	07.04.08	Tel. (+260) 1 251140 <a href="mailto:Jean.Yves-Lacascade@ec.europa.eu">Jean.Yves-Lacascade@ec.europa.eu</a>	
89						RISM; tax reform, "ownership", financial services	M.Davenport		28.03.08
90						EC Del staffing; TCSPIP (Shire/Zambezi Waterway; Lukuga barrage, Lake Tanganyika; Great Lakes Railway); Infrastructure; COMESA use of funds under CA; Communication issues (COMESA / NAO); SADB; EU-Africa Partnership and Trust Fund; SADC/COMESA coord.	J. Clifton		28.02.08
91	2nd Secretary, Head of Infrastructure	Jurgen Kettner		Lusaka	J. Clifton	28.02.08	<a href="mailto:Jurgen.kettner@ec.europa.eu">Jurgen.kettner@ec.europa.eu</a>		

92	COMESA	Senior trade advisor	James Musonda	Consistency, complementarity, implementation of RI projects, role of IRRC, role of MS, CU road map, NTBs, tax reform, "ownership", financial services	Lusaka	M.Davenport	26.03.08	Tel: (+260)-1-229725 Fax: (260)-1-225107 <a href="mailto:mwansamusonda@comesa.int">mwansamusonda@comesa.int</a>	
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94		Chief Statistician	Munalula Temba		Lusaka	M.Davenport	27.03.08	<a href="mailto:temba@comesa.int">temba@comesa.int</a>	
95		Regional IT Advisor, ASYCUDA Project, COMESA	Parmeshwar Dyal Chundunsing	ASYCUDA Project; UNCTAD	Lusaka	M.Davenport	27.03.08		
96		Project Officer IRCC	Peter Omondi	COMESA Infrastructure Fund; Donor coordination; Future of CUs; CA; Decentralization; RIO's harmonization; 10 <sup>th</sup> EDF	Lusaka	M.Davenport	27.03.08	Tel. + 260 1-232311 <a href="mailto:pomondi@comesa.int">pomondi@comesa.int</a>	
97					E.Caputo	08.04.08			
98		Programme Officer IRCC	Hope Situmbeko		Lusaka	M.Davenport	27.03.08	Tel. + 260 1-232311 <a href="mailto:situmbeko@comesa.int">situmbeko@comesa.int</a>	
99					E.Caputo	08.04.08			
100		Assistant Secretary General, Programmes & Projects	Sudeso Ngwenya	TCS; DBSA funding; NIPs ; COMESA/NEPAD development matrices	Lusaka	J. Clifton	28.02.08	COMESA Secretariat Ben Bella Road PO Box 30051 Lusaka	
101		Programme Manager RISP	Marc Kwai Pun	9 <sup>th</sup> & 10 <sup>th</sup> EDF T&C envelope; COMESA Fund; infrastructure inv. for private sector; coordination/communication problems; RISP activities; Negotiating capacity, institutional structure consensus building; FTA/CU; Comesa Trade Policy; monetary policy harmonization; VAT harmonization; CCIA – COMESA Common Investment Area	Lusaka	M.Davenport	J. Clifton	28.02.08	COMESA Secretariat Ben Bella Road PO Box 30051 Lusaka Tel. +260 1 228302/05
102							E.Caputo	08.04.08	
103							26.03.08 28.03.08		
104		Energy Economist, Infrastructure Development	Mohamedain E.Seif Elnasir	Contribution Agreement – COMESA/EC; consensus building and consolidation of procedures at national levels; ratification/implementation of regional agreements	Lusaka	J. Clifton	26.02.08	COMESA Secretariat Ben Bella Road PO Box 30051 Lusaka Tel. +26011 228302/05	
105	Programme Manager RICTSP	Claes Rosvall	RICTSP ; EDF regulations; Harmonisation/ratification	Lusaka	J. Clifton	26.02.08	COMESA Secretariat Ben Bella Road		

				issues at national level; SADC/COMESA communication; Shopping lists of projects; Customs union systems; Cross border and competition issues; ITU indicators – broad/coarse				PO Box 30051 Lusaka Tel. +26011 228302/05
106		Transport Policy Specialist	Zemedkun Girma	COMESA 'Compendium of Infrastructure Projects'; TCSPIP; PFF (project financing facility); regional/continental perspectives	Lusaka	J. Clifton	26.02.08 27.02.08	COMESA Secretariat Ben Bella Road PO Box 30051 Lusaka Tel. +26011 228302/05
107	Road Development Agency	Principle Engineer	Daniel Mulanga	ROADSIP programming; Rural development issues – T&C	Lusaka	J. Clifton	27.02.08	RDA Fairley Road Lusaka
108	National Road Fund Agency	Director & CEO	Raphael Mabenga	COMESA 'shopping list' or TCSPIP ; SADC program. & prioritisation; COMESA communication issues; SBS; Experiences of EDF procedures (& WB &COMESA procedures); Regional support	Lusaka	J. Clifton	27.02.08	NRFA PO Box 50695 33 Fairley Road Lusaka
109	Ministry of Commerce, Trade and Industry	Permanent Secretary	Dorothy Tembo	EPA, EBA, Market reforms, trade liberalization, 10 <sup>th</sup> EDF	Lusaka	M.Davenport	26.03.08	Tel. +260 1 224115
110		Economist, Department of Foreign Trade	Mwila Mukosa Daka	Integrated Framework; InvestAfrica1 and Zambia Development Authority; capacity building project for private sector; 10 <sup>th</sup> EDF	Lusaka	M.Davenport	26.03.08	Tel. +260 1 228302/05
111		National Trade Expert, Department of Foreign Trade	Mabin Nsupila		Lusaka	M.Davenport	26.03.08	Tel. +260 1 228302/05
112		Trade and Investments Promotion Officer	Christopher S. Chileshe	EPA vs. EBA; market access; SADC CU; EU SPS measures; tax reform	Lusaka	M.Davenport	26.03.08	Tel. +260 1 228302/05
113		MoF-NAO	Director of the Economic and Technical Cooperation Dpt)	David Ndopu	RIP, 10 <sup>th</sup> EDF, EPA, consistency RIP/NIP	Lusaka	E.Caputo	09.04.08
114	EDF projects coordinator		Temwani Chihana					
115	dep. Director Planning		Shirley Zulu					
116	Principle economist		Edward Kapuekue					
117		Programme Officer	Brenda					

		Chanda						
<b>UGANDA</b>								
118	EC Delegation Uganda	1 <sup>st</sup> Counsellor, Head of Operations	Costas Tsiligiannis	NAO capacity; NIP regional contexts; UNRA. RAFU URF, GOU; 10th EDF support; EAC; Contribution	Kampala	J. Clifton	03.03.08	Delegation of EC in the Republic of Uganda Crested Towers 15 Floor Plot 17 Hannington Road PO Box 5244 Kampala Tel. (+256) 414 01000
119		Head of Section, Operations 2 – Economics, Trade & Regional Interventions	Tomas Vens	Agreement with EC; national and regional priorities, customs procedures; 10th EDF RSP; National roads	Kampala	J. Clifton	03.03.08	Delegation of EC in the Republic of Uganda Crested Towers 15 Floor Plot 17 Hannington Road PO Box 5244 Kampala Tel. (+256) 414 01000
120	African Development Bank	Investment Officer	Daniel Rutabinga	NIP/RIP; ADB regional focus; Uganda regional perspective; 11th ADF (2008-2011); ADB special envelope for multi-national support	Kampala	J. Clifton	03.03.08	African Development Bank Uganda Country Office 14 <sup>th</sup> Floor Crested Towers Building PO Box 28509 Kampala Tel. (+256) 414 01000
121	Cowi Uganda Limited	Managing Director	Marcus Wattam	EDF procedures; Framework agreements; EC projects; MWT – staffing and payment issues; UNRA, URF; Kampala Northern Bypass	Kampala	J. Clifton	04.03.08	COWI Uganda Ltd Crusader House 2 <sup>nd</sup> Floor Plot n° 3 Portal Avenue PO Box 10591 Kampala
122	Royal Danish Embassy	Programme Officer	Stephen Ajalu	Danida consultation in preparation of 10 <sup>th</sup> EDF CS & NIP; regional connectivity issues; Joint assistance strategy; National sector coordination; Institutional dysfunction; UNRA, URF; levels of donor support at regional level / national level	Kampala	J. Clifton	04.03.08	Royal Danish Embassy Plot N° 3 Lumumba Avenue PO Box 11243, Kampala
123	Road Agency Formation Unit	Programme Manager	George MacDonald	UNRA Recruitment; URF/UNRA; EC, Comesa, IGAD, IO priorities	Kampala	J. Clifton	04.03.08	RAFU Yusif Luli Road Kampala





## ANNEX4: OVERVIEW OF EVALUATION METHOD & PROCESS

### 1. EVALUATION SETTING

The ultimate responsibility for the management and supervision of this evaluation rested with the Evaluation Unit of the EuropeAid Co-operation Office. The role of evaluation manager – and chair of the RG - was assumed by Ms Susanne Wille supported by Ms Silvia Orru. At the end of the desk phase, Ms Christine Roehrer took over the responsibility as Evaluation manager, supported in this by Mr Chrysostomos Tsinas.

The evaluation team was led by Mr Enzo Caputo and included Ms Francesca Cook (CPRM expert), Mr John Clifton (T&C expert), Mr Michael Davenport (RI&T expert), Mr Ivo Morawski (NRM expert). The team was supported – especially in the collection and preliminary analysis of data linked to the inventory of EC actions - by Mr Andrea Antonelli and Ms Donatella di Vozzo. Camilla Valmarana was the evaluation contract manager.

The progress of the evaluation was closely followed by a reference group consisting of members of all concerned services in the External Relations family, and a number of representatives of the concerned EC Delegations. The reference group has approved the evaluation questions and its members provided advice and support through several meetings and consultation rounds.

**Table 4.1: Reference Group Members**

<b>Joint Evaluation Unit</b>	Wille Susanne later substituted by Roehrer Christine
	Orru Silvia later substituted by Tsinas Chrysostomos
<b>DG AIDCO</b>	Bosuener Henning
	Gonzalo Puebla Francisca
	Johansson Eva
	Leemans Tom
	Simeonova Elisaveta
	Soezen Yasmin
	Stadnik Ewa
<b>DG DEV</b>	Concina Daniela
	Lester Jeremy
	Merlo Nicoletta
	Olthof Willem
	Souque Maylis
	Von Pistohlkors Erik
	Zampetti Laura
<b>DG TRADE</b>	Figuerola Belen
<b>DG RELEX</b>	Alot Barbara
	Carpenter Douglas
	Degerfelt Kent
	Di Mauro Francesca
	Heeren Joris
	Ladwig Achim
	Mawhuva Joseph
	Montagud- O'Curry Jordi
	Nizeyimana Philippe
	Tsilogiannis Constantinos
Van Nes Rene	

## 2. OVERALL METHODOLOGICAL DESIGN

### 2.1 Evaluation Questions

The evaluation focused on eight questions, which have guided the evaluation team's work in the sense that they helped focus data collection and analysis on issues of major interest for the intended users. They also helped to clarify in advance the judgement criteria and indicators. The questions were drafted through a sequence of four steps:

1. Drafting of sectoral and overall effects diagrams (presented in appendix to this annex) based on the 'faithfully reconstructed objectives diagram' and on the explicit and implicit hierarchies of objectives included in the main policy and programming documents. The drafting of these diagrams has enabled the team to reconstruct the EC's intervention logic's priorities and objectives, and highlight the links between the different sectors and their combined contribution to the medium and long-term objectives of the EC Regional Strategies (see also Annex 5).
2. A first proposal of evaluation questions discussed with the Reference Group members during the inception phase;
3. The ensuing refinement of the evaluation questions, the elaboration of judgement criteria and the selection of indicators, on the basis of interviews with EC officers and of a preliminary desk review of documentation available.
4. Discussions with - and following approval - by the RG members.

The preliminary draft of the evaluation matrix presented during the inception phase was then reviewed during the desk phase. Overall, with the exception of minor changes, the matrix was confirmed, although a section on methods envisaged to extract the information required by the indicators was added. In its final format, the evaluation matrix (presented in annex 6) therefore specified for each question:

- ✓ The corresponding evaluation criterion and the link with the intervention logic: which tier of the intervention logic does it address?
- ✓ The coverage of the question: what is it meant to capture?
- ✓ The judgment criteria, i.e. the criteria which will permit to formulate answers to the questions.
- ✓ The indicators, i.e. the qualitative and quantitative factual information that will be collected in order to validate the judgment criteria.
- ✓ The sources of information.
- ✓ The methods envisaged to extract the information required by the indicators.

The completed judgement criteria forms – articulated per indicator - per each evaluation question are presented in Annex 7.

Overall the eight EQs:

- cover the main areas/issues to be analysed as per ToR, as shown by Table 4.2.
- take into account the five evaluation criteria endorsed by the OECD/DAC: relevance, efficiency, effectiveness, impact and sustainability as well as the two additional criteria of the 3Cs<sup>9</sup> and Community value added, as shown in Table 4.3.

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<sup>9</sup> The Evaluation Manual (ref. Section 6.4) only mentions coherence / complementarity and does not include coordination. The ToR refer to the 3Cs as does the European Consensus on Development, June 2006. This Evaluation thus maintains the 3Cs.

**Table 4.2: Relationship between the EQs and the main areas to be analyzed as per ToR**

	EQ 1	EQ 2	EQ 3	EQ 4	EQ 5	EQ 6	EQ 7	EQ 8
	EDF strategies	Instit. FWK	RSPs/ NIPs, MS & other donors	RI & Trade	T&C	NRM	CPRM	Econ. Growth & poverty
Relevance of strategy/programme	✓✓✓	✓✓✓						
Design of intervention strategy/programme	✓✓✓	✓✓✓	✓✓✓					
Consistency implementation /strategy	✓✓✓	✓✓✓		✓✓✓	✓✓✓	✓✓✓	✓✓✓	
Achievements & impact				✓✓✓	✓✓✓	✓✓✓	✓✓✓	✓✓✓
Efficiency		✓✓✓		✓✓✓	✓✓✓	✓✓✓	✓✓✓	
Sustainability				✓✓✓	✓✓✓	✓✓✓	✓✓✓	✓✓✓
Cross-cutting issues				✓✓	✓✓✓	✓✓✓	✓✓✓	
The 3Cs	✓✓✓		✓✓✓					
Community value added			✓✓✓					

**Table 4.3: Relationship between the Evaluation Criteria and the EQs**

	EQ 1	EQ 2	EQ 3	EQ 4	EQ 5	EQ 6	EQ 7	EQ 8
	EDF strategies	Instit. FWK	RSPs / NIPs, MS & other donors	RI & Trade	T&C	NRM	CPRM	Econ. Growth & poverty
Relevance	✓✓✓	✓✓✓						
Effectiveness				✓✓✓	✓✓✓	✓✓✓	✓✓✓	
Efficiency		✓✓✓		✓✓✓	✓✓✓	✓✓✓	✓✓✓	
Sustainability				✓✓✓	✓✓✓	✓✓✓	✓✓✓	✓✓✓
Impact								✓✓✓
Coherence	✓✓✓		✓✓✓					
Community value added			✓✓✓					

### 2.3 Main Sources of Information

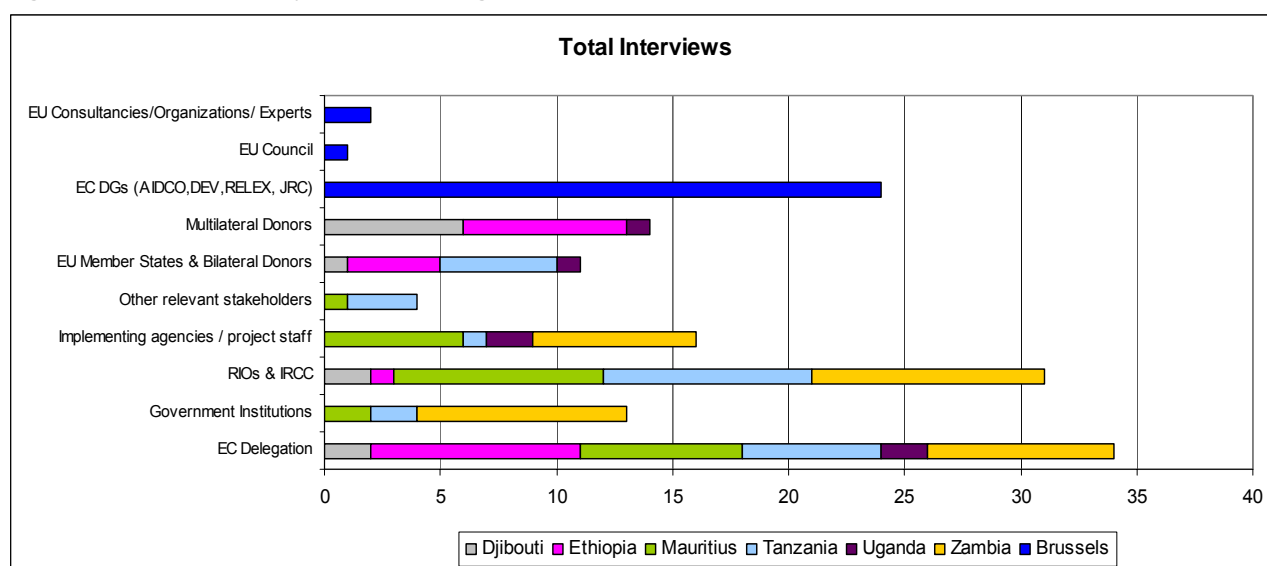
Answers to the questions build on four major sources of information as follows:

- ✓ **Documents.** Documentary review and analysis has started during the inception phase and was completed upon return from the field phase as some documents were only available at field level. Different types of documents have been analysed, including: legal documents; EC, RIOs, AU and other donors policy and strategy documents; project documents; previous evaluations (a structured list of consulted documents is provided in Annex 2).
- ✓ **Statistical and project / programme data.** This refers to the collection of three major sets of data: i) the “CRIS-data entry” user interface and the “CRIS-consultation” interface; ii) the ROM database; and iii) Statistical data, including different sources such as World Bank Statistical database, Comstat, OECD Economic Outlook, Information and Communication Technology Statistics released by the International telecommunications Union, UNDP, UNSTAT, and others.

- ✓ **150 interviews** with various categories of resource persons which took place both in Brussels and in the countries visited. Among them:
  - Commission's officials: i.e. task managers and the persons responsible from technical, geographical or transversal services in the various external relations directorates (24 interviews) and in the Delegations (34).
  - Officials of partner countries. Representatives of ESA-IO MS Ministries / Institutions (13).
  - Representatives of RIOs, and IRCC Secretariat (31).
  - EU MS and other donors, including multilateral agencies (25).
  - Implementing agencies/project staff, TAs, PMUs (16).
  - Others: e.g. academic and research institutions and civil society - in particular private sector representatives (7).

The figure below provides an overview of the distribution of interviews by category and country.

**Figure 4.1: Interviews by sector and organization**



Finally it should be noted that total number of people interviewed is lower, i.e. 126, this is due to the fact that some key stakeholders have either been interviewed by more than one expert on different occasions or that the same expert has interviewed the same person more than once (e.g. at the start and at the end of the desk phase / field mission) to cross-check and discuss findings. See annex 3 for the full list of people interviewed and scheduling of interviews.

- ✓ **Focus groups.** Unfortunately broad dispersion of stakeholders and organisational difficulties have limited the number of focus groups. Nevertheless, two focus groups have been held in Mauritius covering a broad range of stakeholders and both strategic and operational issues (a summary of focus group discussions is presented in Annex 8)

Information thus gathered was **cross-checked** by the team both at individual level and through team discussions. Cross-checking of information took place across interviews with different categories of stakeholders and across documents, between documents and findings arising from focus groups, and – with specific reference to the conflict prevention, resolution and management issues - through cross-fertilisation with the team in charge of the 'Evaluation of EC aid delivery through Civil Society organisations'.

### 3. SPECIFIC METHODOLOGICAL TOOLS

In addition to the main sources of information indicated above, the team has applied the following tools to collect and extract relevant information.

#### 3.1 Objectives Diagram and Effects Diagram

The first step undertaken by the team with a view to reconstructing the intervention logic of the EC's support in the ESA-IO region, has been to prepare the 'faithfully reconstructed objectives diagram'.

This was based on the analysis of:

- ✓ The Cotonou Agreement and the Lomé IV Convention;
- ✓ The 8<sup>th</sup> EDF RIP for East Africa (1996-2001)
- ✓ The 8<sup>th</sup> EDF RIP for the Indian Ocean (1997-2001);
- ✓ The 9<sup>th</sup> EDF RSP/RIP for the Region of Eastern and Southern Africa and the Indian Ocean (2002-2007).

On the basis of the 'faithfully reconstructed objectives diagram' and of the explicit and implicit hierarchies of objectives included in the main policy and programming documents, specific effects diagrams have been rebuilt for each focal sector. In order to facilitate the analysis and the understanding of the whole programme under evaluation, three sectoral effect diagrams have been drafted for each focal sector (one for the 8<sup>th</sup> EDF East Africa Region; one for the 8<sup>th</sup> EDF Indian Ocean Region; and one for the 9<sup>th</sup> EDF Eastern and Southern Africa and Indian Ocean Region).

Based on such analytical work, a synthesis exercise has been carried out. From the single sectoral / regional strategy diagrams, *one* synthetic effects diagram has been drafted, to highlight the overall Intervention Logic (IL) of the EC regional support, beyond the different emphases which are identifiable in the 8<sup>th</sup> and 9<sup>th</sup> EDFs for each specific sub-region.

The analysis has proceeded through the following steps:

- ✓ Systematic extracts of sentences reflecting the objectives of the European Commission;
- ✓ Translation of extracts and presentation in the form of sectoral effects diagrams;
- ✓ Review of activities implemented or to be implemented;
- ✓ Connection of activities and selected outputs, outcomes, impacts through cause-and-effect assumptions (arrows in the diagrams) and identification of logical gaps (empty boxes or boxes with broken lines) where causal links were missing;
- ✓ Merging of the sectoral diagrams in one synthetic effects diagram to highlight how the combined interventions in the focal and non-focal sectors together constitute the regional strategy, and how the selected sectors interrelate with one another;
- ✓ Identification of areas of special interest for the evaluation questions (big numbered arrows which are imposed on the diagram indicating the areas of investigation of each evaluation question).

The proposed effects diagram is composed of six columns included in - and interacting with - a general context, which is shown through a row encompassing all columns. This highlights that the context is not only significant for the design of the programme, but affects and is affected-by the whole sequence of effects across the diagram. The six columns considered are:

1. Broad EC inputs: multitude of EC strategies and programmes affecting regional development cooperation.
2. Inputs: EC regional support programmes as well as those national programmes which are directly aimed at strengthening regional integration. Such programmes are not unpacked and are considered in their integrity as inputs for the beneficiary institutions to help

(contribute) generate/ promote the sequence of results, which is shown in the rest of the diagram.

3. **Outputs:** services delivered by the beneficiary institutions (mainly RIOs and, in part, National Governments - NGs), in terms of institutional, policy, regulatory and management changes, including the facilitation of the implementation of some regional infrastructure.
4. **Outcomes:** actual changes occurred (with the contribution of the outputs mentioned above) in the economic environment, as well as in the environmental and governance frameworks at regional level, so as to facilitate regional business development and sustainable growth.
5. **Medium-term (M-T) impacts:** actual response of the regional economy (especially the export-led sectors and the related services and, more in general, the private entrepreneurs and foreign investors) to the changes in the environment considered above.
6. **Longer-term (L-T) impacts:** changes that have occurred in the overall regional economy and society, including environmental and social sustainability.

### **3.2 Inventory of Regional and National Projects / Programmes**

The ex post intervention logic has also been analysed through a quantitative lens on the basis of the amounts allocated, committed and disbursed under the regional strategies. Data retrieved has been analysed along two major axes: the first refers to the three RIPs that form the object of the evaluation, the second refers to the focal areas retained for the intervention. This analysis has then been complemented by the review of the EC development support in the ESA-IO region at country level focusing on the amounts allocated and disbursed under the NIPs (with a focus on the 9<sup>th</sup> EDF).

In order to increase the comprehensiveness of the analysis and present the most complete picture of all projects approved under the 8<sup>th</sup> and 9<sup>th</sup> EDF for the ESA-IO region, two different sources have been consulted and analysed: the “CRIS-Data entry” user interface and the CRIS consultation interface. The data presented in this report builds on the information contained in the two CRIS interfaces as of November 22, 2007.

It is worth mentioning that different information is contained in the different databases; and that different financial terminology is used under the two CRIS interfaces and in the RIPs. Great efforts have thus been deployed to reconcile the data and ensure consistency and completeness of analysis.

The full inventories of regional and national programmes is presented in Volume 3 together with a table synthesising the criteria used to select and allocate projects / programmes to the different sectors.

Where available this quantitative information has been complemented by more qualitative information extracted from the ROM (Results Oriented Monitoring) database (see next paragraph).

### **3.3 Light Analysis of Selected Projects / Programmes**

A series of projects / programmes has been selected for further analysis because they provide a major contribution to the implementation of the RSP/RIP or that they are particularly representative of the type of activities carried out within the selected focal areas.

Assessments have been articulated along a same structure for each project including: a) general information (project name & number, allocations and disbursements, starting date & duration foreseen, project objectives and activities, institutional framework for implementation); b) methodology (list of documents reviewed, list of people met, other sources of information); c) assessment of the project according to the standard evaluation criteria. It is however reminded that project visits and assessments are to be considered more as case studies than project evaluations, as fieldwork was not intended to provide an in-depth assessment of activities but rather an analysis of the project's relevance and contribution to the implementation of the EC's regional cooperation strategy. The project fiches are presented in Annex 9.

### 3.4 Lexical Analysis

The evaluation team undertook a number of lexical analysis primarily aimed at verifying the alignments (or misalignments) between the objectives and priorities of: i) the RSP/RIPs and other EU agreements and policies; ii) RSP/RIPs and NEPAD; iii) RSP/RIPs and RIOs; iv) the RSPs and the CSP/NIPs (these are presented in annex 7, in the sections related to EQ 1).

## 4. ACTIVITIES CARRIED OUT AND PROBLEMS ENCOUNTERED

As per the guidelines issued by the Joint Evaluation Unit, the evaluation was structured and carried out in three main phases: a desk phase including an inception phase, a field phase during which six countries were visited by the team (Djibouti, Ethiopia, Mauritius, Tanzania, Uganda, and Zambia), and a synthesis phase.

### 4.1 Time Schedule

In terms of scheduling, this evaluation has encountered a number of problems, especially in its initial phases. In fact, following the submission of the preliminary outputs, the Joint Evaluation Unit (in September 2007) has formally requested that another team, better capable of responding to evaluation standards and contractual obligations, take over the evaluation.

Despite the prompt reaction of the consortium and the presentation of a new team (October 2007), this has been the cause of significant delays leading to the complete revision of the envisaged work plan.

Following the appointment of the new team, the evaluation has been more or less on track registering an overall delay of approximately one month vis à vis the revised schedule. The actual scheduling is provided below whereas the initially envisaged schedule is presented in the ToR (see Annex 1).

**Table 4.4: Evaluation time schedule**

<i>Evaluation Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings</i>
RG Composition	Notes	December 2006	
ToR	Draft	January 2007	
	Final	February 2007	
<b>New team</b>			
Starting Stage	Launch Note	October 2007	
<b>Desk Phase</b>			
Structuring Stage	Working paper (logical diagram and EQ)	October 2007	
	Short presentation (logical diagram and EQ)	November 2007	RG Meeting (kick off meeting)
Inception	Draft Inception Note	November 2007	
	Final Inception Note	December 2007	
Desk Study	Draft Desk Report	January 2008	
	PPP of draft desk report	February 2008	RG Meeting
	Final Desk Report	March 2008	
<b>Field Phase</b>			
	Field visits	March-April 2008	
	Presentation	April 2008	RG Meeting
<b>Final Report-Writing Phase</b>			
	<i>Informal note</i>	May 2008	
	Draft Final Report	May 2008	
	PPP of draft final report	June 2008	RG Meeting
	Final Report	July 2008	

\* The seminar has been deleted from the current schedule as it appears unlikely that it will take place.

In addition to the standard outputs indicated above, the evaluation team has also submitted an **informal note** to the attention of the RG members containing some preliminary findings and observations. The note has been compiled upon request of the Joint Evaluation Unit and the RG members so that findings from the evaluation could be fed into the discussions to be held at the IRCC meeting (18<sup>th</sup> – 19<sup>th</sup> of May, 2008) in view of the finalisation of the 10<sup>th</sup> EDF RSP/RIP.

In fact, irrespective of the delay in the scheduling of the evaluation which could have severely limited its contribution to the improved formulation of the regional strategy under the 10<sup>th</sup> EDF, the equally important delay in the finalisation of the 10<sup>th</sup> EDF RSP/RIP mainly due to the EPA process(es), has provided the means to feed the findings of this evaluation in the formulation process.

A last point worth mentioning is related to the scheduling of the field visits. Engagements of both the team members and key informants at field level have led to different scheduling of field visits for different team members. Although this has led to an extended duration of the field missions period and has added to the burden of the EC Delegations' staff (for which the team is sorry), it has also offered the possibility to further cross-check findings and verify hypothesis through the continuous feedback among team members (also through overlaps of missions in the countries) and the follow-up of issues of particular interest.

## 4.2 Countries Visited and Selection Criteria

The selection of countries for the field visits was based on the following general criteria:

- Correspondence between the location of major programmes, the location of the RIOs structures and that of the EC Delegation with primary responsibility for follow-up on the implementation of the EC regional strategies.
- Importance and status of implementation of EC funded programmes / projects;
- Continuity of EC support and overall allocation of funds;
- Availability of information on the programmes / projects;
- Relative importance of the sector within the different RIOs strategies and mandates;
- Sample of countries that although not representative (the region under the 9<sup>th</sup> EDF covers 20 countries) enables to cover a minimum of 5 countries as per ToR.

and sector specific criteria:

- Regional integration and trade: importance of the role played by COMESA and EAC in setting the regional integration and trade agenda.
- Transport and communications: i) land-locked or transit country; ii) T&C sector institutions undergoing or recently undergone process of change; iii) no 'skewing' characteristics (such as conflict or political imbalance eg DRC, Somalia, Zimbabwe); iv) major investments in national network with potential impact on regional connectivity; v) previous evaluator knowledge/experience of T&C sector in that country<sup>10</sup>.
- Natural Resources Management: i) focus of the NRM priority areas addressed in the 8<sup>th</sup> and 9<sup>th</sup> EDF strategies; ii) similarity with programmes implemented and/or ongoing in other regions in Africa and world-wide, thus allowing comparison and transfer of lessons learnt.
- Conflict Prevention, Resolution and Management: i) importance of the role played by IGAD in the CPRM field, ii) presence of organisations, donors and NGOs addressing CPRM issues including regionally.

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<sup>10</sup> For example Ethiopia – the country that presents the highest allocation of the 9<sup>th</sup> EDF NIP to the transport sector (ie. 211 million €) is not proposed as the team member has participated to the evaluation of the EC's Country Strategy for Ethiopia in 2003.



Overall six countries were visited, with each team member visiting at least two countries (three in the case of the team leader). The following table summarises the reasons for selection and indicates how the visits were distributed among team members<sup>11</sup>.

**Table 4.5 : Countries visited by the team**

		Team leader	RI&T expert	T&C expert	NRM expert	CPRM expert
Djibouti	- IGAD secretariat (strong CPRM focus)					✓
Ethiopia	- African Union - EC Del (relations with IGAD, AU and UNECA) - Significant funding under the EIDHR budget line	✓				✓
Mauritius	- IOC Secretariat; - IOC programme management units (RECOMAP, Fisheries tuna tagging and monitoring-surveillance programmes) - EC Delegation (relations with IOC)				✓	
Tanzania	- EAC Secretariat; - EC Delegation (relations with EAC) - Lake Victoria Fisheries Organisation	✓	✓		✓	
Uganda	- Major investments in national network with potential impact on regional connectivity			✓		
Zambia	- IRCC & COMESA secretariat - IRCC support project - EC Delegation (coordination of EC regional cooperation in the region; relations with COMESA) - RISP / COMESA contribution agreement - RISM, previously TIBS (RAO – COMESA) - Trade statistics related support programmes - ICT Support Programme (RAO - COMESA) - TCSPIP (rider to the RISP) / COMESA contribution agreement	✓	✓	✓		

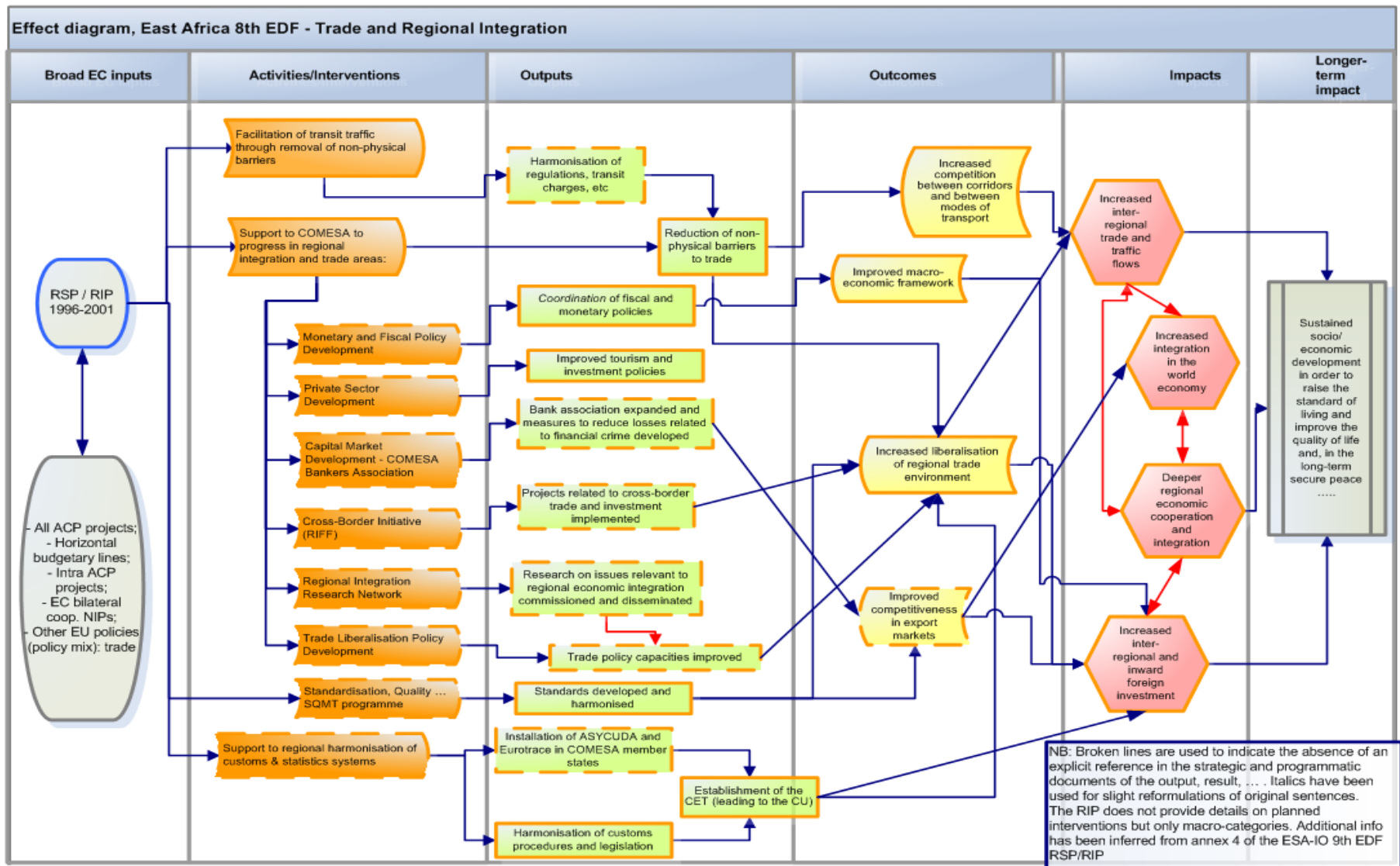
## 5. METHODOLOGICAL LIMITATIONS

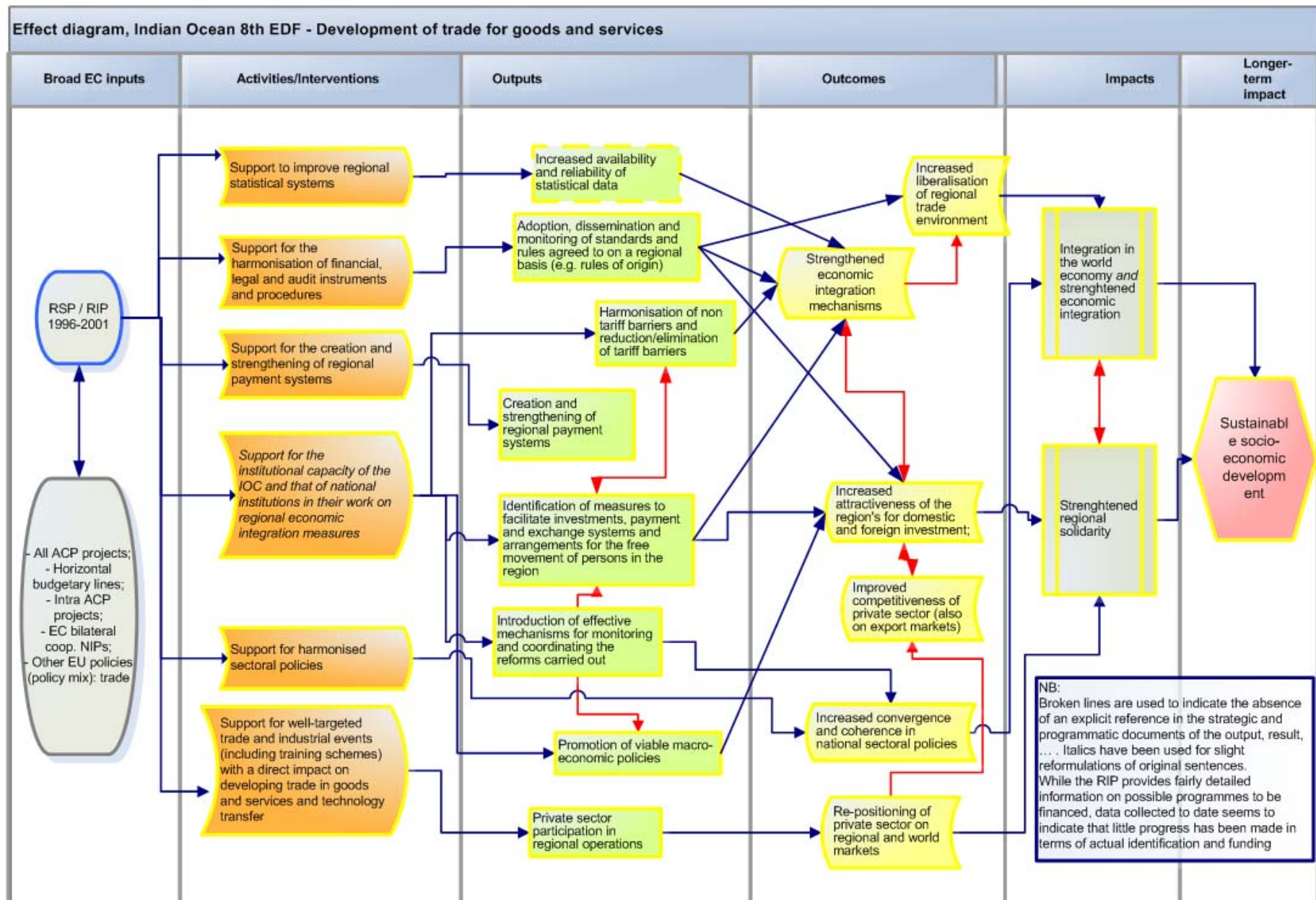
Conclusions derive from findings and involve valued judgements based on the previously agreed judgement criteria. Conclusions are generally robust, although in some cases they suffer from some methodological limitations. More specifically, conclusions related to the overall strategic architecture and those related to the EC's contribution to institutional changes or policy reforms are robust, whereas those related to the EC's contribution to overall socio-economic changes is weaker. This is due to two main factors: i) the very nature of the EC's regional intervention; ii) limited availability or reliability of relevant quantitative data. These limitations are indicated in the main text where appropriate.

In particular, it is worth mentioning that the answer to the evaluation question n.8 suffers from some limitations, above all limited availability of quantitative data and lack of specific studies that have prevented the team from assessing – within the limits of the study - the relative importance of the different competitiveness factors in determining trade growth or the direct determinants and cause-effects chains of growth in some sectors (for example, in fish catches and fish trade). The same limitations regard the assessment of the specific impact of growth on the livelihoods of the concerned communities. Despite this caution, certain evidence supported by theory has enabled the team to reach a number of conclusions.

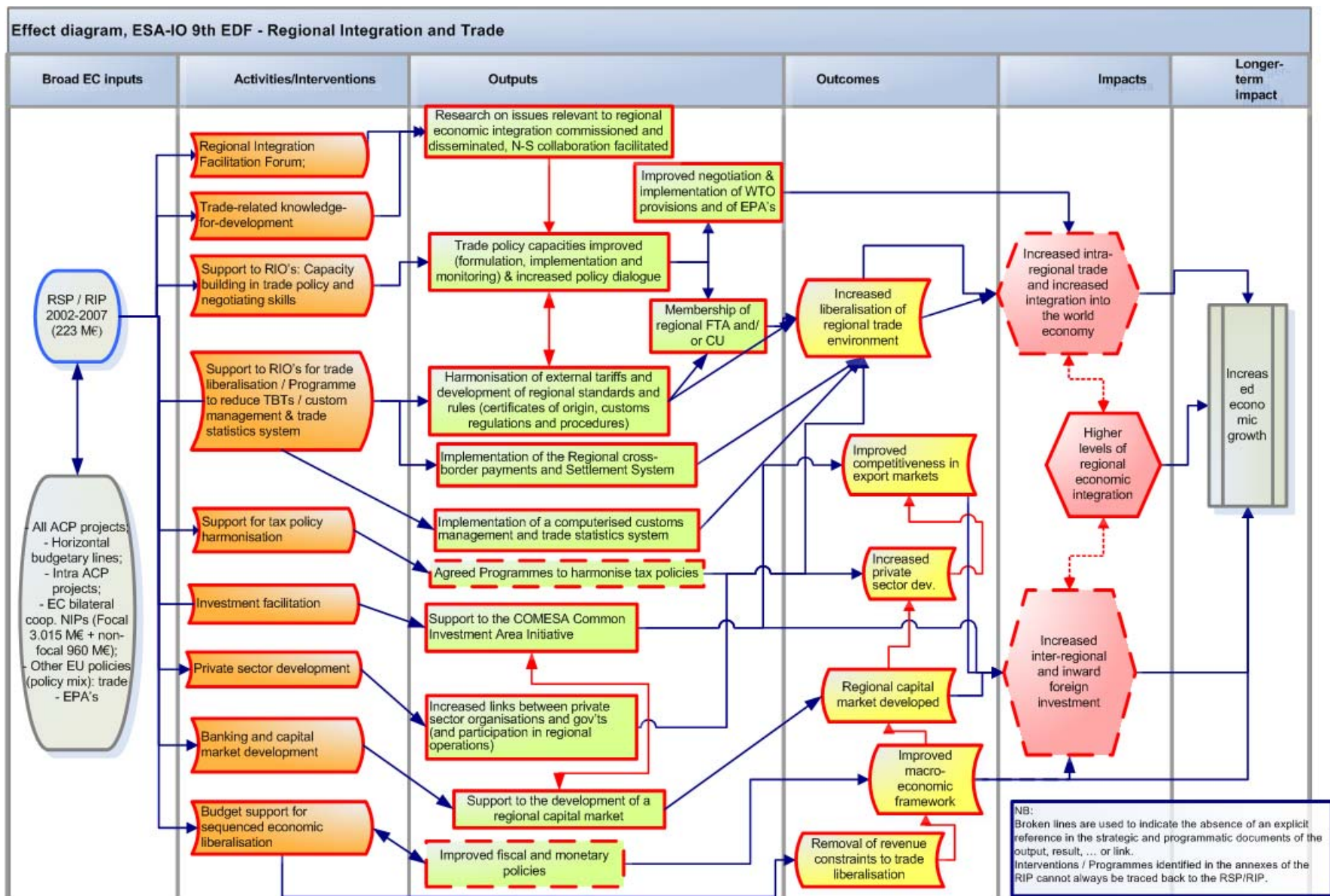
<sup>11</sup> The original proposal included Kenya among the selected countries. Due to the political crisis that followed the disputed electoral results, the proposal was revised and the field visit to Kenya by the CPRM expert was cancelled.

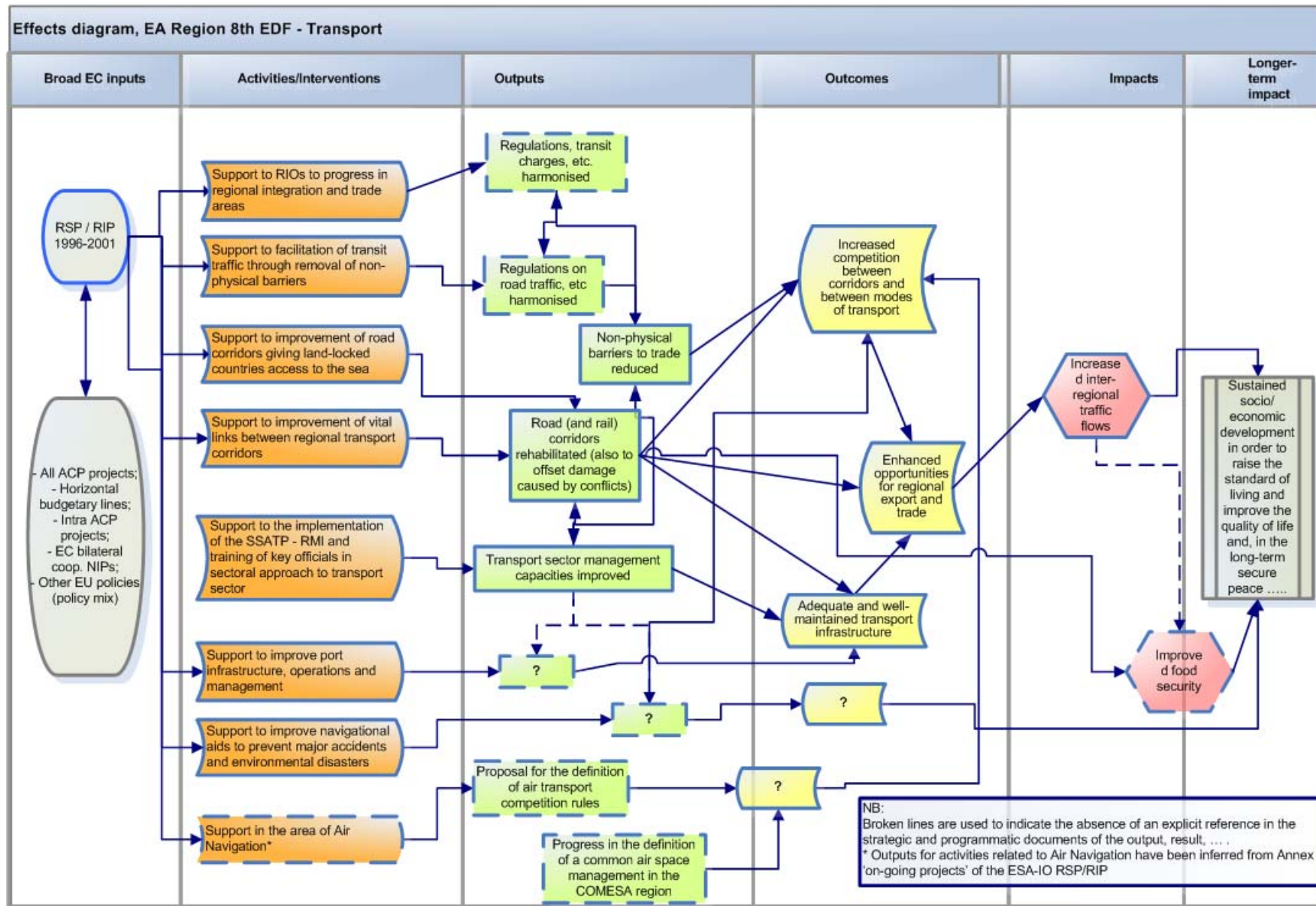
## APPENDIX 1: Sectoral Effects Diagrams



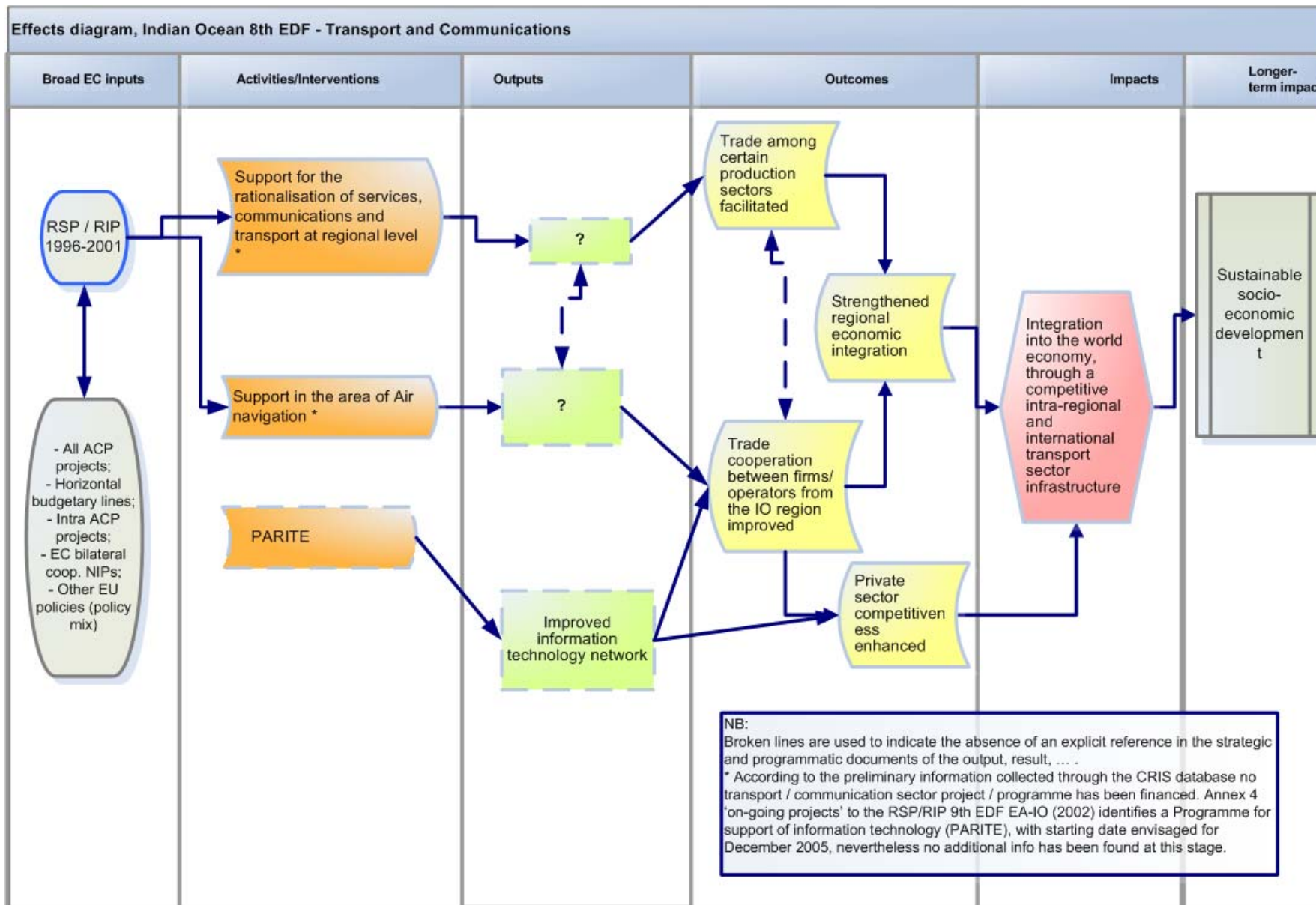


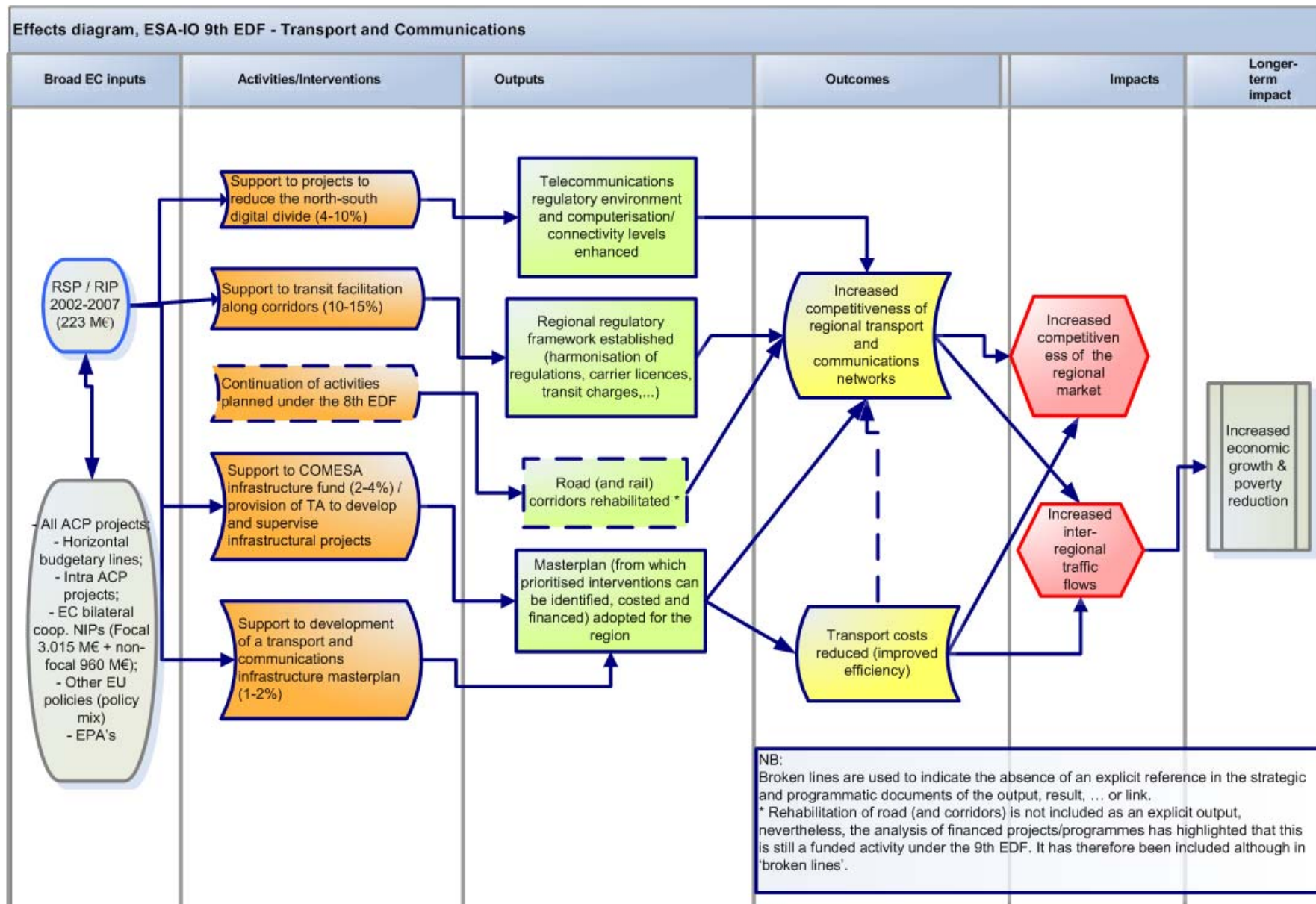




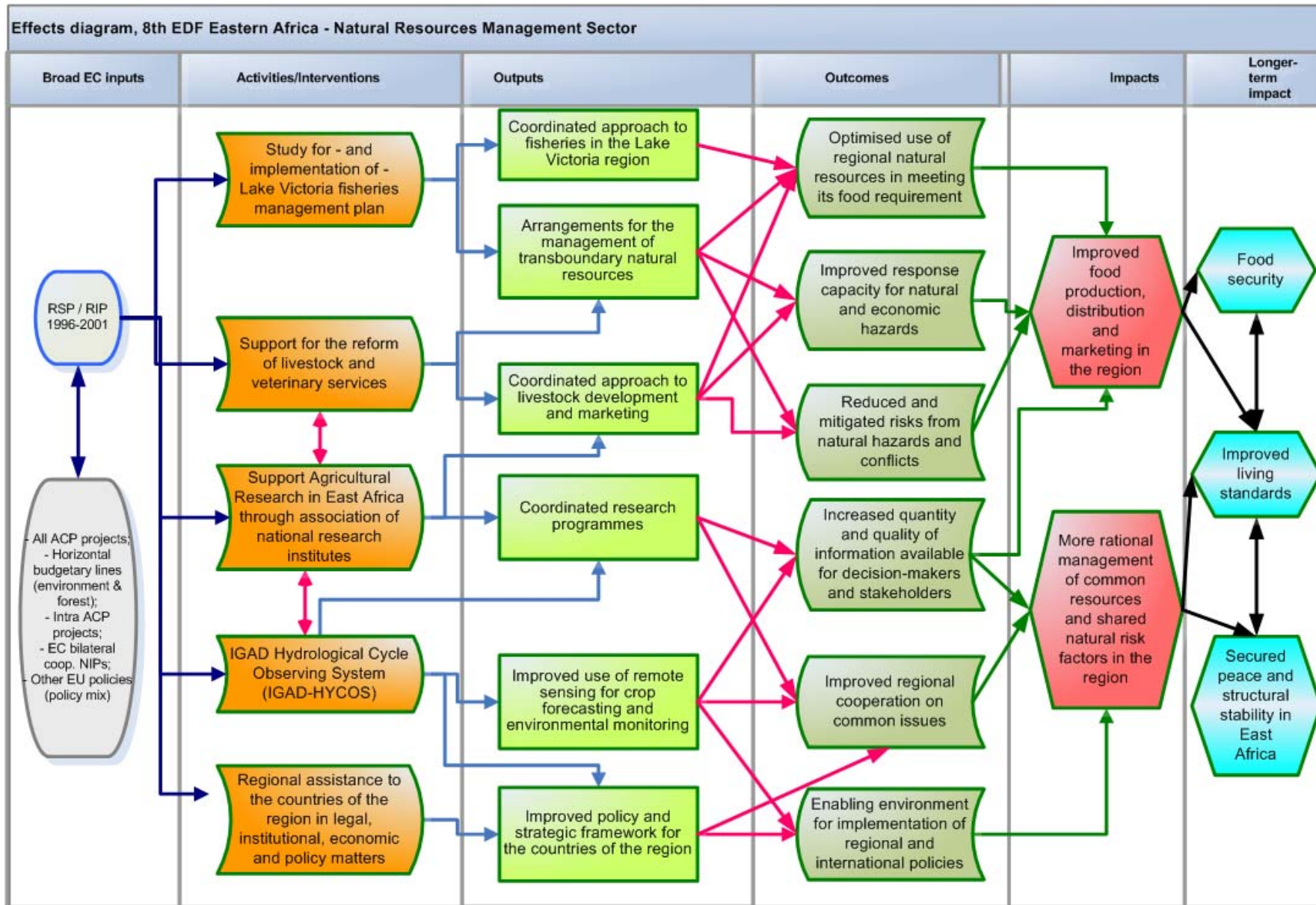




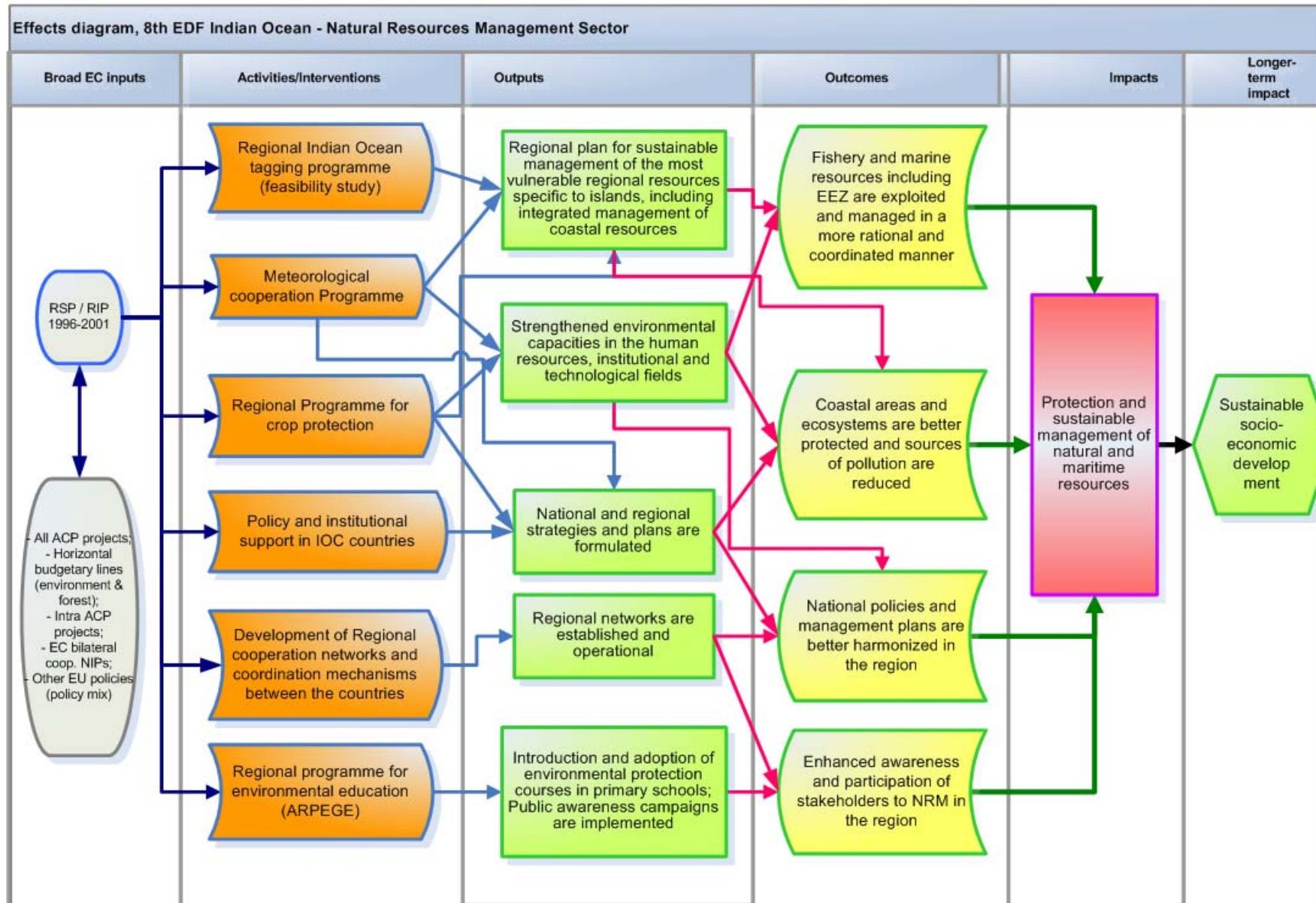


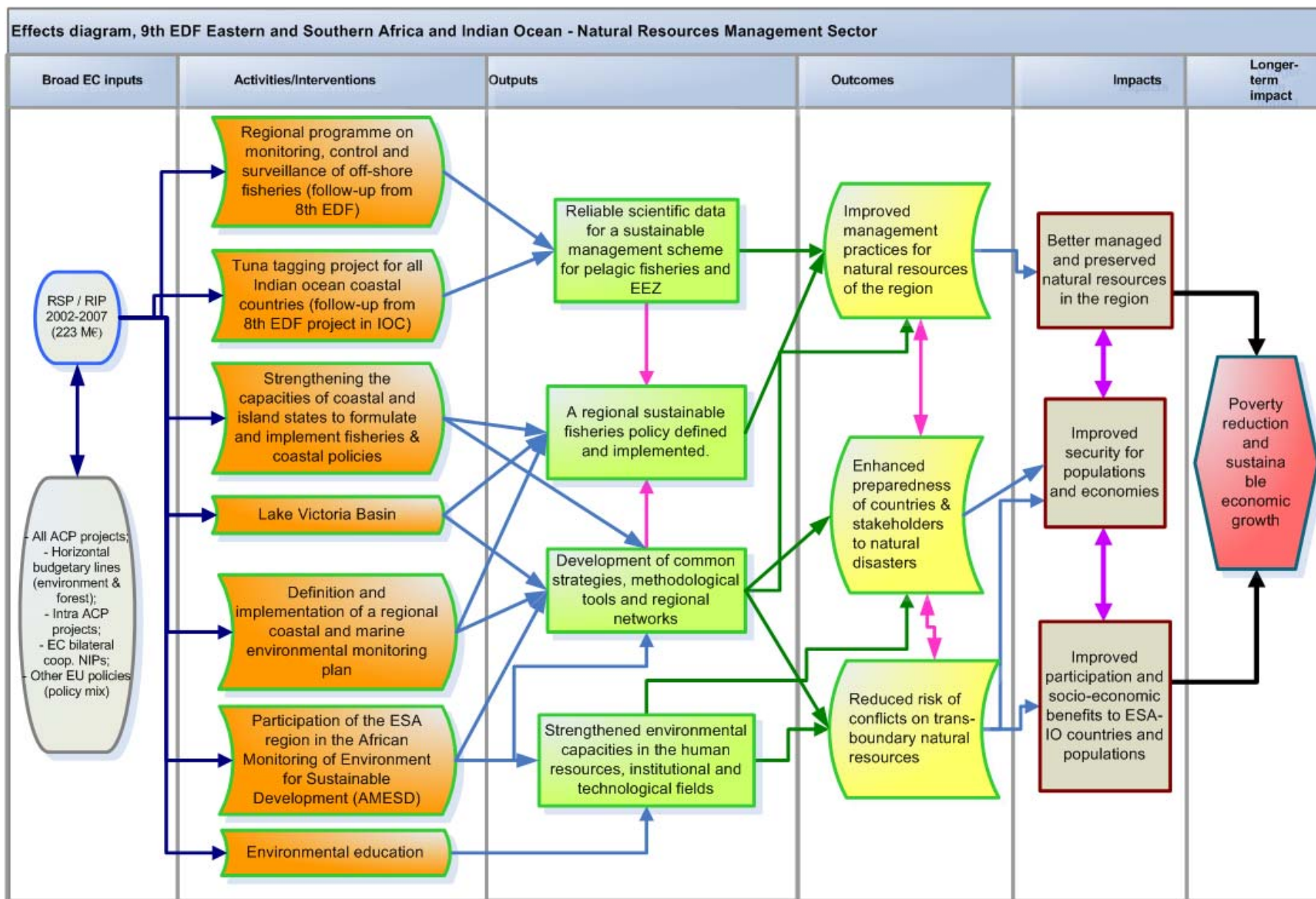




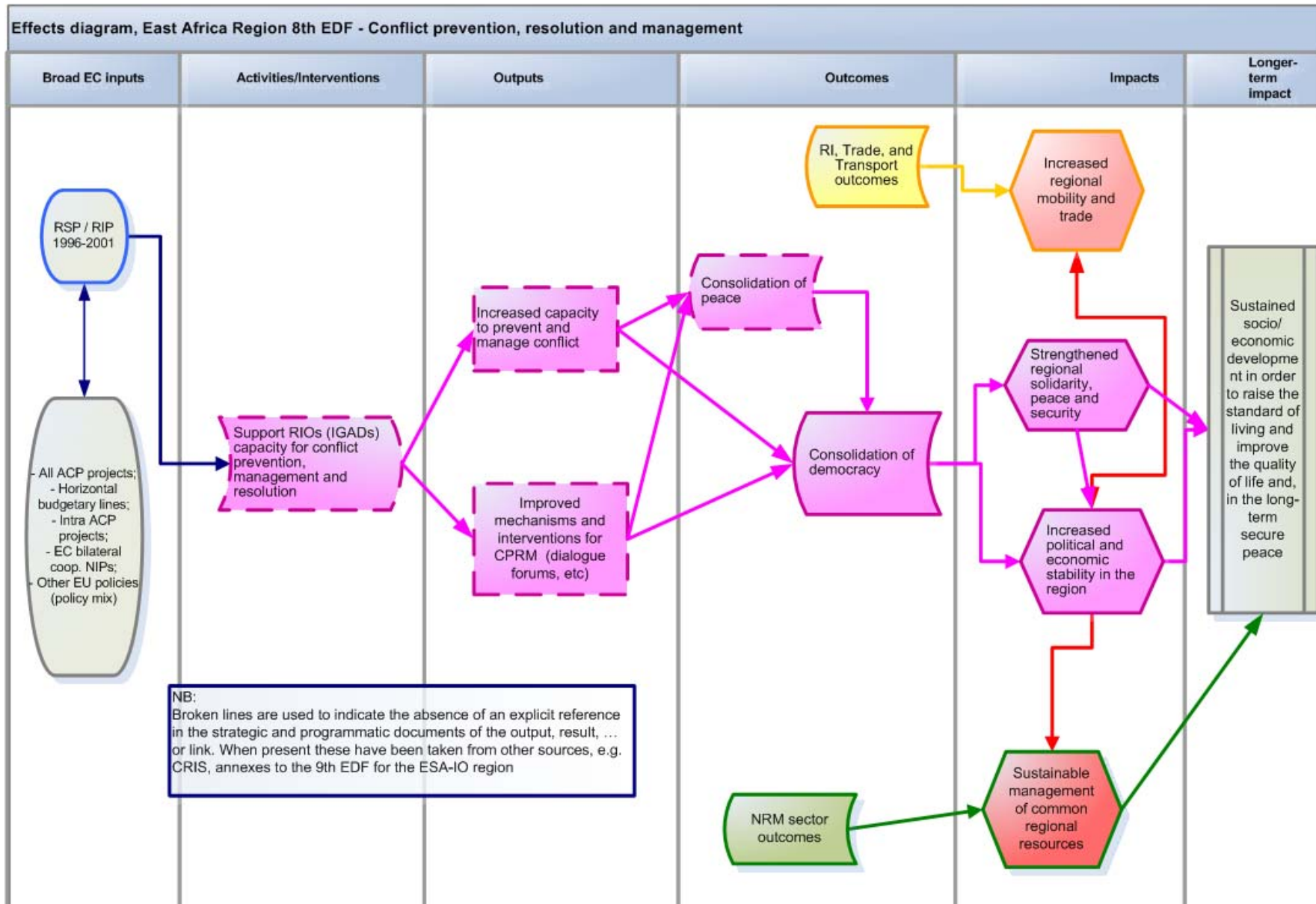


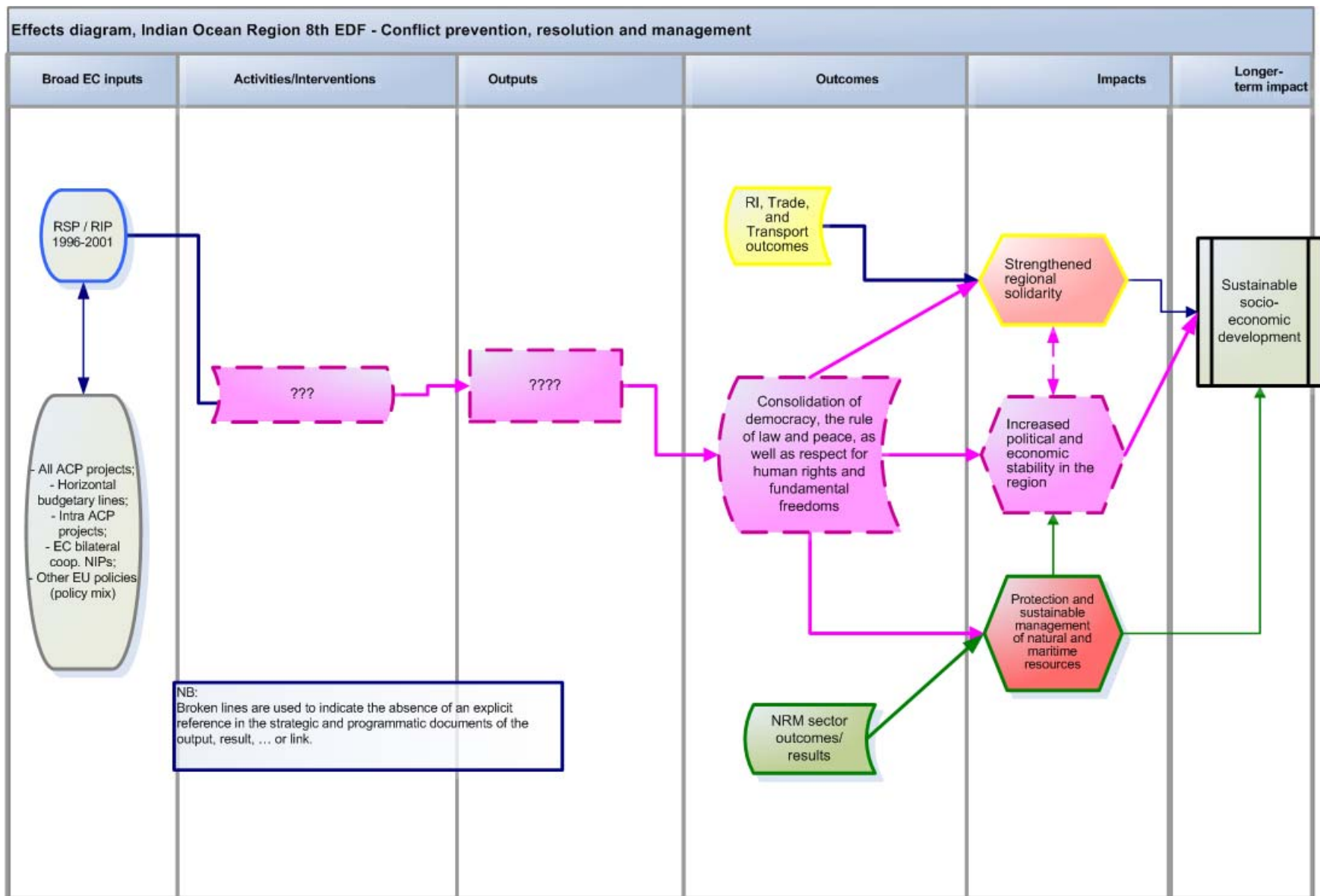


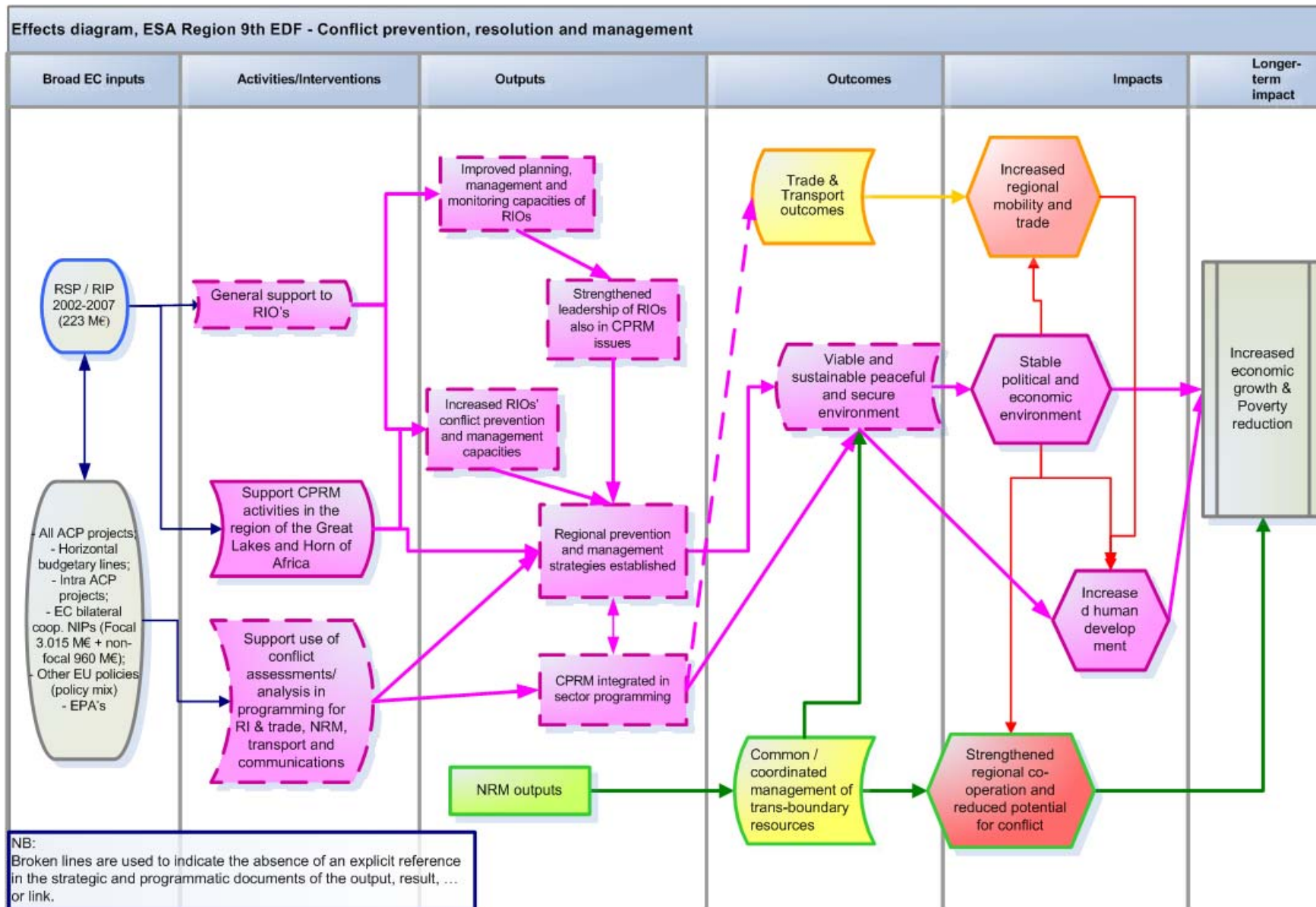




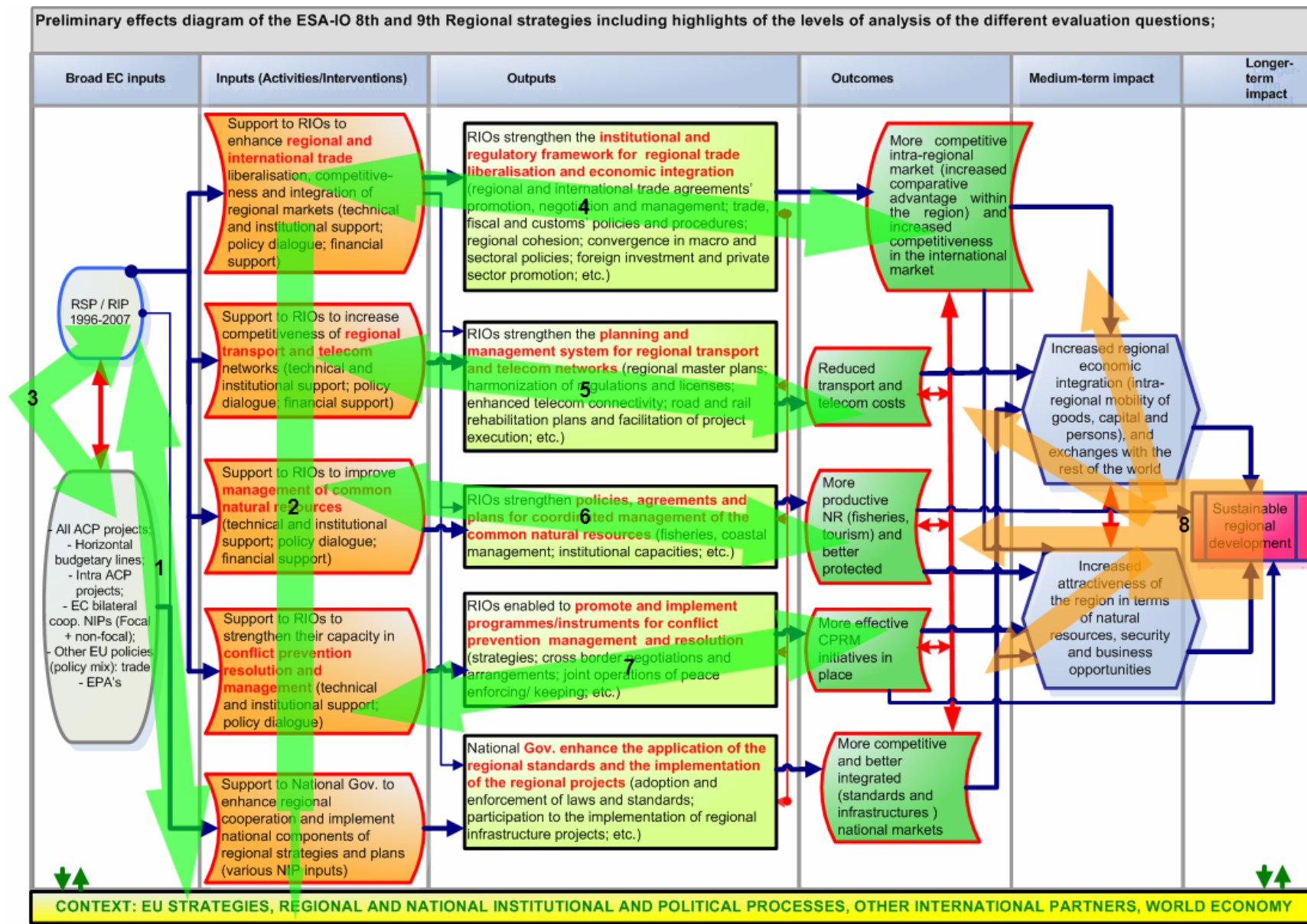












## ANNEX5: ESA IO REGIONAL CONTEXT & EC STRATEGY BY SECTOR

### 1. The ESA-IO Socio-Economic Context

The ESA-IO region is an extremely heterogeneous and diverse area in many aspects. The twenty-one countries grouped under the ESA-IO banner vary significantly as regards size, population<sup>12</sup>, access to seaports, political and security frameworks and systems of accountability in governance. These countries have in common relatively low levels of economic development, vulnerability to external shocks, and often-high levels of poverty.

With fifteen of the twenty-one ESA-IO countries classified as Least Developed Countries (LDCs)<sup>13</sup>, the region needs strong economic growth to ensure a significant reduction of the high poverty levels and reach the MDGs.

Although the average per capita GDP in the ESA-IO region has been on the rise in the last few years reaching the value of USD 600 in 2005, it remains well below the Sub-Saharan Africa average of USD 720 (see Table 5.1 below for an overview of main social and economic indicators for the overall region and table 5.2 for selected economic and social statistics for the region).

**Table 5. 1: Selected Economic and Social Indicators (USD and %)**

Indicators	Average			Maximum		Minimum	
	ESA-IO	IOC	IGAD	Country	Amount	Country	Amount
Population growth % p.a. 2005-10	2.23	1.82	2.81	Uganda	3.4	Swaziland	0.3
GDP per capita, USD PPP, 2006	3,223	7,233	1,649	Mauritius	14,519	Tanzania	594.0
GDP growth 1998-2006	3.32	2.62	3.9	Angola	9.0	Zimbabwe	-4.8
Overall fiscal balance % GDP 2005	-2.98	-2.1	-4.45	Angola	7.9	Eritrea	-19.7
Overall fiscal balance % GDP 2008 (p)	-3.86	-3.5	-4.61	Angola	3.8	Eritrea	-13.8
Inflation rate 2006 excl. Zimbabwe	8.5	5.9	8.75	Congo DR	22.0	Seychelles	-0.4
Inflation rate 2008 (p) excl. Zimbabwe	5.63	4.7	5.3	Eritrea	10.0	Seychelles	2.2
Current account balance % GDP 2006	-4.65	-8.0	-5.16	Angola	14	Malawi	-19
Current account balance % GDP 2008	-6.4	-8.0	-9.0	Namibia	9	Djibouti	-25
Foreign direct investment 2005 USD million	262	39	407	Sudan	2,305	Burundi	-2
ODA net total 2005 \$m	675	251	914	Ethiopia	1,937	Seychelles	19
Foreign debt % GDP 2006	54.95	45.15	50.91	Malawi	181.4	Zambia	4.2
Foreign debt % GDP 2008	48.14	40.6	52.35	Malawi	165.5	Zambia	5.7
Water supply coverage % 2004	62.61	76.25	57	Mauritius	100.0	Congo DR	22.0
Life expectancy yrs. 2006	49.74	66.35	51.9	Mauritius	72.8	Swaziland	30.5
HIV adult prevalence % 2005	7.68	0.4	3.46	Swaziland	33.4	Comoros	<0.1
Adult (>15) illiteracy, % latest figure	22.92	24.02	36.61	Ethiopia	53.7	Zimbabwe	7.6
Gross primary school enrolment % 2004-05	95.6	79.66	87.3	Madagascar	134.0	Djibouti	39.0

Source: based on data from OECD, *African Economic Outlook, 2007, Paris*

<sup>12</sup> Two-thirds of the total population is concentrated in five countries: Ethiopia - 79 million; Congo DR - 59 million; Tanzania - 39 million; Kenya - 35 million; and Uganda - 30 million. See Annex 2, Table 2.1 for details.

<sup>13</sup> LDCs: Angola, Burundi, Djibouti, DR Congo, Comoros, Eritrea, Ethiopia, Madagascar, Malawi, Rwanda, Somalia, Sudan, Tanzania, Uganda and Zambia. Zimbabwe could also be classified as a LDC by the UN in the near future. Angola, though no longer a member of COMESA nor of the ESA-IO configuration foreseen under the 10<sup>th</sup> EDF, has been included as it was part of the ESA-IO configuration under the 9<sup>th</sup> EDF.

Table 5.2: ESA-IO Region, population, land area, GDP and average GDP growth rates							
	Population	Land area	GDP PPP	Real GDP growth at PPP			
	000s	000s sq. km.	\$ m 2006	1998-2006	2004	2005	2006(e)
Angola	16,400	1,247	56,378	5.7	11.2	20.6	14.9
Burundi	7,834	28	5,935	1.3	4.8	0.9	6.1
Comoros	819	2	1,195	2.4	-0.2	4.2	1.2
Congo DR	59,320	342	25,714	-1.0	6.6	6.5	6.5
Djibouti	807	23	1,739	1.9	3.0	3.2	4.2
Eritrea	4,560	118	4,075	0.4	2.0	4.8	1.5
Ethiopia	79,289	1,104	62,952	2.3	12.3	8.7	5.9
Kenya	35,106	593	64,428	2.3	4.9	5.8	5.0
Madagascar	19,105	587	17,570	2.8	5.3	4.6	4.8
Malawi	13,166	118	8,592	1.1	5.1	2.2	8.4
Mauritius	1,256	2	18,234	4.5	5.7	1.2	3.9
Namibia	2,052	824	17,377	3.9	6.6	4.2	4.8
Rwanda	9,230	26	15,430	6.6	4.0	6.0	4.3
Seychelles	81	0	979	0.3	-2.0	1.2	4.5
Somalia	8,496	638	..	..	..	..	..
Sudan	36,992	2,506	98,227	5.6	5.2	7.9	12.1
Swaziland	1,029	17	5,935	2.6	2.1	1.9	1.8
Tanzania	39,025	945	23,176	5.2	6.7	6.8	5.7
Uganda	29,857	241	46,633	5.4	5.7	6.7	5.4
Zambia	11,861	753	13,842	2.8	5.4	5.1	5.9
Zimbabwe	13,085	391	29,724	-4.6	-3.8	-6.5	-5.1
EESA-IO region	364,317	9,228	454,627	3.4	6.3	7.2	7.0
ESA-IO region less Zimbabwe	351,232	8,837	424,903	3.9	6.9	8.0	7.8

Note: average growth rates exclude Somalia for which data are not available  
 e: estimated  
 Source: OECD African Economic Outlook 2007

Yet, since 2004 the ESA-IO region has experienced a sharp acceleration in terms of economic growth due on the one hand to improved macro-economic management and political stability and on the other to the positive effects of the increase in the price of crude oil and increased demand for minerals. Such positive performance is attested by the remarkable rise in terms of regional GDP growth rate, which moved from an average of 3.9% in the period 1998/2003 to 4.8% in 2005. This positive trend is further supported by estimates for 2006 and 2007 according to which real GDP growth rate is expected to reach higher values, respectively 5.09% and 5.75 %, which become 5.63% and 6.31% if Zimbabwe - where growth has been negative since 1999- is excluded.

The reasons for this strong performance include the continued steady expansion among the OECD countries, as well as Russia, India and China, which has boosted exports from the region as well as the prices of oil, minerals and metals<sup>14</sup>, the implementation of economic reforms in a number of countries in the region and generally good agricultural growing conditions. World trade increased by 7.3% in 2005 after some 9% the previous year. The major oil-exporting countries in the region – Angola and Sudan – have grown very rapidly on the back of oil prices of over USD65 per barrel in 2006 after an average of about USD35 in 2004 and USD54 in 2005.

<sup>14</sup> The world price for copper rose 83% in 2006 after 28% in 2005 much to Zambia's gain.



<b>Table 5.3: ESA-IO Region, FDI inflows, ODA inflows and external debt, 2004 –2006</b>				
	FDI net inflows, \$m	ODA net total, \$m	External debt as per cent GDP	
			2005	2006
	2004	2005	2005	2006
Angola	1449	-24	37.6	31.6
Burundi	-2	-1	178.4	152.7
Comoros	0	1	72.0	71.1
Congo DR	15	1344	155.7	62.4
Djibouti	39	23	61.9	59.0
Eritrea	-8	11	58.9	55.1
Ethiopia	545	203	58.9	55.1
Kenya	46	21	26.9	17.9
Madagascar	53	48	72.8	32.0
Malawi	-1	3	546.6	181.4
Mauritius	14	24	14.3	13.4
Namibia	226	349	21.7	21.9
Rwanda	8	8	70.4	12.7
Seychelles	37	82	67.3	64.1
Somalia	21	24	..	..
Sudan	1511	2305	100.6	76.7
Swaziland	60	-14	22.9	22.4
Tanzania	470	473	50.5	61.5
Uganda	222	258	46.2	41.7
Zambia	239	259	56.8	4.2
Zimbabwe	9	103	110.6	62.0
EESA-IO region	4,953	5,500	73.8	48.8
ESA-IO region less Zimbabwe	4,944	5,397	71.6	48.0
Note: average external debt data exclude Somalia for which data are not available				
<i>Source: OECD African Economic Outlook 2007</i>				

Inflows of foreign direct investment attracted by oil and mineral deposits, while erratic and small in global terms, have risen sharply in a number of countries, particularly Angola (though there they turned negative in 2005), Namibia, Ethiopia and Sudan. The process of debt forgiveness has also served to reduce the fiscal strain and allow for more expansionary policies, notably in the Congo DR, Malawi and the Sudan.

The inflation rate in most of the countries of the region has suffered recently from rising oil and commodity prices in general (see table 5.1). In the region as a whole – excluding Zimbabwe with its recent hyperinflation experience – inflation has exceeded 8% in 2006. The oil exporters – Angola and the Sudan - have shown a sharp improvement in their current accounts, while certain other countries,- notably Burundi and Madagascar - have witnessed some significant deterioration. Some countries – in particular Mauritius – have been hurt by the final elimination of the Multi-Fibre Agreement at the end of 2005 and the effects of the explosion of textiles and clothing exports from China and Vietnam. Fiscal deficits have shown a mixed picture, rising sharply in Kenya, Ethiopia and Tanzania but falling in Malawi and Zimbabwe and turning to a surplus in Namibia and the Sudan.

**Table 5.4: ESA-IO Region public finance balances, inflation rates and current account balances, 2005-06**

	Public finance balance as % GDP		Current account balance as % of GDP	
	2005	2006	2005	2006
Angola	7.9	10.1	13	14
Burundi	-6.3	5.0	-11	-17
Comoros	0.1	3.8	-5	-5
Congo DR	-2.7	22.0	-5	-5
Djibouti	0.2	3.0	-4	-4
Eritrea	-19.7	10.9	-1	-2
Ethiopia	-4.7	10.5	-9	-12
Kenya	0.1	14.5	-3	-3
Madagascar	-4.7	11.4	-10	-17
Malawi	-5.6	13.4	-16	-19
Mauritius	-5.0	8.9	-5	-7
Namibia	-1.1	5.0	6	10
Rwanda	0.7	9.3	-4	-4
Seychelles	1.1	-0.4	-14	-3
Somalia	..	..	..	..
Sudan	-1.8	7.0	-11	-6
Swaziland	-4.1	5.0	-1	-2
Tanzania	-4.6	7.1	-8	-5
Uganda	-0.7	6.6	-2	-4
Zambia	-2.6	8.4	-10	-3
Zimbabwe	-6.1	1216.0	-11	-1
ESA-IO region	-1.6	65.6	-5	-4
ESA-IO region less Zimbabwe	-1.3	8.1	-4	-4

Note: average balances and rates exclude Somalia for which data are not available  
 Source: OECD African Economic Outlook 2007

Despite the generally improved growth performance, which is approaching the 7% MDG target growth rate required for a significant reduction of poverty levels, there remain considerable differences in living standards between countries as well as a certain degree of volatility in the last three years. The fact that Mauritius has a life expectancy at birth more than twice that of Swaziland, that the literacy rate of 15-24 year-olds in Ethiopia is estimated at 31.2% versus the 99.1% estimated for Seychelles or 97.7% for Zimbabwe, and that the prevalence of HIV in the age range 15-49 in Swaziland is recorded at more than 33% versus an average for the IO region below 1%, demonstrates the disparities in basic living standards. This, in turn, shows how much needs to be done before even the most modest of the Millennium Development goals can be met.

Considerable differences and high levels of asymmetry also characterise the ESA-IO region from a peace and security perspective, with marked differences between the ESA region and the IO region. Politically speaking the ESA region is fragile. Some of the bloodiest wars of the 20<sup>th</sup> Century have taken place in the region, and almost all ESA countries have recently experienced, or are currently experiencing, violent conflict on varying scales somewhere within their borders. Seven ESA countries are currently involved in complex emergencies (8 with Kenya); four have UN peacekeeping and/or African Union troops<sup>15</sup>. Though many of the ESA countries are now

<sup>15</sup> Complex Emergencies: Central African Republic, Congo, Eritrea-Ethiopia, Somalia, Sudan, Uganda, Zimbabwe. UN PKO or AU: Sudan, Somalia, Ethiopia-Eritrea, DRC.

nominally multi-party democracies, these are mostly founded on weak governance structures, and unsteady relations between the State and civil society, with security issues often prominently unsteady. Politically speaking the countries within the IO region are relatively structurally stable, with perhaps the exception of Comoros Islands. Governance programming is therefore the focus in the IO sub-region, rather than CPRM.

## 2. Regional Integration and Trade Sector

While progress among the ESA countries with regards to trade liberalisation and integration has been significant, a distinction has to be made between COMESA and EAC. Between 1984 and 2000, COMESA operated under preferential trade arrangements and undertook a number of investment promotion and facilitation programmes. Following the trade liberalisation programme that had begun in 1984, in October 2000, nine of the COMESA member States, Djibouti, Egypt, Kenya, Madagascar, Malawi, Mauritius, Sudan, Zambia and Zimbabwe eliminated their tariffs and quota restrictions on products originating within the group. Burundi and Rwanda joined the FTA in January 2004, and the Comoros (and Libya) joined in 2006. Swaziland undertook to seek the concurrence of SACU to join the FTA in April 2004 but is now only a member of the COMESA FTA in nominal terms. There are expectations that a number of other COMESA Member States – including, for example, the DRC, Ethiopia, the Seychelles and Uganda – will join the FTA within in the near future.

The FTA countries now account for more than 80% of COMESA GDP, 75% of the population and 85% of intra-community trade. Between 2000 and 2006 intra-COMESA trade grew at an annual average rate of 10.8% while total exports grew 17.6% (for more details see Tables 7.14-7.18). The share of COMESA trade in total world trade has increased both as regards exports and imports. The relatively lower growth registered in intra-regional trade is below expectations since the FTA has not only eliminated customs tariffs but it has also entailed the relaxation and, in some cases, eventual elimination of quantitative restrictions and other non-tariff barriers.<sup>16</sup>

Article 45 of the 1994 COMESA Treaty requires the member States to establish a Customs Union (CU) over a transitional period of ten years from the entry into force of the Treaty. At a 2004 COMESA summit, it was decided that all member countries should join the FTA before the customs union goes forward. The planned progress towards the CU is outlined in the 2004 roadmap, though it seems that over the last twelve months there has been some slippage, notably in agreement over the CET tariff rates. This does not necessarily imply that the 2008 goal will not be respected. However the problems of the overlapping membership as regards the EAC and the rest of COMESA will need to be faced before a COMESA CU is established.

The EAC has already implemented a CU<sup>17</sup>. As regards internal tariffs Kenya has opened up its borders fully to imports from Uganda and Tanzania and likewise trade between Tanzania and Uganda is fully liberalised. Tanzania and Uganda will eliminate the remaining tariffs on some 880 tariff lines for imports from Kenya only over a period of five years starting in 2005. Rwanda and Burundi have agreed to fit their tariff reductions in line with the previously agreed timeframe. These arrangements are designed to allow producers in Tanzania and Uganda time to restructure their operations to face increased competition from Kenyan imports.

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<sup>16</sup> Note that the membership of COMESA changed between 2000 and 2006. The Seychelles joined in 2001 and Libya joined in 2006 while Namibia left in 2004. The impacts of these changes will be examined in the field phase.

<sup>17</sup> The East African Community Customs Union commenced operations on 1st January 2005.

At present, the majority of COMESA states belong to more than one regional trade block and among these, five are members of the SADC and part of the COMESA FTA which operates under different rules of origin from the preferential trading arrangement for SADC members. Furthermore, unless some rationalisation takes place, once the COMESA FTA graduates to a Customs Union, Kenya, Rwanda and Burundi would be a member of two CUs (EAC and COMESA). The same may, by then, also apply to Uganda. Tanzania might be a member of both a SADC and an EAC CU. The situation as regards Swaziland and Madagascar – which, while now an FTA member, has expressed a preference for joining a future SADC CU - remains unclear. Being a member of more than one CU is not feasible, unless these customs unions' CETs, customs regulations, management systems and valuation systems, and rules of origin, among other provisions, are identical.

The RIOs involved – including SADC – have established a Joint Task Force and initiated discussions to overcome inconsistent trade arrangements and address the problem of overlapping membership in various regional trading groups. The aim is to preserve existing inter-group preferences and at the same time meet WTO requirements. If the EAC and forthcoming COMESA CUs were to agree a common CET and become one – aided by the fact that EAC rules of origin are largely similar to COMESA rules of origin - a number of problems arising from overlapping regional arrangements would be resolved, but this would not resolve the issue of Tanzania's commitment to the EAC CU rather than that of SADC (Tanzania is currently a member of SADC rather than of COMESA) which has been confirmed by its participation in the EU-EAC EPA (see next section).

## ***2.1 EPA Negotiations***

In 2004, two regional groupings started EPA negotiations with the EC: a group of 16 ESA-IO countries, commonly referred as ESA, and a group of 7 SADC countries. Progress during the first phase of the EPA negotiations which started in 2004 was initially slow as the negotiating parties had to find common understanding with regards to priorities as well as basic concepts and definitions of issues. However, the process accelerated significantly after September 2005. The ESA-IO group has organised itself around six clusters or key areas: development issues, market access, agriculture, fisheries, trade in services and trade-related issues. Following the second Joint ESA-EU Ministerial meeting of February 2006 in Mauritius, negotiations were expected to progress speedily.

However the process of negotiating an ESA-IO EPA has not proceeded as smoothly as planned. On 12 November 2007, ESA-IO ministers and the EC agreed to work towards a framework agreement to be applied provisionally from 1 January 2008. This framework agreement was to cover trade in goods, development cooperation, fisheries and any other sectors on which negotiations would have been concluded. Negotiations for a comprehensive EPA, replacing the framework agreement, were planned to be concluded by December 2008.

This framework agreement was to apply to countries and subgroups where agreement on market access in goods has been reached. Countries and subgroups “in the process of finalization of their tariff schedules” would benefit from provisions in the fisheries section and from provisions in the development cooperation chapter from 1 January 2008. ESA countries “which are at present not in a position to conclude a WTO compatible trading arrangement” will fall back on the General System of Preferences (GSP) regime, which becomes the Everything But Arms (EBA) regime<sup>18</sup> in the case of the LDCs.

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<sup>18</sup> European Commission, 4th ESA-EC Ministerial Meeting, Brussels, 12th November 2007, EPA Negotiations, Joint Conclusions

At the regional level, negotiations have focused on the list of sensitive products to be excluded from liberalisation, but progress has been slow. As a result the EAC submitted a separate market access offer and the EC agreed to conclude an *interim* EPA exclusively with the EAC: an EAC-EU framework agreement was initialled on 27 November 2007. Under this agreement, the EAC will eliminate 80% of its tariffs on imports from the EU over a transition period of 15 years. Exports from the EAC will have duty and quota free access to the EU market with transition periods for sugar and rice. The agreement also entails a simplification of rules of origin for apparel products. Besides covering trade in goods, the agreement includes provisions on fisheries and development cooperation. Negotiations towards a full EPA will continue in 2008, with a view to concluding a comprehensive agreement by July 2009.

Meanwhile an ESA-EC framework agreement has been initialled by Comoros, Madagascar, Mauritius, the Seychelles and Zimbabwe. This covers market access in goods, fisheries and development cooperation. A comprehensive EPA is expected to be completed by the end of 2008. As regards member state market access offers, Zimbabwe and the Seychelles initialled market access offers on 28 November 2007, with both countries agreeing to eliminate the vast majority of tariffs on EU by 2022. As in other regions, the agreement provides duty and quota free access to the EC market with transition periods for sugar and rice. On 4 December 2007 Mauritius agreed to eliminate almost all its tariffs on goods from the EU, again by 2022. Comoros and Madagascar agreed a similar liberalization on 11 December, 2007. Zambia has initialled the agreement but has not yet submitted a market access offer and thus does not benefit from the trade in goods provisions under the provisions of the interim agreement. It is currently exporting under the EBA as are Djibouti, Eritrea, Ethiopia, Malawi and Sudan<sup>19</sup>.

The allocations foreseen in the RIPs throughout the 8<sup>th</sup> and 9<sup>th</sup> EDFs confirm the importance of Regional Integration and Trade. In East African EDF 8 (1996-2001) regional integration and trade, transport and communications were together allocated 75% of the total ECU 194 million envelope. In ESA-IO EDF 9 (2002-2007) economic integration and trade alone was initially allocated 45-55% of the total 223 million € envelope.

## ***2.2 Structure of objectives in regional integration and trade***

### **8<sup>th</sup> EDF East Africa**

The 8<sup>th</sup> EDF Regional Indicative Programme for East Africa stresses the objectives of deeper regional economic co-operation and integration, political and social values such as democracy and good governance, strengthened regional solidarity, sustainable socio-economic development and integration into the world economy. "Deeper regional cooperation and integration, on the basis of equity and mutual benefit, providing for cross-border investment and trade, and freer movement of factors of production across national borders" is stated as the first of the 'objectives and priorities' of the RIP. The main aim is stated as support for the process of regional integration, particularly the creation of economic areas which promote, facilitate and intensify trade and investment. This included the support for the coordination and harmonisation of macro-economic and sectoral policies. However in the interests of efficiency, resources should be concentrated on certain areas, be integrated into an overall strategy at regional level and be consistent with national policies.

As regards regional integration *per se*, the specific objectives of a general strategy for encouraging sustained economic growth are 'increased productivity, standardisation, reduction of trade

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<sup>19</sup> See ECDPM, ACP-EU-Trade.com

formalities, harmonization of fiscal and monetary policies, tourism and investment policies in the context of the consolidation of macro-economic policy reforms taken at the national level and which also support regional economic integration'. The RIP identifies the reduction of non-physical barriers to trade and the contributions of the RIOs to the process of regional integration as areas for EC support in this context. The RIP states that the policies of the participating governments were aligned with those of the NIP, and included, in particular as regards regional integration, the steady reduction of regulatory and fiscal barriers to trade and investment, where possible, through implementation of the Cross Border Initiative (CBI).

However, the RIP also takes into account the necessary coherence with other financing from which the countries of East Africa could benefit under other Community resources, both at national and regional levels.

#### **8<sup>th</sup> EDF Indian Ocean**

Among the priorities of the 8<sup>th</sup> EDF RIP for the Indian Ocean, the first is 'integration into the world economy through strengthened regional economic integration based in particular on the promotion of the private sector and the development and liberalization of trade...' Again liberalisation measures to facilitate and increase trade flows are identified, and, among these, measures to increase the coordination and harmonisation of macroeconomic and sectoral policies are singled out.

The specific objectives in the regional integration field were the strengthening of integration mechanisms at the regional level, assistance to the private sector to re-position itself on regional and world markets, promotion of viable macroeconomic policies and trade facilitation through economic, technological and trade cooperation between firms and at the level of certain production sectors.

The EC agreed to support, as regards regional integration in particular, harmonised sectoral policies between the countries of the region, institutional capacity building in the organisation, programming and management of regional integration measures, and appropriate monitoring systems in the General Secretariat, harmonisation of financial, legal and audit instruments and procedures, improvement of regional statistics, agreement and implementation of product standards, improved regional payments systems and the required training schemes.

As in the EA RIP the coherence with other financing from which the countries of East Africa could benefit under other Community resources, both at national and regional levels, is emphasised. In the regional integration context, training for statisticians is mentioned as possibly being financed through non-IOC allocations.

#### **9<sup>th</sup> EDF ESA-IO**

The overall aims of the 9<sup>th</sup> EDF RSP/RIP for the ESA-IO region are to increase economic growth and reduce poverty through higher levels of regional economic integration. These two goals are particularly emphasised in the 9<sup>th</sup> EDF whereas in the 8<sup>th</sup> EDFs the reduction of poverty was cited as one of the goals along with human resources development, gender issues and environmental protection. In the 9<sup>th</sup> EDF the main strategy being followed to achieve poverty reduction is higher levels of export-led economic growth through economic liberalisation (in particular that of trade policy) and the promotion of investment and supply-side measures. The specific challenges are the establishment of a Customs Union at regional level, which will be founded on existing preferential trade areas and free trade areas.

The Regional Integration and Trade focal area assumes that countries of the region pursue economic liberalisation policies at regional level, within the framework of WTO, which should help the region's producers to obtain improved market access and attract investment into the productive sectors. The reform programmes at the regional level build on the policies

implemented at the national level. Most countries have undergone major structural adjustment programmes, which make it more likely that regional integration measures will succeed. Regional integration initiatives take full cognisance of the multilateral (WTO) system and also of the extra-regional bilateral accords such as the NEPAD and the African Growth and Opportunity Act. EPAs are given a high priority in the RSP as a means of assisting the region to integrate itself more successfully into the global trading system.

The 9<sup>th</sup> EDF is in line with the present overall objective of EU cooperation with the developing countries and with the Millennium Development Goals, which place poverty eradication as the primary and overarching objective of EU development policy<sup>20</sup>. In the specific framework of the EC cooperation with ACP countries, the overall regional objective acquires a poverty reduction focus. In fact, according to the Cotonou Agreement (Article 28) it will be the integration of the countries of the ESA-IO region into the world economy that will lead to increased economic growth and to their sustainable economic and social development. Thus regional integration will contribute to poverty reduction –the long term intended impact – through support for higher levels of RI, leading to increased economic growth.

### ***2.3 Overview of EC main programmes in the Regional Integration and Trade sector<sup>21</sup>***

#### **8<sup>th</sup> EDF East Africa**

The principle programme directed towards regional integration in the East Africa region under the 8<sup>th</sup> EDF was the:

- Regional Integration Programme II (8.5 million €, later increased to 9.15 million €). The overall objective was to assist COMESA to achieve its regional integration objectives, including the Free Trade Area by October 2000 and gradually move towards a Common Market. The specific objectives were to strengthen regional integration policy making by increasing analytical and information capacity, mainly at the level of the COMESA Secretariat.

Other relevant programmes include:

- Regional Harmonisation of Customs and Trade Statistics Systems (12 million €)
- COMESA Regional Competition Policy (647,467€)
- Start-up of African Trade Insurance Agency – ATIA (740.000€)

#### **8<sup>th</sup> EDF Indian Ocean**

The principle programmes directed towards regional integration in the Indian Ocean region under the 8<sup>th</sup> EDF include:

- The Bourbon Axa Investment Fund (8,940,894€), is an investment fund for the whole African IO region aimed at promoting investment opportunities linked to strategic and structural initiatives for the IO region, set up under the initiative of Bourbon group and AXA Private Equity;
- The integrated regional programme for the development of trade (PRIDE), (conceived and primarily funded through the 7<sup>th</sup> EDF – 9.3 million €, but with some funds from the 8<sup>th</sup> - 5 million €). Set up in 1996 for five years, this programme addressed the lack of trade between islands which then accounted for less than 3% of the region's total trade. The macro-economic strand establishes a "general action framework" through which IOC members undertake to abolish, according to an agreed timetable, the regulations and tariffs which obstruct free trade between the islands. The micro-economic strand had a fund of € 5m with which to support the region's businesses through loans and subsidies. Aimed primarily at the private sector, the programme encouraged companies to work together to improve their competitiveness and the quality of their goods

<sup>20</sup> European Consensus on Development, 2005

<sup>21</sup> The full list of projects is presented in the inventory, volume 3.

Other relevant projects include:

- Unité Technique Gestion Aide Communautaire auprès de la COI, (1,257,927€),
- Programme Cadre De Coopération Technique (1,596,023€).
- Support to IOC trade negotiations (not funded yet).

### 9<sup>th</sup> EDF ESA-IO

The principle programmes in the RI area include:

- Regional Integration Support Programme (RISP), (30 million € then increased to 33.5 to include the T&C PIP). The overall objective of the Regional Integration Support Programme (RISP) is to contribute to the ESA region's integration process, assisting RIOs to fulfil their mandate and supporting their respective programmes to pursue RI. The programme seeks to develop the capacity of the RIOs and their member States in policy formulation, implementation and monitoring of regional integration, multilateral and regional trade and trade-related areas according to their own mandates.
- Regional Integration Support Mechanism (RISM), (75 million €). The RISM Facility is intended to accelerate the regional trade liberalisation measures foreseen by COMESA (FTA and CU) by providing capital to the COMESA Fund which will in turn provide countries with financial support which face temporary revenue shortfall due to reduced tariff revenue.
- Trade negotiation facility (1.63 million €).

One major "All ACP" programme in the 9<sup>th</sup> EDF that may prove to be particularly relevant to RI in the ESA-IO region is the Trade.Com - All ACP Institutional Trade Capacity Building Facility (budget: € 50,000,000). This new programme is aimed at enhancing the capacity of the ACP countries in trade policy formulation, to mainstream trade in their poverty reduction strategies, to implement the mainstreamed trade policies and to participate in international trade negotiations.

## 3. Transport and Communications Sector

ESA-IO suffers from high transport and communication (T&C) costs resulting from inadequate infrastructure, regulatory frameworks and sector institutional capacity. These high costs increase production costs, inhibit production, constrain regional economic development and integration into the world economy.

Overall, the thrust of regional policies has concentrated upon reducing the cost of doing business, freedom of movement of persons, goods and services in the region (thus to markets outside Africa) and expanding cross-border investment and trade. To this end the various RIOs have been active in transport sectors as shown below:

**Table 5.5: RIOs activity in T&C sector**

RIO	ACTIVITY	FUNCTIONAL POLICIES
COMESA	Trade facilitation (transport)	Infrastructure, transport
EAC	Facilitation and infrastructure development	Infrastructure
IGAD	Infrastructure development	Infrastructure
IOC	-	IT development

### 3.1 Transport

**Roads.** Roads carry almost all terrestrial passenger and freight traffic (>95%) in the region. There have been moves in most countries to develop policies and strategies for adequate funding of road network management, including maintenance, by adoption of commercial management



principles leading towards establishment of National Road Boards/Authorities and Road Funds. Although there is progress – as indicated by the on-going COMESA facilitation programmes indicated below- issues of government fulfilment of commitments, transparency, accountability, institutional capacity and role of the private sector remain outstanding in many countries.

COMESA facilitation programmes:

- harmonised axle load, GVM and maximum vehicle dimensions<sup>22</sup>
- carriers licence (for operation of commercial vehicles in all MS and carriage of back-loads from other countries)
- yellow card (3<sup>rd</sup> party insurance and medical costs)
- customs bond guarantee (replaces multiple national customs bonds for transit traffic)
- customs documents (replaces multiple national documents)
- harmonised transit fees

**Rail.** Commercial viability of national rail networks is generally very low after years of under-investment and poor management. There is increasing concessioning of national rail operations, usually under some form of Public-Private Partnership (PPP). However, there has been little progress in concessioning on a regional basis. These new management structures are adopting computerised management systems<sup>23</sup> but there have been problems such that a number of contracts have had to be renegotiated after a few years as revenue generation was lower than expected.

**Ports.** There is also increasing concessioning of port operations<sup>24</sup> leading to changes in operations, services, investment and use of port infrastructure and facilities. Private sector involvement is thus increasing, especially in container handling such that turn around and clearance of goods is improving across the region although much remains to be done to overcome many years of under-investment which has led to congestion and high handling fees at many ports.

**Corridor development.** Usually linking an ocean port, sometimes transiting more than one country<sup>25</sup>, these corridors may involve road and rail links (although in terms of volume of carriage of goods and passengers, roads are much the greatest significance). Capital development, rehabilitation and upgrading has been almost entirely donor-funded (or by concessionary loans) with subsequent maintenance and operation being the responsibility of national governments. However, maintenance has been almost universally insufficient such that premature deterioration and dwindling serviceability is the norm, exacerbated by overloaded trucks moving with relative impunity. Revenues received by national Road Funds (RF) have been, for years, significantly lower than maintenance needs whilst transit fees do not provide a significant maintenance funding source. Low traffic volumes and multiple access problems make toll road viability doubtful in most situations.

### **3.2 Communication Sector**

Studies on means of development of harmonised telecoms regulatory frameworks in COMESA MS which will also be attractive to private sector investment thus leading to better regional

<sup>22</sup> This continues to be under review as enforcement issues are very tricky and overall enforcement is almost completely ineffective

<sup>23</sup> COMESA – Railtracker; SADC – Rolling Stock Information System

<sup>24</sup> Concessioning of port operations appears to have been more commercially viable than in railways

<sup>25</sup> E.g. Northern (Kenya, Uganda, Rwanda, Burundi, DRC, CAR), TAZARA (Tanzania, Rwanda, Burundi, DRC, Uganda), Beira (Moçambique, Zimbabwe, Zambia, Malawi) and Nacala (Moçambique, Malawi, Zambia) Corridors

telecoms services, are continuing. However, although some states have liberalised the sector, others continue with a monopolistic operator thus precluding the entry of competitive operators. In these cases there is no independent regulator leading to a situation in which, whilst possible private sector investors are discouraged, the public sector does not provide necessary investment in infrastructure. Similarly, there have been few developments in e-commerce, and all at national level, leading to a situation in which despite the stated intention to develop regional systems there is still no regional programme.

### ***3.3 Structure of objectives in the Transport and Communications Sector***

The EC has supported regional integration for more than a decade including infrastructure projects and facilitation measures for T&C. However, the main features of EC support in the sector continue to be at national level, thus reflecting the relative priorities of the individual ESA-IO MS themselves.

#### **8<sup>th</sup> EDF East Africa**

As anticipated in §2.3, under the 8<sup>th</sup> EDF RIP for East Africa, focal area 2 'Transport, Trade and Regional Integration' were allocated together 75% of the total ECU 194 million envelope. The RIP stresses the objective of "Deeper regional cooperation and integration, on the basis of equity and mutual benefit, providing for cross-border investment and trade, and freer movement of factors of production across national borders". In this framework, the support to the transport sector is conceived as one of the pillars to develop trade between the countries of the region whereby "Adequate, well-maintained transport infrastructure and the removal of non-physical barriers should enhance the opportunities for regional and export trade". "Encouraging competition between corridors, as well as competition between modes of transport, within each corridor" is then identified as the main area for EC support with regards to Transport, while specific programmes could focus on, among others: i) rail/road corridors giving the land-locked countries access to the sea; ii) vital links between the regional transport corridors; iii) port infrastructure, operations and management, including removal of the non-physical barriers to trade; iv) implementation of the Road Maintenance Initiative of the Sub-Saharan African Transport Policy Programme and training of key officials in a sectoral approach to the transport sector.

#### **8<sup>th</sup> EDF Indian Ocean**

Under the 8<sup>th</sup> EDF RIP for the Indian Ocean, the transport sector does not appear among the stated priorities. On the other hand there is an explicit mention of communications under priority 3 'integration into the world economy through strengthened regional economic integration based in particular on the promotion of the private sector and the development and liberalization of trade, including communications which are considered essential for the attainment of the above objectives...'. Finally, the RIP mentions "air navigation" as one of the fields in which projects could be financed from the non-IOC allocation.

As is to be expected, the lack of priority of the T&C sector within the RIP has then led to a situation where no funds were allocated to projects that fall within this category. , is then reflected in the allocation of funds (as highlighted in section 3.2.1 of Volume 1-Synthesis Report).

#### **9<sup>th</sup> EDF ESA-IO**

The 9<sup>th</sup> EDF RIP for the ESA-IO region, includes T&C as one of three focal areas (with 15-25% of the initially allocated financial envelope of €223 million) whilst environment, gender and capacity building are considered to be cross-cutting issues within the focal area.

However, although shortcomings in T&C infrastructure are recognised as a serious constraint to sector development, the relatively limited resources available under RIP are insufficient to meaningfully address such infrastructure deficits which are more realistically addressed under the better endowed NIPs of ESA-IO MS<sup>26</sup>. Some of these national sector programme components will have a regional significance but overall it is necessary for such national project interventions to be coordinated at regional level if impact at regional level is to be maximised. Thus, the flagship sector interventions of RIP are: i) the development of the Transport & Communications Sector Priority Investment Plan master plan<sup>27</sup> which is intended to identify and prioritise infrastructure investments as well as sector facilitation measures (transit regulations, transport traffic, regional protocols, customs procedures etc); and ii) the Regional ICT Support Programme with the specific objective of providing regional organisations and member states of the ESA region with the management and technical expertise to help advance the region in its quest for regional integration through efficient ICT, and ultimately to reduce the digital divide in the ESA Region<sup>28</sup>. The objective of such EC support is greater efficiency in T&C networks, improved inter and intra-regional linkages, reduction in transport costs and costs of doing business thus contributing to regional economic development, integration into the world economy, employment generation and thus poverty reduction. EC also places emphasis upon experience gained in facilitation of international transit in Europe and possible application of such experience in ESA-IO.

The support envisaged for the T&C sector can be summarised as follows:

*Aim* – to increase economic growth and reduce poverty through higher performance levels of the regional T&C network

*Specific objective* – improve efficiency of use of T&C infrastructure and develop a plan from which prioritised interventions can be identified, costed and financed

*Expected results* – master plan adopted for the region, regional T&C networks improved, transport costs reduced, increased inter-regional traffic flows (T&C).

### ***3.4 Overview of main programmes in the Transport and Communication sector***

All RIOs are supported by bilateral and multi-lateral agencies (including EU MS) although the largest contribution is from the EC, excluding a big COMTEL project mainly funded by USAID and ADB (see Section 3.3 of Volume 1-Synthesis Report). There are currently no overlaps at regional level and all such support appears to support RIO mandates.

The following table provides an overview of main EC funded T&C projects implemented in the ESA-IO region.

<sup>26</sup> 9<sup>th</sup> EDF NIPs for ESA-IO in the transport sector alone are above 800 million €. NIP (and RIP) programmes are thus expected to contribute to restructuring of railway networks, rehabilitation and maintenance of regional roads, improved port services (and limited fluvial transport) and more effective use of infrastructure by means of rationalization of legal and regulatory frameworks. In ICT major infrastructure investments are needed together with facilitation of e-commerce.

<sup>27</sup> TCSPIP is expected to include (for all T&C sectors) national strategies with regional implications, main transport routes, plans (eg concessioning, toll roads, corridor development), funding (transit and road user charges, fuel levy) and communications needs (eg digital divide issues) leading to prioritized and costed intervention proposals including consideration of possible funding mechanisms (eg donor, national funding, PPP)

<sup>28</sup> RICTSP aims to address and deliver three main results in an integrated way: development, and monitoring of implementation, of ICT policy guidelines and strategies and monitoring of e-readiness status; provision of high-speed Internet connectivity to key regional stakeholders, and installation and use of ASYCUDA++ (software) in selected countries; improved and more efficient access to economic, commercial and practical information for the public and private sector through establishment of regional internet portals, information clearing houses and database-driven websites coupled with improved SME ICT skills. RICTSP should coordinate with COMTEL initiatives and the USAID-funded Regional ICT Policy Regulatory Harmonisation Project.

**Table 5.6: Main EC projects implemented in the ESA-IO region through the 8th and 9th EDF**

Programme title	Sub-Sector	RAO	Euro
<b>8<sup>th</sup> European development Fund</b>			
Air transport liberalisation	Air transport	COMESA	361,268
Rehabilitation of Mwanza roads	Road transport	Tanzania	3,000,000
Kampala northern by pass	Road transport	Uganda	6,500,000
Strengthening of Northern corridor road	Road transport	Uganda	8,000,000
Réhabilitation de la route Gitarama-Butare-Akanyaru	Road transport	Rwanda	9,200,000
Rehabilitation and up-grading of Mwanza border-Tinte and Isaka-Nzga roads	Road transport	Tanzania	20,000,000
Backlog maintenance programme for the central corridor	Road transport	Tanzania	20,000,000
Rehabilitation and development of Mpulungu harbour (Zambia)	Water transport	Zambia	1,476,220
<b>9<sup>th</sup> European development Fund</b>			
TCS-PIP	T&C	COMESA	3,500,000
ICT Support Programme	ICT	COMESA	21,000,000
CDE railway (ROR) Djibouti Ethiopia Railway line	Rail transport	Djibouti	30,000,000
Road Gitarama Akunyara increase in funds	Road transport	Rwanda	3,300,000
Northern Corridor Rehabilitation (ROR) Mai MAIHU-NAIV	Road transport	Kenya	5,000,000
Road projects in EA and Horn of Africa and Rwanda (reconstruction in Kampala-MBARARA)	Road transport	Uganda	5,000,000
Road South Corridor Arta Guilelé rehabilitation of south couloir	Road transport	Djibouti	10,900,000
Road South Corridor Arta Guilelé rehabilitation of south couloir	Road transport	Djibouti	14,100,000

#### 4. NRM Sector

The target region is characterised by highly diversified ecological and socio-economic features ranging from the islands and coastal ecosystems situated in the Indian Ocean (IO) to a variety of land ecosystems (drylands, wetlands and tropical forests) with important water basins (lakes and rivers) and trans-boundary resources. The degree of exploitation of these resources greatly varies within the region and countries, depending on population density, economic diversification, anthropogenic pressure, climatic and natural factors. From a regional perspective, the region has several trans-boundary ecosystems with shared resources and/or common risk factors, as described below.

The coastal and marine resources are potentially the most important social and economic assets of the IO region with 5,836 km of coastline, 6.7 million people living near the coast and a marine area of over 4 million km<sup>2</sup> of Exclusive Economic Zones (EEZ). The coastal resources are rich in biodiversity and very attractive for multiple purposes; they are consequently subject to increasing pressure for urban, industrial and recreational activities leading to degradation

processes. The IO region is also strongly exposed to climatic and natural threats such as cyclones and sea level rise including the effects of distance phenomena like the tsunami that hit Southeast Asia in December 2004.

On the continental side, the region is characterised by important water systems shared by several countries such as Lake Victoria (Uganda, Kenya, Tanzania), Lake Tanganyika (Burundi, DR of Congo, Tanzania, Zambia) and several trans-national rivers and watersheds with influence far downstream like in the case of the Nile basin. The emergence of basin-wide organisations during the last decades is a clear sign of the African states growing awareness and commitment towards joint management of water resources, although operations of such organisations showed variable performance encountering problems linked to uneven political commitment from member states, over-ambitious goals, administrative, technical and financial gaps and political and civil instability. However, revitalising Africa's river and lake basin organisation is recognised as being an urgent priority<sup>29</sup>. Management of cross-border forests and protected areas have great impacts on biodiversity (flora and fauna) and on communities livelihood (food security, energy, health and access to land resources and economic opportunities).

To sustain the productive sectors, primarily agriculture, at both national and community levels while coping with natural and socio-economic hazards, and valorising diversity and local knowledge, the African states and RECs have developed cooperation strategies and mechanisms to address common issues in a coordinated manner. These include: agricultural research, environmental and natural risks monitoring and response capacity (e.g. early warning systems) to prevent and mitigate drought, floods, cyclones, land degradation and desertification phenomena that undermine sustainable social and economic development.

The growing importance of regional and international trade and the considerable share of natural resources and primary products (agricultural commodities, fish and wood) in regional and extra-regional commercial exchanges have increased the attention on establishing the necessary plant and animal health regulations and control systems in order to ensure sustainable benefits from trade and to minimise the risks for the region's biodiversity, human health and economic opportunities.

#### ***4.1 Priorities and Programmes***

The place of NRM in the EC regional cooperation strategy during the last decade has been characterised by substantial allocations and diversified interventions, building on past cooperation experience and taking into account sub-regional peculiarities and development challenges, as well as the evolving institutional set-up in the region.

In the 8<sup>th</sup> EDF regional strategy for IOC, environmental protection (50% of RIP) was conceived as a contribution to sustainable socio-economic development and to poverty alleviation, with focus on marine and coastal resources that have a crucial importance for islands countries and their socio-economic development.

In the 8<sup>th</sup> EDF regional strategy for EA, 20% of RIP was allocated to Food security and Conservation of natural resources for enhancing the countries response to food crisis and conflicts and reducing the excessive dependence on food aid from the international community

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<sup>29</sup> Sources: Assessing regional integration in Africa, Economic Commission for Africa, 2004. Africa Environment outlook, UNEP, 2005

and the severe environmental degradation. Priorities of this strategy have been identified in the development of more efficient production and marketing systems, support to the policy and decision-making processes with improved quality and quantity of information on common natural resources and common risk factors that can better be dealt through a regional approach.

Regional cooperation in Southern Africa (SADC) allocated 10% of 8th RIP to NRM in order to address the vulnerability of the region to food shortages due to cyclical droughts and to increased land degradation. Priority elements of this strategy have been the strengthening of the regional information systems, the promotion of intra-regional trade in basic agricultural products, the support to research and development activities towards sustainable production systems and the diversification of food crops and products including marine products.

In the 9<sup>th</sup> EDF strategy for the ESA-IO region, NRM continues to play a focal role with 15-25% of financial allocation of the RIP. This macro-sector, together with the other focal areas of cooperation (RI&T and T&C) are identified as the major constraints to economic development and poverty alleviation in the region. The regional focus on NRM is put on management of trans-boundary resources through the development of common policies, networks and management tools for maximising the use of shared resources and allowing the region and the countries to meet their international commitments and to respond to their specific needs. Along this line, the strategy pursue a thematic or ecosystem approach, consolidating the past investments on knowledge systems, monitoring of the natural resources base, support to decision-making processes and dissemination of best practices in the productive sectors with participation of and benefits to multiple stakeholders, including NSA.

From a strategic viewpoint and considering the time and space factors, these sub-regional strategies pursue common goals and contribute to:

- (i) Develop a conducive and harmonised policy & regulatory framework,
- (ii) Promote, create and strengthen regional scientific, technical and management networks and management mechanisms among the countries with shared natural resources and common management issues,
- (iii) Raise people's environmental awareness and knowledge, encouraging participation of stakeholders in the sustainable management of natural resources and in their benefits,
- (iv) Increase the region and countries' response capacity to natural and human-induced risk factors, and
- (v) Enhance the competitiveness of the countries in regional and international markets.

Under the above strategy framework, the following regional programmes were/are implemented.

**Table 5.7: Main EC programmes in the NRM sector**

Programme title	Sub-Sector	RIO	Euro
<b>8<sup>th</sup> European development Fund</b>			
Preparation and Implementation of Lake Victoria Fisheries Management Plan	Water and Fisheries	EAC	29,900,000
IGAD hydrological Cycle Observing System (HYCOS)	Water and climate	IGAD	106,890
Support to agricultural research in East Africa	Agriculture	ESA	29,335,000
Meteorological Transition in Africa	Climate	ESA	1,456,000
Meteorological Cooperation Programme	Climate	IOC	1,456,000

Programme title	Sub-Sector	RIO	Euro
Regional Indian Ocean tuna tagging programme, feasibility study	Fisheries	IOC	122,098
Indian Ocean Plant protection programme	Agriculture	IOC	4,850,000
ARPEGE (environmental education)	Environment	IOC	1,980,000
Strengthening fishery products health conditions in ACP/OCT countries (SFP-ACP)	Fisheries and trade	All ACP	
<b>9<sup>th</sup> European Development Fund</b>			
Pilot project Vessel monitoring and surveillance of fisheries (VMSF)	Fisheries	IOC	3,415,796
Tuna tagging programme (TTP)	Fisheries	IOC	9,700,000
Tuna Tagging (IOC EDF 8)	Fisheries	IOC	4.300.000
Regional livestock programme (RLP)	Agriculture	IGAD	5,710,000
Regional programme for sustainable management of coastal zones (ReCoMaP)	Environment	IOC-ESA	18,000,000
Bridging phase of Lake Victoria environment management (LVEM)	Environment	EAC	2,500,000
Regional Food Security and Risk Management programme (REFORM)	Food security	IGAD-COMESA	10,000,000
Conservation et utilisation rationnelles des Ecosystèmes Forestiers d'Afrique Centrale (ECOFAC)	Forestry & Biodiversity	ESA-IO	5,000,000
African Monitoring of Environment for Sustainable Development (AMESD)	Environment	Africa	5,000,000

From a thematic and sub-sector perspective, the EC cooperation in the NRM has materialised through a highly diversified use of funding instruments and approaches, as explained below.

### ***Agriculture***

Support to agricultural sector has been channelled through a combination of different funding instruments and levels of intervention. Regional approaches focused on knowledge sharing (agricultural research, resources monitoring and early warning systems) under the assumption that agricultural productivity can gain from pulling together scarce national assets & resources and investing on prevention, information and dissemination networks as well as on harmonisation of policies and regulations. Policy development and implementation in specific countries together with strengthening agricultural services delivery were mainly addressed through national programmes allowing for enhanced interaction with non-state actors (e.g. micro-project facilities). STABEX was used to minimise the negative effects of commodities (tea, cotton, coffee) price fluctuations on global markets. The revision of preferential trade agreements on specific commodities (e.g. sugar) helped both the EU and the producing countries (e.g. Mauritius) to adjust their trade strategies in compliance with WTO regimes and regulations and to adapt their agricultural and land use policies accordingly.

Strengthening regional food security networks has been at the top of EC strategies over the last decade. Through a (sub) regional approach, EC has supported beneficiary countries to elaborate, adopt and implement national and regional policies and action plans in line with Poverty Reduction strategies and Millennium Development Goals. Based on diversified achievements and

impacts, EC food security support continued and was consolidated into a more integrated strategy with growing focus on prevention and risk management (e.g. REFORM) and in those countries and regions (e.g. Horn of Africa) where political and climate factors have undermined the countries and the populations capacity to ensure food security and sustainable livelihoods. Different financial instruments were used for this purpose such as NIPs, NGO budget line and co-financing with other donors (e.g. FAO).

### ***Trans-boundary land resources management***

Trans-boundary forests ecosystems and water (rivers and lakes) basins are recognised by both African countries and donors as relevant resources for a regional and coordinated management. The ECOFAC programme aims at conservation and sustainable management of the forests and their biodiversity as a contribution to the wellbeing and poverty reduction of the populations of central and eastern Africa whose livelihoods depend of the multiple functions and products of the forest ecosystems. DR Congo was associated to this central Africa regional programme. In addition to these regional initiatives, national and community conservation projects have been carried out (e.g. Kenya, Tanzania) using national EDF resources and thematic budget lines (NGOs, Forests and Environment).

Lake Victoria is a complex ecosystem providing fish products, water and habitats for the growing population living on the lake shoreline in Kenya, Uganda, Tanzania and in the catchment area that covers also Burundi and Rwanda. Based on the Lake Victoria Fisheries Research Programme Phase II (LVFRP) implemented in the period 1997-2002 with 7th EDF resources, a new project was initiated to implement the Fisheries Management Plan strengthening the role of the Lake Victoria Fisheries Organization (LVFO) considered as a major contribution and follow-up to the *Strategic Vision for Lake Victoria Fisheries for 1999 –2015*.

### ***Marine and coastal resources***

Marine resources exploitation represent an important source of food and income for islands and coastal countries and populations: fish catches, taxation on foreign fleets, export and employment. EC support to this sector has a long history, based also on similar initiatives in the Pacific and Atlantic oceans.

Sustained monitoring of fish stocks (e.g. tuna tagging), surveillance of fishing operations and enforcement of regulations and quality standards on sea and land have been addressed through complementary programmes whose objectives were to contribute to sustainable exploitation and improve the share of benefits throughout the production cycle (from the source to the markets). Fish quality and trade facilitation were also supported through national projects (e.g. IOC countries) and/or through the all-ACP programme to strengthen Fishery products (SFP-ACP) compliance with quality standards for export to EU.

In the period 1995-2000 (7<sup>th</sup> / 8<sup>th</sup> EDF, respectively covering the periods 1992-1996 and 1997-2002), the IOC implemented its first integrated coastal zone management programme creating an institutional and policy framework, thematic cooperation networks and awareness in the IOC member countries (4 ACP islands + France/Reunion). The strategy is being consolidated under 9<sup>th</sup> EDF RIP for the broader ESA-IO region (including Tanzania, Kenya & Somalia) with more integrated approach, wider targets and stronger national components.

### ***Environmental management***

Global commitments toward sustainable development followed the Earth Summits of Rio (1992) and Johannesburg (2002) requiring a more holistic approach and coordinated policies toward improved knowledge of natural resources features and dynamics, identification of potentials for



development and threats, integration with socio-economic development and appropriate governance and management mechanisms, including prevention and mitigation of natural hazards. Several EC programmes were developed and implemented along this strategy. They include the following:

- The integrated coastal zone management programmes (see above section) for the islands and coastal countries of SWIO were conceived to support the environmental policies and decision makers in integrating the institutional, ecological and socio-economic aspects in the interface between land and sea, which corresponds to nearly all the territory for small islands nations.
- Scientific knowledge and environmental monitoring initiatives such as HYCOS, AMESD and REFORM aimed at producing and making available to decision-makers and stakeholders the appropriate data and information for policy implementation and investment planning in the sectors affecting directly or indirectly the natural resources base and the sustainability of the economic development as a whole, thus reducing poverty, conflicts and optimising the benefits from NRM.
- Prevention and mitigation of negative environmental impacts arising from economic development were mostly addressed through national programmes. Considerable resources from NIPs (e.g. Comoros, Mauritius, Seychelles), were devoted to environmental management (solid waste management and pollution control) in order to sustain economic growth and minimise socio-economic and environmental risks.

#### 4.2 Other donors' activities

Others development partners contributed to the broad NRM sector on a regional scale, including UN agencies, development banks, bilateral donors as summarised below.

**Table 5.8: Other donors' activities in the NRM sector**

Sector ▼	Donor►	EC	EU members	UN agencies	AfDB	WB	USAID	Others
Agriculture		PPP, RLP	Germany UK	FAO	CAADP, AMPRIP	CAADP	RATES, research, livestock	G8, CIDA
Forestry & biodiversity		ECOFAC		FAO UNEP				
Fresh water resources		LVEP						IWMI
Marine resources & fisheries		TTP, SFP, VMSF		FAO	Aquaculture & Fish info			
Coastal management		PRE-COI ReCoMaP	SIDA, FFEM	GEF		GEF		WWF, IUCN
Climate change		HYCOS, Energy		UNEP				G8
Risk prevention & management		HYCOS, AMESD, REFORM		FAO				
Environmental information management &		AMESD JRC	CTA ESA	FAO, UNEP			FEWS- NET	

**Donors:** AfDB= African Development Bank – WB= the World Bank – COM= Commonwealth Secretariat – JRC= Joint Research Centre of the EC – SIDA= Swedish International Development Agency – FFEM= Fonds Français pour l'Environnement Mondial – CTA= Centre for Technical Cooperation in Agriculture (NL) – ESA= European Space Agency

**Projects:** CAADP= Comprehensive Africa Agriculture Development – AMPRIP= Agricultural Marketing Promotion and Regional Integration - RATES= Regional Agricultural Trade Expansion Support

## 5 CPRM Sector

### *5.1 Regional Dimensions of CPRM in ESA-IO Region<sup>30</sup>*

Conflicts in Africa have almost always had regional dimensions. This is still true. What has changed since the 1990s is emerging democratisation in a context of weak governance institutions, tentative relations between the State and civil society and a transformation of the nature of global and regional influences (end of the Cold War). The last decades have seen peace accords signed that have concluded some of the continent's most durable armed conflicts. They have also seen an increase in the vulnerability of the State and its institutions, and the rise of non-state military formations, private foreign armies, economies based on war commodities, ethnic cleansing, civil wars with regional influence, mass political repression, forced migration etc. These creative ways of articulating political, commercial and military agendas have resulted in a descent into cycles of violence with an extraordinary variety of sources and shapes, that affect the region as a whole.

The insecurity, underdevelopment and environmental fragility of many border areas in the ESA region are important elements of regional instability. Borders are permeable, marginalised and prone to high levels of insecurity, smuggling/trafficking, violence and environmental degradation. The problems of border regions vary from one area to another, but there are certain generic issues that are common to all or most of the border regions in ESA. These include: the presence of large refugee and pastoralist populations in border regions; environmental scarcity; complex patterns of cross border ethnic and political solidarities and conflicts; conflicts related to the control of cross border trade and transport routes; widespread proliferation of SALW (Small Arms and Light Weapons) and trans-border trafficking in SALW, people and other goods; relative marginalisation and underdevelopment of border regions; economies often based on trade in livestock and revenues from informal cross border trade; corruption among official border management authorities such as border police and military, customs and immigration officials etc..

Need and greed, like scarcity of resources, can cause conflicts; the abundance of resources can increase the likelihood of conflict. A wealth of resources can contribute to weak democracy, poor economic growth, and greedy behaviour by competing elites. Wealth of natural resources deeply influences the political economy of a country and its type of governance. Key examples of ESA countries where resources have played a key role in conflicts are Angola, DRC, Somalia and Sudan – all COMESA or IGAD member states.

Politically, resource rents provide leaders with a classic means for staying in power by establishing a regime organised through a system of patronage that rewards followers and punishes opponents. The dominance of the resource sector in the economy and its political control by the ruling elite leave little scope for accumulating wealth and status outside state patronage. As the wealth and power gap between the ruling and the ruled increases, so does the frustration of marginalised groups, who see political change as the only avenue for satisfying their aspirations or expressing their grievances. Such groups may include competing elites (e.g. marginalised

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<sup>30</sup> Drawn from section 2.3 of the FP-EDF Project – Conflict Prevention Programme in the ESA Region (10 million under EDF 9 ESA Regional Indicative Programme)

politicians or military officers), disenfranchised groups (e.g. unemployed youths), or an association of both.

The possession and use of small arms by unauthorised persons has been identified as a major source of insecurity, massive humanitarian disruption and a major obstacle to sustainable human development in Africa. Small arms are linked to rising crimes, armed robberies, car jacking and violence in urban centres and cities as well as e.g., cattle rustling and community conflicts among the pastoralists and agro-pastoralists communities in East Africa and Great Lakes Region. The spill over effects of armed violence resulting from unresolved regional conflicts is worsening with the availability of weapons, which find their way through clandestine networks involving unchecked arms brokers, private arms dealers and local smugglers. All of these use the opening up of trade channels, the improvement of roads and communications systems, and the availability of natural resources to their advantage.

The context analysis clearly shows the abundance of challenges to development and poverty reduction caused by CPRM issues.

### ***5.2 Regional Peace Architecture in ESA-IO Region***

Regional mechanisms can be effective focal points for a regional approach to conflict prevention by attempting to ensure regional programmes for factors that contribute to conflict, such as trade, environmental degradation, migration flows, scarcity of natural resources and livestock etc. They are also effective at promoting regional economic and political integration that tries to reinforce 'dividends of peace', to avoid exacerbating divides and crisis points, and to mobilise cross-border peacekeeping activities and sharing of early warning information.

The African Union (AU), launched in Durban in 2002, has been given a broad political mandate in the field of conflict prevention and management. The AU Constitutive Act gives the AU clear powers to act in areas of conflict prevention, resolution and good governance and it provides the AU with the possibility to intervene in a Member State's internal affairs in cases such as genocide, war crimes or crimes against humanity. This mandate was built on the experience gained with the OAU Mechanism for Conflict Prevention, Management and Resolution established in 1993.

The AU Assembly adopted in Durban a Protocol relating to the establishment of the Peace and Security Council of the African Union. The PSC has extensive powers, including authorising the mounting, deployment and monitoring of Peace Support missions and making recommendations to the Assembly for interventions in AU Member States. The Protocol also foresees a Panel of the Wise, a Continental Early Warning System and an African Stand-by Force.

The sub-regional organisations in Africa (e.g. IGAD, COMESA etc) are part of the overall Peace and Security architecture of the AU, which has the primary responsibility for promoting peace and stability in Africa. The protocol provides for the conclusion of a Memorandum of Understanding on the cooperation between the AU Commission and Regional mechanisms.

In terms of other Mechanisms and Protocols, there are several structures at the regional level, all of which were established by the existing Regional Economic Communities. These include IGAD's Conflict Early Warning and Response Mechanism (CEWARN); the SADC Protocol on Politics, Defence and Security for Southern Africa; ECCAS' Council for Peace and Security in Central Africa (COPAX) and the mechanism which is being developed for CEN-SAD Community.

The African Union and RIOs (COMESA, EAC, IGAD, IOC) are important elements and partners in efforts to develop regional strategies for political peace and stability in the ESA-IO region. To varying degrees they play a role in promoting and implementing peace, security and economic integration agendas. At the same time, they have different structures, mandates, membership, capacities and ambitions in the peace-conflict arena. The need to strengthen the capacities of these sub-regional bodies, and to ensure complementarity between them is clear. Though the ESA-IO region has achieved some progress in the resolution of its regional conflicts, the situation remains fragile, and focus in this area could help to ensure that development progress is sustainable.

### ***5.3 The ESA Region's CPRM policies and capacities<sup>31</sup>***

The **AU** has made significant progress in developing its capacity to engage in conflict mediation and peacekeeping, with substantial donor support including for the African Peace Facility (APF). The AU's NEPAD (New Partnership for Africa's Development) and its Peer Review Mechanism include the prevention and reduction of intra-and inter country conflicts as key objectives.

**IGAD's** primary focus and competence, unlike the other regional bodies in the ESA-IO region, are on matters relating to peace and security. IGAD has been involved in peace efforts since its inception, and has an active role in the political and security architecture in the Horn of Africa, with a key role in peace processes for Sudan and Somalia. It provides a forum for regional dialogue in a sub-region of endemic conflicts.

CPRM has increasingly developed as a significant priority in its policy agenda. In 1995 IGAD member states recognized the need to address conflicts in the region. The October 2003 Summit of Heads of State and Government endorsed the new IGAD strategy and a 5-year implementation plan. Both foresee CPRM programmes as one of the priority areas for IGAD, and envisage the setting up of a CPRM strategy. Since 1996 CPRM related work has been at the core of IGAD activities in particular the management and resolution of the Sudan and Somalia conflicts. Following the successful involvement in these conflicts the development of a CPRM Strategy has now begun. The objective of the strategy is to develop, implement and sustain a mechanism in order to prevent, manage and resolve violent conflicts in the IGAD region. The proposed programme will support this strategy, which should provide the overarching framework for all donors and IGAD own resources support to CPRM.

IGAD has also developed CEWARN (Conflict Early Warning and Response Mechanism), which is widely regarded as one of the most promising CPRM initiatives in the Region, providing early warning of arising conflict situations. Other Peace and Security related work include Prevention and Combating Terrorism (the IGAD counter terrorism project with funding secured from Italy, Spain and Denmark as well as firm pledges from Netherlands), post conflict reconstruction and development and refugees, as well as involvement in the coordination of the formation of the Africa Standby Force in the Eastern Africa Region.

**COMESA** began its engagement on peace and security issues in 2000. Its Programme for Peace and Security Capacity (2003) addresses: CPRM skills for regional parliamentarians and senators; development of criteria and rules of procedure for the role of the private sector and civil society organisations in peace and security; elimination of landmines and implementation of the Nairobi Declaration on the control of illicit proliferation of small arms and light weapons.

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<sup>31</sup> Section 2.2 of Financing Proposal for the EDF9, conflict prevention, management and resolution for the ESA-IO Region (via IGAD) €10 000 000

CPRM activities in COMESA started in 1999, and have since developed into a Programme on Peace and Security for which the structures are near completion. Activities include annual meeting of Ministers for Foreign Affairs and awareness training for Parliamentarians. Since 2003, COMESA has also been involved in the Great Lakes Initiative, including the preparations for, and the follow-up of Conference on the Great Lakes region. COMESA has developed a Preventive Diplomacy system through its Ministries of Foreign Affairs.

**EAC** areas of regional co-operation include co-operation in political matters, including defence, security, and foreign, legal and judicial affairs. It is rapidly developing mechanisms for cooperation on border controls, policing efforts to combat trafficking and proliferation of SALW (small arms and light weapons). EAC members have a joint Defence Force. In 2007, the Nyerere Peace Research Centre was established at EAC Headquarters to undertake research and exchange programmes on conflict management and resolution (with Arcadia University, USA).

The EAC Treaty (article 123) advocates a common foreign and security policy and a study was recently undertaken to operationalise Art. 123. A MoU has been concluded relating to cooperation in defence and is expected to be updated into a Protocol. EAC has a sectoral Council on Defence, meetings of EAC police chiefs and an Interstate Security Committee. The EAC is also in the process of developing a protocol to establish an early warning mechanism that would be complementary and would add value to systems that already exist in the region.

**IOC** has neither the mandate nor the capacity to address peace and security related issues in any direct way. However, IOC contributed to the resolution of the political crisis in Madagascar and Comoros in 2000 to 2002. The 3<sup>rd</sup> Summit of Heads of States and Governments held in Antananarivo in July 2005 emphasised the importance of intra-regional co-operation, and co-operation with the wider region, in the fight against terrorism. IOC expressed its interest to be able to benefit from programming for CPRM where relevant, albeit indirectly via COMESA with which IOC has an MoU for cooperation in this specific area.

The history of the **European Union (EU)** — cited as "probably the most successful example of conflict prevention in the last half-century" by the UN Secretary-General in July 2000 — continues to inspire hopes that the model of economic and functional co-operation can be applied elsewhere in the world as a basis for regional or sub-regional "security communities" within which major conflict becomes impossible. At the same time, the EU and the European Commission (EC), in their own international activities, have a special interest and capacity for supporting regional co-operation and consultation efforts elsewhere, on a region-to-region basis.

Therefore the **EU's** own capacity to address CPRM issues from regional funding mechanisms and programmes is fairly strong in theory. The EU has a series of programmatic and financial instruments to encourage the integration of CPRM into development assistance. These are relevant for regional approaches:

- Guidelines for implementation of the Common Framework for CSPs (2001) -iQSG;
- IQSG Programming Fiche on Conflict Prevention;
- European Instrument for Democracy and Human Rights;
- Development Cooperation Instrument
- Africa Peace Facility
- Instrument for Stability (2008-2013) (relevant for 10<sup>th</sup> EDF)
- European Neighbourhood and Partnership Agreement.

The EU also has some qualified staff, training courses for other staff, CPRM related policies that apply to programming, as well as specific programming guidance for CPRM (IQSG Programming Fiche on Conflict Prevention).

#### **5.4 Strategic Framework for CPRM in the ESA-IO Region<sup>32</sup>**

Conflicts in Africa and the political agenda of the EU and its Member States have always been strongly linked. Strengthening regional security and regional development through regional economic and political integration are declared priorities for the EU in Africa<sup>33</sup>. The Cotonou Agreement (2000) includes a solid legal base for conflict prevention as integral to EU development assistance approaches. The joint EU Africa Strategy (2007) provides, together with the Cotonou Agreement and the EU development policy, an over-arching policy framework in which institutional support to and integrated capacity building for regional organisations in Africa form part of all the policy and political objectives.<sup>34</sup>

Article 1 of the Cotonou Agreement states that the agreement is signed to promote and accelerate economic, social and cultural development of the ACP States, to contribute to peace and stability and to promote a stable political and democratic environment. Article 11 of the agreement defines the policies that can be undertaken in favour of peace-building policies, conflict prevention and resolution. Article 11 further commits the parties to pursue an "*active, comprehensive and integrated policy of peace building and conflict prevention and resolution within the framework of the partnership*".

The same article introduces important innovations on capacity building at the Regional, sub-regional and national levels; on addressing the root causes of conflicts, on strengthening democratic legitimacy; on conciliation of group interests; on support to active civil society; on support to mediation, negotiation and reconciliation; on controlling arms trade; and on post conflict reconciliation. Special emphasis is put on widening the role of actors of the Partnership, through networking and exchange of expertise and information.

The EU Common position on Conflict Prevention in Africa (2005/304/CFSP) of 12 April 2005 emphasises how the primary responsibility for prevention, management and resolution of conflicts on the African continent lies with Africans themselves, in particular the AU and the regional organizations. In its Communication to the Council 'EU-Africa dialogue', issued in July 2003, the Commission describes the strategic partnership between the two continents and further proposes concrete steps for the EU to take to become a solid partner of the African Union in peace and security. It notably mentions the need to support the development of the newly established AU Peace & Security Directorate capacities, which is competent for conflict prevention issues, including early warning systems and peace support operations.

The COM(2005) 489 "EU Strategy for Africa: Towards a Euro-African pact to accelerate Africa's Development" outlines the EU priorities for attaining the MDGs. Among these, priorities aimed at fostering peace and security (first category) include: a) **A comprehensive approach to conflict prevention** and integration of policies and actions in the field of security, development and democratic governance, where the national and regional Early Warning Systems will play a crucial role; b) an integrated approach to address the proliferation of **Small Arms and Light Weapons (SALW)** as well as landmines; c) **With respect to conflict resources**, the EU will

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<sup>32</sup> Drawn from section 1.1. "strategic framework" from the FP-EDF Project – Conflict Prevention Programme in the ESA Region (10 million under EDF 9 ESA Regional Indicative Programme)

<sup>33</sup> Agreements and declarations in this regard include, among others, Cotonou (2000), Common Position on Conflict Prevention in Africa (2001), EU Strategy for Africa (2005), Africa Peace Facility (2003), Joint EU-Africa Strategy (2005).

<sup>34</sup> Under the provisions of the Cotonou Agreement, the regional programming of EDF 9 for the Eastern and Southern African (ESA) and Indian Ocean (IO) region was undertaken as a joint effort of the Common Market for Eastern and Southern Africa (COMESA), the Indian Ocean Commission (IOC), the East African Community (EAC) and the Intergovernmental Authority on Development (IGAD). Under EDF 8, East Africa was one region, and Indian Ocean another.

continue to promote an effective implementation of the 'Kimberley Process Certification Scheme for diamonds as well as of the EU Action Plan for Forest Law Enforcement, Governance and Trade (FLEGT), which sets out an innovative approach to tackling illegal logging, linking good governance in developing countries with the legal instruments and leverage offered by the EU's own internal market.

In relation to the regional bodies themselves in the ESA region, the response strategy to complex conflict related issues has been to address relevant aspects of the conflict cycle taking into account each organisation's competence and mandate. For example, IGAD conflict management and resolution (e.g., Somalia and Sudan) and early warning (CEWARN); COMESA's specialisation in regional economic integration because they have the best competence for addressing economic aspects of war, i.e. the war economy including early warning; and EAC with its sectoral Council on Defence and meetings of EAC police chief are well placed to address problems relating to SALW. The AU has the responsibility for continental harmonisation, thus the AU coordinator will ensure development of synergies, lessons learned and information sharing.<sup>35</sup>

Donors have generally been slow to adjust their country-based approaches to geographical areas that require regional, rather than country by country approaches. The EU, as a leader in this area for some sectors, has made some attempts to apply a regional approach to CPRM in Africa. However, the bulk of this focus between 2001 and 2007 has been on the Western and Central Africa regions. There is no EU CPRM strategy which covers the ESA-IO region, though there is currently a strong sub-regional peace strategy for the Horn of Africa set out by the Commission<sup>36</sup> in the Regional Political Framework for the Horn of Africa and an EU Action Plan for its operationalisation. It builds on previous work under EDF 8<sup>37</sup> in support of the OAU liaison mission for the Ethiopia-Eritrea peace process. In line with this strategy, a large programme (€10 million) for CPRM institutional capacity development, mostly directed towards IGAD, was approved in 2007 under EDF 9<sup>38</sup>. It builds on work carried out under EDF 8<sup>39</sup>, mostly addressing capacity of IGAD to address CPRM.

The 2006 Horn of Africa Strategy provides the strategic framework for the bilateral cooperation between the EC and IGAD. It also puts in place a broader framework for cooperation between the European Union as a whole and the whole IGAD region. This supports the EU Strategy for Africa where "peace and security" and "legitimate and effective governance" are identified as essential prerequisites for stability and development. The framework focuses on a *limited* number of critical strategic goals with regard to key regional and cross-border issues including the needs and problems of pastoralist communities. In addition, €250 million have been allocated to the Africa Peace Facility from EDF 9 (Darfur), though this allocation will not be counted as aid spending in DAC aid statistics, and will not be part of this evaluation.

CPRM focus over the 8<sup>th</sup> and 9<sup>th</sup> RIPs refers to the regional strategic framework established by the EU itself and complements the attention CPRM is given in each Country Strategy Paper (CSP).

<sup>35</sup> from section 2 (Regional Context) page 7 of Financing Proposal for the EDF9, conflict prevention, management and resolution for the ESA-IO Region (via IGAD) €10,000,000.

<sup>36</sup> Ref: Strategy for Africa: An EU regional political partnership for peace, security and development in the Horn of Africa {SEC(2006)1307}.

<sup>37</sup> Support OAU Liaison Mission Ethiopia-Eritrea Peace – €850,000.

<sup>38</sup> Project 65, year 2007, on-going, EDF9, conflict prevention, management and resolution for the ESA-IO Region (via IGAD) €10,000,000.

<sup>39</sup> IGAD conflict prevention resolution and management, output 1, ESA, post conflict peace building, €38 858, CPRM assessment IGAD – €200,000.

### **5.5 Activities for CPRM in the ESA-IO Region**

The allocations foreseen in the RIPs throughout the 8<sup>th</sup> and 9<sup>th</sup> EDFs show relatively little financial emphasis on the importance of Conflict Prevention, Resolution and Management (CPRM), though financial amounts have significantly increased from 8<sup>th</sup> to 9<sup>th</sup>. In Eastern Africa EDF 8 (1996-2001) only 0.8% was planned for NFA (including CPRM) against 5% original intentions for allocations. In ESA-IO EDF 9 (2002-2007) CPRM was allocated 3.6% planned against originally planned 10-15% allocated (then modified in Addendum). The programming under the 8<sup>th</sup> and 9<sup>th</sup> EDF, even in relation to the content of the analysis in the RIPs, seems sparse, relatively speaking. This is true for CPRM specific activities, as well as attempts to include CPRM issues in other sector and non sector programming.

A more detailed consideration of the RIPs from the CPRM perspective reveals the following:

#### **8<sup>th</sup> EDF East Africa**

The RIP recognises the importance of addressing CPRM both generally, and in specific relation to Transport, Trade and Regional Integration; and Conservation of Natural Resources. It does not go into a great deal of detail as to how the CPRM related objectives and priorities might be carried out.

In more detail, the RIP stresses the objectives of deeper regional economic co-operation and integration, the development and consolidation of democracy and good governance, respect for the rule of law and guarantee of human rights (..) [paragraph 4 a)]. It urges [paragraph 4 c)] “strengthened regional solidarity, peace and security in order for people of the region to live and work together in peace and harmony. It reiterates (paragraph 5) that the overall objective for the RIP includes sustained development [...] “in order to secure peace and structural stability for East Africa. Since political instability and civil strife are prevalent within parts of the region, every effort should be made to support moves to prevent and resolve conflicts in a spirit of collective responsibility amongst the governments of the region. [...]” As a specific objective for Food Security (not addressed in this evaluation) and Conservation of Natural Resources, it agrees the priority and specific objective [paragraph 2.1.1.d)] “to offset the damage caused by conflict [...] and to seek to reduce the risk of conflict.” This is reiterated in the section addressing Transport, Trade and Regional Integration [paragraph 2.2.1].

Three projects were assigned CPRM macro sector codes; they all addressed post conflict peace building (UN), for an overall total amount of €1,088,858<sup>40</sup> out of a total €194 million.

#### **8<sup>th</sup> EDF Indian Ocean**

Amongst priorities presented [section II, page2] are development and consolidation of democracy and the rule of law, as well as respect for human rights and fundamental freedoms are presented as one priority; and strengthened regional solidarity. Though these issues contribute to CPRM, no specific mention is made of CPRM, violence or conflict issues. No allocations, unsurprisingly, are accorded to the CPRM sector for the Indian Ocean region under the 8<sup>th</sup> EDF.

#### **9<sup>th</sup> EDF ESA-IO**

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<sup>40</sup> i) IGAD CPRM Programme output 1 – €38,858; ii) CPRM Assessment of Capacities in the IGAD region – €200,000; iii) Support to the OAU Liaison Mission Ethiopia-Eritrea Peace Process – €850,000.



Non-focal areas of the 9<sup>th</sup> EDF RSP/RIP for the ESA-IO region include programmes in conflict prevention, resolution and management, as well as capacity building, higher education and culture. These together were to be allocated between 10 and 15% of the financial envelope of €223million. Under Section 1 (EC Regional Cooperation Principles and Objectives) paragraph 6, no mention is made of CPRM as a thematic or cross-cutting theme. Presumably because it has been included as a non-focal area.

As reported below in Appendix 1, the RSP/RIP mentions the CPRM related functional policies of the RIOs (Regional Integration Organisations) [COMESA, EAC, IGAD] and related priorities. It also mentions that the NEPAD strategy emphasises as a precondition for development “peace, security, democracy and good governance”. In the sub-section “Peace, Security and Conflict Prevention” it underlines progress in CPRM as a pre-requisite for poverty alleviation, and outlines the CPRM approaches/programmes of IGAD, COMESA and EAC.

### ***5.6 Other donor activities for regional approaches to CPRM in ESA-IO Region***

The International donor community is active at various levels in supporting operations aimed at achieving lasting peace on the African Continent. However, a report by Bradford University (2005), aimed at assisting the EC in the development of a framework for a regional political strategy found that donors find it difficult to address regional dynamics of political (and other) conflicts in Africa. Results of DAC Peer Reviews, including the recent review of the EC (released 2007), confirm these findings but also point to increased efforts across the board to come to grips with regional approaches to regional issues (including financing envelopes).

Donor coordination for CPRM is organised at the continental level with the AU. At the regional level, the IGAD Partners Forum provides a structured and tested donor coordination instrument. It has served well in supporting the Somalia and Sudan Peace process, and has addressed issues such as Counter Terrorism. It appears to be a fairly good coordinating mechanism for donors.

An increasing number of donors are involved in CPRM, particularly with IGAD where several EU MS (in particular Germany, Italy, Spain, the Netherlands and Denmark) are supporting *ad hoc* projects. The UK supports various activities both at national and regional level.. Other donors supporting IGAD are USAID and Canada, sometimes in joint initiatives with EU MS. For instance, GTZ and USAID promoted a Conflict Early Warning and Response Mechanism (CEWARN) for IGAD Region (almost half million Euro). COMESA has also benefited from an important project (Peace and Security Programme, more than 1 million Euro), promoted by USAID, aiming, among others, at supporting regional stability in the region by integrating and mainstreaming civil society organisations and private sector organisations in the promotion of peace & security.

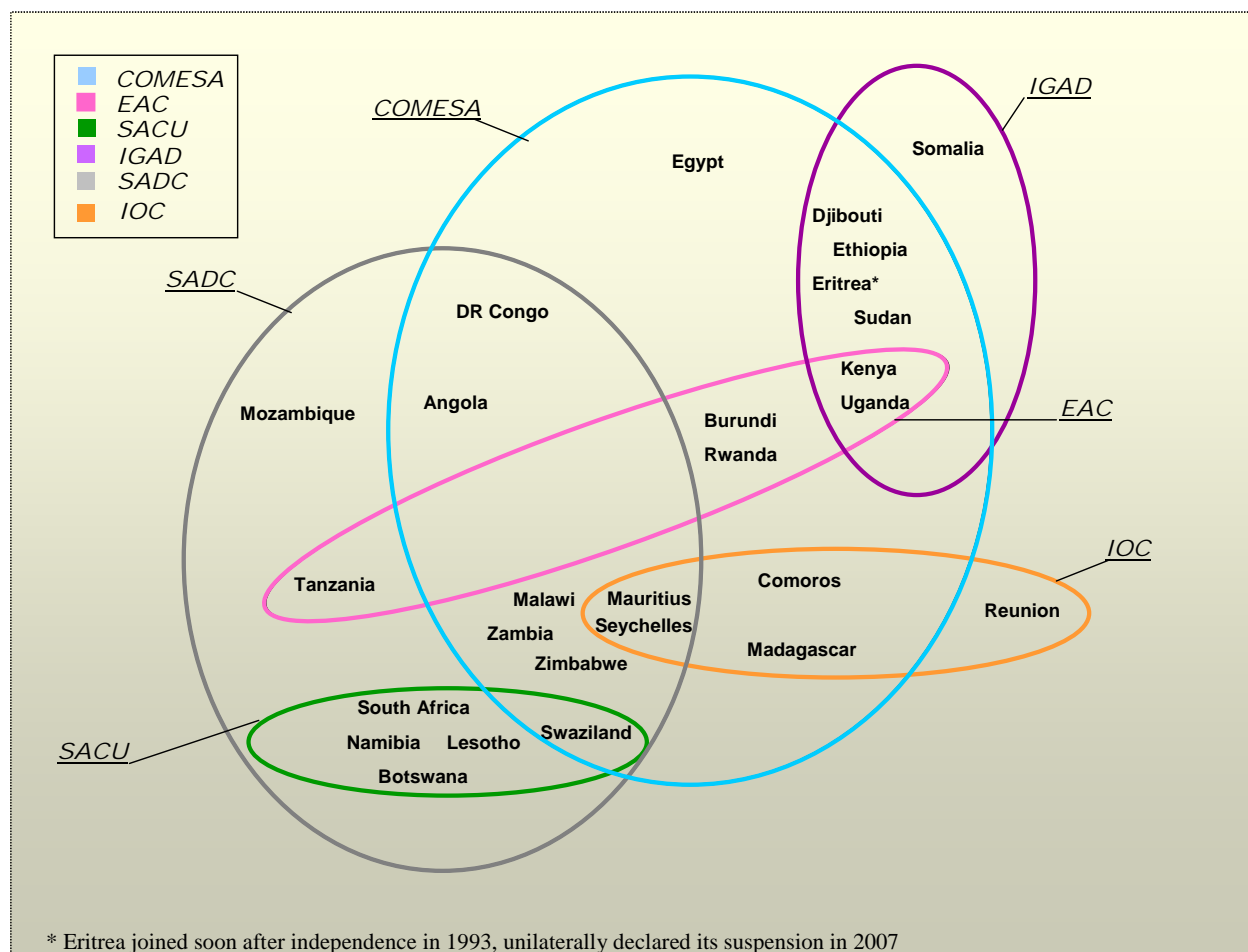
Other donors and international NGOs are active in the CPRM arena with other regional institutions, not just (primarily) IGAD. The field visit/interviews will help justify the EU's approach (e.g. Horn of Africa focus, and primarily IGAD focus) in relation to requirements in the region and other donor activities.



## APPENDIX 1: ESA IO REGIONAL ORGANIZATIONS

The African countries have a strong tradition of promoting regional cooperation and integration, with multiple regional organisations (ECOWAS, COMESA, ECASS, CEMAC, UEMOA, SADC, EAC, SACU and many others) across the continent and multiple membership to these regional bodies. At the same time, Africa has a disappointing history of progress in regional integration.

The ESA-IO region itself is characterised by a multiplicity of regional organisations, with significant overlapping geographical coverage and overlapping mandates and policy objectives. The main regional integration organisations (RIOs) within the region are: the Common Market for Eastern and Southern Africa (COMESA), the East African Community (EAC), the Intergovernmental Authority on Development (IGAD) and the Indian Ocean Commission (IOC). The first two – COMESA and EAC - are primarily aiming towards regional integration. IGAD, also has regional integration on its agenda though its mandate also focuses on conflict resolution, food security and gender issues. Finally the IOC does not have a specific mandate on regional integration and focuses mainly on regional cooperation in areas linked to natural resources management, despite this is will be referred to as a RIO. Although the ESA-IO Region comprises COMESA, EAC, IGAD and IOC, reference will also be made to the Southern African Development Community (SADC) which, although not part of this evaluation, shows significant overlaps in membership with three of the four RIOs of the ESA-IO region.



Source: Own elaboration based on information published on the RIOs websites.

Successful regional integration depends on a number of key political and institutional factors:

- Commitment of the political leadership of the member countries to the goal of regional integration
- Competence of the principle administrative institutions – the Secretariats;
- Effective involvement of stakeholders and non-state actors, in particular the private sector;
- Accountability and good governance of all relevant institutions as regards the resources available for regional integration.

These requirements pose enormous challenges for the ESA-IO countries and their RIOs. They also pose challenges for the EC development assistance programmes, most notably in the regional integration area. A quick overview of each of these four RIOs is provided in the following paragraphs to set out the context for the EC's development assistance programming, and therefore for this evaluation.

### **COMESA and its Policy Agenda**

COMESA was initially established in 1981 as the Preferential Trade Area for Eastern and Southern Africa (PTA), within the framework of the Organisation of African Unity's (OAU) Lagos Plan of Action and the Final Act of Lagos. The PTA was transformed into COMESA in 1994. The PTA was established to take advantage of a larger market size, to share the region's common heritage and destiny and to allow greater social and economic co-operation, with the ultimate objective being to create an economic community.

COMESA is an organisation of free independent sovereign states, which have agreed to co-operate in developing their natural and human resources for the good of all their people, the aims and objectives of which have been designed so as to try to remove the structural and institutional weaknesses in its member States by pooling resources together in order to sustain development efforts either individually or collectively.

Today, COMESA is one of the eight regional groupings<sup>41</sup> considered to be the building blocks of the future African Economic Community as defined in the Abuja Treaty, and currently covers all the countries of the ESA-IO region with the exception of Tanzania and Somalia.

The implementation of the COMESA agenda is generally on track, progress has been made not only with the creation and enlargement of the FTA and with the adoption of a roadmap to attain the CET by 2008, but also in terms of regulatory and policy framework. Priority areas for the future, as outlined in the medium term Strategic Plan for 2007-2010, encompass – among others - private sector development, investment promotion, infrastructure development and peace and security. The medium term Strategic Plan for 2007-2010 explicitly recognises that COMESA's economic integration process cannot take place in isolation and has to take into account its relationship with its cooperating and trading partners. To this end, it has placed great emphasis on the one hand on the harmonisation of regional policies and programmes implemented by regional organisations (SADC, IGAD, EAC and IOC) as clearly stated by goal 5 of the strategic plan, and on the other, on the EPA negotiation process.

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<sup>41</sup> The other ones being ECOWAS, CENSAD, SADC, COMESA, EAC, UMA, ECCAS, and IGAD.

<b>Table 5.9: COMESA Medium Term Goals at a Glance (2007-2010)</b>		
<b>ORIENTATION 1: CONSOLIDATION OF ACHIEVEMENTS</b>	<b>ORIENTATION 2: LAUNCH PROGRAMMES ON COMMON MARKET</b>	<b>ORIENTATION 3: POSITIONING OF COMESA AS A ROBUST REGIONAL COMMUNITY</b>
Goal 1: The customs union is in place in 2008	Goal 1: Common policies and measures to promote investments are developed and adopted	Goal 1: Comprehensive regional programmes in peace, security, democracy and good governance are adopted
Goal 2: Negotiating capacities in multilateral trade are strengthened	Goal 2: Medium to long-term regional energy master plan and regional energy generation is developed and adopted	Goal 2: Protocols on free movement of people and labour and visa relaxation enter in force and are operationalised
Goal 3: Capacities to develop and adopt harmonised standards and enhance sanitary and phytosanitary standards	Goal 3: Priority investment infrastructure master plan is implemented and regional projects in transport and communications are in place	Goal 3: Civil society and private sector organisations capacities to support COMESA's regional integration agenda are strengthened
Goal 4 Capacity to produce and analyse statistical data at national statistical bureaux are enhanced.	Goal 4: Trade in services is facilitated within member states	Goal 4: An information society is promoted within the common market
Goal 5: Regional policies and programmes implemented by regional organisations (SADC, IGAD, EAC and IOC) are harmonised	Goal 5: Business information exchange for SMEs are enhanced through "centres of excellence"	Goal 5: Cooperation with bilateral and multilateral development partners are strengthened
Goal 6: Macroeconomic convergence is attained	Goal 6: Competition policy is in force	Goal 6: A programme of cooperation in science & technology between member states is developed
Goal 7: Costs of transportation are reduced through trade and transit transport facilitation instruments		
Goal 8: Gender equality and equity is mainstreamed at all levels of regional integration and cooperation		
Goal 9: Institutional capacities to respond to emerging global and regional issues are strengthened COMESA is certified iso 9001		
<i>Source: COMESA Medium term Strategic Plan for 2007-2010</i>		

### **EAC and its Policy Agenda**

The Treaty for the Establishment of the East African Community (EAC) was signed in November 1999 and entered into force in July 2000 following its ratification by the Original 3 Partner States – Kenya, Uganda and Tanzania, joined in 2007 by the Republic of Rwanda and the Republic of Burundi.

The EAC aims at widening and deepening co-operation among the Partner States in, among others, political, economic and social fields for their mutual benefit. Overall, EAC's integration agenda – as defined by its Treaty and the latest EAC Development Strategy 2006-2010 – encompasses a wide range of areas, from cooperation on political, defence and security matters to macro-economic and trade matters, to the definition of sectoral priority interventions in the areas

of agriculture and food security, industry, tourism and wildlife, infrastructure, health and education among others.

Over the last years, EAC has mainly focused its activities on the establishment of its Customs Union that commenced in 2005 and is now working towards the establishment of a Common Market by 2010, to be followed by a Monetary Union by 2012 and ultimately a Political Federation of the East African States.

Similarly to COMESA, EAC needs to take into account not only the needs and objectives of its member states but also the harmonisation of its policies with those of other RIOs, as four of its members are also members of COMESA while the fifth member - Tanzania – is also a member of SADC. Nevertheless, unlike COMESA, it benefits from having only a small number of member countries and is driven by ownership and strong political commitment of its members.

**Table 5.10: EAC Development Strategy at a Glance 2006-2010**

	<b>Sectoral priorities</b>	<b>Development Objectives:</b>
1.1	Cooperation in Political Matters, Defence and Security	Good neighbourliness as a basis for promoting peace and security in the region promoted and maintained.
1.2	Consolidating and Completion of the Implementation of the Customs Union	EAC Customs Union fully implemented.
1.3	Establishment of the East African Common Market	Allowed free movement of people, capital, labour, services and right of establishment of residence
1.4	Laying the Foundation for Establishing the Monetary Union	A foundation is laid for which the EAC Monetary Union could be fully implemented and a single currency in place in the next phase (2011-2015).
1.5	Laying the Foundation for Establishing a Political Federation	A foundation is laid through establishment of relevant regional structures.
1.6	Macro-Economic Convergence	Macro-economic convergence achieved for ease of Common Market Operations and, subsequently, a single currency.
1.7	Capital Markets	Capital Markets fully liberalised
1.8	Development of Competitive Supply Capacities	Promoted value addition, productivity and competitive agricultural supplies to realise cross border trade for sustainable food security. Promoted balanced and competitive industrial/manufacturing sector in the region. Maximised benefits from sustainable tourism and wildlife resources.
1.9	Development of Lake Victoria and its Basin	Promoted sustainable development of Lake Victoria Basin livelihoods
1.10	Science and Technology	Developed and strengthened national systems of innovations in order to drive sustainable socio-economic development and rapid achievements of the goals of EAC.
1.11	Human Resource Development	Developed and sustained human capabilities
1.12	Combating HIV and AIDS Pandemic	Reduced incidences of HIV and AIDS infection and its socio-economic impact in the region
1.13	Promoting Participation, Publicity and Marketing	Promoted participation of the citizenry (civil society, women and the private sector) and having them fully aware of the East African Community affairs.
1.14	Relations with Other Regional and International Organisations	Strengthened relations with other regional and international organisations
1.15	Environment and Natural Resources	Established sustainable environmental management and economic utilization of natural resources.

1.16	Provision of Adequate and Reliable Supporting Infrastructure	Improved road connectivity and operations across the region. Maximised benefits of a safe, secure and efficient air transport system in the region Maximised benefits from an efficient railway system Have in place efficient, safe and secure maritime operations. Have in place expanded and upgraded meteorological services in the region. Information and Communication Technology integrated into regional development initiatives. Increased access to sufficient, reliable, affordable and environmentally sound energy sources in the region.
1.17	Health	Strengthened an expanded collaboration in the health sector
1.18	Education	A completely harmonized E. African education system for enhancement of a productive and productive human resource
1.19	Urban Development and Housing	Achieve smooth transition from rural to urban settlements and promote decent
1.20	Legal and Judicial Affairs	Strengthened and expanded cooperation in Legal and Judicial affairs.
1.21	The Council/ The EAC Summit	Ensured expeditious and effective decision-making with respect to EAC affairs, thereby enabling acceleration of the pace of East African integration.
1.22	EAC Secretariat Institutional Capacity Development	Strengthened capacity and enhanced mandate of the EAC Secretariat
1.23	Capacity Development for the East African Legislative Assembly (EALA)	Strengthened capacity and enhanced mandate of EALA
1.24	Capacity Development for the East African Court of Justice (EACJ)	Established an effectively operational EACJ in the E.A Common Market
1.25	Development of Lake Victoria Basin Commission	Established an effectively operational LVBC
1.26	Development of the Lake Victoria Fisheries Organisation	Established an effectively operational LVFO
1.27	Re-Development of the East African Development Bank	EADB becomes a truly lead financial institution in Eastern Africa for both public and private development finance.
1.28	Re-Development of the Inter-University Council for East Africa (IUCEA)	The IUCEA reformed into an all-embracing Research and Human Resource Development institution for Eastern Africa.
1.29	Development of the East African Policies/Laws/Standards	Formulated in place East African policies, plans, laws and standards needed for a smooth operation of the E.A Common Market.
1.30	Management of the EAC Strategy 2006-2010	To engender forward-looking, integrated and participatory implementation strategy of the EAC Development Strategy 2006-2010

Source: EAC Development Strategy 2006-2010

## IGAD and its Policy Agenda

The Intergovernmental Authority on Development (IGAD) was created in 1996 to supersede the Intergovernmental Authority on Drought and Development (IGADD) with the aim of revitalising IGADD and expand cooperation among member states. IGADD in turn, was founded by six countries in the Horn of Africa - Djibouti, Ethiopia, Kenya, Somalia, Sudan and Uganda - in 1986 to promote a regional approach aimed at supplementing national efforts to cope with recurring and severe droughts and other natural disasters which occurred between 1974 and 1984 causing widespread famine, ecological degradation and economic hardship in the Eastern Africa region. The State of Eritrea became the seventh member after attaining independence in 1993.

The IGAD mission - and related policy agenda as defined by its Strategy and Implementation Plan for 2004-2008 - is to assist and complement the efforts of the Member States to achieve, through increased cooperation: i) Food Security and environmental protection; ii) Promotion and maintenance of peace and security and humanitarian affairs; and iii) Economic cooperation and integration. However, whereas the first two pillars of the strategy are areas on which IGAD focuses its activities, with an increasing role in peace and security matters (see Table 5.11) with regards to the third pillar it has embraced and is applying the trade liberalisation and facilitation programme of COMESA.

<b>Table 5.11: IGAD Priority sectors and Programs</b>
<p><b>1. AGRICULTURE AND ENVIRONMENT SECTOR</b></p> <p>Widespread food insecurity and environmental degradation are major problems in the IGAD region. It is estimated that of the 160 million inhabitants of the region, at least 20 million are chronically food insecure. To address this problem within the context of the 1996 World Food Summit and in a sustainable manner, every effort will be made to increase food production and reduce environmental degradation.</p> <p>Over 80 percent of the population in the region derive their livelihood from agriculture and therefore factors that affect land productivity directly impact on the welfare of the population. Most of these factors are intra-regional, but there are also significant causes of food insecurity that are external to the region. To address the problems of food insecurity and environmental degradation, IGAD will focus on three programme areas: The three programme areas in the agriculture and environment sector are briefly described below.</p> <ul style="list-style-type: none"> <li>a) <b>Agricultural development and food security program</b></li> <li>b) <b>Natural Resources Management Program</b></li> <li>c) <b>Environment Protection Program</b></li> </ul>
<p><b>2. POLITICAL AND HUMANITARIAN AFFAIRS SECTOR</b></p> <p>The IGAD region experiences immense sufferings as a result of man-made and natural disasters. The Region has experienced more than its share of intra and inter-state conflicts, some of which have lasted for more than four decades. These conflicts have resulted in millions of deaths and massive displacements of peoples with all its humanitarian consequences. The following illustrates only a glimpse of the magnitude of the humanitarian problems resulting from the intra and inter-state conflicts and natural disasters in the IGAD sub-region:</p> <ul style="list-style-type: none"> <li>a) <b>Conflict Prevention Management and Resolution Programs</b></li> <li>b) <b>Humanitarian Affairs Programs</b></li> </ul>
<p><b>3. ECONOMIC COOPERATION SECTOR</b></p> <p>[.....] The IGAD countries economies are essentially producers of primary raw materials, most of which attract only low prices on the international markets and are susceptible to externally influenced price fluctuations. The level of trade of the African countries including IGAD region remains dismally low at about 1% of the global international trade and mainly in the lowly priced agricultural commodities.</p>



Moreover, the level of intra-regional trade among the IGAD Member States remains low. Their markets are not inter-linked. Also, the interlinkages with and between the international markets and IGAD region are weak. Globalisation trends of the world economy pose major constraints for the IGAD region. However, they also offer potential for benefits if they are followed with appropriate policy measures and structural changes in a combined effort. IGAD mandate accorded high importance to economic cooperation and integration. In light of the importance given to this sector by IGAD policy organs, the provisions of the mandate on economic cooperation that are set forth in Article 13 A (Areas of Cooperation) of the Agreement Establishing IGAD cover a broad scope of functions. Given its lean staff, the IGAD Secretariat has opted to narrow its focus by concentrating its efforts on Trade and Transport and Communications.

**a) Trade**

**b) Transport and Communications**

*Source: IGAD Strategy, October 2003*

### **IOC and its Policy Agenda**

The Indian Ocean Commission (IOC) is an intergovernmental organization that joins Comoros, Madagascar, Mauritius, the Seychelles, and Reunion Island together to encourage cooperation. It was started in January 1984 under the General Victoria Agreement with the objective of strengthening the links between the peoples of its member states and improving their standard of living through the promotion of regional cooperation in a number of areas: diplomacy, economy, trade, agriculture, fishing, conservation of resources and ecosystems, culture, science and education.

Although its member states present a number of common characteristics: small size, remoteness from large markets and high economic vulnerability to economic and natural shocks, in terms of development they have little in common, presenting very significant disparities<sup>42</sup>.

The original objective of the IOC has progressively evolved to take into account the changing needs of its members states in the face of increasing globalisation vis à vis the constraints that characterise small and vulnerable island economies, as well as the increasing importance played by other regional organisations, above all COMESA and SADC. To this end, and in line with its original objectives, the IOC Council has launched (January 2005) a new strategic framework based on the following four pillars: i) political and diplomatic cooperation; ii) economic and trade cooperation; iii) regional sustainable development; iv) promotion of the regional cultural identity.

In view of the common challenges and problems posed by globalisation, the IOC collaborates with other regional organisations, among them: COMESA, IGAD, EAC, CARICOM and the Pacific Islands Forum. Despite the fact that the IOC does not have a specific mandate on regional integration and adopts the COMESA liberalisation and facilitation programme, it has played an effective role as a building block for regional integration.

<sup>42</sup> Reunion (not an ACP member state) is part of the developed world, Comoros and Madagascar are members of the group of LDCs; while Mauritius and the Seychelles are Middle Income Country.

**Table 5.12: IOC Priority sectors and Programmes**

<p>En conformité avec les Objectifs du Millénaire pour le Développement (OMD), le Sommet mondial sur le développement durable de Johannesburg, le plan d'action de la Barbade et la Conférence internationale sur les Petits Etats Insulaires en Développement (PEID) qui s'est tenue à Maurice en janvier 2005, les orientations stratégiques de la COI s'inscrivent dans une perspective de développement durable et de lutte contre la pauvreté.                  Elles se définissent selon quatre axes prioritaires :</p>
<p><b>1. COOPERATION POLITIQUE ET DIPLOMATIQUE</b>                  La COI appuiera la stabilité régionale et la présence de l'organisation au plan international, par :</p> <ul style="list-style-type: none"> <li>1.1 le renforcement du dialogue politique et stratégique entre les pays membres ;</li> <li>1.2 l'accroissement de la médiation diplomatique et la participation au règlement des crises régionales ;</li> <li>1.3 l'observation des processus électoraux et le soutien à la bonne gouvernance ;</li> <li>1.4 le renforcement de la coopération en matière de lutte contre le terrorisme, les grands trafics et le mercenariat ;</li> <li>1.5 la défense des intérêts de la région par l'adoption de positions communes dans les enceintes internationales.</li> </ul>
<p><b>2. COOPERATION ECONOMIQUE ET COMMERCIALE</b>                  La COI facilitera, en vue d'une meilleure insertion dans l'économie mondiale, le positionnement des pays membres dans le processus d'intégration économique de la région Afrique orientale et australe, par :</p> <ul style="list-style-type: none"> <li>2.1 la défense des petites économies insulaires en développement au niveau régional et international, en particulier dans le cadre des négociations commerciales au sein de l'OMC et de la mise en œuvre du Plan d'action de la Barbade en tant que mécanisme de coordination des PEID ;</li> <li>2.2 la préservation des intérêts de la sous-région, d'une part, dans les processus d'intégration économique auprès du COMESA et le cas échéant de la SADC et, d'autre part, dans le partenariat avec l'Union européenne au niveau de l'Afrique orientale et australe ;</li> <li>2.3 la contribution à l'amélioration de la compétitivité et au développement du secteur privé ;</li> <li>2.4 la défense des intérêts communs des pays géographiquement isolés du continent, dans le cadre de l'initiative NEPAD de l'Union africaine ;</li> <li>2.5 l'attention portée à la situation particulière de la Réunion, région ultra-périphérique européenne, dans le cadre, notamment, des Accords de Partenariat Economique ;</li> <li>2.6 la valorisation économique des ressources naturelles communes.</li> </ul>
<p><b>3. DEVELOPPEMENT REGIONAL DURABLE</b>                  La COI soutiendra le développement durable de la région du Sud-Ouest de l'Océan Indien par :</p> <ul style="list-style-type: none"> <li>3.1 la protection des populations et l'amélioration de leur qualité de vie en matière de santé, de protection des enfants, de sécurité individuelle et collective, de lutte contre les catastrophes naturelles et de prévention des risques liés au réchauffement climatique ;</li> <li>3.2 la préservation des ressources halieutiques de l'Océan par une amélioration de la connaissance de ces ressources partagées, une rationalisation de leur gestion et un effort soutenu porté à la conservation de la biodiversité marine et côtière ;</li> <li>3.3 la préservation des ressources végétales et animales des pays membres par le renforcement de la lutte contre les organismes nuisibles aux végétaux et contre les épizooties.</li> </ul>
<p><b>4. RENFORCEMENT DE L'IDENTITE CULTURELLE REGIONALE</b>                  La COI appuiera le renforcement de l'identité culturelle régionale par :</p> <ul style="list-style-type: none"> <li>4.1 l'intensification des échanges culturels ;</li> <li>4.2 le renforcement de la coopération universitaire et de recherche ;</li> <li>4.3 l'accroissement des liens entre les organisations professionnelles, les associations, les organisations de femmes, les mouvements de jeunes, de manière à favoriser le rapprochement entre les peuples ;</li> <li>4.4 une meilleure circulation des idées et des personnes entre les Etats membres.</li> </ul>
<p><i>Source: Orientations stratégiques de la Commission de l'Océan Indien (COI), 2005</i></p>

## ANNEX6: EVALUATION MATRIX

In this final format, the evaluation matrix specifies for each question:

- ✓ The corresponding evaluation criterion;
- ✓ The coverage of the question by way of explanatory comments: what is it meant to capture?
- ✓ The judgment criteria, i.e. the criteria which allow to formulate answers to the questions.
- ✓ The indicators, i.e. the qualitative and quantitative factual information collected in order to validate the judgment criteria.
- ✓ The sources of information (only the type of document is indicated in the matrix, for the full bibliography see annex 2).
- ✓ The methods envisaged to extract the information required by the indicators.

Categories of methods used to extract information are ticked with reference to each indicator. Annex 7 presents the completed judgement criteria forms, where detailed findings are presented according to each indicator, accompanied - where relevant - by indications on the specific sources of information for each indicator. On the other hand, when answering to the evaluation questions along the JC, findings are presented in a more concise way and contain validation and judgement. In addition it should be noted that the information presented in the report has been cross-checked by the team, both through an individual process and through in-depth team discussions. Cross-checking of information has taken different forms, depending on the sources of information: i) across documents; ii) across different categories of stakeholders; iii) across documents and stakeholders; iv) between documents, interviews and focus groups. In the case of conflict prevention, resolution and management issues, an additional form has been used, i.e. cross-fertilisation and cross-checking of data with the team in charge of the 'Evaluation of EC aid delivery through Civil Society organisations'.

EQ1: To what extent are the regional strategies put in place by the 8 <sup>th</sup> and 9 <sup>th</sup> EDFs in the ESA-IO region relevant to the overall EC development strategies and coherent with the different EC policies affecting the region, in particular trade; and to what extent are they relevant to the African Union/NEPAD strategy and to the strategies of the different RIOs involved?										
Eva Criteria: Relevance, coherence						Approach to extract the information required by the indicators				
Explanatory Comments: The question includes a classical relevance question regarding the overall EC development strategy, the AU/ NEPAD regional development strategies, and the strategies of the different RIOs involved. With respect to the latter, the evaluators will consider the asymmetries of the mandates of the RIOs and their different political priorities. Then the questions addresses the specific issue of a coherent mix of EC policies in the region. This is particularly important with respect to the trade policies and the EPAs, that are a key policy instrument in the region.	Desk work	Interviews with						Focus Groups	data	Processing of quantitative
		EC Rep.	RIOs & TRCC	staff	TAs, PMUs, Project	ESA-IO MS Inst.	EU MS & other donors			
Documentary sources of info										
<b>J.1.1</b> The objectives of the RSPs are relevant to – and have adjusted to respond to changes in - the overall EC development strategies										
<b>I.1.1.1</b> RSPs/RIPs overall objectives are in line with the EU Consensus on Development, the Cotonou agreement and the Lomé IV Convention	- RSPs/RIPs, Cotonou & Lomé IV - EC trade & development policies	✓								
<b>J.1.2</b> There is coherence between the objectives of the RSPs, the EC development strategies and other EU policies affecting the region, in particular trade policies										
<b>I.1.2.1</b> RSPs/RIPs refer to and take into account other EC policies with external dimensions and other assistance instruments (trade policies and EPA negotiations, thematic budget lines, EIB funding, etc)	- RSPs/RIPs - Cotonou & Lomé IV - EC trade and development policies	✓	✓	✓		✓				
<b>J.1.3</b> The objectives and the institutional approaches of the RSPs (EDF 8 and 9) are consistent with - and relevant to - the African Union / NEPAD strategic framework and action priorities										
<b>I.1.3.1</b> ESA-IO RSPs/RIPs refer to – and take into account – the overall strategic priorities set out in the NEPAD * Interviews with AU Commission, relevant departments	- RSPs/RIPs - NEPAD, Abuja Treaty	✓	✓	✓	*					
<b>J.1.4</b> Objectives and institutional approaches of the RSPs (EDF 8 and 9) are consistent with and relevant to the different strategies and mandates of the RIOs involved and to their changing political priorities										
<b>I.1.4.1</b> Existence in the programming documents of an analysis of the political, economic and institutional situation of the area	- Programming documents;	✓								

<b>I.1.4.2</b> Alignment of EC objectives with the RIOs' strategies	- Regional strategic documents; regional development plans; - UNECA, external studies & reports	✓	✓	✓							
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**EQ 2: To what extent is the EC regional strategy in the ESA-IO, shared and owned by the different RIOs and their member states (including – to the extent possible - references to the levels of information and participation of the civil society), considering the overlapping membership and the ongoing coordination processes (IRCC) with their strengths and weaknesses? And to what extent has the EC put in place capacities and mechanisms (at both EC Delegation and Headquarters level) to further and promote dialogue and coordination with and among RIOs?**

<b>Eva Criteria:</b> Relevance, Efficiency	<b>Approach to extract the information required by the indicators</b>										
<b>Explanatory Comments:</b> The question covers the institutional capacity of the RIOs and the various regional beneficiaries to own and implement the RSP/ RIPs, as well as the EC capacity to support a coordinated and effective dialogue with them. In the formulation of the question the complexity of the regional institutional context is highlighted, with an explicit reference to the different RIOs, the national governments and the regional civil society. Such a complexity puts the issue of coordination at the centre of the question.. The issue is twofold: on the one hand it regards the RIOs and their coordinating body, the IRCC; on the other hand it regards the capacity of the EC actors to have a coordinated dialogue with the RIOs, as requested by the institutional framework identified by the RSP. Such a complexity puts the issue of coordination at the centre of the question.	Desk work	Interviews with						Focus Groups	Processing of quantitative data		
		Documentary sources of info	EC Rep.	RIOs & IRCC	TAs, PMUs, Project staff	ESA-IO MS Inst.	EU MS & other donors			academic&research inst	private sector,
<b>J.2.1</b> The IRCC, the different RIOs, and the respective member states show an active and deep involvement in the planning and implementation cycle of the RSP and RIPs. In this framework, the main actors of the civil society are informed and show significant levels of participation.											
<b>I.2.1.1</b> The implementation of RSP and RIPs represents a fundamental contribution to the RIOs strategies, according to their documents	- IRCC and RIOs statutes, strategies and management/coord. structures (organisation flowcharts, ...)	✓	✓	✓							
<b>I.2.1.2</b> There are clear and effective procedures through which RIOs and IRCC are involved in the planning and implementation cycle of the RSP/ RIPs	- IRCC and RIOs annual and monitoring reports	✓	✓	✓							
<b>I.2.1.3</b> RIOs have a systematic dialogue with their respective member states on the national implementation of the measures included in the RSP/ RIPs	- IRCC review reports - The cooperation agreement between the four RIOs;	✓		✓		✓					
<b>I.2.1.4</b> There is evidence of flows of information with - and involvement		✓		✓				✓			

of – relevant sector of civil society within the region with regards to the planning and implementation cycle if the RSPs/RIPs	- UNECA and NEPAD reports on the status of coordination between RIOs;									
<b>I.2.1.5</b> Consistency (level of) and similarity in the regional dimension of sector policies, strategies and priorities of ESA – IO Member States	- National and regional development plans;	✓	✓			✓				
<b>J.2.2</b> IRCC has the capacity and means to ensure coordination and harmonisation among RIOs including the resolution of possible conflicts arising as a consequence of divergent priorities and/ or overlapping membership.										
<b>I.2.2.1</b> RIOs and IRCC roles as foreseen in the RSP/ RIPs correspond to their actual mandate and capacities, including procedures, staffing, ...	- IRCC and RIOs statutes, strategies and management/coord structures	✓	✓	✓	✓					
<b>I.2.2.2</b> The action plans funded under the RIPs take into consideration the specific needs, requirements and limitations of each organisation and its member states (IRCC coordinating role), and the tasks are distributed accordingly	- IRCC and RIOs annual and monitoring reports, review reports - Programming documents;	✓	✓	✓	✓					
<b>I.2.2.3</b> Evidence of IRCC and RIOs ability to address divergent priorities among RIOs and their MS during the implementation of the RIPs related action plans	- The cooperation agreement between the RIOs; - Minutes of IRCC meetings and related docs	✓	✓	✓	✓	✓				
<b>J.2.3</b> The EC has put in place appropriate capacities and mechanisms to coordinate the position of the EC actors involved (mainly Delegations and Headquarters), and strengthen the dialogue with and within RIOs.										
<b>I.2.3.1</b> Specific and effective arrangements to strengthen the coordination role of the EC bodies are in place	- Joint Annual reports on cooperation between the EC & the ESA-IO region	✓	✓							
<b>I.2.3.2</b> Existence of an institutional framework and resources allowing the EC to address through policy dialogue both regional ESA-IO and specific RIOs priorities	- EC programming and other docs	✓	✓	✓			✓			

EQ3: To what extent are the EC regional and national programmes, in particular in the regional focal sectors, coordinated and complementary (including coordination and complementarity with the SADC RSPs)? And to what extent are coordination and complementarities with EU member states, as well as coordination and harmonisation with other main international partners sought and put in place (including issues of Community value added)?									
Evaluation Criteria: Complementarity, Coordination and Community value added					Approach to extract the information required by the indicators				
Explanatory Comments: This question regards coordination and complementarities: coordination and complementarities of the regional and national EC programmes, and of the ESA-IO with the SADC programme; coordination and complementarity of the regional EC programme with the regional programmes of the EU member states; coordination and harmonisation with the regional programmes of other main international partners.  As indicated by the European consensus, complementarity should be based on the specific EC value added. In this respect, the question addresses the issue of the EC value added <sup>43</sup> .	Desk work	Interviews with					Focus Groups	Processing of quantitative data	
		EC Rep.	RIOs & IRCC	TAs, PMUs, Project staff	ESA-IO MS Institutions	EU MS & other donors			
Documentary sources of info									
<b>J.3.1 RSPs/RIPs and CSPs/NIPs, and their implementation, in the regional focal sectors, demonstrate complementarity and are coordinated.</b>									
<b>I.3.1.1</b> Development strategies and indicative programmes at regional and country level show interrelations and cross references and are partly interdependent in the regional focal sectors	- RSPs/RIPs; - CSPs/NIPs;	✓		✓		✓			
<b>I.3.1.2</b> Effective coordination mechanisms at the different levels of the programming and implementation cycle are in place	- Analysis of the inventory of projects/programmes; - Existing evaluations of CSPs/NIPs - Existing sectoral evaluations	✓	✓	✓	✓	✓			
<b>J.3.2 RSPs/ RIPs in ESA-IO region and RSPs/ RIPs in the SADC region, and their implementation, are complementary and coordinated</b>									
<b>I.3.2.1</b> When the same sectors are involved, development strategies and indicative programmes in the two regions show interrelations and cross	- RSPs and RIPs (including SADC RSPs	✓	✓	✓					

<sup>43</sup> “The Community can be distinguished by its comparative advantage and added value, which enable complementarity with bilateral policies of Member States and other international donors”, in European Consensus..., page 17.



references	and RIPs)												
<b>I.3.2.2</b> Effective coordination mechanisms at the different levels of the programming and implementation cycle are in place	- SADC evaluation - Analysis of the inventory of projects/programmes	✓	✓	✓									
<b>J.3.3</b> In the focal sectors, RSPs/RIPs - and their implementation - demonstrate complementarity, and are coordinated with the regional programmes of the EU member states. More specifically, RSPs / RIPs and their implementation: i) highlight and respond to a specific comparative advantage of the EC; ii) foresee (and put in place) specific initiatives to enhance the EC's complementarity and coordination role between MS; iii) reflect the priorities of all MS and allows them to participate beyond their actual financial and technical engagement													
<b>I.3.3.1</b> There are complementarities, and/or divisions of roles between the EC and EU MS regarding their respective regional programmes, and/or with the regional dimension of national programmes of EU MS	- RSPs/RIPs; - EC regional programmes' documents;	✓	✓	✓				✓					
<b>I.3.3.2</b> Possible complementarities and/or divisions of role take into account and heighten the EC specific value added	- EU MS strategic and programme documents;	✓	✓										
<b>I.3.3.3</b> Effective coordination mechanisms at the different levels of the programming and implementation cycle are put in place	- Minutes of coordination meetings - Analysis of the inventory of projects/programmes	✓	✓	✓				✓					
<b>I.3.3.4</b> Dialogue fora and measures are in place to promote the harmonisation of aid delivery methods (see the following JC)	- Existing sectoral evaluations	✓	✓	✓				✓					
<b>J.3.4</b> Coordination and harmonisation are sought with the main international partners													
<b>I.3.4.1</b> Coordination procedures and joint assistance strategies are in place to ensure that RIPs and NIPs are coordinated and harmonised with main interventions supported by other donors	- RSPs/RIPs; - EC regional programmes' documents	✓	✓	✓				✓					
<b>I.3.4.2</b> Formal donor coordination mechanisms regarding the regional strategies and programmes are in place	- Donors strategic and programme documents	✓	✓	✓				✓					
<b>I.3.4.3</b> Harmonisation of aid delivery methods is sought and put in place, through joint funding mechanisms and procedures aimed at increasing the alignment with the recipient institutions	- Minutes of coordination meetings - Analysis of the inventory of projects/programmes - Existing sectoral evaluations	✓	✓	✓	✓			✓					



<b>EQ4: To what extent has EC support contributed to the effective establishment of a sound institutional and regulatory framework for regional trade liberalisation and economic integration (RTL &amp; EI), so as to achieve sustainable results by gaining the benefits of comparative advantage within the region and enhancing the competitiveness of the region?</b>													
<b>Evaluation Criteria:</b> Efficiency, effectiveness, sustainability					<b>Approach to extract the information required by the indicators</b>								
<b>Explanatory Comments:</b> The question is focused on the assessment of the outcomes at sectoral level, according to the proposed logic diagrams. This approach also allows the assessment of EC inputs and the degree of openness of the outcomes toward the impacts, bearing in mind that a different specific question (EQ 8) will assess the impacts of the programme. The question includes: the assessment of the actual ownership and implementation of the programme by the regional actors (outputs); the assessment of the sub-sectoral achievements (outcomes), i.e. those changes occurred in the institutional and economic environment in response (inter alia) to the outputs of the programme.; the assessment of the EC aid modalities, and; the assessment of cross-cutting implications in the design and the implementation of the sectoral programme. The question will also focus on whether EC interventions have been effectively and efficiently delivered (including the strengths and weaknesses of the different aid delivery modalities).					Desk work	Interviews with					Processing of quantitative data		
						EC Rep.	RIOs & IRCC	TAs, PMUs, Project staff	ESA-IO MS Institutions	EU MS & other donors		inst	Others: civil society, private sector, academic & research
					Documentary sources of info								
<b>J.4.1 Coordinated policies and plans for RTL&amp; EI have been put in place by RIOs and their member states</b>													
<b>I.4.1.1</b> Consistency of the sectoral policies and plans among the RIOs					- Reports of IRCC and RIOs;	✓	✓	✓	✓	✓			
<b>I.4.1.2</b> Coordination agreements and mechanisms in place					- MoU between RIOs	✓	✓	✓	✓	✓			
<b>I.4.1.3</b> Progress in dealing with the problems of overlapping membership of RIOs					- UNECA Reports, other reports	✓	✓	✓	✓	✓			
<b>J.4.2 The ESA-IO RIOs have the capacity to negotiate regional integration and the EPAs and to implement and benefit from the EPAs</b>													
<b>I.4.2.1</b> Trade negotiations between COMESA, EAC, IGAD and IOC resulted in signing of agreements between these RIOs and eliminated the problems of overlapping memberships.					- Reports of RIOs and other relevant RIO documentation; - EC reports of EPA negotiations	✓	✓	✓	✓				
<b>I.4.2.2</b> COMESA, EAC, IGAD and IOC have a common understanding on the EPAs and are coordinating their approaches to the EPA negotiations					- UNECA Reports	✓	✓	✓	✓				
<b>I.4.2.3</b> Negotiations between SADC and COMESA/ EAC are progressing appropriately as regards a single CU						✓	✓	✓	✓				
<b>J.4.3</b> Tariff and non-tariff barriers have been removed													

<b>I.4.3.1</b> COMESA and EAC tariff reduction schedules implemented	- Evidence of ratification and implementation of regional protocols and frameworks - Reports of RIOs;	✓		✓	✓	✓					
<b>I.4.3.2</b> Non-tariff barriers identified and removed		✓		✓	✓	✓		✓			
<b>I.4.3.3</b> Harmonisation of product standards and mutual recognition		✓		✓	✓	✓		✓			
<b>I.4.3.4</b> Tax reform to facilitate tariff cuts has been undertaken		✓		✓	✓	✓		✓			
<b>J.4.4</b> The Financial services have been reformed and the mechanics of monetary supervision and policy harmonized											
<b>I.4.4.1</b> Integrated regulatory framework for financial services	- Evidence of ratification and implementation of regional protocols and frameworks - Reports of RIOs	✓		✓	✓	✓		✓			
<b>I.4.4.2</b> Country level financial sector reforms		✓		✓	✓		✓				
<b>I.4.4.3</b> Progress towards the harmonisation of monetary supervision and policy		✓		✓	✓	✓		✓			
<b>J.4.5</b> EC's interventions have been efficiently delivered and new aid modalities are sought to increase efficiency and effectiveness											
<b>I.4.5.1</b> Interventions have been implemented as planned and have been cost-effective	- Programme documents; - External and internal reports, reviews, evaluations and monitoring reports - NIP project documents - Interviews	✓	✓	✓	✓			✓			
<b>I.4.5.2</b> The combination/ evolution of aid modalities show a search for enhanced alignment with RIOs and increased efficiency		✓	✓	✓	✓						
<b>I.4.5.3</b> NIP projects impacting on RI are harmonized with those of the RIP		✓	✓	✓	✓	✓					
<b>I.4.5.4</b> Complementarity between the different aid modalities is ensured in plans and execution		✓	✓	✓							
<b>I.4.5.5</b> The Contribution Agreements have shown a number of advantages in financing the sectoral programmes		✓	✓	✓							

EQ5: To what extent has EC support contributed to the effective establishment of a sound planning, regulatory and management system for <u>regional transport and telecommunication networks</u> , including the prioritisation and facilitation of road and rail rehabilitation projects, that will enable the achievement of the sustainable reduction of the transport and telecommunication costs and increase the overall competitiveness of the logistic chains in the regional market?										
Evaluation Criteria: Efficiency, effectiveness, sustainability					Approach to extract the information required by the indicators					
Explanatory Comments: The question is focused on the assessment of the outcomes at sectoral level, according to the proposed logic diagrams. This approach also allows the assessment of EC inputs and the degree of openness of the outcomes toward the impacts, bearing in mind that a different specific question (EQ 8) will assess the impacts of the programme. The question includes: the assessment of the actual ownership and implementation of the programme by the regional actors (outputs); the assessment of the sub-sectoral achievements (outcomes), i.e. those changes occurred in the institutional and economic environment in response (inter alia) to the outputs of the programme.; the assessment of the EC aid modalities, and; the assessment of cross-cutting implications in the design and the implementation of the sectoral programme. The question will also focus on whether EC interventions have been effectively and efficiently delivered (including the strengths and weaknesses of the different aid delivery modalities).	Desk work	Interviews with					Focus Groups	Data	Processing of quantitative	
		EC Rep.	RIOs & IRCC	TAs, PMUs, Project staff	ESA-IO MS Institutions	EU MS & other donors				academic&research inst
Documentary sources of info										
<b>J.5.1 Coordinated sectoral policies and plans have been put in place by RIOs and their member states.</b>										
<b>I.5.1.1</b> Existence of national and regional sector policies, strategies and frameworks	- National and regional sector policy and strategy documents	✓		✓		✓				
<b>I.5.1.2</b> Ratification and implementation of national and regional frameworks and protocols including harmonisation of regional transport regulations (eg axle loading, licensing, insurance, customs)	- Evidence of ratification and implementation of regional protocols and frameworks - Programme documents - External and internal reports, reviews, evaluations and monitoring reports.	✓		✓		✓				
<b>I.5.1.2 (bis)</b> Regulation regime and state of market liberalisation of telecommunications (this was previously indicated as I.8.2.3)	-	✓		✓		✓		✓		
<b>I.5.1.3</b> ESA – IO Member States support and adhere to the ‘ESA – IO Regional Transport and Communications Strategy and Priority Investment Plan’		✓	✓	✓	✓	✓				
<b>I.5.1.4</b> Partnership between ESA – IO, SADC and SSATP		✓		✓		✓		✓		

<b>I.5.1.6</b> SSATP RMI has been adopted by ESA – IO Member States		✓				✓				
<b>J.5.2</b> Inter-modal transport systems have been integrated into national and regional transport sector programmes										
<b>I.5.2.1</b> Evidence of consideration of inter-modal facilities at national and regional levels	- National and regional sector policy and strategy documents	✓		✓	✓	✓				
<b>J.5.3</b> The management of the transport and telecommunications network has been improved, and the logistic chains in the regional market appear more competitive										
<b>I.5.3.1</b> Trends in condition and usage of regional corridors (road, rail)	- Condition surveys of road and rail networks	✓		✓				✓		✓
<b>I.5.3.2</b> Trends in condition and usage of ICT infrastructure		✓		✓				✓		✓
<b>I.5.3.3</b> Trends in national funding for capital works and adequate maintenance of national networks	- Surveys on condition & usage ICT infrastructure	✓				✓		✓		✓
<b>I.5.3.4</b> Creation and use of regional funds	- Annual reports of highway and rail authorities and agencies	✓	✓	✓		✓				
<b>I.5.3.5</b> Trends in VOCs, passenger fares, freight cost and telecom user fees	- Annual reports of telecoms regulators	✓						✓		✓
<b>I.5.1.6</b> Regional and national transport associations and private sector actively involved in sector management	- Programme documents and reports	✓	✓	✓	✓	✓		✓		✓
<b>I.5.3.7</b> Main users perceive an overall improvement in access to – and use of - key parts of the regional transport and telecommunication networks	- Articles of association of regional and national transport associations & minutes of meetings							✓		✓
<b>J.5.4</b> EC regional interventions have efficiently contributed to improved regional transport and telecommunications services										
<b>I.5.4.1</b> Interventions and activities implemented as planned	- Programme documents;	✓	✓	✓	✓			✓		
<b>I.5.4.2</b> Evolution of changes in aid modalities	- External and internal reports, reviews, evaluations and monitoring reports.	✓	✓	✓	✓			✓		
<b>J.5.5</b> Cross cutting issues have been adequately considered in EC regional support to ‘Transport and Communications’										
<b>I.5.5.1</b> Consideration of cross-cutting issues during formulation and implementation of EC regional sector support programme – environment/natural resource management, gender, capacity building, HIV/AIDS, conflict issues/governance/peace, sustainability and M&E frameworks	- CSPs & NIPs for ESA-IO Member States - Programme documents - Annual reports	✓	✓	✓	✓			✓		

EQ6: To what extent has the EC regional cooperation strategy in the ESA and IO has contributed to <u>sustainable management of shared natural resources</u> and to resolution of common problems and threats?																		
Evaluation Criteria: Efficiency, effectiveness, sustainability					Approach to extract the information required by the indicators													
Explanatory Comments: The question is focused on the assessment of the outcomes at sectoral level, according to the proposed logic diagrams. This approach also allows the assessment of EC inputs and the degree of openness of the outcomes toward the impacts, bearing in mind that a different specific question (EQ 8) will assess the impacts of the programme. The question includes: the assessment of the actual ownership and implementation of the programme by the regional actors (outputs); the assessment of the sub-sectoral achievements (outcomes), i.e. those changes occurred in the institutional and economic environment in response (inter alia) to the outputs of the programme.; the assessment of the EC aid modalities, and; the assessment of cross-cutting implications in the design and the implementation of the sectoral programme. The question will also focus on whether EC interventions have been effectively and efficiently delivered (including the strengths and weaknesses of the different aid delivery modalities).					Interviews with					Focus Groups	Processing of quantitative							
					Desk work	EC Rep.	RIOs & IRCC	TAs, PMUs, Project staff	ESA-IO MS Institutions			EU MS & other donors	academic&research inst	Others: civil society, private sector,				
					Documentary sources of info													
<b>J.6.1</b> Regional (NRM) initiatives and networks have enhanced the capacity of national institutions and groups to adopt and implement national policies and harmonised regulatory framework.																		
<b>I.6.1.1</b> Established and operational national focal points, coordination and decision-making mechanisms					- EC & RIOs reports - Programme documents and reports					✓	✓	✓	✓	✓	✓			
<b>I.6.1.2</b> Existing scientific/technical networks for data and knowledge sharing					- National and regional sector policy and strategy documents					✓		✓	✓	✓	✓		✓	
<b>I.6.1.3</b> Formulated/adopted regional & national policies, legal instruments and enforcement mechanisms					- Internet and publications					✓	✓	✓		✓	✓	✓		
<b>I.6.1.4</b> Regional consensus (protocols & Multilateral Environmental Agreements)					- Evidence of ratification and implementation of regional protocols and frameworks					✓		✓		✓	✓			
<b>J.6.3</b> Knowledge, awareness and protection of valuable and threatened natural resources is enhanced in the participating countries and among the target groups																		
<b>I.6.3.1</b> Inventories and knowledge systems at regional, national and local levels					- EC & RIOs reports - Programme documents and reports					✓	✓	✓	✓	✓	✓			✓
<b>I.6.3.2</b> Quantity and quality of marine and terrestrial protected areas					- Regional networks fora & webpages					✓	✓	✓	✓	✓		✓		✓
<b>I.6.3.3</b> Cooperation among protected areas managers					- Media in ESA-IO					✓	✓		✓	✓				
<b>I.6.3.4</b> Environmental awareness and education initiatives										✓	✓	✓	✓	✓		✓		
<b>J.6.2</b> Regional cooperation networks and monitoring systems enhanced the countries preparedness to natural disasters and their response capacity for more sustainable NRM.																		

I.6.2.1 Early warning systems (water crisis, meteorology, food security, etc.)	- EC & RIOs reports - Programme documents and reports	✓		✓	✓	✓	✓	✓			
I.6.2.2 Trained people and acquired skills	- Articles, internet and other publications of regional cooperation networks	✓		✓	✓	✓		✓	✓		
J.6.4 Improved trends in the management systems of natural resources											
I.6.4.1 Practical and effective measures to limit the degradation process have been taken in several areas (fishery, coast, ...)	- Multilateral Fishery Agreements in the Indian Ocean, - .....	✓	✓	✓	✓	✓		✓	✓		
J.6.5 EC regional interventions have efficiently contributed to improved NRM in the region											
I.6.5.1 Interventions and activities implemented as planned	- Programme documents;	✓	✓	✓	✓			✓			
I.6.5.2 Evolution of changes in aid modalities	- External and internal reports, reviews, evaluations and monitoring reports.	✓	✓	✓	✓			✓	✓		
J.6.6 Programming and implementation in NRM, actively promotes shared use and improved management of NR and access to NR (land, water, etc.) for neighboring communities, thus reducing conflicts and risks among countries and stakeholders.											
I.6.6.1 Natural resource management projects address environment related structural causes of conflict and resources fuelling violent conflict (access and tenure rights, dispute solving mechanisms, transparency initiatives, guiding business activities, scarcity/abundance power relations);	- RSPs/RIPs, RIOs strategy and policy documents - EC and RIOs Programme documents and reports - Annual reports, mid-term reviews	✓	✓	✓	✓	✓		✓		✓	
I.6.6.2 Protocols and management instruments for shared NR	- CSPs & NIPs for ESA-IO Member States - Programme documents - Annual reports	✓	✓	✓	✓	✓		✓			

EQ7: To what extent has EC support helped establish regional CPRM strategies, and improved capacity to prevent, resolve and manage conflicts in the region, and therefore enhance regional peace?									
Evaluation Criteria: Efficiency, effectiveness, sustainability				Approach to extract the information required by the indicators					
Explanatory Comments: The question is focused on the assessment of the outcomes at sectoral level, according to the proposed logic diagrams. This approach also allows the assessment of EC inputs and the degree of openness of the outcomes toward the impacts, bearing in mind that a different specific question (EQ 8) will assess the impacts of the programme. The question includes: the assessment of the actual ownership and implementation of the programme by the regional actors (outputs); the assessment of the sub-sectoral achievements (outcomes), i.e. those changes occurred in the institutional and economic environment in response (inter alia) to the outputs of the programme.; the assessment of the EC aid modalities, and; the assessment of cross-cutting implications in the design and the implementation of the sectoral programme. The question will also focus on whether EC interventions have been effectively and efficiently delivered (including the strengths and weaknesses of the different aid delivery modalities).  This question will cover the ways in which EC development assistance has reinforced capacity to prevent, resolve and manage conflict in the ESA-IO region. It will also examine whether EC programming (for regional integration and trade; transport; and natural resources management) has been conflict sensitive. Issues of capacity building, governance, gender, HIV/AIDS, and environment will be treated as cross cutting issues (relative weight to be attached during the analysis to the different cross-cutting issues will be determined in the remaining part of the desk phase).	Desk work	Interviews with					Focus Groups	Processing of quantitative data	
		EC Rep.	RIOs & IRCC	TAs, PMUs, Project staff	ESA-IO MS Institutions	EU MS & other donors			Others: civil society, private sector, academic&research inst
Documentary sources of info									
<b>J.7.1 Coordinated CPRM policies and plans have been put in place by RIOs and their member states</b>									
<b>I.7.1.1</b> Creation and implementation of regional or sub-regional CPRM strategies	- Regional sector policy and strategy documents	✓	✓	✓	✓			✓	
<b>I.7.1.2</b> Regional institutions (RIOs; RECs; NSAs) provide dialogue forum for sensitive issues	- Other IRCC and RIOs reports	✓	✓	✓	✓			✓	✓
<b>I.7.1.3</b> Mechanisms established / implemented to tackle conflict issues, such as illicit trafficking in goods, services, people, natural resources, and arms	*interviews will also be conducted with the AU Commission	✓	✓	✓	✓			✓	
<b>J.7.2. Capacity to exercise CPRM mandates and activities in the region is improved</b>									
<b>I.7.2.1</b> Activities in place to strengthen institutional capacity development for CPRM, for regional bodies	- IRCC and RIOs reports - Programme documents and reports	✓	✓	✓	✓			✓	
<b>I.7.2.2</b> Capacity of key institutions with regional mandates in CPRM		✓	✓	✓	✓			✓	✓

increased, and visible interventions taking place within conflict mediation										
<b>I.7.2.3</b> Capacity available to address gender related peace and security issues		✓	✓	✓	✓			✓	✓	
<b>J.7.3</b> Conflict analysis systematically applied in sectoral development and programming										
<b>I.7.3.1</b> EU programming in trade, regional integration, transport, and natural resources management uses conflict analysis, is conflict sensitive – and attempts to “Do no harm” – by actively avoiding unintended negative impact on potential conflict dynamics	- Strategic and programming reports of RIOs - RSPs/RIPs and CSPs & NIPs for ESA-IO Member States	✓	✓	✓	✓	✓		✓	✓	
<b>I.7.3.2</b> The private sector and other non-state actors are integral to programme design and delivery of projects for each focal sector	- Programme documents and reports - Annual reports	✓	✓	✓				✓		
<b>I.7.3.3</b> Regional institutions have increased use of conflict analysis as basis for regional policies and development		✓	✓	✓						
<b>J.7.4</b> EC's interventions have been efficiently delivered										
<b>I.7.4.1</b> The interventions have been planned and implemented as scheduled	- Programme documents - External and internal reports, reviews, evaluations and monitoring reports	✓	✓	✓	✓			✓		
<b>I.7.4.2</b> Appropriate aid modalities have been combined, developed and implemented		✓	✓	✓	✓			✓		
<b>J.7.5</b> CPRM has taken into account other important cross cutting issues										
<b>I.7.5.1</b> Consideration of cross-cutting issues during formulation and implementation of EC regional sector support programme – environment/natural resource management, gender, capacity building, HIV/AIDS, sustainability and M&E frameworks	- RSPs/RIPs, RIOs strategy and policy documents - EC and RIOs Programme documents and reports - Annual reports, mid-term reviews	✓	✓	✓	✓	✓		✓	✓	



**EQ8:** What have been the achievements in terms of increased trade in goods and services, NR related economic activities, investment and inter-regional movement of people, and what are their main determining factors? If significant achievements are registered, what has been the contribution from the sectoral changes supported by the EC strategy?

**Evaluation Criteria:** Impact, sustainability

**Explanatory Comments:** This question directly addresses the impacts of the activities supported by the EC in the four focal areas. The question will draw on answers to the other evaluation questions (4-7) focusing on the outcomes of the three focal and one non-focal areas and estimate whether further impact can be estimated to exist.

According to the effects diagram, the measures adopted in the focal sectors/ areas should contribute to a growth response of the entire economy and economic growth should have an impact on poverty reduction. Such a sequence of results should follow the logic set out below:

- a more integrated and liberalised economic environment, better infrastructure, improved resource management and stronger security and peace should contribute to the economic growth of the different sectors of the economy;
- such growth should contribute to poverty reduction, through different processes:
  - reducing income poverty, especially through an increase in farm incomes and general employment;
  - reducing non-income poverty, through an increase of the governments' resources and capacity to provide services for the poor; and
  - empowering the poor in the regional societies, through the establishment of better conditions of peace and democracy (including gender equality, HIV/AIDS reduction, etc.).

The question should ascertain:

1. what kind of progresses have been made in terms of actual economic growth (see the medium-term impact in the IL). Beyond the GDP indicators, various complementary economic indicators will be considered, especially those regarding trade, transport, capital and persons' flows;
2. the actual links of the progresses (or non progresses), made as from the point 1 above, with the achievements (or non-achievements) in the focal sectors of the regional programme (see the outcomes in the IL). Here the effect on the economic growth of the various outcomes (positive or negative) of the programme will be discussed, building on available data and informed advice. Such an exercise should allow the identification of contribution links (and their relative strength) between the outcomes of the programme and the economic changes occurred;
3. what kind of progresses have been made in the fields related to poverty reduction all over the region. To facilitate such an assessment the statistics related to the progress made in the MDGs will be used; the usefulness of tracking progress at country and/or sub-regional level (EAC, COMESA, etc) will also be assessed.
4. the actual links of the progress (or non-progress) made in economic growth with the achievements (or non-achievements) in terms of poverty reduction, as from the point 3 above. This will be done considering the main features of the economic growth, i.e. the levels of the growth, the main sectors and sub/sectors involved and their capacity to affect the poor, and the change in the national policies of the governments (adoption of PRSP and their effective implementation according to existing evaluations).

		Approach to extract the information required by the indicators								
		Desk work	Interviews with						Focus Groups	Processing of quantitative data
			EC Rep.	RIOs & IRCC	TAs, PMUs, Project staff	ESA-IO MS	EU MS & other	Others: civil society, private sector, academic&research inst		
Documentary sources of info										
<b>J.8.1</b> Export and intra-regional trade volumes increased										
I.8.1.1	Volume of merchandise trade increased within and between RIO regions	- Trade statistics	✓						✓	
I.8.1.2	Increased share of world markets		✓						✓	
<b>J.8.2</b> Increased access to - and improved competitiveness of - the telecommunication networks.										
I.8.2.1	Trends in use of telephones (mobile and fixed line)	- Communications statistics;	✓						✓	
I.8.2.2	Trends in use of internet (including availability of broad band services)	- Evidence of ratification and implementation of regional protocols and frameworks	✓						✓	
I.8.2.3	Evidence of reduction of N-S digital divide		✓				✓		✓	
<b>J.8.3</b> Increased cross border and international investment										
I.8.3.1	Trends in foreign investment flows within and between regions, and with the outside world	- Foreign investment statistics	✓						✓	
<b>J.8.4</b> Access to transport services (freight and passenger) has increased at affordable levels										
I.8.4.1	Trends in cross-border flows (freight and passenger)	- Transport statistics	✓				✓		✓	
I.8.4.2	Trends in cargo movement at sea, riverine and inland ports		✓				✓		✓	
I.8.4.3	Trends in waiting times at ports, cross-shipment locations and borders		✓				✓		✓	
I.8.4.4	Trends in free passage of persons (visa/passport requirements, labour rights, work permits etc)		✓				✓		✓	
<b>J.8.5</b> Economic activities relying on NR conservation and security have increased										
I.8.5.1	The Multilateral Fishery Agreements in the IO and in the great lakes basins have enhanced the intra-regional and international fishery trade and related incomes	- Fishery and trade statistics for IO and lake Victoria - Tourism statistics	✓	✓	✓	✓		✓		
I.8.5.2	The coastal protection measures and the management of trans-	- Interviews at EC, RIOs and	✓		✓	✓	✓	✓		

boundary protected areas have allowed the continuation and development of tourism	countries									
I.8.5.3 Regional management of shared NR have reduced conflicts and disputes over access, exploitation incomes and pollution sources	- DG FISH, DG - CPRM related sources	✓	✓	✓	✓	✓		✓		
<b>J.8.6 The outcomes of the EC regional programme have contributed to the change in the economic growth indicators mentioned above.</b>										
J.8.6.1 Links between the outcomes of the sectoral RIP interventions (as from the answers to EQs 4, 5, 6, and 7) and the economic growth indicators in the region.	- Answers to EQs 4-7 - Macro-economic statistics - UNECA reports, World Bank reports, .....	✓								✓
J.8.6.2 Other national and regional factors which have contributed to the change in the indicators	- Scenarios of RIOs without EC support	✓								
J.8.6.3 Counterfactual considerations to highlight the weight of the EC contribution		✓								
<b>J.8.7 According to the intentions of the RSPs, there are links between economic growth and longer term poverty reduction</b>										
J.8.7.1 The status of the MDGs in the region	- RSPs/RIPs	✓						✓		✓
J.8.7.2 Direct impacts of the regional economic and institutional development on the MDGs: employment growth, environment protection; peace keeping and democracy.	- World Bank and other reports - Statistics on MDGs	✓						✓		
J.8.7.3 Other impacts of the regional economic and institutional development on the MDGs: social inclusion and empowerment, gender equality; ...		✓						✓		



**ANNEX 7: JUDGMENT CRITERIA FORMS**

**EVALUATION QUESTION 1:**

To what extent are the regional strategies put in place by the 8<sup>th</sup> and 9<sup>th</sup> EDFs in the ESA-IO region relevant to the overall EC development strategies and coherent with the different EC policies affecting the region, in particular trade; and to what extent are they relevant to the African Union/NEPAD strategy and to the strategies of the different RIOs involved?

**EVALUATION CRITERIA:** Relevance, coherence

**EXPLANATORY COMMENTS**

The question includes a classical relevance question regarding the overall EC development strategy, the AU/NEPAD regional development strategies, and the strategies of the different RIOs involved. With respect to the latter, the evaluators will consider the asymmetries of the mandates of the RIOs and their different political priorities. Then the questions addresses the specific issue of a coherent mix of EC policies in the region. This is particularly important with respect to the trade policies and the EPAs, that are a key policy instrument in the region.

**INITIAL ANALYSIS AND HYPOTHESIS (FINDINGS)**

**JUDGEMENT CRITERIA 1.1. The objectives of the RSPs are relevant to – and have adjusted to respond to changes in - the overall EC development strategies**

**INDICATOR 1.1.1 RSPs/RIPs overall objectives are in line with the EU Consensus on Development, the Cotonou agreement and the Lomé IV Convention**

The objectives and priorities as set out in the RSPs/RIPs correspond to those set out in the Treaty Establishing the European Community<sup>44</sup>, the EU Consensus on Development (Nov. 2005), the Lomé IV Convention and the Cotonou Agreement (see Table 7. for specific references). In this regard it should be noted that the Cotonou Agreement builds on the achievements of the Lomé IV Convention, which emphasised social, economic, political and human rights, and introduces a new focus on meeting the new millennium's challenges of globalisation, liberalisation, regional integration, and promotion of the market economy – with the overall aim to stimulate economic growth and reduce poverty. The increased focus on the objective of poverty reduction (and eventually eradication) - stated in the Cotonou Agreement<sup>45</sup> and emphasised in the European Consensus - is reflected in the overall aim of the ESA-IO 9<sup>th</sup> EDF RSP/RIP. Unlike the previous EDFs, which focused on sustained economic development and where the reduction of poverty was cited as one of the goals along with human resources development, gender issues and environmental protection, "the overall aim of the RSP [9<sup>th</sup> EDF] is to increase economic growth and reduce poverty through higher levels of economic integration".

**Table 7.1: Correspondence of objectives of RSP/RIPs with other EU agreements and policies**

ESA-IO RSP objectives/EC references	EU Treaty	Consensus	Cotonou	Other EC
Poverty reduction and sustainable growth	II.130u	2.12, etc.	Art 1, 19, etc.	
Regional integration, trade development and integration in the world economy	II.130u	3.2.72-74	Art. 21, 29, 30, TII II Ch 1-2	Trade agreements and EPAs
Improved transport and communication networks	II.130u	3.2.77-79	Art. 23, 29, 30, 42, Part V	EU-Africa Partnership Infrastructure EIB
Improved natural resource management	II.130u/r	3.2.75-76	Art. 1, 30, 32, Part V	Facilities and Budget Lines
Enhanced capacity for CPRM	V.J.1	3.2.89-92	Art. 1, 8, 11	Facilities and Budget Lines

With regards to sectoral objectives and priorities, supported sectors have largely been continued from the 8<sup>th</sup> EDF to the 9<sup>th</sup> EDF for the ESA-IO Region with almost identical intended effects. This continuity of objectives is in line with the overall EC development strategies, even more so if we consider that with the 9<sup>th</sup> EDF, the RSP changed

<sup>44</sup> Treaty Establishing the European Community *Article 177 – The development cooperation policy shall foster: i) The sustainable economic and social development of the developing countries; and more particularly the most disadvantaged among them; ii) The smooth and gradual integration of the developing countries into the world economy; iii) The campaign against poverty in the developing countries.*

<sup>45</sup> Cotonou Agreement - Article 1 – Objective of the Partnership [...] *The partnership shall be centred on the objective of reducing and eventually eradicating poverty consistent with the objectives of sustainable development and the gradual integration into the world economy. Article 19.1 “The central objective of ACP-EC cooperation is poverty reduction and ultimately its eradication [...].*

regional cooperation from predominantly functional cooperation to policy support and more particularly support for the regional integration agenda of the RIOs. Such change, demonstrates a high degree of relevance with Arts. 29 and 30 of the Cotonou Agreement which emphasise the importance of **regional economic integration** and cooperation<sup>46</sup>, and Art. 35 that stresses the need to build on regional integration initiatives of ACP States to promote economic and trade cooperation.

The RSP/RIPs support to two of the other focal areas of the evaluation, namely Transport and Communications and Natural Resources Management is also fully in line with overall development strategies and objectives. This however does not hold true with reference to CPRM.

**Transport and Communications.** More specifically, RSP/RIP support to T&C is in accordance with MDGs<sup>47</sup> and Art. 1 of the Cotonou Agreement; Art. 28 of the Agreement which presents a general approach to regional cooperation and integration including promotion of free movement of persons, goods... labour and technology amongst ACP countries and accelerate ... coordination and harmonisation or regional cooperation policies; Art. 85-90 of the Agreement which refer to Least Developed Landlocked and Island ACP States make provision for special consideration to overcome natural/geographic difficulties. Additionally, the EU Consensus on Development includes in the areas for community action 'Infrastructure, Communications and Transport' (part II, §3.2).

**Natural Resources Management.** In the NRM sector the EC cooperation strategy is relevant to the overall EC development policy as defined in the Lomé/Cotonou Agreements and their specific applications, including the following communications and guidelines: i) Forests and development: the EC approach – COM(1999) 554; ii) Integrating environment and sustainable development into economic and development co-operation policy, 2000; iii) Fisheries and poverty reduction – COM(2000) 724; iv) Water management in developing countries: policies and priorities for EU development cooperation – COM(2002) 132; v) Fighting rural poverty – EC policy and approach to rural development and sustainable natural resources management in developing countries – COM(2002) 429; vi) Global monitoring for environment and security (GMES): Establishing a GMES capacity by 2008 – Action plan 2004-2008 – COM(2004) 65; vii) Agricultural commodities, dependence and poverty – COM(2004) 89; viii) ACP-EU Energy facility – COM(2004) 711; ix) A thematic strategy for food security: Advancing the food security agenda to achieve the Millennium Development Goals – COM(2006) 21; x) EU-ACP Joint Resolution on Fisheries and their social and environmental aspects in developing countries, 2006; xi) Advancing African Agriculture – Proposal for continental and regional level cooperation on agricultural development in Africa, EC staff working document.

**CPRM.** The RSPs (except for the 8<sup>th</sup> EDF for IO where CPRM does not appear) all include CPRM as a non focal sector. This is in keeping with the EC development policy regarding conflict related issues. At the same time however, the main focal sectors of the 8<sup>th</sup> and 9<sup>th</sup> RIP/RSP fail to integrate CPRM issues, and the treatment of CPRM, both in relation to contextual analysis in the RSPs and in resulting programming, have not adjusted to changes in overall EC development strategies which have, since 2000 (Gothenburg) strongly emphasised the crucial importance of CPRM and regional approaches to countries in fragile situations, which would include most of the ESA countries.

#### **SOURCES OF INFORMATION AND TOOLS:**

**Documentary review of:** RSPs and RIPs, Cotonou agreement, Lomé IV Convention, EC trade and development policies, Treaty Establishing the European Community, other EU policies and communications.

#### **JUDGEMENT CRITERIA 1.2 There is coherence between the objectives of the RSPs, the EC development strategies and other EU policies affecting the region, in particular trade policies**

##### **INDICATOR 1.2.1 RSPs/RIPs refer to and take into account other EC policies with external dimensions and other assistance instruments (trade policies and EPA negotiations, thematic budget lines, EIB funding, etc)**

The EU has recognised the links between trade and development and is committed to shaping its trade policies as part of enhancing its 'Policy Coherence for Development Agenda'.

**Regional integration and trade.** The regional integration strategy and initiatives foreseen take full cognisance of the multilateral (WTO) system and also of the extra-regional bilateral accords such as the NEPAD and the African Growth and Opportunity Act. Economic Partnership Agreements (EPAs) are given a high priority in the RSP as a means of assisting the region to integrate itself more successfully into the global trading system. However, while coherence on paper and in objectives seems guaranteed, the same does not hold true in terms of outcomes. In reality there remain tensions between the goals of the RSP/RIPs and the European Consensus on Development, on the one hand, and the expected outcomes of the trade agreements, such as the reciprocal EPAs that are currently being negotiated for the African, Caribbean, and Pacific (ACP) countries. These arise because the principle goal of the 9<sup>th</sup> EDF RIP of RI through an FTA and later a CU covering the whole ESA-IO region might not be consistent with having separate EPA agreements with the EAC and with the rest of COMESA. The developmental effects of a full implementation of the EPAs are not yet fully clear and will depend upon the actual shape, phasing and geographical coverage of the agreements which are still under negotiation or at an interim

<sup>46</sup> Art. 29 of the Cotonou Agreement 'Cooperation shall, in the area of regional economic integration, support: a) Developing and strengthening the capacities of: i) regional integration institutions and organisations set up by the ACP States to promote regional cooperation and integration; [...].' (ii) national governments and parliaments in matters of regional integration;

<sup>47</sup> Although none of the original 8 goals, 18 targets or 40 indicators refer to road transport

stage. At this point in time, it should be stressed that if the interim EPA agreed between the EC and the EAC is not extended to include the other COMESA members<sup>48</sup> – some of whom have or are likely to initial a second “COMESA-minus” EPA – the whole goal of RI at the ESA-IO level might be undermined.

It is true that the EAC members see themselves as leading the RI movement in East Africa and, following the joining of Burundi and Rwanda, would welcome other members from COMESA into the EAC CU. But the difficulties that the other COMESA members had in agreeing a CET shows just how differently they interpret their particular trade interests. It is unlikely that they would take on board the CET agreed by the three founding members of the EAC who share a more similar economic structure. Furthermore, the fear of “trade deflection” linked to the proposed COMESA CU has given rise to concerns in Zambia which might go for EBA and is likely to discourage non-FTA members such as Ethiopia from joining. There is talk that the IOC, which feels that its interests are not well represented in COMESA, may go for its own EDF 10 RIP (and even EPA). There are now few other COMESA members left to press for the completion of the CU process – given that those not now in the FTA are unlikely to join over the next two years. The expectation is that if the non-EAC members of the COMESA FTA were to implement the CU as planned, they would have to accept the market access terms of the EAC EPA. After all a single CU must have a single CET and set of preferences. They feel that they have no bargaining power as a group and the EAC (and EC?) would be reluctant to re-open the EAC-EC agreement on trade in goods.

Discussions with DG Trade have confirmed the sensitivity of the issue. Although it is recognised that EPAs may (and if fact do) influence the RI integration design and process through the creation of groupings or sub-groupings and by enhancing national paths, DG trade argues that: i) EPA's have not in fact created new groupings but rather highlighted internal contradictions within the ESA countries thus accelerating the ‘selection’ process by countries among different regional economic configurations being trade the distinctive criteria; ii) the initialling of an EPA agreement between EAC and the EC does neither prevent nor undermine the implementation of development programmes under the previous regional configurations; iii) although it is true that the original plan was to have a single EPA for the ESA region, it is also true that EAC is the most advanced regional economic grouping; iv) EPAs are and will continue to be negotiated at regional level.

**Transport and Communications.** RSPs/RIPs have very limited resources which are not, by themselves, sufficient to fund meaningful conventional capital works interventions<sup>49</sup> and most such interventions are funded under NIPs. However, significant infrastructure improvement requires greater resources than can be made available from a single source (e.g. EDF) thus demonstrating the importance of linkages between the RSP/RIP and other assistance instruments. In this regard, if it appears that there is no earmarking of thematic budget lines for T&C infrastructure investment, it should also be noted that the EU-Africa Partnership for Infrastructure has been established for T&C (and energy and water) infrastructure investment and to support harmonisation of T&C policies as directed by AU/NEPAD priorities by way of leveraging EDF, EIB and EU MS resources. Indeed, the TCSPIP should eventually inform such investment such that delays in preparation could be a threat to programming during the 10<sup>th</sup> EDF period. Finally, the EIB may also support RIP T&C sectors under the investment facility in line with Art. 3 & 4 of the ACP-EU Partnership Agreement.

**NRM.** The environmental conservation policies are strongly relevant to and coherent with the overall EC policy framework. On the other hand, EC supported initiatives contributing to improved safety and quality of agricultural and fish products (e.g. SFP-ACP, animal and plant protection programmes) aim at facilitating the African products access to regional and international markets. This judgement presupposes —as should be expected— that the EPA implementation will not have negative effects on the access of such products to the international market. After initial concern on the impact of EPAs on ACP commodities, particularly those exported to the EU with preferential regimes (sugar, fish), there has been a change of attitude and focus by EU and ACP countries to achieve competitiveness through enhanced quality and safety in order to meet market requirements and the challenges of WTO rules on trade liberalisation.

On regional fisheries, there is still **need for improved coordination and communication** (to the ACPs) to **enhance coherence between DG-Development's approach** (financed through the EDF) that foresees the provision of support to the ACP fisheries sector in order to increase the sustainable management of their resources **and DG-Fishery's approach** aimed at guaranteeing supply and quality of fish exports to EU and at the same time the operations of EU vessels in ACP waters (the majority of the fishing vessels in the Indian ocean are from France and Spain). The presence of France as an IOC member state and as foreign fishing country raises issues (among ACP stakeholders) on possible conflict of interest and hidden agenda.

On the **sugar** protocol, the EC is supporting the sugar producing countries in their reform process (**good coherence**). Mauritius is well advanced while other countries (Madagascar, Tanzania) are still lagging behind in the adaptation of their sugar strategy. This process is conditional to the receipt of further support during the reform implementation period.

<sup>48</sup> The EU-EAC EPA is open to any country in the region who wishes to join (provided it offers WTO-consistent market access).

<sup>49</sup> E.g. The initial allocation for the T&C sector under the 9<sup>th</sup> EDF RIP is 15-25% of €223 million (i.e. €33-56 million). Given that a major road can cost in the region of €600,000 - €1 million/km, this budget is not sufficient for more than a token investment of this type.



From a **CPRM** perspective, despite an overall coherence, policies directed towards the AU, and those directed toward REC/RIOs do not seem to be mutually supportive – rather parallel, thus highlighting the fact that, in relation to CPRM, the RSPs/RIPs of the ESA-IO region do not take sufficiently into account other EC policies with external dimensions and other assistance instruments. It should be noted, for example, that in 2004, the EC established the African Peace Facility – APF (with an envelope of 250M € for a period of three years<sup>50</sup>). The Facility is based on the principle of African ownership and supports African-led peacekeeping operations in Africa (with an allocation of 200 out of the 250M €) as well as capacity building for the emerging security structure of the African Union (35M €), RIOs may apply for specific operations and plans. Although the money flowing through the Peace Facility is not considered official development assistance, the absence of linkages with the RSPs/RIPs must be highlighted especially in view of the need to coordinate initiatives in CPRM around a common strategic approach.

The EU-AU Peace facility responds to a pan-African strategy aimed at building a peace and security mechanism with the RECs (or RIOs) as the main sub-regional pillars, the “Conflict Prevention Programme” – often referred to by ESA regional institutions as a “CPRM strategy” intends to establish a sort of “division of labour” among three RIOs (IGAD, EAC and COMESA), and does not address coordination issues with the Africa Peace Facility. Vis à vis the APF, it may appear either as a complement or as a still uncoordinated initiative.

With specific reference to trade policies, the links between trade and conflict are more numerous and more complex than the EU's existing engagement would seem to account for<sup>51</sup>. In the highly fragile countries of the ESA region, possible negative impacts that may result from the reciprocation principles included in the EPAs might contribute to increased instability and conflict. And it could be argued that the EU should perhaps provide more scope to finding ways to mitigate these negative impacts.

**SOURCES OF INFORMATION AND TOOLS:**

**Documentary review of:** RSPs and RIPs, Cotonou Agreement, Lomé IV Convention, EC trade and development policies.

**Interviews with:** EC representatives at both HQ and Delegations; representatives of RIOs and ESA-IO MS.

**JUDGEMENT CRITERIA 1.3 The objectives and the institutional approaches of the RSPs (EDF 8 and 9) are consistent with - and relevant to - the African Union / NEPAD strategic framework and action priorities**

**INDICATOR 1.3.1** ESA-IO RSPs/RIPs refer to – and take into account – the overall strategic priorities set out in the NEPAD  
 Under the 8<sup>th</sup> EDF neither the RSP/RIP for IO nor the one for EA have any reference to NEPAD<sup>52</sup>. Although this is to be expected given that the NEPAD strategic framework document was formally adopted in 2001, it should also be noted that there is also little reference to overall regional strategies.

On the other hand, the 9<sup>th</sup> EDF RSP/RIP summarises NEPAD strategies for achievement of sustainable development in Africa for the 21<sup>st</sup> century and states that ‘the E&S Africa RSP should be seen within the context of NEPAD and as a way to promote its strategy for achieving sustainable development’.<sup>53</sup>

Regional co-operation and integration; peace, security, democracy and political governance; infrastructure; information and communications technology; and agriculture are all included in the NEPAD either as preconditions for development or as priority sectors (see table below) thus highlighting the relevance of the 9th EDF RSP/RIP vis à vis NEPAD. Further reference is made to lessons learned regarding efforts by RIOs and EC to avoid overlapping and conflicting programmes, application of subsidiarity and promotion of African integration as envisaged by NEPAD.

**Table 7.2: Correspondence of objectives of RSP/RIPs and NEPAD strategy**

ESA-IO RSP objectives/ references	NEPAD
Poverty reduction and sustainable growth	§ 64, 68, 69, 71, 115, 116, 136
Regional integration, trade development and integration in the world economy	§ 69, 92, 102, 163-169
Improved transport and communication networks	49, 92, 96, 98, 103-108, 111-112
Improved natural resource management	12, 52, 68, 113, 135, 136, 138
Enhanced capacity for CPRM	§ 46, 49, 71-83, 202

<sup>50</sup> The Peace Facility is based on the principle of African ownership. It supports African-led peacekeeping operations in Africa as well as capacity building for the emerging security structure of the African Union (AU). These operations are launched and implemented by the African Union's organisations and/or by sub-regional organisations. The African Union is required to play a key role in the decision-making process relating to these operations. The 250 million € came from the 9th EDF, of these, 126.4 million € came from each African country's contribution of 1.5% from its allocated envelope. The remaining 123.6 million € were transferred from unallocated resources (reserves) of the 9th EDF. The Council of 11 April 2006 decided to extend this initiative for the period 2008 - 10 by allocating EUR 300 million under the Intra-ACP Indicative Programme of the 10th EDF.

<sup>51</sup> Trade encompasses a wide range of exchanges (both legal such as informal trade in agricultural produce and other commodities and illegal such as trafficking in valuable minerals, arms and people); within and across borders all with specific links to development and peace prospects.

<sup>52</sup> The New Partnership for Africa's Development - NEPAD, October 2001

<sup>53</sup> Source: 9<sup>th</sup> EDF RSP para 28



Otherwise, oddly, despite the fact that RI is a key AU/NEPAD priority and some sector actions fit the AU/NEPAD Agenda there are no specific cross-references between EC support to the focal areas and NEPAD under 9<sup>th</sup> EDF RSP/RIP. This said, it should be noted that: i) the preparation of TCSPIP funded under 9<sup>th</sup> EDF could be a major contribution to implementation of AU/NEPAD priorities<sup>54</sup>; ii) the EC strategy in the NRM is globally compliant with the NEPAD policy framework and its sectoral action plans both with reference to the intervention strategy elaborated in the Comprehensive Africa Agriculture Development Programme (CAADP) and NEPAD's Environment Action Plan; iii) the AU-EU partnership in the CPRM area clearly does go in the direction of the NEPAD and the ESA-IO RIOs are part of the overall Peace and Security architecture of the AU, which has the primary responsibility for promoting peace and stability in Africa<sup>55</sup>.

Despite this overall coherence in objectives between the RSPs and the AU/NEPAD priorities, a number of issues are cause of concern.

The first one relates to the fact that the ESA-IO dimension / configuration is perceived by the AU as possibly in contrast with its regional integration strategy based on RECs. In terms of Regional Integration, NEPAD stresses the importance of sub-regional groupings and the need to strengthen these as a step towards the continental market and the integration of African countries in the world economy<sup>56</sup>. On this, although the RSP emphasises the support to RIOs thus contributing to the strengthening of sub-regional groupings (the building blocks of the continental market), the actual institutional set-up of the 9<sup>th</sup> EDF RIP and the design of some specific programmes (e.g. the RISM or in the CPRM area) tend to emphasise an ESA-IO dimension, rather than the specific dimensions of each RIO. On this, there is the feeling that the ESA-IO strategy, its programmes and mechanisms (e.g. the fact that the management of the RISP has remained centralised at COMESA level, and its extension to other RIOs is suffering delays or that the RISM will be run by COMESA through the establishment of direct relationships with the single national governments despite the current lack of a corresponding institutional framework), tend to promote a new sub-regional dimension, rather than promoting the rationalisation of RECs through the strengthening of each REC / RIO according to its specific priorities while addressing issues of harmonisation and overlapping memberships and programmes. Doubts have also been raised on the draft 10<sup>th</sup> EDF RSP which is reported to refer to the "seventeen member states of the ESA-IO region", whereas the total number of the member states of the RIOs involved amounts to nineteen. Furthermore, the RSP does not explicitly refer to the NEPAD goal of a continental market, supported by the G8 and mentioned in the speech of the European Commissioner Pascal Lamy at the first NEPAD Parliamentarian forum in October 2007.

This scepticism has been reinforced by the EPA negotiations and their possible outcomes in terms of non-homogenous trade patterns within the same sub-region which do not appear to be consistent with the AU/NEPAD objectives. The AU, in fact, is concerned by the 'fragmentation' deriving from the EPA negotiations (see also indicator 1.2.1 cfr: sort of 'balkanisation' of the RI process in the ESA region following the signature of the EAC interim EPA). This is clearly contrary to the AU-NEPAD long-term goal of a single African Common Market and is looked at with suspicion by the AU who also feels it has been bypassed by both RIOs and single countries who have neither associated nor informed the AU. These sceptical views of the AU on the EPA processes and their outcomes highlighted during the field visits are confirmed by the Addis Ababa Declaration on EPA negotiations issued by the AU Conference of Ministers of Trade and of Finance (1-3 April 2008) where among others, the Ministers 'noting that these interim agreements were initialled in order to avoid trade disruption that could result from failure to conclude WTO compatible arrangements by the deadline of 31 December 2007, [...] 'concerned that the EC has subjected non-signatory countries of interim EPAs to a less favourable trade regime under the GSP including the EBA thereby reducing their competitiveness in the EU market' [...] 'call for the establishment of a coordination and harmonisation institutional framework comprising the RECs, AUC, ECA and the negotiators' [...] 'urge the respective Regional Economic Communities and the EPA negotiating groups to incorporate each and every member of the respective group is adequately represented in all negotiations at all stages', 'recognise that there are contentious issues in the interim agreements[...] and call on them to review and re-negotiate these within the context of a comprehensive and full EPA to ensure an all inclusive comprehensive EPA that would safeguard development and regional integration efforts.'

In the CPRM sector, whereas the RSPs/RIPs do not do more than refer in passing to the overall strategic priorities set out in the NEPAD (in relation to peace and security), the AU-EU partnership clearly does go in the direction of the NEPAD in this area. Further, despite overall coherence, it does indeed seem that policies directed towards the AU, and those directed toward REC/RIOs do not seem to be mutually supportive – rather parallel. The strategic coherence of the CPP ESA-IO programme, and the EU-AU Peace Facility is unclear. Though the CPP establishes a sort of 'division of labour' between the three RIOs (COMESA, EAC and IGAD), it does not include IOC in the funded activities, and more importantly does not address how information from the RIOs should flow between

<sup>54</sup> Although probable delays in preparation could threaten programming of such priorities.

<sup>55</sup> The protocol adopted by the AU Assembly in Durban (2002) provides for the conclusion of a Memorandum of Understanding on the cooperation between the AU Commission and Regional mechanisms on peace and security (Conference on Security, Stability, Development and Cooperation in Africa – CSSDCA).

<sup>56</sup> This approach is also promoted in the Abuja treaty, where the building up of sub-regional integration is considered as a necessary precondition for continental integration. In other words, RIOs (or rather RECs as they are referred to) are considered as building blocks to continent-wide integration.

them nor with the AU or APF. Thought the CPP might fit with the AU plans for a pan-African security architecture, these issues are not explicitly addressed. This highlights the lack of coordination between activities managed at AU level and those implemented under the ESA-IO framework, irrespective of the growing importance of the AU as a key EC partner in security activities in the region. (for more details on CPRM issues, see JCs and indicators under EQ 7.

**SOURCES OF INFORMATION AND TOOLS:**

**Documentary review of:** RSPs and RIPs, Cotonou agreement, NEPAD, Abuja Treaty and other AU documents, declarations. **Interviews:** EC representatives (both HQ and Delegations), AU representatives, RIO representatives

**JUDGEMENT CRITERIA 1.4 Objectives and institutional approaches of the RSPs (EDF 8 and 9) are consistent with and relevant to the different strategies and mandates of the RIOs involved and to their changing political priorities**

**INDICATOR 1.4.1 Existence in the programming documents of an analysis of the political, economic and institutional situation of the area**

The 8<sup>th</sup> EDFs have little in terms of analysis of the political, economic and institutional situation of the area. This holds true for all focal areas – though to varying extent with CPRM as the worst case<sup>57</sup> - as the RIPs go from Specific Objectives to indicative programme suggestions via notes on policies and commitments of governments. This however does not mean that such an analysis had not been undertaken nor that problems have not been previously identified. On the other hand, the 9<sup>th</sup> EDF RSP/RIP (ESA-IO) has a more detailed analysis of the focal areas, including relevant references to the areas of intervention of each RIO.

**INDICATOR 1.4.2 Alignment of EC objectives with the RIOs' strategies**

There is increasing convergence of RSP overall and sectoral objectives and approaches to focal areas sector support and regional sector strategies and policies. Quality of analysis and alignment of RSP has improved from the 8<sup>th</sup> EDF through 9<sup>th</sup> EDF (continuing into the draft of 10<sup>th</sup> EDF) and for the T&C sector this increasing alignment is more bottom up as priorities identified at national level - through CSP/NIPs - are becoming more and more consistent (ie sector policy revision, institutional change, revision of role of government, increased private sector involvement) and thus more aligned at regional level. Overall – and as highlighted by table 7.3, the RSP objectives are mostly consistent with and relevant to the different strategies and mandates of the RIOs, and to changing political priorities.

**Table 7.3: Correspondence of objectives of RSP/RIPs and RIOs objectives & priority areas**

ESA-IO RSP objectives/ references	COMESA	EAC	IGAD	IOC
Poverty reduction and sustainable growth	Pages 9, 17, 20	§ 40	§ 1.2, 2.2, 2.4, 2.5.1, 2.5.2, 4.1	§ 2
Regional integration, trade development & integration in the world economy	O1: G1, G2, G3, G4, G5, G6; O2: G1, G4, G5, G6 O3: G2, G3, G5	§ 6, 105, 107, 112-116, 129-132 SP 2, 3, 4, 14	§ 1.2, 2.2, 2.3, 2.4, 2.5.1, 4.1.3 (a)	Pillar 2
Improved transport and communication networks	O1: G7 O2: G4 O3: G4	§ 140-145, SP 16	§ 1.2, 2.4, 4.1.3 (b)	
Improved natural resource management	Some weak ref. O3: G6	§ 8, 139 SP 9,15, 25, 26	§ 1.2, 2.2, 2.3, 2.4, 2.5.1, 3.2.4, 4.1.1 (c)	§ 2, Pillar 3
Enhanced capacity for CPRM	page 9 O3: G1	§ 8, 109-111, SP 1	§ 1.2, 2.2, 2.3, 2.4, 2.5.1	Pillar 1 but emphasis is on political & diplomatic coop. rather than CPRM

*Sources:* **COMESA:** references are made to both the overall strategic plan and to the 'COMESA Medium Term Goals at a Glance (2007-2010) (see Annex 5, table 5.9). Reference is made to the goals indicated under the three main orientations: 1) consolidation of achievements, 2) launch programmes on common market, 3) positioning of COMESA as a robust regional; **EAC:** references are made to both the overall strategy (EAC Development Strategy 2006-2010) and to the sectoral priorities (SP) with their related development objectives as synthesised in Annex 5, table 5.10; **IGAD:** references are made to relevant paragraphs of IGADs Strategy, October 2003 as synthesised in Annex 5, table 5.11; **IOC:** references are made to both the relevant paragraphs of intervention of the 'Orientations stratégiques de la Commission de l'Océan Indien', January 2005 and to the IOC's pillars of intervention as synthesised in Annex 5, table 5.12.

The convergence of objectives between the RIOs and the EC regional strategy, however, should not hide the fact that the key priorities of some RIOs are better represented than those of other RIOs. To be more explicit, the key priorities of COMESA and EAC - ie building an integrated regional market and in the case of EAC achieving a full regional integration - fall under the focal sectors of the EC strategy. The same applies to IOC, where the market integration prospect is shared with COMESA, and the great concerns related to NRM are fully reflected in the EC strategy. This is not the case for IGAD. Here, the market integration prospect is shared with COMESA, but the big

<sup>57</sup> Despite policy agreements and programme instruments, relevant political and conflict related content is sparse in the Regional Indicative Programmes (RIP) for 8th and 9th EDF (and the draft of the 10th EDF) for the ESA-IO region. The most in-depth analysis is contained in 8th EDF, while the 10th EDF (draft) contains very little. In both the 8th and 9th EDF, Conflict Prevention Resolution and Management (CPRM) is considered a “non focal sector”, while the intention under the 10th EDF is that CPRM becomes a focal sector (across EU programming), and will therefore no longer be treated as a cross-cutting issue or a non focal sector.

priority of CPRM is reflected in the EC regional strategy only as a non-focal area, with the obvious consequences this may have on the size and the quality of the assistance. Furthermore, while on paper the CPRM objectives of the 9<sup>th</sup> EDF are aligned with RIOs' strategies, field discussions revealed that this is not more than superficially true. IGAD, for example, does not feel that the EC had a good understanding of the varying capacities and strategies of the RIOs nor of the AU. Both IGAD and the AU felt that the inconsistent, and at time, weak understanding from the EC resulted in poor quality programming, consultation and delivery.

At a more general level field visits have revealed that there is an increasing demand by RIOs for stronger institutional support together with a push for an enhanced focus on supporting investment in infrastructure. On this, the programme is contributing to creating a priority framework to identify and prioritise regional investments in T&C (see EQ 5), and specific actions are required by the regional stakeholders, namely to help identify, instruct, broker and monitor investment projects of regional importance. The adoption of such an approach would also avoid over-funding of institutional building beyond the reasonable absorption capacity of the recipient institutions, as might be the case with the 10th EDF.

See also findings under Indicator 2.1.1

**SOURCES OF INFORMATION AND TOOLS. Documentary review of:** Programming documents; Regional strategic documents; RIOs strategic plans and programmes; UNECA and other external studies / reports.

**Interviews with:** EC representatives (both HQ and Delegations), RIOs representatives.

## EVALUATION QUESTION 2:

To what extent is the EC regional strategy in the ESA-IO, shared and owned by the different RIOs and their member states (including – to the extent possible - references to the levels of information and participation of the civil society), considering the overlapping membership and the ongoing coordination processes (IRCC) with their strengths and weaknesses? And to what extent has the EC put in place capacities and mechanisms (at both EC Delegation and Headquarters level) to further and promote dialogue and coordination with and among RIOs?

**EVALUATION CRITERIA:** Relevance, Efficiency

### EXPLANATORY COMMENTS

The question covers the institutional capacity of the RIOs and the various regional beneficiaries to own and implement the RSP/ RIPs, as well as the EC capacity to support a coordinated and effective dialogue with them. In the formulation of the question the complexity of the regional institutional context is highlighted, with an explicit reference to the different RIOs, the national governments and the regional civil society. Such a complexity puts the issue of coordination at the centre of the question.. The issue is twofold: on the one hand it regards the RIOs and their coordinating body, the IRCC; on the other hand it regards the capacity of the EC actors to have a coordinated dialogue with the RIOs, as requested by the institutional framework identified by the RSP.

Such a complexity puts the issue of coordination at the centre of the question.

### INITIAL ANALYSIS AND HYPOTHESIS (FINDINGS)

**JUDGEMENT CRITERIA 2.1. The IRCC, the different RIOs, and the respective member states show an active and deep involvement in the planning and implementation cycle of the RSP and RIPs. In this framework, the main actors of the civil society are informed and show significant levels of participation**

**INDICATOR 2.1.1** The implementation of RSP and RIPs represents a fundamental contribution to the RIOs strategies, according to their documents

Under the 8<sup>th</sup> EDF the majority of projects were implemented by NAOs, either as regional projects or as top-ups national projects. This set-up has inevitably led to potential overlapping and duplications of responsibilities and activities undertaken by the regional organizations and their member states<sup>58</sup>.

With the 9<sup>th</sup> EDF the situation changes, all four RIOs become actively involved in the formulation of the RSP and RIP and regional cooperation has shifted towards policy support and more particularly support for the regional integration agenda of the RIOs. This set-up – and the recent move towards the signing of contribution agreements (CA) between the RIOs and the EC under the 9<sup>th</sup> RIP<sup>59</sup>, has increased the ownership of RIOs thus strengthening the contribution of the RSP to the RIOs strategies.

However, interviews undertaken during the field phase have highlighted differing perceptions, motivations and feeling of ownership (or lack thereof) among the different RIOs.

Concerns related to the overall approach of the ESA-IO RSP in terms of jeopardising the RIOs identity were raised during field interviews in relation to a number of issues (see also EQ 1):

- the EPA fragmentation and the inevitable repercussions on RIOs regional integration strategies; there is fear that the priority accorded to EPA sub-groups and the process of building EPAs at national level will end up with weakening the specific identity and comprehensive role of existing RIOs;
- the tendency (verbal and actual) in the 10<sup>th</sup> EDF draft to consider a non-existing group of '17 MS of the ESA-IO region', excluding Congo and Malawi as they have signed EPAs with non ESA-IO groups (CA and SADC);
- the slowing down of the support to capacity building in the individual RIOs and the related delays in the establishment of contribution agreements that would enhance RIOs autonomy (see below for more details on delays in CAs to EAC and delays in capacity building support to IGAD).

Within COMESA, and especially with reference to RI issues where EC interventions are implemented through CA, the contribution of the RSP/RIP to COMESA strategies is high as the CA have enabled greater flexibility and increased the feeling of ownership.

The signing of the CAs with COMESA however has also raised expectations by other RIOs, primarily EAC (and to a lesser extent IOC), who now expects access to CAs<sup>60</sup> and explicit programmes within EDF 10. Whereas this

<sup>58</sup> JAR 2006, Cooperation between ESA and EC (October 2007).

<sup>59</sup> The use of contribution agreements (CAs) is now an established practice for COMESA (the first CA between COMESA and the EC was signed in June 2005), while EAC has undergone an institutional assessment with a view to becoming eligible for a CA in its own right.

<sup>60</sup> The delay in the granting of CA status to EAC has given rise to concern within the RIO. Reasons given by EC representatives to explain this delay, include: i) the institutional diagnostic of EAC (completed in 2007) that highlighted the need for improvements before a CA could be envisaged; ii) good collaboration between COMESA and EAC under the RISP that allowed EAC to take full advantage of the programme; iii) the delays that a re-organisation of the financial set-up envisaged for the RISM to include a COMESA plus EAC solution (the RISM is channelled through the COMESA Fund) would have entailed; iv) the fact that the split up of the region into the EPA blocks had not materialised at the time (mid 2007).

expectation makes sense, the effects of multiple CAs with the different RIOs are likely to further undermine the ESA configuration.

More generally, and despite the concerns related to the slowing down of the support to increase capacity in the RIOs, the EC's financial support (through the RSP/RIPs) certainly represent a strong contribution to the implementation of relevant programmes to the RIOs strategies (see also EQ 1). This said, there is one important exception: IGAD that feels un-represented and excluded from the ESA-IO RSP/RIP framework / process.

In fact, IGAD has expressed a feeling of exclusion which is reflected in its reluctant to take leadership of the CPRM programme for the ESA-IO region (they hope that the AU will take up this role, eventually), despite having a strong stance on this issues. This is due partly to the lack of capacity building support (they have difficulties in understanding the delays – over 2 years - in the approval of the capacity building project) and their criticism of the overly bureaucratic procedures foreseen by the EC (time consuming, long delays). But more importantly to their reluctance to accept the ESA-IO geopolitical framework (as shown by the EPA process where Ethiopia – and possibly Sudan – has shown interest to join negotiations with other non ESA-IO neighbours)<sup>61</sup>. The feeling of exclusion has been stressed in relation to the Horn of Africa initiative, which is expected to be included under the IRCC in the 10<sup>th</sup> EDF with no comprehensive leadership of IGAD nor additional funds foreseen besides those of the EDF. DG Dev is clearly aware of the problem and recognises it as an area of main concern. Efforts are underway (including a committee of follow-up at Ambassadors level) to involve IGAD in the HAI and redress the situation. Finally IGAD feels and seems the least represented RIO in the ESA-IO framework and -if it has for various reasons to remain there- it should be allowed a wide autonomy including the possibility to develop specific neighbourhood policies in the framework of the AU and beyond (Arab peninsula).

An additional consideration is linked to the fact that, beyond the institutional support, RIOs are pushing for a stronger focus on the support to infrastructural investments. This should be viewed also within the framework of the on-going work on the TCSPIP and in the forthcoming operationalisation of the COMESA infrastructure fund.

**INDICATOR 2.1.2** There are clear and effective procedures through which RIOs and IRCC are involved in the planning and implementation cycle of the RSP/ RIPs

The new set-up envisaged under the 9<sup>th</sup> EDF (see indicator 2.1.2) has not only increased the ownership of the RSP by the RIOs, but also encourages the RIOs (through the IRCC) to work towards the harmonization of their overlapping policy agendas.

Minutes of the meetings of the IRCC show – at least on paper - the active involvement of the four RIOs in the planning and implementation cycle of the RSP. Nevertheless, differences among the involvement of RIOs can be witnessed both with regards to the single organisations and with regards to the different sectors of intervention.

Clear procedures establish that identification of interventions, discussion of ToR, and preparation of Financing Proposals is now demanded to the RIOs (with the support of the IRCC Support project or other technical assistances attached to the RIOs), who have therefore become the major players in the formulation and implementation of interventions under the RIP thus increasing consistency of the RSP with the changing political priorities of the RIOs. In addition, the establishment of a result based management system for T&C sector interventions, in which the RIOs are responsible for monitoring and evaluation, including feed-back mechanisms for lessons learning, should be a component of COMESA activities in connection with TCSPIP.

Nevertheless, it should be noted that the levels of RIOs participation vary.

COMESA is certainly highly involved and this can be attributed partly to the fact that it provides the Secretariat of the IRCC and physically hosts the IRCC Support Project (thus maximising the benefits of the technical assistance) and partly to the fact that thanks to its broad mandate, institutional capacity<sup>62</sup> and membership it is the lead RIO for some of the key programmes and projects under the 9<sup>th</sup> RIP. In the case of RI for example, it is the COMESA Secretariat that manages the overall process (though some resources for Customs processes – ASYCUDA etc. – go through IGAD).

EAC, despite having taken the lead only for the Lake Victoria Environmental Management Programme - Phase II, is an active participant in projects which are at an advanced stage of development, most notably components of the RISP trade statistics project and the Regional ICT Support Programme.

The IOC, despite its small size and core budget - that limit its capacity to take on the burden of more project management - shows an active involvement in the planning cycle of the RIP and – benefiting from its previous experience of working with the EC on a regional basis (the IO had its own RIP under the 8<sup>th</sup> EDF) has also been an active player in the implementation cycle, taking lead responsibility under the 9<sup>th</sup> RIP for projects in the natural resources, marine and fisheries focal areas.

Finally, the reluctance of IGAD to accept the ESA-IO framework is reflected in its problematic relations with the IRCC. Although it has lead responsibility in some projects in the Food Security and Conflict Prevention non-focal areas, the relationship between IGAD and the IRCC seems problematic and this is highlighted also by the fact that

<sup>61</sup> The geo-cultural and geo-political framework of most IGAD MS tends to include northern and eastern partners rather than southern ones.

<sup>62</sup> According to the Institutional structure of the four RIOs annexed to the Joint Annual Report 2006 Cooperation Between ESA-IO and EC (October 2007), COMESA has 71 staff members (excluding support staff) versus the 33 of EAC, 46 of IGAD, and 12 of the IOC.

<sup>63</sup> McLeod, J. (HTSPE Limited), Mid-Term Evaluation of the IRCC Support Project, October 2005

only recently IGAD has requested the appointment of an IRCC programme officer that all other RIOs had already been assigned. In two subsequent papers submitted in 2005 and 2006 to the IRCC, the IGAD Secretariat criticised: i) the concept of a single framework strategy for RIP programmes to be applied to diverse sub-regions as those included in the ESA-IO configuration; and ii) the mandate of the IRCC on the basis that EDF procedures had led to delays in implementation of new projects<sup>63</sup>.

The financial mechanisms adopted in the ESA-IO (RISP and RISM in the future) need a particular consideration. In general, contribution agreements to the various RIOs, together with a strong capacity building effort, seem to be the key for enhanced ownership. The RISP has worked so far mainly financing the EPA negotiation process, but no contribution agreements have been negotiated with the RIOs, except COMESA. There have been significant delays in the approval of some CAs that have raised the concern of the RIOs involved (EAC and IGAD). With respect to RISM, it should be noted that the mechanism has been conceived before the EPA process and the actual implementation of the CUs in the region. In the present situation, with the functioning of the EAC CU, the fact that the RISM will be implemented at COMESA level (Joint Management through a CA signed between COMESA and the Commission), whereby applications for funding will be negotiated with the individual MS, de facto bypassing the RIOs involved, poses some problems especially with regards to EAC and its MS; this despite the fact that specific provisions for Tanzania can be made thus allowing all EAC MS to benefit. The mechanism should be reviewed following the attainment of CA compliance status by EAC. The RIOs (particularly EAC) also wish to review RISM funds' destination, at present limited to the compensation of the possible losses deriving from implementation of the CUs.

**INDICATOR 2.1.3** RIOs have a systematic dialogue with their respective member states on the national implementation of the measures included in the RSP/ RIPs &

**INDICATOR 2.1.4** There is evidence of flows of information with - and involvement of – relevant sector of civil society within the region with regards to the planning and implementation cycle if the RSPs/RIPs

Certainly, since the IRCC was established, it and the different RIOs have worked well together in the planning and implementation of the RSP and RIPs. However this has not been the case for the respective member states – or the various relevant civil society actors, in particular business organizations. Dialogue is improving but participation still generally takes place through the occasional ministerial meeting. Indeed most of the ESA-IO member governments and private sector organisations have shown little commitment to, or involvement in, the RIOs initiatives towards RI, and with the exception of the ESA CET issue, there is little discussion among MS. EAC represents a notable exception, especially with regards to RI where there is a significant degree of participation of both MS and civil society (in the form of the EAC Business Council).

The low level of compliance of MS with - and implementation of - regional decisions is the main sign of such difficulties. This is especially true with reference to the capacity of IGAD as several of its member states are in conflict with each other (or in the early stage of resolving conflicts) thus resulting in a situation whereby its member governments have not clearly mandated IGAD to take a supranational role with regard to given activities<sup>64</sup>. With regards to the participation of the MS in the decision process, it should be noted that RIOs technical committees feed into policy organs of senior government officials up to the level of Council of Ministers such that many (but not all) regional policies are more or less in line with RIO MS national policies.

It should also be noted that COMESA has established a Private Sector/ Civil Society Desk (PS-CSD) in 2004 and - through the Secretary General - has started to receive applications for accreditation from non-state actors. It is noteworthy that a wide range of stakeholders including government representatives, civil society representatives and private sector representatives developed the rules for accreditation, and this has ensured ownership and support by those key stakeholders. COMESA now has in-place a unique strategy, which when fully operational should link policy actors with the civil society actors and thus incorporate recommendations from civil society in the overall decision processes. This experience however is yet to translate into the active and systematic involvement of NSA in the planning and implementation cycle. For the time being little involvement or dialogue of transport associations or private sector in T&C management at regional level has been confirmed during field visits despite insufficient dialogue or involvement being identified by COMESA as a constraint.

A notable exception is represented by the NRM sector where the continuity in EC support over several EDFs (e.g. Lake Victoria & IO Fisheries & coastal programmes) and the structured participation of NSA in regional networks has progressively led to an increased participation of NSAs in the planning and implementation of relevant programmes, and to the inclusion of specific actions for NSA in project design (e.g. Call for Proposal schemes, micro-credit facilities).

**INDICATOR 2.1.5** Consistency (level of) and similarity in the regional dimension of sector policies, strategies and priorities of ESA – IO Member States

**Regional Integration and Trade.** The EPA negotiation process(es) have highlighted internal contradictions within the ESA countries through the creation of groupings or sub-groupings and enhanced national paths. With regards to RI, EAC has moved ahead of - and away from - the rest of COMESA. EAC MS see themselves as leading the RI movement in East Africa and, following the joining of Burundi and Rwanda, would welcome other members from COMESA into the EAC CU. But the difficulties that the other COMESA members had in agreeing a CET shows just how differently they interpret their particular trade interests.

<sup>64</sup> DG Dev, recognising that the lack of cooperation of Eritrea with IGAD is mining IGAD's role, is deploying additional efforts to help resolve this inner conflict.



**Transport & communications.** With specific reference to the T&C sector it should be noted that over decades, T&C policy has developed in response to state provision of T&C services. In this situation governments have not been interested in dialogue with 'customers', ie national and international users of those networks, or with the sector management. Thus, T&C has been supply-led rather than demand driven with investment, such as it was, not always made on the basis of economic justification. Policies thus developed without adequate operating strategies have led to a T&C system skewed towards single modes (roads and state telecoms providers). Investment has been made in new capital works while existing infrastructure crumbled for lack of maintenance. Over the past (relatively) few years, T&C policies are being reviewed whereby T&C is recognized as a service supporting economic development and taking into account user needs. These revised policies also recognize that user needs have a dimension that is not only national but regional and international. Thus, there is very slow but increasing consistency of national sector policies [covering such issues as maintenance funding<sup>65</sup>, institutional reform and capacity building, socio-environmental issues, regulatory controls and safety] but it cannot be said that national sector policies explicitly facilitate regional T&C development (although some components of national programmes have regional impacts).

**Natural Resources Management.** RIOs have taken a leading role in development planning and created a conducive environment for policy formulation and negotiation with donors community. In the wave of the NEPAD process, the following trends can be underlined:

- RIOs have strengthened their sectoral capacity according to the priorities of their member countries: marine and coastal management for IOC, agriculture for COMESA, water resources for EAC, food security for IGAD, contributing to the creation of regional poles of competence.
- Regional strategies have been developed in the above sectors as an adaptation to their specific sub-regions of the NEPAD broader framework (e.g. EAC Protocol for sustainable development of Lake Victoria basin).
- The strengthened regional framework facilitated the coordination of specific interventions at regional and national levels and favoured the establishment of a coordination platform for donors and international partners.

**Conflict Prevention, Resolution and Management.** Within the ESA region and with reference to IGAD (leading RIO on these issues) it appears that national interest are the dominating factor. This in turn gives rise to a situation in which IGAD's role is mined by political complications (e.g. lack of cooperation of Eritrea with IGAD) and is thus not in a position to further a truly regional perspective both within the regional organisations and within national strategies. Besides this, it should be noted that CPRM programmes funded by EC for the RIOs address totally different topics. Issues have been "divided" amongst the RIOs - even though the capacity for addressing those issues is not consistent between the different RIOs nor is their interest (as well as that of MS).

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** IRCC and RIOs statutes, strategies and management/coord. structures (organisation flowcharts, ...); IRCC and RIOs annual and monitoring reports; IRCC review reports; The cooperation agreement between the four RIOs; UNECA and NEPAD reports on the status of coordination between RIOs; National and regional development plans.

**Interviews with:** EC Representatives; RIOs and IRCC; ESA-IO MS, Project staff; civil society, private sector, academic and research institutions.

#### **JUDGEMENT CRITERIA 2.2. IRCC has the capacity and means to ensure coordination and harmonisation among RIOs including the resolution of possible conflicts arising as a consequence of divergent priorities and/ or overlapping membership**

**INDICATOR 2.2.1** RIOs and IRCC roles as foreseen in the RSP/RIPs correspond to their actual mandate and capacities including procedures, staffing etc

The IRCC was established in October 2002 as a forum for RIOs (COMESA, EAC, IGAD, IOC) and EC to agree programming and more broadly as a forum for dialogue among the RIOs. The need for coordination and cooperation between the RIOs had already been recognised through Memoranda of Understanding signed between some of the RIOs although these only involved bilateral relations and were restricted to specific areas<sup>66</sup>. Although the establishment of the IRCC constitutes an impressive step forward towards the coordination and harmonisation among RIOs, according to the mid-term evaluation of the IRCC Support Project<sup>67</sup> much still needs to be done:

*For the RIOs, at one level the IRCC is the price of participating in a Regional Indicative Programme which accommodates the varying geographical coverage and mandates of four very different organisations and requires them to collaborate with each other in ways they have not done so before. The structure of the RIP and the central role of the RIOs within it were agreed after lengthy negotiations among the RIOs and between the EC and four RIOs concerned but, as one senior RIO official interviewed put it, "it was case of 'take it or leave it'. The services of the IRCC are regarded as useful and generally appreciated, but the view was several times expressed to the evaluator that they would not be so necessary if EDF procedures were simpler, if RIOs had a freer hand to design and work up their own programmes, and if they could collaborate with each other at their own pace rather than*

<sup>65</sup> but not yet quality and value for money

<sup>66</sup> Memoranda of Understanding (MoUs) had been signed between EAC and COMESA (regarding COMESA's role in negotiating a trade agreement with the EC) and between IGAD and COMESA (regarding collaboration in the areas of transport facilitation and trade). McLeod, J. (HTSPE Limited), Mid-Term Evaluation of the IRCC Support Project, October 2005

<sup>67</sup> McLeod, J. (HTSPE Limited), October 2005

having to work to what they often see as an EC-established agenda. [...]

In summary, it is not clear to the evaluator that the complexity of the tasks facing the IRCC Support Project and the place of the IRCC in the RIP were fully appreciated at the outset. To some extent this can be explained by the fact that the IRCC "mechanism" is largely untried (and unique to the EC-ACP arrangement). But it is also evident that assumptions were made about the RIOs' readiness to take "ownership" of and make use of the IRCC mechanism which proved over-optimistic. (page 17)

With regards to RI and NRM the distribution of roles among RIOs has corresponded to their actual mandates and priorities and with specific reference to RI&T even with the reinforcement of the split between EAC and the rest of COMESA, the IRCC can still seek to bring the two groups into one CU.

Again, the situation is different with regards to CPRM / IGAD. In addition to the difficulties mentioned above and as anticipated under JC 2.1 it should be noted that IGAD has a particularly problematic relationship with the IRCC and questions its mandate as well as the strategic framework foreseen by the 9<sup>th</sup> EDF. According to the IRCC Support Project mid-term evaluation "the IRCC is widely regarded at IGAD as a tool for the EC to impose its way on IGAD, and not as a facility for the RIOs to benefit from EC development assistance" (page 13). This view was confirmed during the team's field visits which also highlighted the institutional weakness of IGAD (compounded by its problems with the IRCC and the delayed approval of the capacity building support). The team has found that there is a strong discrepancy between the envisaged role for IGAD in the RSP and the actual situation. IGAD's problematic relationships with the IRCC which in its view is not playing a positive role<sup>68</sup> and the difficulties faced by IGAD in the approval of the capacity building project are all determining factors.

**INDICATOR 2.2.2 The action plans funded under the RIPs take into consideration the specific needs, requirements and limitations of each organization and its member states (IRCC coordinating role) and the tasks are distributed accordingly**

It seems that the action plans are established with a strong involvement of the single RIOs and the IRCC acts as an essential facilitator. This is most notably the case for RI, where COMESA is the channel through which most interventions take place while the IRCC coordinates the activities of the four RIOs as regards RI.

Generally, there is a strong appreciation of the role and coordination capacity of the IRCC, although an excessive degree of 'top-down approach' with reference to the selection / attribution of focal areas for cooperation has been raised by IOC representatives during the field visits as an issue to be addressed.

**INDICATOR 2.2.3 Evidence of IRCC and RIO ability to address divergent priorities among the RIOs and their MS during the implementation of the RIPs related action plans**

It seems that the IRCC (even more so thanks to the Support Project) has the means and some capacity to ensure a certain degree of coordination and harmonisation among the RIOs with reference to the focal areas analysed.

At sectoral level, it appears that coordination is:

- strong in NRM where the IRCC has played a key role in promoting regional integration on a wider scale. For example, the 7<sup>th</sup> EDF Regional programme on coastal zone management in the IOC region was consolidated in the current 9<sup>th</sup> EDF RECOMAP with the participation of three additional countries (Kenya, Tanzania and Somalia). The REFORM programme was also strongly promoted by IRCC in order to pursue food security initiatives in the region with a renewed commitment and innovative approach.
- fairly good in RI&T where the IRCC has supported COMESA and EAC in merging the EAC and the future COMESA CUs, although IRCC's lack of mandate on micro-coordination issues (and resources to manage these) has been stressed as a critical issue (e.g. lack of coordination on the collection of statistics between COMESA and EAC). In addition while the IRCC has certainly been useful in coordinating the activities of the 4 ESA RIOs it has done little or nothing in the Tripartite process.
- Weak in CPRM also as a consequence of: i) the lack of a truly regional perspective in the EC's approach to CPRM; ii) problems of coherence among the different instruments in place (e.g. AU, regional and sub-regional programmes); iii) IGAD's reluctance to accept the ESA-IO institutional framework. On the positive side, it appears that the IRCC (and the EC) have taken some account of the differing CPRM capacities and mandates of the RIOs in their own programming approaches.
- Currently poor but with strong potential in T&C in view of the completion of the TCSPIP which will require stronger interregional and intra-regional coordination. To increase the role of the IRCC in sector coordination, programme implementation and harmonisation some efforts have been made to increase IRCC specific capacity, but it appears that this capacity may require additional support to ensure that the IRCC will be able to effectively facilitate programming of what may be expected to be an increased regional sector investment programme and to improve the rate of progress in terms of enhanced coordination.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** IRCC and RIOs statutes, strategies and management/coordination structures (organisation flowcharts, ...); IRCC and RIOs annual and monitoring reports; IRCC review reports; The cooperation agreement between the four RIOs; Minutes of IRCC meetings and related docs.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS.

**JUDGEMENT CRITERIA 2.3 The EC has put in place appropriate capacities and mechanisms to coordinate the position of the EC actors involved (mainly Delegations and Headquarters), and strengthen the**

<sup>68</sup> This view has also been expressed by the EC Delegation representative for Djibouti.



**dialogue with and within RIOs**

**INDICATOR 2.3.1** Specific and effective arrangements to strengthen the coordination role of the EC bodies are in place

The IRCC represents a main thrust of coordination (of EC and other bodies) which whilst increasing NAO/RAO consultation aims at better coherence of EC support to regional integration. In this framework, however, a strong policy dialogue capacity is necessary to ensure the fulfilment of the commitments and effective implementation. A close coordination between the Delegations responsible for the four RIOs involved, and effective mechanisms to coordinate the Delegations with regional responsibilities and those which have only national competencies should be in place but is not. Such mechanisms should allow the Delegations with regional responsibilities to activate the other Delegations and vice-versa when needed to ensure a coordinate policy dialogue. Such mechanisms do not really exist and the coordination mainly relies on the commitment of a handful of motivated people in the Delegations.

The holding of EC pre-IRCC coordination meetings (including representatives of Delegations with regional competence and at times of AIDCO representatives) is a coordination mechanism of sorts but these are yet to become structured and systematic mechanisms and would need to be extended to other EC representatives to ensure full coordination.

**INDICATOR 2.3.2** Existence of an institutional framework and resources allowing the EC to address through policy dialogue both regional ESA-IO and specific RIOs priorities

Overall the EC and ESA-IO RIOs are fairly satisfied with the institutional framework for improved coordination provided under the 9th EDF with the institution of the IRCC. This significantly facilitates dialogue and coordination, especially in the focal sectors. Specific capacities, resources and mechanisms, however, should be put in place at the level of EC, as seen in the previous paragraph, to ensure to IRCC a competent, updated and coordinated partner.

With specific reference to the EC actors involved, previous reports highlight that there is general agreement on the part of the EC that the capacity of its Delegations to liaise with RIOs is often limited and that additional resources need to be deployed to increase capacities and mechanisms for improved coordination and dialogue. Field visits and interviews with EC representatives both in Delegations and HQ have confirmed this, highlighting for example that neither in Lusaka nor Dar es Salaam are the delegations adequately staffed to address the policy dialogue, coordination work and implementation follow-up required by the regional envelopes, even more so when the same staff is required to follow-up on national envelopes which amount to hundred millions €. In addition in the case of Tanzania, the delegation is located in Lusaka, while EAC is located in Arusha thereby adding logistic problems to the burden.

This generates weak dialogue and – at times – contradictory messages. According to the IRCC mid-term evaluation such a situation characterized by the absence of formal mechanism for liaison between EC Delegations and the IRCC project (in this case) has led to instances where advice given to RIOs by the respective Delegations differed from that given by the Project staff.

The situation however differs according to the focal area analysed. In the case of RI&T capacities and mechanisms to coordinate EC positions are stronger and the same is to be said for the NRM sector where strengthened management and sectoral capacity of RIOs seems to favour EC dialogue and negotiation. The current shift from project-based planning to Contribution Agreements is an indicator of enhanced ownership and empowerment by RIOs and trust by EC. The same however does not hold true for the T&C sector where dialogue appears to be concentrated at national level with EC regional profile being less well defined (and certainly viewed from national levels as being less obviously relevant). In the T&C sector regional coordination has been partial and mainly linked to ad hoc activities carried out on a personal basis in some Delegations and even this low-profile coordination has been constrained by staffing problems. However, it is reported that these staffing issues are now being overcome such that improved coordination is likely in the short/medium term.

On the other hand, very good examples of policy dialogue and coordination do exist. These however are not grounded in established coordination mechanisms and dedicated resources but rather on the personal initiative and strong commitment of a handful of people.

Summing up, although the institution of the IRCC has provided a framework for improved coordination, especially in the focal sectors, lack of structured dialogue mechanisms and of appropriate resources have prevented the EC from taking advantage of the potential offered by the institutional set-up provided by the 9th EDF. And unless, additional resources (focal point and staff) will be deployed it is very difficult to imagine that the present set up of the Delegations may allow more coordination among the various EC actors.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** IRCC and RIOs statutes, strategies and management/coordination structures (organisation flowcharts, ...); IRCC and RIOs annual and monitoring reports; IRCC review reports; The cooperation agreement between the four RIOs; Minutes of IRCC meetings and related docs.

**Interviews with:** EC Representatives; RIOs and IRCC; EU MS & other donors.

**EVALUATION QUESTION 3:**  
**To what extent are the EC regional and national programmes, in particular in the regional focal sectors, coordinated and complementary (including coordination and complementarity with the SADC RSPs)? And to what extent are coordination and complementarities with EU member states, as well as coordination and harmonisation with other main international partners sought and put in place (including issues of Community value added)?**

**EVALUATION CRITERIA:** Complementarity, Coordination and Community value added

**EXPLANATORY COMMENTS**

This question regards coordination and complementarities:

- coordination and complementarities of the regional and national EC programmes, and of the ESA-IO with the SADC programme;
- coordination and complementarity of the regional EC programme with the regional programmes of the EU member states;
- coordination and harmonisation with the regional programmes of other main international partners

As indicated by the European consensus, complementarity should be based on the specific EC value added. In this respect, the question addresses the issue of the EC value added<sup>69</sup>.

**INITIAL ANALYSIS AND HYPOTHESIS (FINDINGS)**

**JUDGEMENT CRITERIA 3.1 RSPs/RIPs and CSPs/NIPs, and their implementation, in the regional focal sectors, demonstrate complementarity and are coordinated**

**Indicator 3.1.1** Development strategies and indicative programmes at regional and country level show interrelations and cross references and are partly interdependent in the regional focal sectors

In general both in the 8<sup>th</sup> and 9<sup>th</sup> EDF RSP/RIPs, the reference to the NIPs is a matter of principle rather than an attempt to put in place measures to ensure a coordinated implementation of complementary actions between RIPs and NIPs.

Paragraph 7 of the EA 8<sup>th</sup> EDF RIP states that “The projects and programmes should as much as possible be integrated into an overall sectoral strategy at regional level, be consistent with those decided at national level, and be defined together by countries of the region and/or the regional organizations concerned.” Similarly, reference to resources received by countries under the national programmes is also present in the IO 8th EDF RIP.

With regards to the 9<sup>th</sup> EDF, the ESA-IO RSP/RIP (§129) states that the response strategy of the E&S Africa region “should also ensure synergy with National Indicative Programmes (in that there is no overlap and in that the RSP is in support of stated national policies as outlined in PRSPs and other policy documents). Looking at focal areas under the 9th EDF RIP, it is only with reference to the T&C sector that the specific need for synergies is highlighted (§125) “Co-ordination and harmonisation on the regional level of the projects funded under the NIPs is thus essential in order to maximise their economic benefits and to foster the regional integration process.” Otherwise, and with the exception of NRM, although there are no clashes between the NIPs and the RIPs, there is also no (e.g. Regional integration and trade where most initiatives related to the sector are indeed planned and implemented at continental level or all-ACP and mostly at regional level, through RSP/RIPs) or little mutual support (e.g. T&C). The explicit reference to the need for regional coordination, however, is done in very few cases. Surprisingly, in many of such cases, it regards non-focal areas.

On the other hand, consistency between RIPs and NIPs with regards to the allocations is significant.

Two tables are reproduced below and indicate respectively: i) the macro-sectoral allocations under the 9th EDF (2002-2007) of both RIPs and NIPs, and ii) the Sectoral repartition of amounts planned, contracted and paid for national projects (1996-2007).

**Table 7.4: RIPs and NIPs macro-sectoral allocations under the 9th EDF (2002-2007)**

Macro-category	RIPs	NIPs	Correspondence
Economic development / RI	45-55 %	25.9% of which only 0.3% for support to RI	Low
NRM	15-25%	16.5%	High
T&C / Infrastructure	15-25%	26.6%	Medium-High
NFA	10-15%	31% of which 6% for CPRM	Low (medium if we focus on CPRM)

*Source: own elaboration of NIPs data*

The macro-sectoral repartition of allocations under the 9th EDF RIPs and NIPs show: (i) a high level of

<sup>69</sup> “The Community can be distinguished by its comparative advantage and added value, which enable complementarity with bilateral policies of Member States and other international donors”, in European Consensus..., page 17.

correspondence for NRM; (ii) medium level for T&C, although it should be noted that this becomes high if only road transport is considered; and (iii) low level of correspondence for RI (with only 0,3% of NIP allocations for RI) and NFA. With regards to RI, only half of the NIPs contain express indications of initiatives directly supporting RI efforts and only in five cases does support to RI&T appear among NIP focal areas. On the contrary, as regards NFA, whereas at regional level CPRM, governance, health, education, are either absent or fall under the NFA, at national level they total over 30% of all projects, with CPRM and human rights projects alone totalling over 10% of amounts planned for national projects.

Indeed, the NIPs and the related policy dialogue might play a role in interesting and motivating the member countries and their private sector organizations towards being more active participants in the RI process, for instance to accelerate the implementation of the regional standards in various sub-sectors, and/ or to prioritise and complete the national components of regional programmes, e.g.: in T&C (where a regional corridor is made of an interconnected sequence of national components), in NRM (where the national management of the resources in a country affects the situation in another country), or in CPRM.

Looking in more detail at the NIPs, the following has been found:

Regional Integration and Trade. Assessing the relevance of NIP objectives with respect to the main priority of the 9th EDF RSP for the ESA-IO Region, ie regional integration and trade, and more specifically the interrelations between the two is particularly difficult as many activities contributing to regional integration efforts of a specific country often fall within interventions related to capacity-building, governance and macro-economic support. The analysis of NIPs and related annexes has allowed the identification of regional integration components where expressly stated or inferred in NIPs (see table below). Vague mentions of regional integration support initiatives found in the country strategy papers have not been considered insofar as they do not refer to planned activities to be implemented and integrated in the financial envelope A.

**Table 7.5: Mention of regional integration initiatives in NIPs (9th EDF)**

	Mentioned in NIP	Related focal sector	Amount (Million €)
Angola	Yes	Governance	NA
Burundi	Yes	NFA	NA
Comoros	No	ND	NA
Djibouti	Yes	Macro-support	NA
DR Congo	Yes	Governance	NA
Eritrea	No	NA	NA
Ethiopia	Yes	Macro-support	5
Kenya	Yes	NFA	NA
Madagascar	Yes	NFA	NA
Malawi	No	NA	NA
Mauritius	No	NA	NA
Namibia	Yes	NFA	2
Rwanda	Yes	NFA	1
Seychelles	No	NA	NA
Somalia	No	NA	NA
Sudan	No	NA	NA
Swaziland	Yes	NFA	1.8
Tanzania	No	NA	NA
Uganda	Yes	Macro-support	4
Zambia	No	NA	NA
Zimbabwe	NA	NA	NA

Source: Own analysis of NIPs

About half (11/21) of the NIPs of countries belonging to ESA-IO region contain express indication of initiatives directly supporting regional integration efforts. Most of these initiatives appear among the non-focal sectors / other programmes section of NIPs (6/11). In five cases, support to trade and regional integration appears among focal-areas, and specifically, among macro-support (3) and governance (2) initiatives. Finally, in five cases NIPs or related tables in the annexes report specific amounts assigned to regional integration support. These amounts are, however, negligible, and usually refer to accompanying actions that are complementary and coherent with continental and regional initiatives such as the Intra-ACP "Capacity building in support of Economic Partnerships" and the "Economic integration programme to the BLNS<sup>70</sup> - Phase I". This is especially

<sup>70</sup> Botswana, Lesotho, Namibia and Swaziland.

true for Namibia and Swaziland, belonging to the Southern African block. Governance and macro-economic support initiatives have been thoroughly scrutinised and they rarely mention activities expressly or indirectly inferring actions for the institutional strengthening of a government capacity in trade negotiations or regional integration efforts.

The two most notable exceptions are Ethiopia and Uganda. As regards Ethiopia, the related CSP/NIP envisages that a tentative amount of 5% of the available A-envelope will be reserved for capacity building in economic reform and integration. This will include support to private sector representative agencies to be able to address the challenges from integration into the world economy (p.25-CSP). Enhanced negotiation capacity related to trade/economic integration appears as the second objective of Macro-support in the logical framework and indicative commitments (p. 38). As regards Uganda, support to RI is both mentioned among non-focal interventions (p. 27) and later among Macro-support and economic reforms priorities. In particular Annex I (page 3) refers to "support to improve the capacity of the public sector to address globalisation and RI challenges".

In the future it is expected that the running of the RISM will bring about an increased complementarity and coordination especially at implementation level. The RISM in fact establishes a fund to support member countries in participating fully in the COMESA and EAC free trade area and customs union, whereby MS will submit an application for funding under the RISM Facility through the COMESA Fund.

Transport and Communications. Most CSP/NIPs make generic references to the regional context of T&C, ranging from specific consideration of regional support strategies (e.g. Uganda, Ethiopia, Eritrea CSPs), to references to corridor development (eg Tanzania, Malawi CSPs), to ports and transit traffic (e.g. Kenya CSP). No references or proposed interventions examined at national level, however, exhibit interdependence as such (although an investment on a section of a network with international linkages obviously assumes downstream and upstream connectivity). More efforts will have to be made to improve dialogue between MS (directly or facilitated through RIOs) on issues related to the implementation of national T&C projects interconnected at regional level. Practical coordination of programming of T&C interventions is particularly important given that the vast majority of physical interventions are carried out under MS NIPs and that individual interventions alone are not effective.

In the NRM sector, regional and national strategies and programmes show complementarities and embed mechanisms for coordinated implementation:

- In Ethiopia and Sudan, efforts are pursued in the food security and rural development sectors in line with the regional approach proposed in the REFORM programme.
- In the Indian Ocean countries with more advanced economies (e.g. Mauritius, Seychelles, Comoros) but with fragile ecosystems and increasing pressure on urban and coastal areas, the national NRM strategies complement the regional initiatives like RECOMAP. Coordinated implementation of the national and regional components is duly considered in project design, although its practical arrangements will have to be investigated.
- In the EAC countries, a considerable share of NIPs is dedicated to the protection and valorisation of the natural resources base in line with strategies developed in regional fora (e.g. Lake Victoria). The application at national level of the recommendations arising from regional initiatives is also noted, e.g.: agricultural research and services, livestock and commodity markets (coffee in Tanzania).
- In the specific case of CPRM, the lack of linkages between the country and regional programmes, can be explained through the implicit assumption that conflicts are best addressed from the national perspective. This approach is also confirmed by the fact that the largest programme envisaged under the 9th EDF in the CPRM sector is a CPRM institutional capacity development.

Finally, it is reported that in the 10<sup>th</sup> EDF consistency and complementarity between NIPs and the envisaged RIP is stronger (NIPs embed regional priorities, e.g. under the Zambia NIP reference and specific actions are proposed for the improvement of regional transport links and 'close coordination with regional ESA-IO activities' is envisaged with regards to trade liberalisation and regional integration).

**Indicator 3.1.2** Effective coordination mechanisms at the different levels of the programming and implementation cycle are in place

Measures which should contribute to coordination and consistency of national and regional policies and programmes, have been put in place under the 9<sup>th</sup> EDF.

- the IRCC that analyses all national CSP/NIPs (§ 99 of 10<sup>th</sup> EDF RSP/RIP) to ensure coherence between priorities and objectives of the NIPs and those of the RIPs;
- the agreement reached in July 2006 that all NAOs and RAOs of the ESA-IO region will meet annually to monitor coordination and complementarities and the respective implementation of CSP/NIPs and RSP/RIP. As in most countries the regional cooperation mandate does not coincide with the NAO function (in Mauritius for example, regional cooperation is under the Ministry of Foreign Affairs, whereas the Ministry of Finance is the NAO), it is envisaged that the meeting between RAOs and NAOs - which serves as a forum for dialogue and consultation - will play a particularly important role in strengthening complementarities between CSPs/NIPs and the RSP/RIP by favouring the convergence of national priorities with the regional agenda.

Finally on this, it should be noted that although yearly meetings between NAOs and RAOs do take place, discussions are focused on the respective contributions to the programmes with a double (national and regional) component and do not extend to the joint monitoring of implementation.

- RIOs technical committees which contribute to national policy formulation bodies, thus to Councils of Ministers and government, such that regional policies should not be contradictory to those of ESA/IO MS. And vice-versa, the regional policies are submitted to the scrutiny of ministerial committees composed by national representatives. However, in the T&C sector it is reported that most national representation on RIO technical committees is relatively junior with no delegated powers for agreement. They thus undertake more an observer and rapporteur role than anything more proactive. However, there is a 2-way flow of information which contributes to convergence of national and regional policies but less so to coordination of implementation. This is for example the case in EAC countries where the application at national level of the recommendations arising from regional initiatives is noted, (e.g.: agricultural research and services, livestock and commodity markets, coffee in Tanzania) and Zambia where representation to COMESA and other international fora in guaranteed by a system of Committees that foresees that when decisions taken at international level involve national responsibilities, these are automatically included in national plans either immediately or upon ratification by the government / parliament.

As anticipated joint monitoring systems at IRCC or COMESA level are not yet in place. The situation should change with the assumption of extended roles foreseen for the IRCC under the new (draft) ToR. It is in fact envisaged that the IRCC will assume an important role in the coordination between national and regional programmes through the extension of its mandate to include national implementation issues.

It is worth noting that prospects for improved complementarity and coordination have been witnessed under the 10<sup>th</sup> EDF with questionnaires sent to the NAOs to improve the coordination of the 10<sup>th</sup> RIP with existing NIPs which have already been finalised. This said, communications between Regional and non-Regional Delegations remains low, and no Delegation beyond those acting as focal points for the RIOs involved seems to have commented the draft RSP of the 10<sup>th</sup> EDF.

At implementation level a particularly important role should be played by the RISM (though it should be reviewed and adapted to the present situation – see EQ2) that foresees the establishment of a fund for a given CU (presently COMESA), whose allocation should be negotiated with the MS of that CU. The present set-up however raises some concerns linked to the possible trade-offs between the EAC CU and COMESA's administration of the RISM with EAC member states.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** RSPs/RIPs; CSPs/NIPs; Analysis of the inventory of projects/programmes; Existing evaluations of CSPs/NIPs; Existing sectoral evaluations

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA IO MS institutions.

#### **JUDGEMENT CRITERIA 3.2 RSPs/ RIPs in ESA-IO region and RSPs/ RIPs in the SADC region, and their implementation, are complementary and coordinated**

**Indicator 3.2.1** When the same sectors are involved, development strategies and indicative programmes in the two regions show interrelations and cross references

**Indicator 3.2.1** Effective coordination mechanisms at the different levels of the programming and implementation cycle are in place

Task forces have been established between SADC and COMESA to facilitate harmonisation and coordination of policies and programmes and “SADC has been involved in the preparation of this E&S Africa RSP through the SADC Secretariat’s attendance of most preparatory meetings” (§10 of the 9<sup>th</sup> ESA-IO RSP) and the same holds true for the 10<sup>th</sup> EDF for ESA-IO “The EDF9 and EDF10 RSPs and RIPs for the ESA-IO region have been prepared jointly by the four RECs (COMESA, EAC, IGAD and the IOC) making up the region” (§52 of the draft 10<sup>th</sup> ESA-IO RSP). As in the ESA-IO RSP/RIP, multiple references to the other RIOs can also be found in the SADC RSP/RIP both with regards to the analysis of the overall and specific sectoral contexts, and to the need for further harmonisation and cooperation between the policies (e.g. §3 of the SADC 9<sup>th</sup> EDF RSP “The SADC and the E&SA RSPs [...] have been harmonised to the greatest extent possible, particularly with respect to the Regional Integration and Trade focal sector” and “Further co-operation will take place with the establishment of the Inter-Regional Co-ordinating Committee (IRCC) which will have as its members COMESA, EAC, IOC, IGAD, SADC and the EC).

According to the Evaluation of the Commission's support to Southern African Development Community – SADC Regional Level Evaluation (Final Report – Annex 1, April 2007), confirms the validity of the statement made in the SADC RSP as it concludes that indeed “The SADC and the E&SA RSPs (the latter covering COMESA, EAC, IGAD and IOC) have been harmonised to the greatest extent possible, particularly with respect to the Regional Integration and Trade focal sector.” However, in the case of the SADC RSP/RIP there has been no formal participation of the ESA-IO RIOs in its preparation.

If this holds true with regards to the formulation of the RSPs and RIPs, the same cannot be said with regards to projects and programmes. “Since 2001 the Task Force has met at least once a year but, although it has helped

to significantly improve relations between the two regional organisations, and to keep open a dialogue between the Secretariats, it is probably fair to say that it has not managed to do much to harmonise implementation of projects and programmes” (draft RSP/RIP 2008-2013 ESA-IO para 64, Nov 2007).

This task force has been subsequently restructured (March 2006) – and currently also includes EAC - to better tackle technical, strategic and policy issues and “there is now a stronger will, at least at the level of the Secretariats, to be more pro-active in harmonising programmes at the regional level”<sup>71</sup>.

Similar conclusions can be drawn from the analysis of the Evaluation of the Commission’s support to Southern African Development Community – SADC. In fact, although the IRCC was originally created to serve as a forum for dialogue for COMESA, EAC, IGAD IOC, SADC (and EC) to work together on programming and prioritisation of regional programmes, the report states that “SADC withdrew from formal membership of the IRCC and retained only observer status – and, in fact, only rarely participates as an observer. Thus, while the IRCC appears to effectively coordinate COMESA, EAC, IGAD and IOC, activities related to the SADC RIP are not dealt with by the IRCC and there is no effective coordinating mechanism.” [...] “Hence, SADC is not very involved in regional alignment nor in tackling the issues arising out of the multiplicity and overlap of the regional organisations – and, by consequence, neither is the Delegation in Botswana. The pattern is the same throughout the region, with the Delegation in Zambia essentially dealing with COMESA and not with SADC; and the Delegation in Tanzania dealing essentially with the EAC – even though both Tanzania and Zambia are members of SADC.”<sup>72</sup>

Degrees of complementarity and coordination at implementation level vary according to the sectors analysed. With specific reference to the focal sectors of the RSPs/RIPs the following can be noted:

Regional integration and trade. There has been little apparent progress in reaching any agreement in the RI area between the SADC and the ESA-IO RIOS. The Task Force between SADC and COMESA, established in 2001 with the objective of discussing differences between the CU envisaged in COMESA and that in SADC, was restructured (May 2006) to include EAC thus becoming the SADC/COMESA/EAC Tripartite Task Force. Until then, there was little evidence of progress in terms of discussions on the differences in probable CETs and Rules of Origin and their possible bridging to allow assessing at some future stage whether the merger of the two CUs might be feasible, or, if not, at least a transparent and open trading environment for the two groups established. Following its restructuring, the Task Force has been meeting regularly to better tackle technical, strategic and policy issues and now includes the Secretary Generals of the three RIOS. The stronger will to be more pro-active in harmonising programmes at the regional level demonstrated by the Secretariats (including the creation of a sub-committee on Trade and Customs) is evident in their efforts to identify and agree upon the strategic issues to be addressed in the planned Ministerial Meeting (October 2008) which is expected to authorise more detailed work at technical level on the harmonisation of custom unions. Overall, it is expected that - after some years of generally slow-moving coordination efforts by the COMESA, EAC and SADC Secretariats - the envisaged Tripartite Ministerial meeting will give new life to the process.

Transport and communications. In the T&C sector there is increasing complementarity (less so coordination) between SADC and ESA-IO RSP/RIPs although actual complementarity and coordination on the ground is not seamless. There continue to be gaps between international and regional protocols and their national ratification such that there continue to be implementation backlogs manifested by delays at many international borders. Clear inter-relation and cross reference exist between SADC and ESA-IO in that the easiest connectivity between the southern MS of ESA-IO (Zimbabwe, Zambia, Malawi) is with/through SADC countries to the south and east through Mozambique and RSA rather than to the north and east through Tanzania. Thus, transit procedures are a major factor in facilitation of cross border movement and it is proposed in the 9<sup>th</sup> EDF RSP/RIP that EC has specific experience in such matters which could facilitate inter-regional cooperation in transport services including the following issues: i) harmonized regulations on axle loading, GVM and vehicle dimensions; ii) expanding coverage of standard carriers licenses, third party insurance and driving licenses; iii) common transit fees; iv) road safety; v) customs bond guarantees; vi) greater integration of different transport modes.

The Yamoussoukro Decision<sup>73</sup> (followed by preparation of joint regulations for competition of air transport services and establishment of a Joint Competition Authority which was ratified by EAC, COMESA and SADC) regarding liberalisation of intra-Africa air transport was a major breakthrough which has not yet been replicated in other transport modes; and another step forward in improving coordination and complementarity is represented by the fact that TCSP/IP should be implemented in close cooperation with SADC<sup>74</sup>. Not all T&C aspects are fully integrated however. Most rail networks are operating a computer cargo management system but COMESA has adopted ‘Railmaster’ (under ACIS) whilst SADC has adopted the ‘Rolling Stock Information

<sup>71</sup> Ibid.

<sup>72</sup> Evaluation of the Commission’s support to Southern African Development Community – SADC. Ibid.

<sup>73</sup> EQ 5 – JC 5.1 ‘Coordinated sectoral policies and plans have been put in place by RIOS and their member states’.

<sup>74</sup> IRCC Quarterly Activity Report 17 - Jul Aug Sep 2007

<sup>75</sup> Customs unions imply standardised tariffs (CET) and border crossing procedures. But many countries are members of multiple RIOS therefore unless there is harmonisation between the RIOS, a country cannot belong to more than one customs union scheme.



System'. These systems are not compatible. Also there continue to be some inconsistencies in regional accords between the RIOs especially regarding harmonisation of cross border movements and customs unions<sup>75</sup>.

**Natural Resources Management.** In this area, strong coordination and complementarity can be witnessed also in the implementation of programmes. This is the case, for example, of the IOC and SADC programmes on the monitoring and surveillance of fishing operations in respective areas, where parallel and coordinated implementation takes place, including the exchanges of data and methods through workshops and dissemination. The programme was originally implemented in the SADC region in the period 2001-2006 and covered 5 coastal continental countries (Angola, Mozambique, Namibia, South Africa and Tanzania)

Similar topics are addressed in both regional envelopes also with regards to agricultural research and food security, particularly for strengthening regional information systems, animal and plant protection, promotion of intra-regional trade and water and land management.

#### SOURCES OF INFORMATION AND TOOLS

**Documentary Review of:** RSPs and RIPs (including SADC RSPs and RIPs); SADC evaluation; Analysis of the inventory of projects/programmes

**Interviews with:** EC Representatives; RIOs and IRCC.

**JUDGEMENT CRITERIA 3.3 In the focal sectors, RSPs/RIPs - and their implementation - demonstrate complementarity, and are coordinated with the regional programmes of the EU member states. More specifically, RSPs / RIPs and their implementation: i) highlight and respond to a specific comparative advantage of the EC; ii) foresee (and put in place) specific initiatives to enhance the EC's complementarity and coordination role between MS; iii) reflect the priorities of all MS and allows them to participate beyond their actual financial and technical engagement**

**Indicator 3.3.1** There are complementarities, and/or divisions of roles between the EC and EU MS regarding their respective regional programmes, and/or with the regional dimension of national programmes of EU MS

**Indicator 3.3.2** Possible complementarities and/or divisions of role take into account and heighten the EC specific value added

Altogether, the regional programmes of the EU MS in the period considered (8<sup>th</sup> and 9<sup>th</sup> EDF) amount to some 11 million Euros and are mainly focused on specific issues within the various sectors of intervention, with most of the EU MS aid being concentrated at national level.

At national level there is division of roles and complementarity between the EC and EU MS sector support portfolios. This coordination is more pronounced in countries moving towards GBS/ SBS (in support of national sector policies and strategies). Despite the fact that – in most cases – there is no explicit statement of effort at regional level, as some components of national programmes have a regional dimension, this national coordination of EC and EU MS 'spills over' to regional programmes (and there is certainly no overt contradiction between the sector support vectors of the various EU MS and the EC).

At regional level the relationship between EC and the EU MS is firmly in line with the principles of the Paris Declaration on Aid Effectiveness and EU Consensus on Development which are applied to partnership with RIOs, i.e.:

- RIOs ownership of regional sector policies and strategies;
- donors support RIOs' programmes and priorities ;
- EU MS and EC (and other donors) sector support strategies should be harmonized to the greatest extent possible
- result-oriented management using RIOs' programming, budgetary and procurement systems
- mutual accountability and transparency.

Moreover it should be noted that the use of CAs and the forthcoming operationalisation of the COMESA Fund - which will be made of contributions of both COMESA MS and contributions from donor agencies and other financing agencies - will increase ownership of the RIO(s) and therefore - although indirectly<sup>76</sup> – the complementarity and coordination between the regional programmes of the EC and those of EU MS (as well as of any other donor/financing agency). See Indicator 3.3.4.

Looking at sectors:

- **Regional integration and trade.** In the RI&T sector, there is no major problem of coordination. Few donors have emphasised RI and in any case the COMESA Secretariat has flexibility in using the RISP funds because of the Contribution Agreement. In addition there is some mutual support between the EC supported RISP and the interventions of other EU members (e.g. the NTB "real time" project of DfID for SADC, COMESA and EAC). There is certainly no evidence of any inconsistency or duplication).
- **Transport and communications.** In the T&C sector - where most EU MS (like EC) have concentrated sector support at national levels - there is generally speaking good complementarity between the respective

<sup>76</sup> I.e. through the contributions to the fund to be used to: i) compensate COMESA countries and allow them to continue with the implementation of their macro-economic and trade liberalisation programmes – Adjustment facility component; and ii) provide long-term loans at a fixed interest rate to support infrastructural projects included within the Infrastructure Master Plan to be developed for the whole region - Infrastructure Fund component.

regional programmes. There is also good sector coordination in most MS, enhanced by moves towards national T&C sector policy and strategy revision, institutional change, SBS and GBS.

- **Natural Resources Management.** With regards to the NRM focal area, the situation is quite different as EU member states support regional cooperation initiatives in specific NRM topics, through their bilateral cooperation agencies, co-financing mechanisms and/or through multilateral cooperation with international agencies. Finland assisted the EAC countries in the preparation and implementation of the agriculture and rural development policy and strategy. Sweden (SIDA) is co-financing with EC the lake Victoria environmental management programme. France is financing a network of marine protected areas in the Indian ocean, an initiative that is well coordinated with the EC-funded RECOMAP.
- **CPRM.** according to reviewed documents regional programming does not seem to be coordinated with regional programming of the EU member states, and this has been confirmed during the field visits. In this area, complementarity or division of roles appears to be more a question of chance rather than design. This can be attributed not only to the fact that there is little EU MS coordination within the sector but also – and perhaps most importantly – to the fact that there tends to be a strong assumption that conflicts are best addressed from the national perspective.

Overall, the EC 'added value' contribution at regional level is relatively evident and relevant to the EC specific mandates. On this, the importance of the EC's regional programme envelopes vis a vis the fact that few MS have regional strategies in place should also be noted.

In the ESA-IO programme, the importance of the EC value added is particularly noticeable. This is particularly true at sectoral level: RI&T and T&C are traditional sectors in which EC has been historically the (or one of the) main donor(s), and has a recognised leadership among the EU MS.

- In the **regional integration** area, the specific know-how in regional integration and the weight of this area of intervention in the EU development strategies have allowed the Commission to run the most important support programme for regional integration in the ESA-IO region, as in other African regions.
- In the **trade** area, the specific EC mandate and responsibilities on trade have allowed the commission to lead the EPA negotiation process and to qualify as the most important partner for trade liberalisation and market integration in the region.
- In the **T&C** sector – historically one of the main areas of intervention of the EC – the effectiveness of the recognised leadership of the EC among EU members states, is however currently impaired by T&C staffing difficulties.
- In **NRM**, the EC has shown a good degree of value added in promoting the regional dimension and approach;
- In **CPRM**, on the other hand, despite the strong potential for value added (also linked to the existence of several EU continental initiatives and facilities), lack of personnel and of substantive knowledge of CPRM do not make this an area of comparative advantage of the EC or at least not yet.

At a more general level, the EC mandate for EU MS coordination has allowed the commission to lead important regional support initiatives as in the case of the EAC Partnership Fund for Capacity Development. The Fund (a basket fund to provide institutional support to the EAC secretariat and to finance the preparation of specific project dossiers) has strongly increased complementarity and coordination, especially as it also provides the venue for donors to meet and exchange views and priorities prior to the meetings scheduled with EAC. The contribution and role of the EC in terms of promoting EU MS coordination is even more noticeable as despite the fact that the EC has strongly promoted the establishment of the fund, it has not provided funds yet (pending issue of EAC eligibility for contribution agreements).

A similar arrangement is envisaged with IOC, with ECD taking the lead in donor coordination, given its role and historical contribution to the IOC.

Always in the area of coordination and EC leadership, gaps in technical staffing and absence of structured and systematic mechanisms for internal coordination prevent the EC from the exercising a more functional and systematic coordination role. This regards the CPRM area but also dialogue with IGAD, the tripartite process....

### **Indicator 3.3.3 Effective coordination mechanisms at the different levels of the programming and implementation cycle are put in place**

There appear to be no structured coordination nor consultation mechanisms at regional level. More recently, efforts to streamline coordination have been clearly visible: the EC Delegation ran a survey of donors in 2007 and promoted two meetings (source: meeting in the EC Delegation in Lusaka) while the IRCC has also organised two meetings attended by DFID, USAID and others (source: interviews with members of the IRCC Secretariat).

Some progress has been recorded with the recent efforts to streamline coordination deployed by the EC Delegation in Zambia that has been investigating donor coordination, has carried out a survey and conveyed two donor meetings.

However, as the EC contribution to COMESA is paid through Contribution Agreements (and this aid delivery mechanism will be extended to all RIOs), most of the coordination is – and should be – done by the COMESA Secretariat and the IRCC. This said and even though there does not appear to be much overlap nor inconsistency between different donor programmes, regular consultation mechanisms would indeed be an appropriate vehicle for increased coordination as well as improved subsidiarity.



**Indicator 3.3.4 Dialogue fora and measures are in place to promote the harmonisation of aid delivery methods)**

Irrespective of the sector, increased complementarities and coordinated actions are expected as a result of the recent move towards the operationalisation of funds established at RIO level. This has been the case with the EAC Partnership Fund that has encouraged harmonised donor support in key priority areas and the same is expected to happen with the COMESA Fund.

The establishment of the EAC Partnership Fund for Capacity Development (a basket fund to provide institutional support to the EAC secretariat and to finance the preparation of specific project dossiers) has strongly increased complementarity and coordination, especially as it also provides the venue for donors to meet and exchange views and priorities prior to the meetings scheduled with EAC. On this it should be noted that although the EC has strongly promoted the establishment of the fund, it has not provided funds (pending issue of EAC eligibility for contribution agreements). A similar arrangement is envisaged with IOC, with ECD taking the lead in donor coordination, given its role and historical contribution to the IOC (EC added value).

Along the same lines, it is expected that the forthcoming operationalisation of the COMESA Fund - which will be made of contributions of both COMESA MS and contributions from donor agencies and other financing agencies will increase complementarity and coordination between the regional programmes of the EC and those of EU MS (as well as of any other donor/financing agency). It is worth recalling however that in these cases, increased complementarity will result as a consequence of RIOs increased ownership of regional strategies, policies and programmes, rather than from increased donor coordination efforts, although on this improvements have been registered (recent efforts by the EC Delegation in Lusaka which in 2007 has promoted a donor survey and two donor meetings).

**SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** RSPs/RIPs; EC regional programmes' documents; EU MS strategic and programme documents; Minutes of coordination meeting

**Interviews with:** EC Representatives; RIOs and IRCC; EU MS & other donors

**JUDGMENT CRITERIA 3.4 Coordination and harmonisation are sought with the main international partners.**

**Indicator 3.4.1 Coordination procedures and joint assistance strategies are in place to ensure that RIPs and NIPs are coordinated and harmonised with main interventions supported by other donors**

The regional support of the other donors in the period considered amounts to some 380 million €, of which 222 cover only one project - Telecom - financed by a public-private partnership with the participation of USAID. The remaining 160 million are covered by 58 million (EIB), 37 million (ADB-WB), 32 million (USAID) and others. The coordination mechanisms are not evident given the dispersion of the various donors, of which none has a comprehensive approach to regional integration comparable to the EC strategy. In the specific case of the EC for example, the regional intervention strategy does indeed take into account intervention of other donors (which are also presented in annex) but overall there are no joint assistance strategies nor structured coordination procedures and a clear coordination role is left to the RIOs. This does not necessarily mean that at sector level or in relation to specific initiatives there is no coordination or harmonisation but rather that this is not carried out systematically.

The following paragraphs extracted from the 9<sup>th</sup> and 10<sup>th</sup> RSP/RIPs confirm this.

- Although it must be the responsibility of regional organisations to co-ordinate their activities it is also the responsibility of the donor to ensure that its funds are being used in a way which promotes the overall development of the region. The donor community could use the RSP as a guide to financing regional programmes to ensure that they do not perpetuate conflicting trade and integration accords (§ 98 of the 9<sup>th</sup> EDF ESA-IO RSP/RIP).
- Annex 4 gives details of the support received by the RIOs from all donors and IFIs. There would appear to be no funding overlaps (where two donors are financing the same programme) in the regional organisations themselves and donor funds are used to advance the regional integration objectives of the RIOs within the framework of their mandates. (§ 101 of the 9<sup>th</sup> EDF ESA-IO RSP/RIP)
- The EC response strategy is notably based on the EC policy objectives, the policy agenda and the analysis of the region, the lessons learned from past and ongoing EC experience, interventions of other donors and the value added of addressing issues on the regional level. (§113 of the 9<sup>th</sup> EDF ESA-IO RSP/RIP)
- The response strategy of the E&S Africa region has taken account of interventions of other major donors so that it is complementary with these interventions. (§129 of the 9<sup>th</sup> EDF ESA-IO RSP/RIP)
- Need to enhance donor harmonisation and coordination also at regional level (§ 101 of the 10th EDF ESA-IO RSP/RIP).

It is nevertheless expected that coordination and harmonisation will improve with the progressive application of the principles of the Paris Declaration on Aid Effectiveness, with increased use of contribution agreements and the channelling of donor funds towards RIOs funds. (see also previous JC).

- **Transport and communications.** The main areas of donor support to T&C at national and regional levels are infrastructure, ICT and capacity building such that there is an obvious need to ensure donor harmonisation and coordination. That being said, there is good sector coordination in most ESA-IO MS enhanced by moves towards national sector policy revision, SBS and GBS which are supported by national sector development partners, especially WB which is one of the lead sector funding agencies in most countries.

- Natural Resources Management. Major international donors (WB, AfDB, G8 and others) have supported the elaboration of sector-wide strategies embedded in the NEPAD process, such as the Comprehensive Africa Agriculture Development Programme (CAADP) that served as a strategic base for further investments and thematic initiatives. There seems to be a general consensus among African stakeholders and donors on supporting and empowering RIOs in the planning and implementation of these sectoral strategies. Bilateral donors (e.g. USAID), technical partners (e.g. FAO) and regional development banks (e.g. AfDB) are now focusing their assistance on specific components of this broad strategy (crop research, trade issues, food safety, production systems) or selecting specific countries to support in their implementation. In the fishery sector, the EC-funded SFP-ACP and the FAO-supported initiative to support quality and safety of fishery products have converging objectives. While in the field of integrated coastal zone management, the EC has pioneered the development of a regional policy framework in the Indian ocean region, while other international partners have focused on country or thematic interventions (GEF in Mauritius, FAO in Madagascar). These examples show that within the NRM sector coordination is actively sought and achieved.

**Indicator 3.4.2** Formal donor coordination mechanisms regarding the regional strategies and programmes are in place

See indicator 3.3.1. There appear to be no differences in coordination mechanisms whether EU MS or non-EU.

**Indicator 3.4.3** Harmonisation of aid delivery methods is sought and put in place, through joint funding mechanisms and procedures aimed at increasing the alignment with the recipient institutions

Overall, there is little practical difference between the coordination procedures whether EU MS or non-EU. Donors are slowly moving towards the alignment of their funding mechanisms and procedures by supporting the creation and funding of RIOs Funds, and in this the EC has played – and is playing a significant role. As in the case of the EU MS, coordination or rather complementarity is expected to improve as a result of the increased establishment and operationalisation of Funds at RIO level.

It should be further noted that there have been some reports (e.g. T&C sector) of coordinated multi-donor programmes falling out of sequence due to delays in programming and implementation of the EC sector portfolio (e.g. in the T&C sector). Whilst this dislocation of workplan has delayed rather than denied benefits, this delay has affected not only the expected benefits of the EC contribution but of the programme as a whole. EDF procedures have been reported to be a significant feature of these problems.

**EVALUATION QUESTION 4:**

**To what extent has EC support contributed to the effective establishment of a sound institutional and regulatory framework for regional trade liberalisation and economic integration (RTL & EI), so as to achieve sustainable results by gaining the benefits of comparative advantage within the region and enhancing the competitiveness of the region?**

**EVALUATION CRITERION:** Efficiency, effectiveness, sustainability

**EXPLANATORY COMMENTS**

The question focusses on the assessment of the outcomes of EC interventions in RTL and EI, according to the logic diagrams. This approach allows the assessment of the efficiency, effectiveness and sustainability of EC programmes and their coordination with national programmes and other donor inputs, bearing in mind that a different specific question (EQ 8) will assess the impacts of the programme. The question includes: the assessment of the actual ownership and implementation of the programme by the regional actors (outputs); the assessment of the sub-sectoral achievements (outcomes), i.e. those changes that have occurred in the institutional and economic environment in response (inter alia) to the outputs of the programme and the assessment of the EC aid modalities.

**INITIAL ANALYSIS AND HYPOTHESIS (FINDINGS)**

The Desk Study suggested that the EC interventions at the regional level, through successive EDFs and RIPs had done much to advance the process of RI in the ESA-IO region. Progress, in particular, is linked to the Cross-Border Initiative and Regional Integration Programmes of the 7<sup>th</sup> and 8<sup>th</sup> EDF and the RISP of 9<sup>th</sup> EDF, which have greatly enhanced the capacity of the RIO secretariats in the trade field and this has directly impacted on trade liberalisation leading to the significant progress towards the COMESA CU and the launching of the EAC CU. In the context of RI, EC support for the IRRRC has been invaluable for the coordination of the activities of the four RIOs. Likewise negotiations have already led to an interim agreement of a EU-EAC EPA and a number of other COMESA countries have initialled an EU-ESA framework agreement.

**JUDGEMENT CRITERION 4.1. Coordinated policies and plans for RTL& EI have been put in place by RIOs and their member states**

**INDICATOR 4.1.1 Consistency of the sectoral policies and plans among the RIOs**

The two RIOs involved specifically with RI are the EAC and COMESA with the COMESA Secretariat playing the role of principal actor. The COMESA Secretariat has provided a detailed road-map for an eventual common market<sup>77</sup>

The Field Mission confirmed that the COMESA Secretariat has received EC funds through Contribution Agreements and has largely defined the RI priorities itself. It has then passed funds on to the EAC for RI in that sub-region.

Now 2½ years after the launch of RISP, eight professionals are employed on RI in the COMESA Secretariat. Work is proceeding on the FTA/CU alignment timetable and a sensitive list has almost been agreed. Standards, Rule of Origin, Common Tariff Nomenclature (CTN) have been largely agreed under the 'COMESA Trade Policy'. The RISP also pays for translation services, monitoring and evaluation units, and for a tendering and evaluation system. In all the EC pays roughly for 25% of recurrent expenses of the COMESA Secretariat.<sup>78</sup>

The RISP has financed participation in the EPA negotiations and an interim agreement on trade in goods and fisheries has been completed and signed by the majority of non-EAC ESA member states. At the same time, the RISP has also been used to finance the participation of the EAC members (with the exception of Tanzania that is not a member of COMESA) in EPA negotiations leading to the signature of an interim EAC/EC EPA. This result reflects also the fact that EAC has made more progress than the ESA in implementing a Customs Union and is now working on the prerequisites for a common market.

Finally, it should also be noted that there has been little continental coordination of RI as envisaged in the Abuja Treaty and the Constitutive Act of the African Union<sup>79</sup>. The NEPAD/AU agenda is low on the list of priorities in the RIOs agenda, while in the case of the EC Delegations it was considered beyond their remit. In both cases it was sidelined in the commitment to pressing ahead with regional integration initiatives.<sup>80</sup>

With specific reference to the coordination of the activities of the RIOs, progress is visible but somewhat limited. Certainly over the course of most of the 8<sup>th</sup> EDF there was a problem in coordinating the agenda of the four different RIO secretariats<sup>81</sup>. Under the 9<sup>th</sup> EDF, the institution of the IRRRC made an important contribution<sup>82</sup>,

<sup>77</sup> The COMESA Custom Union Roadmap was adopted by the Council of Ministers in Cairo, Egypt in 2001 and later revised during the Third Technical Workshop on the Preparations Towards the Customs Union, Zambia, 2005. <http://www.comesa.int/trade/Folder.2004-04-19.2132/Folder.2005-06-20.2739/MS-Office-Document.2005-06-20.5434/view>

<sup>78</sup> Discussions with the chief administrator of RISP in the COMESA Secretariat.

<sup>79</sup> ARIA, pp. xxi ff, 7, 35 ff.

<sup>80</sup> Discussions with officials in the COMESA Secretariat and in the EC Lusaka Delegation.

<sup>81</sup> cited, *inter alia*, in Draft Conclusions to the EC, ESA/IO, Regional Cooperation 9th EDF, end-term Review

<sup>82</sup> see, in particular ARIA, p. 10

although overlapping membership will continue to create problems<sup>83</sup>. In particular there is a major issue in coordinating the merger of the COMESA CU – planned for the end of 2008- with that of the EAC, declared at the end of 2006. Limited progress has been made to date, though the COMESA members have agreed a CET which is similar to that of EAC and a set of Rules of Origin intended to facilitate such a merger. However, if the CUs are to merge, there will still be a major problem as regards the “categorisation” of goods (i.e. which imports are to be classified as, say, final or intermediate and so what duty they are liable to), and, problems could arise in other areas, such as the approach to NTBs, where the two Secretariats are working independently.

Uncertainties about the launch of the “COMESA-minus” CU suggested shortcomings in the commitment to the goals of COMESA among certain MS (i.e. the Congo DR, Eritrea and Ethiopia<sup>84</sup> who are not members of the FTA). The delay of the launch from 2005 to end-2008 was intended to allow all MS to join the FTA in advance. However the slow progress in RI of these MS has meant that, if the CU is established as planned at the end of 2008, it will be without these three members. Interviews with COMESA officials and officials in the Zambian government confirmed that uncertainties about membership of the CU went beyond the three countries which are not now members of the Free Trade Area<sup>85</sup>. It also found that there was a lack of interest in, or commitment to, the process of RI among most MS, especially those outside the EAC.<sup>86</sup>

The recently restructured Tripartite Task Force (COMESA-EAC-SADC), however by promoting harmonised programmes within and outside the ESA-IO framework seems to go in the right direction, as do recent donor efforts e.g. the DFID financed Tripartite task force Non-Tariff Barrier project where the ToR were agreed by EAC, COMESA and SADC.

**INDICATOR 4.1.2 Coordination agreements and mechanisms in place**

See indicators 2.2.2, 2.2.3 and 3.2.1.

**INDICATOR 4.1.3 Progress in dealing with the problems of overlapping membership of RIOs**

Little progress has been made in this area – largely because there has been an assumption that (i) those remaining ESA members who are also members of SADC are committed to the COMESA CU due to be implemented at the end of this year, (ii) that the two CUs, those of EAC and ESA, will merge, and (iii) that the problem of Tanzania – a member of the EAC CU, but not a member of ESA - can be resolved through a special status arrangement. Now the signing of the EC-EAC EPA has raised questions about whether the non-EAC ESA LDCs, Zambia, Malawi, Djibouti and Sudan, would join the merged CU, because they fear the economic impacts of goods coming into the CU from the EU through the EAC's EPA, and whether the non-FTA members, Ethiopia, Congo DR and Eritrea, would join the CU for the same reasons. Some of these countries are now more likely to opt for EBA preferences. Moreover the IO member states are now discussing the possibility of their own RIP and, possibly, EPA.

The recently restructured Tripartite Task Force (COMESA-EAC-SADC), however by promoting harmonised programmes within and outside the ESA-IO framework seems to go in the right direction, as do recent donor efforts e.g. the DFID financed Tripartite task force Non-Tariff Barrier project where the ToR were agreed by EAC, COMESA and SADC. This issue is dealt with quite extensively under indicator 3.2.1 bullet point on regional integration. It is worth mentioning here the NTB “real time” project of DFID for SADC, COMESA and EAC).

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Reports of IRCC and RIOs; MoU between RIOs; UNECA Reports, other reports

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS

**JUDGEMENT CRITERION 4.2 The ESA-IO RIOs have the capacity to negotiate regional integration and the EPAs and to implement and benefit from the EPAs**

**INDICATOR 4.2.1 Trade negotiations between COMESA, EAC, IGAD and IOC resulted in signing of agreements between these RIOs and eliminated the problems of overlapping memberships**

The problems of overlapping membership are far from resolved. There have been discussions between the EAC and COMESA Secretariat staff but these have not resolved the overlapping membership problem. Also the Tripartite process has involved discussions between these organizations and the SADC Secretariat and these may be dynamic after the Tripartite summit in the autumn of 2008. Neither IGAD nor the IOC have been involved in these discussions as separate organisations. See also indicators above.

**INDICATOR 4.2.2 COMESA, EAC, IGAD and IOC have a common understanding on the EPAs and are**

<sup>83</sup> see, *inter alia*, IMANI, p.14

<sup>84</sup> see, *inter alia*, ARIA, p. xvi and 40 ff.

<sup>85</sup> E.g. Zambia and Malawi are concerned that the preferences given to the EU under the EAC PTA will damage their economies. There is also uncertainty over whether Tanzania – a member of SADC and no longer a member of COMESA - would accept a merger of the two CUs.

<sup>86</sup> This was stressed both within the COMESA Secretariat and by officials of the Zambian Ministry of Commerce, Trade and Industry.

<sup>87</sup> see, for example, the IRRCC Final Report of meeting of Feb. 8/9, 2007.

<sup>88</sup> The Permanent Secretary and other officials in the Zambian Ministry of Commerce, Trade and Industry.

<sup>89</sup> The 2007 Zambia MAO was rejected on the grounds that 24 % of its imports from the EU were classed as 'sensitive' – above the Commission's limit of 20%, which the Commission says is necessary for WTO compliance. Now Zambia is reluctant to make

coordinating their approaches to the EPA negotiations

The negotiating capacities (and understanding of the EPA process) of both the EAC and particularly COMESA have benefited enormously from the RI programmes of the 8<sup>th</sup> and 9<sup>th</sup> EDFs RIP<sup>87</sup>. The effective negotiating strengths of the two secretariats in the EPA negotiations bear witness to that. Of course, as has been pointed out, the fact that the EAC and the rest of COMESA may be embarking on separate EPAs (the COMESA-minus or "ESA" EPA is not yet initialled by all the MS) raises the question of whether the ESA-IO region will be able to benefit to the maximum from the EPAs in the future. It certainly shows that the RIOs do not have a common understanding on the EPAs, or rather that the existing understanding broke down, and that RIOs are not coordinating their approaches to the EPA negotiations. Moreover the liberalisation terms and time line of the EAC agreement are much more favourable than that which the EC has offered to the remaining ESA states.

More generally, in the EPA process – outside EAC - COMESA has undoubtedly provided institutional representation and logistical support, though negotiations have been carried out on the basis of national interests, rather than the common interests of the ESA countries.

While the RIOs clearly have the capacity to negotiate regional integration and the EPAs - as demonstrated by what has been achieved to date, including the EAC EPA - it appears that the overall EPA negotiation process and results to date may create problems for further integration. In particular the signing of the EAC EPA may further delay the widening of the ESA FTA (to include e.g. Ethiopia) and the combining of the EAC CU and the COMESA-minus CU planned for the end of this year. Indeed the EAC EPA has significantly reduced the chances of the COMESA CU being implemented at the end of 2008 as planned. This is because it would effectively be an ESA CU because Burundi, Kenya and Rwanda would be members of both, while special arrangements would have to be made for Tanzania.

Given that the EU preferences negotiated by the EAC – unless they were renegotiated – would have to extend to the whole ESA CU, Zambia, and probably Malawi, Djibouti and Sudan, would - or believe they would - be damaged by certain goods coming in from the EU duty-free. The non-EAC LDCs believe they have lost their bargaining power and see little chance in having the EAC EPA agreement on trade in goods reopened and made less damaging to them. Now Zambia is reluctant to make a further Market Access Offer (MAO), since its production of sensitive goods, for example textiles, would be damaged by EU imports coming duty-free through Kenya or other EAC members.<sup>88</sup> Instead Zambia is considering the option of EBA status outside any EPA<sup>89</sup>, and the same holds true for Malawi, Djibouti and Sudan. The same factors would also discourage Ethiopia and Eritrea from joining the FTA before end-2008, or the CU after that.

In addition the EAC EPA has made the IOC countries – who have long felt that their interests have not been sufficiently taken into account in COMESA - believe that they could negotiate their own EPA (with their own list of sensitive products) which would be more favourable to them than an ESA EPA.<sup>90</sup> This would only leave Zimbabwe, which, after a change in leadership, would be welcome in the eventual SADC CU and EPA.

The complexity of the situation and the overall process have raised doubts about the common interest among the ESA members and highlighted the internal contradictions in the ESA-IO configuration. The matter has been further complicated by the EC's pressure for a quick MAO from each non-EAC MS in advance of the creation of an ESA CU and internal negotiation of a single ESA MAO. In the EPA process – outside the EAC - COMESA has undoubtedly provided institutional representation and logistical support, though negotiations have been carried out on the basis of national interests, rather than the common interests of the ESA countries.

**INDICATOR 4.2.3** Negotiations between SADC and COMESA/ EAC are progressing appropriately as regards a single CU

There has been little apparent progress in reaching any agreement in the RI area between the SADC and the ESA-IO RIOs. Discussions are taking place – indeed the COMESA trade ministers have recently passed a resolution in favour of the harmonisation of trade regimes between Comesa, SADC and EAC – but, to date, there have been no detailed negotiations at the technical level over important outstanding issues, e.g. rules of origin (which are very different in SADC from those of COMESA and the EAC which are similar).

The Task Force between SADC and COMESA, established in 2001 with the objective of discussing differences between the CU envisaged in COMESA and that in SADC, was restructured (May 2006) to include EAC thus becoming the SADC/COMESA/EAC Tripartite Task Force. Until then, there was little evidence of progress in terms of discussions on the differences in probable CETs and Rules of Origin and their possible bridging to allow assessing at some future stage whether the merger of the two CUs might be feasible, or, if not, at least a transparent and open trading environment for the two groups established. Following its restructuring, the Task Force has been meeting regularly to better tackle technical, strategic and policy issues and now includes the Secretary Generals of the three RIOs. The stronger will to be more pro-active in harmonising programmes at the

a further Market Access Offer, since its production of sensitive goods, e.g. textiles, would still be damaged by EU imports coming duty-free through Kenya or other EAC members.

<sup>90</sup> See, for example, L'APE et ses implications pour la COI, 24<sup>ème</sup> Session du Conseil de la COI, Point 4, Seychelles, 27-28 mars 2008.



regional level demonstrated by the Secretariats (including the creation of a sub-committee on Trade and Customs) is evident in their efforts to identify and agree upon the strategic issues to be addressed in the planned Ministerial Meeting (October 2008) which is expected to authorise more detailed work at technical level on the harmonisation of custom unions. Overall, it is expected that - after some years of generally slow-moving coordination efforts by the COMESA, EAC and SADC Secretariats - the envisaged Tripartite Ministerial meeting will give new life to the process.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Reports of RIOs and other relevant RIO documentation; EC reports of EPA negotiations; UNECA Reports.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff.

#### **JUDGEMENT CRITERION 4.3 Tariff and non-tariff barriers have been removed**

##### **INDICATOR 4.3.1 COMESA and EAC tariff reduction schedules implemented**

While progress among the ESA countries with regards to trade liberalisation and integration has been significant, a distinction has to be made between COMESA and EAC. Between 1984 and 2000, COMESA operated under preferential trade arrangements and undertook a number of investment promotion and facilitation programmes. Following the trade liberalisation programme that had begun in 1984, in October 2000, nine of the COMESA member States, Djibouti, Egypt, Kenya, Madagascar, Malawi, Mauritius, Sudan, Zambia and Zimbabwe eliminated their tariffs and quota restrictions on products originating within the group. Burundi and Rwanda joined the FTA in January 2004, and the Comoros (and Libya) joined in 2006. Swaziland undertook to seek the concurrence of SACU to join the FTA in April 2004 but is now only a member of the COMESA FTA in nominal terms.

The EAC has already implemented a CU<sup>91</sup>. As regards internal tariffs Kenya has opened up its borders fully to imports from Uganda and Tanzania and likewise trade between Tanzania and Uganda is fully liberalised. Tanzania and Uganda will eliminate the remaining tariffs on some 880 tariff lines for imports from Kenya only over a period of five years starting in 2005. Rwanda and Burundi have agreed to fit their tariff reductions in line with the previously agreed timeframe. These arrangements are designed to allow producers in Tanzania and Uganda time to restructure their operations to face increased competition from Kenyan imports.

With assistance from successive RIPs<sup>92</sup>, both in the EAC CU and in the COMESA FTA tariffs have been eliminated with the exclusion of some sensitive goods in the EAC where there is a timetable for elimination. Burundi and Rwanda have recently joined the EAC CU, though timetables for removal of tariffs have not been finally settled, and Comoros and Seychelles have recently joined the COMESA FTA.

In May 2007 the FTA MS agreed a CET, a road map for the alignment of national tariffs to the CET and a number of other issues relating to the EU, such as the scope of the Customs Union Regulations. Preparation for the COMESA CU has also included the extension of ASYCUDA to five additional MS, refinement of the CU Rules of Origin.

Apart from the fact that several COMESA MS are not yet participants in the FTA, the achievement of tariff-free trade among the FTA members is a striking success, and far in advance of what has been achieved in most other African regions. In 2007 the Seychelles joined as the 14<sup>th</sup> member of the FTA. Analysis of the growth in intra-regional trade shows that it has grown substantially. While exports to the rest of the world have increased

<sup>91</sup> The East African Community Customs Union commenced operations on 1st January 2005.

<sup>92</sup> Relevant programmes financed under the 8<sup>th</sup> and 9<sup>th</sup> RIPs include, among others:

- Regional Integration Programme II (8.5 million €, later increased to 9.15 million €). The overall objective was to assist COMESA to achieve its regional integration objectives, including the Free Trade Area by October 2000 and gradually move towards a Common Market. 8<sup>th</sup> EDF.
- Regional Integration Support Programme (RISP), (30 million € then increased to 33.5 to include the T&C PIP). The overall objective of the Regional Integration Support Programme (RISP) is to contribute to the ESA region's integration process, assisting RIOs to fulfil their mandate and supporting their respective programmes to pursue RI. The programme seeks to develop the capacity of the RIOs and their member States in policy formulation, implementation and monitoring of regional integration, multilateral and regional trade and trade-related areas according to their own mandates. 9<sup>th</sup> EDF (2004-2009).
- Regional Integration Support Mechanism (RISM), (78 million €). The RISM Facility is intended to accelerate the regional trade liberalisation measures foreseen by COMESA (FTA and CU) by providing capital to the COMESA Fund which will in turn provide financial support to those countries that face temporary revenue shortfall due to reduced tariff revenue. 9<sup>th</sup> EDF (planned start date 2009). This programme was initiated in 2004 as the RIBS (regional integration budgetary support programme) designed to encourage COMESA MS to participate in the FTA and later the CU by awarding them budgetary support to the extent that their revenues were damaged by the tariff reductions. The programme has gone through a number of formulations but, although approved, implementation has not yet started.
- Trade negotiation facility (1.63 million €).

In addition, there is one major "All ACP" programme in the 9th EDF that may prove to be particularly relevant to RI in the ESA-IO region, the Trade.Com - All ACP Institutional Trade Capacity Building Facility (budget: € 50,000,000). This new programme is aimed at enhancing the capacity of the ACP countries in trade policy formulation, to mainstream trade in their poverty reduction strategies, to implement the mainstreamed trade policies and to participate in international trade negotiations.

faster than intraregional exports this is because of rapid growth in world demand for raw materials, minerals and fuels. In the case of food and manufactures intraregional exports have risen significantly faster than extra-regional exports. See indicators 8.1.1 & 8.1.2.

**INDICATOR 4.3.2 Non-tariff barriers identified and removed**

Less progress has been made on non-tariff barriers (NTBs) which significantly hamper intraregional trade. There are many stories of imports from other CU or FTA members being rejected on the grounds that they do not meet the importing country's standards or sanitary and phyto-sanitary (SPS) rules, or being detained for unnecessary time at the borders or of other forms of what is effectively protectionism. Both the EAC and COMESA Secretariats have programmes under way to deal with these problems and increasing attention is being placed on standards, SPS and so forth. The EAC approach appears to be more pro-active and – as in other areas – the EAC Secretariat seems to be ahead.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Evidence of ratification and implementation of regional protocols and frameworks; Reports of RIOs.

**Interviews with:** RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS; Others: civil society, private sector., academic & research institutions

**JUDGEMENT CRITERION 4.4 The financial services have been reformed and the mechanics of monetary supervision and policy harmonized**

**INDICATOR 4.4.1 Integrated regulatory framework for financial services**

Progress here has been slow.

- There has been some liberalisation in the banking sector, leading to a significant degree of cross-border inter-bank borrowing and lending. There are regular meetings of the MS national bank supervisors, although these do not appear to want to encourage competition from other MS.
- Little progress has been made in the harmonisation of banking supervision or monetary issues or in fiscal systems such as VAT. These have not been priorities for either the COMESA or the EAC Secretariats or members<sup>93</sup>. Although the Division of Trade, Customs and Monetary Affairs of the COMESA Secretariat has been conducting "sensitization workshops" on the implementation of currency convertibility in several member States. Currency convertibility is the second phase of the COMESA Monetary Cooperation Programme.
- Finally, significant progress has been made in the Regional Payment and Settlement System (REPSS) (now almost operational) and the functioning export credit and investment insurance agency (ATI-ACA).

**INDICATOR 4.4.2 Country level financial sector reforms**

Any progress to date on this front has been achieved by unilateral action on the part of the country involved

**INDICATOR 4.4.3 Progress towards the harmonisation of monetary supervision and policy**

A task force has been set up within COMESA to assist the introduction of limited currency convertibility and an informal exchange rate union<sup>94</sup>; The introduction of a fixed exchange rate system by 2010 is planned but full Monetary Union, involving the use of a common currency issued by a common Central Bank, is only envisaged for 2025.

A set of macroeconomic convergence criteria were agreed in 2004<sup>95</sup> including in the first stage (2005-2010) an overall budget deficit/GDP ratio of not more than 5%, an annual inflation rate not exceeding 5% and external reserves of equal to or more than four months of imports of goods and non-factor services. The secondary criteria included the maintenance of stable real exchange rates, a sustainable real growth rate of real GDP of not less than 7%, reduction of the current account deficit to a "sustainable" level, maintenance of a domestic investment rate of at least 20%, implementation of the 25 Core Principles of Bank Supervision and Regulation based on the agreed Action Plan, and the modernisation of payment and settlements system.

<sup>93</sup> Discussions with the chief administrator of RISP in the COMESA Secretariat and with officials in EAC Secretariat

<sup>94</sup> The COMESA Exchange Rate Mechanism "is the third stage of the harmonisation programme, namely, the introduction of immutably fixed exchange rates between 2005 and 2010. Under this exchange rate regime, the exchange rates of the member States' currencies would fluctuate within a given margin. During this period, the member State currencies used in intra-COMESA transactions would be fully convertible. In addition, although the central banks would remain independent, a common monetary institution would co-ordinate monetary and fiscal policies. To achieve the above, the COMESA Policy Organs meeting in Addis Ababa, Ethiopia in 2002, decided on the establishment of a task force of experts from member States to prepare detailed operational modalities and an Action Plan for the implementation of the COMESA Exchange Rate Mechanism. The Secretariat is currently seeking financial and technical assistance to undertake a study on the formulation of that Mechanism."

[http://www.comesa.int/monetary\\_cooperation/Part%20VI%20Monetary%20Affairs/view](http://www.comesa.int/monetary_cooperation/Part%20VI%20Monetary%20Affairs/view)

<sup>95</sup> The macro-economic criteria were originally set in 1993 and were revised to be in line with the African Monetary Cooperation Programme spearheaded by the Association of African Central Banks (AACB). The new criteria were adopted by the Council of Ministers at its meeting in December, 2004, in Lusaka, Zambia. The full set of criteria can be found at [http://www.comesa.int/monetary\\_cooperation/Part%20VI%20Monetary%20Affairs/view](http://www.comesa.int/monetary_cooperation/Part%20VI%20Monetary%20Affairs/view)

<sup>96</sup> See for example Report of the Twentieth Meeting of the Council Of Ministers, COMESA, Dec. 2005

While such objectives might have a positive effect on coordination processes from the point of view of implementation, they are hardly realistic. In some respects, they exceed the agreed EU macroeconomic criteria agreed under the Maastricht Treaty. It is now apparent that the more ambitious goals for the convergence criteria were established by the COMESA Council of Ministers, who continue to argue that a gradualist approach to economic and monetary union is the optimal way to proceed.<sup>96</sup>

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Evidence of ratification and implementation of regional protocols and frameworks; Reports of RIOs.

**Interviews with:** RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS; Others: civil society, private sector., academic & research institutions

#### **JUDGEMENT CRITERION 4.5 EC's interventions have been efficiently delivered and new aid modalities are sought to increase efficiency and effectiveness**

##### **INDICATOR 4.5.1** Interventions have been implemented as planned and have been cost-effective

With the exception of the IRCC Support Prohject, the EC interventions are being effected mainly through Contribution Agreements (CAs) for RISP and RISM (signed in November 2007).

The RISM (Regional Integration Support Mechanism), previously RIBS (Regional Integration Budget Support), was originally to have been a project administered by the EC Lusaka Delegation. The project was later redesigned to hand over responsibility for its implementation to the COMESA Secretariat through a Contribution Agreement in order to increase "ownership". This has inevitably led to delays in the implementation of the project, which is not yet operational (largely because the necessary ratification process by the MS is not yet complete) thus preventing any consideration of its efficiency and effectiveness.

On the other hand, the adoption of the CA modality for the RISP has meant that the EC's interventions in RI have been delivered efficiently and effectively. The funds have been allocated to the areas selected / prioritized by the COMESA Secretariat<sup>97</sup> – or through delegation to the EAC Secretariat - and have generally produced the intended results (such as the agreement on the CET, the admission of new countries to the FTA, the extension of the ASYCUDA system, the development of statistics).

It should in fact be noted that through the CA the planning and implementation is the responsibility of the COMESA Secretariat. The EC does maintain some supervisory role by limiting the transfer of funds between different functional heads, such as consultant fees, travel costs or office equipment. No problems appear to have arisen in this regard. The Mid Term Evaluation of the RISP Contribution Agreement Programme planned for the second semester of 2008 is likely to provide more information.

##### **INDICATOR 4.5.2** The combination/ evolution of aid modalities show a search for enhanced alignment with RIOs and increased efficiency

Defintively so, as through the CA the planning and implementation becomes the responsibility of the COMESA Secretariat thus automatically aligning the use of the EC support provided to the objectives of the RIO, see also indicator 1.4.2.

While in fact, outsiders might have argued for a different set of priorities to those pursued by the COMESA secretariat (see above), for example more attention to NTBs or more focus on monetary harmonisation, it is precisely the purpose of the CAs that ownership is transferred and that also implies the transfer of the determination of priorities.

On the other, in the case of the RISP, it cannot be said that it has helped to align RIOs objectives, priorities or procedures. In the case of RISP, the COMESA Secretariat has sole responsibility for the administration. The COMESA Secretariat has passed funds on to the EAC Secretariat – and in many areas, such as cross-border transport, EAC movement towards a common market is based on existing rules implemented in COMESA - but there has been no attempt to interfere in the EAC priorities. However the COMESA Council of Ministers has agreed a CET which is close to that of the EAC in order to render the merger of the two CUs feasible. But there has been little urgency to address problems – such as the categorisation of products mentioned above – which are critical to the merger of the two CUs.

On the other EAC is still seeking contribution agreement status and possibly its own RIP in the 10<sup>th</sup> EDF as it believes that the ensuign increased control and flexibility would facilitate progress towards a common market.

##### **INDICATOR 4.5.3** NIP projects impacting on RI are harmonized with those of the RIP

This has not happened

<sup>97</sup> These include activities linked to the following set of categories foreseen under the RISP: i) Implementation of the COMESA CU and EAC CU road maps; ii) Improved trade negotiations capacity; iii) Improved capacity to meet regional and international standards and SPS requirements; iv) Improved and harmonised statistical data; v) Coordination of RISP implementation and capacity building for COMESA and EAC Secretariats.



**INDICATOR 4.5.4** Complementarity between the different aid modalities is ensured in plans and execution

In effect there is now only one operational modality – the RISP. The RISM – due to be implemented at the end Of 2008 – will complement the RISP by offering support, though the COMESA Fund, to countries joining the FTA or CU (including the EAC CU) who would lose tax revenue from the elimination of tariffs

**INDICATOR 4.5.5** The Contribution Agreements have shown a number of advantages in financing the sectoral programmes

This has indeed been the case. It has meant that the COMESA Secretariat has been able to follow its schedule (“road map”) for regional integration with the flexibility that the CA implies. It has been suggested that, compared with the project system where individuals were put to work on a particular, well-defined goal, the CA system does lose a measure of focus as officials can be moved around or assigned to a number of different tasks. On the other hand the gains from “ownership”, and the flexibility that this brings, seem to outweigh this disadvantage.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Programme documents; External and internal reports, reviews, evaluations and monitoring reports; NIP project documents

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS; Others: civil society, private sector., academic & research institutions

**JUDGEMENT CRITERION 4.6** Cross cutting issues have been adequately considered in EC regional support to Regional Integration and Trade

**INDICATOR 4.6.1** Consideration of cross-cutting issues during formulation and implementation of EC regional sector support programme – environment/natural resource management, gender, capacity building, HIV/AIDS, conflict issues/governance/peace, sustainability and M&E frameworks

None of these issues appears to arise in the RI field

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Programme documents

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS; Others: civil society, private sector., academic & research institutions

#### EVALUATION QUESTION 5:

**To what extent has EC support contributed to the effective establishment of a sound planning, regulatory and management system for regional transport and telecommunication networks, including the prioritisation and facilitation of road and rail rehabilitation projects, that will enable the achievement of the sustainable reduction of the transport and telecommunication costs and increase the overall competitiveness of the logistic chains in the regional market?**

**EVALUATION CRITERIA:** Efficiency, effectiveness, sustainability

#### EXPLANATORY COMMENTS

The question is focused on the assessment of the outcomes at sectoral level, according to the proposed logic diagrams. This approach also allows the assessment of EC inputs and the degree of openness of the outcomes toward the impacts, bearing in mind that a different specific question (EQ 8) will assess the impacts of the programme. The question includes:

- the assessment of the actual ownership and implementation of the programme by the regional actors (outputs)
- the assessment of the sub-sectoral achievements (outcomes), i.e. those changes occurred in the institutional and economic environment in response (inter alia) to the outputs of the programme.
- the assessment of the EC aid modalities, and
- the assessment of cross-cutting implications in the design and the implementation of the sectoral programme.

'Transport and Communications'<sup>98</sup> has been selected as one of three main focal areas of EC support to ESA – IO on the grounds that the focal areas address major constraints to regional economic development and poverty alleviation. In particular this support aims at reducing costs of transport and communications mainly through improved utilisation of existing infrastructure and services and through the development of a master plan. This 'ESA – IO Regional Transport and Communications Strategy and Priority Investment Plan' is to be prepared and will seek support from EDF, EIB, EU Member States and other development partners in line with AU/NEPAD priorities. The ESA – IO region is large (but with a relatively small population) but is characterised by relatively high transport and communications costs due to lack of adequate infrastructure, levels of service and functional regional regulatory frameworks. These high costs raise production costs and thus negatively impact upon regional economic development, trade liberalisation and integration plus integration into the world economy, especially for land-locked countries. Increased inter (and intra) regional traffic and telecommunications are manifestations of increased economic activity which contributes to employment generation, economic growth and poverty reduction.

EC support to 'Transport and Communications' in the 9<sup>th</sup> EDF represents an envelope value of €33-55 million which should be contrasted with an indicative value of almost €1 billion for EC support to 'Transport' through national CSPs and NIPs<sup>99</sup>. Thus, the regional support resources were intended to be used in a manner that complements national programmes and facilitates regional transport and telecommunications. The main coverage of this EQ will concentrate on road transport (as this constitutes by far the main transport modality for passengers and goods in ESA – IO and is the major transport sub-sector supported by EC) but will also consider other transport sub-sectors where supported by EC and the degree to which inter-modal transport systems have been integrated into EC sector support. Regional and national transport sector policies and strategies (where existing), regulatory frameworks and sector institutions and management will be examined to assess the extent to which regional transport and communication services have been facilitated and to what extent continuing institutional and sector reform processes may impact on regional integration and economic development. In this context the linkage between RIPs and NIPs including arrangements for planning, management, implementation and M&E will be considered (including widely held perceptions of EDF procedures for securing, commitment and disbursement of EC funds as complex and time-consuming leading to slow down of project and programme implementation<sup>100</sup>).

The scope of EC support to 'Communications' is much less than to 'Transport' but this is an integral part of the RSP intervention strategy and will therefore be considered.

Transport impacts not only upon the cross cutting issues identified as such in RSP (environment, gender, capacity building<sup>101</sup>) but also upon spread of HIV/AIDS, conflict issues (prevention, resolution and management<sup>102</sup>) and,

<sup>98</sup> In the text that follows the two terms 'Communications' and 'Telecommunications' are used. These reflect the different parts of the RSPs analysed, whereby the focal area is identified as 'transport and communications' while when the sector(s) are discussed in greater detail in the RSP/RIP reference is also made to telecommunications. Therefore while keeping with the official terminology when referring to the focal sector, the different references to telecommunications, communications, digital divide within the RSPs/RIPs and their annexes, has led the team to adopt the term of telecommunications rather than communications to highlight the fact that communication is not only physical travel or movement but also includes virtual connectivity by way of telephone or electronic linkages.

<sup>99</sup> Of these national interventions, most can be expected to have some regional dimension and, hopefully, impact.

<sup>100</sup> Source: RSP para 97

<sup>101</sup> Capacity building is also considered as a non-focal area in 9th EDF as is conflict prevention, resolution and management.

<sup>102</sup> The role of transport in conflict and post-conflict situations is tricky. National conflicts (most recently in Kenya) represent an obvious threat to regional stability and integration and may have spill-over impacts upon 3rd parties (eg diversion of transport to other routes via different countries) which, in turn, present other problems at national and regional levels. Mobilisation of forces and belligerent action usually degrade or destroy transport infrastructure assets whilst local transport services and accessibility may be denied or restricted with impacts upon social and food security and coping mechanisms.

to some extent, on governance. These issues will be considered as cross cutting as will sustainability which has a quasi-cross cutting significance involving issues such as funding, affordability and institutional capacity.

**INITIAL ANALYSIS AND HYPOTHESIS (FINDINGS)**

**JUDGEMENT CRITERIA 5.1. Coordinated sectoral policies and plans have been put in place by RIOs and their member states**

Sector policies are converging nationally and regionally but implementation of such policies and strategies is another matter altogether. There are a number of regionally and internationally agreed protocols and regulations languishing un-ratified by ESA-IO MS and application/enforcement of rules and regulations lags further. Continuing delays in preparation of TCSPIP could threaten programming of 10<sup>th</sup> EDF and other infrastructure programmes.

It is clear that IOC has very different needs and outlook regarding T&C (in comparison with ESA) as indicated by the priority initiatives discussed during the last IOC Council of Ministers (eg inter-island fibre optic cabling, maritime and air transport harmonisation (between IOC MS) and regional energy programme).

**Indicator 5.1.1 Existence of national and regional sector policies, strategies and frameworks**

A Transport and Communications Strategy and Priority Investment Plan (TCSPIP) is to be prepared under the 9<sup>th</sup> EDF which is intended to identify and prioritise regional investment projects plus build capacity in preparation of regional investment plans but the preparation has been delayed and is now threatened by problems in successfully launching of the tender for consultancy services (see below also).

All MS do have T&C sector policies and strategies but quality of policies and stages of implementation vary across the region. Review of 9th EDF CSPs indicate a step change in completeness of sector strategies by comparison with the CSPs for the 8th EDF. Normally there is a transport and/or communications ministry plus other agencies (or even other ministries) responsible for each transport mode of different aspects of telecoms. Sector policies are subordinate to the national PRSP which typically recognises T&C infrastructure as important for poverty reduction and economic growth although usually road transport is emphasised<sup>103</sup> rather than inter-modal issues.

More generally, all RIOs recognize the need for coordination and harmonization of sector policies and programmes and have (to a greater or lesser extent) frameworks for convergence of T&C sector policies and strategies. Time frames for such convergence are however unconvincing.

With regard to integration of regional T&C the following policy measures are salient:

**Table 7.6: T&C integration policy measures**

INTEGRATION	ACTIVITIES
Customs union	Customs Management Act – customs procedures, legislation, documentation, administration
Trade in services	Liberalization – air traffic, telecoms
Trade facilitation	African Trade Insurance Scheme (cross border payments & settlements), e-commerce, regional carriers licenses, road user & transit charges, axle weights, vehicle dimensions, GVM, driving licenses, regional vehicle insurance, customs bond guarantees, tracing systems for transit freight, procurement & competition policies, trade facilitation instruments
Private sector development	Regional PSD programmes

The greatest progress thus far has come about in air transport and maritime transport sectors although not all barriers have been removed due to equivocal political commitment and protectionism.

The Yamoussoukro Decision<sup>104</sup> for harmonisation of air transport policies has been ratified by most signatories to the Abuja Treaty<sup>105</sup> leading to the liberalization of air transport markets but full implementation continues to be impeded by lack of commitment by some countries fearing competition to national airlines as well as by the fact that some protectionist measures remain in place including visa restrictions and incompatible competition regulations.

The African Maritime Charter (1993) provides a framework for African countries but the policy has not been ratified or otherwise implemented due to absence of political commitment<sup>106</sup>.

In the Communications sector regional integration is included in the RIOs agreements and covers such initiatives as policy convergence, integration of physical infrastructure, connectivity and broadcasting exchange programmes with aims of lowering service costs, improving accessibility and affordability plus improving national regional and worldwide linkages. COMTEL was established as a PLLC in 2000 for national telecoms operators and other partners (not only from COMESA) to promote investment in COMESA. COMTEL aims are to attract investment, capacity building, introduction of new technologies, establishment of regional operators but fund raising has been a problem. All this is taking place within the scenario of COMESA preparation of ICT policies and sector regulations. There are however also a number of pan-African initiatives impacting upon ESA-IO to improve communication at

<sup>103</sup> because often the discussion is of accessibility which in practice includes only roads (and sometimes water transport)

<sup>104</sup> The Yamoussoukro Decision, endorsed by OAU governments in 2000 was binding upon signatories to the Abuja Treaty and established a framework for liberalization of African air services over a 2 year period. This accord has precedence over multilateral and bilateral agreements and received strong donor support. Thus, programmes for donor support to MS are being developed for EAC and COMESA

<sup>105</sup> Establishing the African Economic Community.

national, regional and continental levels, (ie: the African Telecoms Union, the Regional African Satellite Communications Organisation, the African Information Society Initiative and the National Information and Communications Infrastructure).<sup>107</sup>

RIOs are making progress especially in telephony and ICT and some have credible programmes for policy convergence but establishment of regional regulatory frameworks has made less progress. Further convergence of national policies requires permitting international interconnection of national operators, harmonization of market structures, establishment of coordination committees of regulators, operators and service suppliers and setting up of an international body to promote ICT and data management in Africa.

**Indicator 5.1.2: Ratification and implementation of national and regional frameworks and protocols affecting T&C**

Regional integration in ESA-IO is to a large extent dependent upon progress of FTAs (EAC, COMESA), customs unions (EAC, COMESA), SADC trade protocols, EPA and Doha Development Agenda negotiations. Progress is complicated by overlapping memberships of ESA-IO MS in different fora – WTO, LDC, ACP and Africa groups, G33 and G20 – which do not necessarily have the same objectives. It is thus important that ESA-IO MS harmonise relevant transport regulations and protocols.

Ratification and implementation of national and regional frameworks and protocols affecting T&C are thus important as there are possibilities of overlap or discrepancies in consideration of T&C related issues. At the national level, national policy reform and alignment for the T&C sector is in progress but strategies are often incomplete and implementation tardy, as also is ratification and implementation of many international and regional agreements and protocols. A summary of areas of interest in T&C issues is set out below:

**Table 7.7: T&C regional frameworks**

RIO	TRADE POLICIES	TRANSPORT RELATED POLICIES	FUNCTIONAL STRATEGIES
COMESA	FTA 2000 Customs Union – 2008	Customs procedures Private sector development Movement of persons Air traffic liberalization Telecoms & e-commerce	Infrastructure Transport
EAC	FTA & Customs Union (2005)	Customs procedures Private sector development Movement of persons	Infrastructure Development of HR Tourism
IGAD	Fast track COMESA, EAC, SADC	Customs procedures Private sector development Movement of persons	Infrastructure Tourism
IOC	Fast track COMESA, SADC	Customs procedures Private sector development	Tourism IT development
SADC	FTA – 2008 Customs Union – 2010	Customs procedures Private sector development	Infrastructure Tourism

It can be seen that there are possibilities of overlap or discrepancies in consideration of T&C related issues although the Bangui Declaration of AU calls for coordination and harmonization of regional and national programmes. There are a number of measures which should contribute to coordination and consistency of national and regional policies, including: i) technical committees of RIOs which contribute to national policy formulation bodies; ii) establishment of working groups in relations to trade negotiations; iii) definition of national Joint Assistance Strategies by some ESA-IO MS which should contribute to coordinated coverage of regional integration policies and donor development support; iv) regional mechanisms to enhance the coordination of regional integration policies (eg IRCC, COMESA/EAC/SADC Tripartite Mechanism, MOUs between RIOs); v) analyses by the IRCC of all national CSP/NIPs, and agreement that all NAOs and RAOs of ESA-IO will meet annually to monitor coordination and implementation of CSP/NIPs and RSP/RIP.

The following paragraphs provide an overview of the situation with regards to the major issues that fall within the

<sup>106</sup> Although agreed by the OAU Conference of Ministers of Maritime Transport.

<sup>107</sup> African Telecoms Union (ATU) – objectives include development of ICT, improved services, access and connectivity, capacity building, policy convergence, financing of joint projects, information exchange, harmonization and standardisation of tariffs. Regional African Satellite Communications Organisation (RASCOM) – objectives include extension of affordable telecoms services to all of Africa by means of infrastructure based on low cost satellite technology, reduced transit costs to African operators on traffic through foreign operators, facilitation of emergence of local ICT industries, develop inter-city linkages and international connectivity, establishment of direct linkages between African countries, facilitation of affordable national coverage of radio and TV broadcasting enhancing national unity and international integration. African Information Society Initiative (AISI), launched by ECA, designed to bridge the 'digital divide', proposals include: i) Pan-African Telecoms Network (PANAFTEL) intended to set up a network between neighbouring countries across Africa - unsuccessful due to lack of political commitment beyond focus on national interests; ii) Africa ONE intended to lay an undersea cable right round Africa for inter-Africa and international connectivity which however did not get beyond planning stage. National Information and Communications Infrastructure (NICIP), launched by ECA under AISI, supported by various bilateral and multilateral donors – an ongoing programme for integration of ICT into national and regional development plans involving planning, implementation, and M&E of national programmes with objectives including: promotion of knowledge and regional ICT infrastructure, establishment of legal and regulatory measures for development of ICT, development of policies and strategies for use of ICT in socio-economic development.

communication sub-sector, while transport will be addressed under specific indicators, below.

**Communications.** RIOs' treaties cover harmonisation of policies, modernization of equipment, tariffs, standards and legislation with the aim of improving the sector investment landscape and intra-African linkages. To this end COMESA is promoting COMTEL (Estimated cost ~€120 million), a regional communications network with capability to transmit voice, data and TV. To compliment this initiative EAC is setting up fibre-optic links between major cities in the region (EASSy). IGAD is assisting MS to establish ICT networks (Internal Connectivity Project) which includes a capacity building component.

**Telephone & internet.** As shown by the table below under the groupings of the RIOs, many African countries now have (semi)independent regulatory telecoms bodies and most now have choice of operator for mobile telephony and internet services (ie not only the national P&T body).

**Table 7.8: Telephone & internet regulatory bodies**

RIO	Population x 10x3	Mobile operators	Subscribers x 10x6 (sub/100 pop)	Internet hosts	Connectivity (usersx10x6/100pop)
COMESA	450000	36	5.3 (1.2)	20000	1.2 (0.27)
EAC	90000	11	1.3 (1.4)	4500	0.2 (0.22)
IGAD	170000	10	1.0 (0.6)	3500	0.2 (0.12)
IOC	19000	7	0.7 (3.6)	3600	0.2 (1.05)

Source: ECA, from ITU 2001, modified by author

**Postal services.** Service is poor across much of ESA-IO and there are no regional programmes operational at present. However, some national programmes have aimed at modernizing and developing postal services. Regional hubs have been established at Nairobi and Addis Ababa whilst a regional centre for postal technology has been set up at Dar es Salaam.

**Radio & TV.** Management and operations of most state-owned/controlled TV and radio stations are poor although there is increasing liberalization and establishment of regulatory bodies which also permits licensing of new operators. The most obvious evidence of this is the number of old series/soap operas (US, UK, Australia and Brazil) being broadcast but there is also an increasing number of African-produced shows being syndicated across Africa (especially Nigeria and RSA). Most transmission infrastructure involves satellite transmission and can be used for radio, TV, telephony and internet services such that physical integration is facilitated. It is not clear whether any of these are being encouraged to promote peace and reconciliation attitudes throughout the populations via specific targeting of specific programming to this end.

**INDICATOR 5.1.2 (bis)\* Regulation regime and state of market liberalisation of telecommunications**

There has been considerable progress in ESA-IO countries to accommodate ICT development including infrastructure investment, rollout and regulation of the sector. Most MS now have regulatory authorities (of varying levels of independence), and most of them have partially or fully liberalised the telecoms sub-sector. Concurrently most African countries have embarked on the African Information Society Initiative (AISI) to develop national ICT policies and strategies. Also, contributing to national policies is the UN-ICT Task Force and the DOT Force (Digital Opportunities Task Force). The current situation in the ESA-IO region regarding development of sub-sector policies and liberalisation is shown below:

**Table 7.9: T&C Policy Developments**

Current Situation	Countries
Developing national policies and strategies	Angola, Burundi, DRC, Eritrea, Madagascar, Somalia, Swaziland, Tanzania, Zambia, Zimbabwe
Policies and strategies largely complete and start made on liberalisation	Ethiopia, Kenya, Malawi, Sudan, Seychelles, Uganda
Policies and strategies complete and sector fully liberalised	Rwanda

Source: NEPAD, Short-term Action Plan – Infrastructure, 2002 modified and updated by the evaluator

\*This was previously indicator I.8.2.3

**Indicator 5.1.3: ESA-IO Member States support and adhere to the 'ESA – IO Regional Transport and Communications Strategy and Priority Investment Plan'**

Preparation of TCSPIP has been delayed, initially due to the time necessary for the establishment of the EC/COMESA CA and more recently by a stalled process for procurement of consultancy services for preparation of TCSPIP over a 2 year contract period. A 'Request for Proposals' was prepared by COMESA in December 2007 and a tender notice was advertised for suitably qualified consultants from COMESA MS, ACP and EU with a deadline for submission of 5/12/08. However, only one bid was received which was returned unopened to the bidder<sup>108</sup>. It is now planned to re-launch the bid with some changes to the TOR (and scope of works) and hopefully wider publicity

<sup>108</sup> Informal enquiries to international consultants who would normally be expected to bid for such services revealed that none had come across the adverts in their 'normal' channels, websites or communications outlets. COMESA advised that the RFP was only advertised on a few sites (eg COMESA, EC Del Zambia and 'The Economist') as this was a COMESA assignment not EC.

but at best this would imply appointment of the consultant in mid-late 2008 such that the final TCSPIP would be available in mid-2010. Given that this TCSPIP was intended to inform not only COMESA Fund but also 10<sup>th</sup> EDF (and, potentially other programmes such as the EC-Africa Partnership for Infrastructure, this could be a potential threat to regional programming. It may be possible to identify 'fast track' project interventions of especially high viability for feasibility and detailed studies in advance of completion of TCSPIP as a whole but care could be necessary to ensure that the credibility of PIP is not undermined by pursuit of high-profile 'political' projects of yet-to-be-confirmed viability (or practicality).

TCSPIP results are expected to include:

- TCS discussed and agreed by RIOs and MS
- PIP containing project proposals, appraisals and decision making process including criteria and methodologies for project selection and prioritisation<sup>109</sup>
- proposals for a PFF for funding of all PIP project proposals
- MIS
- capacity building (although the latter 2 issues may be reviewed or re-worded in revision of the TOR).

Although the study is expected to liaise with policy organs of COMESA, EAC, IGAD, IOC and SADC, this liaison appears focussed on negotiating positions for EPAs and external trade issues rather than prioritisation of infrastructure. As COMESA has identified the unilateral focus of MS in physical infrastructure arising from inadequate coordination as a general constraint and this inadequacy (of at least communication as much between national bodies as between regional and MS bodies<sup>110</sup>) was confirmed during field consultations, it remains unproven to what extent ESA-IO MS will support TCSPIP. A further possible complication is that it is reported that all RIOs have prepared or intend to prepare their 'own' PIPs with presumably differing priorities.

#### **Indicator 5.1.4: Partnership between ESA – IO, SADC and SSATP**

A number of regional institutions have been established to contribute to integration of the T&C sector including the African Airlines Association, African Civil Aviation Commission, East & Southern Africa Management Institute (ESAMI), Southern Africa Railway Association and Union of African Railways. However, performance of most institutions is disappointing and some have expired due to lack of support. The United Nations Transport and Communications Decade for Africa (UNTACDA) I was declared for 1978-1988, UNTACDA II for 1991-2000 with aims to develop efficient and integrated T&C systems to contribute to physical integration and increased trade although both programmes came and went with little impact. In 2002 a successor to UNTACDA II was mooted (through ECA) but this has not been implemented. ADB (as advisor to NEPAD) developed in 2002 a short term action plan for bridging gaps in African infrastructure and services including physical projects contributing to African integration but there appears to have been little take up of this plan which reportedly foundered due to a poor connect between the action plan (and list of interventions) and available funding in which lack of transparent PFF procedures played a significant role.

The Sub-Saharan Africa Transport Policy Program (SSATP) is a unique partnership of 35 African countries, 8 regional economic communities (including all the RIOs of the ESA-IO region), 3 African institutions - UNECA, AU/NEPAD and AfDB, national and regional organizations and international development partners.<sup>111</sup> The SSATP also aims to facilitate integrated policies and strategies for the transport sector and a long-term development plan was defined for 2004-2007 for increased integration of RIOs and NEPAD (with higher aims of poverty reduction and economic growth<sup>112</sup>). However, as implementation was the responsibility of national governments and donors, most outputs have, not surprisingly, concentrated on national rather than regional objectives.

Although there is general consensus on the way forward this will require greater political commitment to implementation of regional initiatives and commitments than has been apparent in the past. More specifically it will require greater commitment at both regional and national levels. At regional level, RIOs, ECA, AU and other pan-African bodies need to be engaged in support of national governments in amendment and alignment of national T&C sector policies, capacity building, reorganizing sector management, greater private sector participation, corridor development, reducing VOCs, delays and transaction costs, improving safety, new technologies and focusing on poverty reduction. The most critical actions include: i) prioritizing RIOs activities; ii) integrating and improving T&C networks (national and regional); iii) improving transit of freight and passengers (national and regional); iv) capacity building; and v) establishing infrastructure funds. At the national level, national policy reform and alignment for the T&C sector is in progress but strategies are often incomplete and implementation tardy as is ratification and implementation of many international and regional agreements and protocols. In particular action is

<sup>109</sup> Given that there already exists a 'COMESA Compendium of Infrastructure Projects' updated in October 2007 and 'COMESA Prioritisation Criteria and Priority of Regional Infrastructure Projects' was agreed by the Ministers of Transport, Communications and Public Works at Sharm El Sheikh in September 2005 (endorsed by the Council of Ministers in December 2005 in Lusaka, it would appear that TCSPIP is expected only to review these?

<sup>110</sup> E.g. COMESA communicates with MOTC Zambia but MOTC appears not to advise national T&C sector institutions of all such communications.

<sup>111</sup> The Programme is currently funded by donor contributions to a trust fund administered by WB. Donors include the European Commission (which is currently by far the main contributor to the multi-donor trust fund), Denmark, France, Ireland, Norway, Sweden, United Kingdom, the Islamic Development Bank, UNECA, ADB and The World Bank. WB is lead donor despite EC being the main funding contributor.

<sup>112</sup> In this context a Poverty Reduction Transport Sector Review (PRTSR) is being carried out in SSATP MS to determine whether national PRSPs provide guidance for transport sector strategies and conversely whether such sector strategies take PRSP goals into account.



required on: i) mobilization and implementation of investment; ii) environmental and safety issues; and iii) technological innovations.

SSATP is launching its 2<sup>nd</sup> Development Plan 2008-2011 which is based upon 3 strategic themes:

- comprehensive pro-poor and pro-growth sector strategies
- improving transit transport along selected international corridors
- sustainable institutional and financial arrangements for road infrastructure and rural and urban transport services.

The 2006 SSATP annual meeting reviewed transport cost reductions facilitated by removal of physical and non-physical barriers and recommendations included strengthened coordination between MS, RECs and SSATP and follow-up mechanisms on interface between RECs and Transport Corridor Committees (TCCs).

**Indicator 5.1.4: ESA – SSATP RMI has been adopted by ESA – IO Member States**

The Road Management Initiative (RMI) one of the components of the SSATP was launched in 1988 in order to turn around the situation of poor sector management, inadequate maintenance and extensive deterioration of the hugely expensive capital investment in road networks across Africa. Phase I concentrated upon awareness raising and consensus building whilst Phase II (1992 onwards) involved implementation efforts at national level leading towards commercialization of road sector services and adoption of the 'user pays' principle. RMI building blocks<sup>113</sup> are: i) creation of ownership and pressure for efficiency by involving road users and transport operators in management of the sector thus giving public support for adequate road financing; ii) stabilisation of road financing for maintenance by earmarked fuel levies and user charges channelled through national road funds; iii) clarifying responsibilities and accountabilities of road agencies; iv) strengthening management of the sector by introduction of effective private sector management systems and enforcing management accountability. The RMI also developed recommendations for improvement of road agency management including redundancy, contracting of maintenance, force account operations, LB methods, plant pools, model legislation and guidelines for road funds. RMI also involved donor coordination such that a code of conduct concerning road sector operations was signed by most sector donors and SSA countries (although implementation was patchy) and promotes regional integration by cooperation with RECs.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** National and regional sector policy and strategy documents; Evidence of ratification and implementation of regional protocols and frameworks; Programme documents; External and internal reports, reviews, evaluations and monitoring reports.

**Interviews with:** EC Representatives; RIOs and IRCC; ESA IO MS institutions; civil society, private sector, academic and research institutions.

**JUDGEMENT CRITERIA 5.2 Inter-modal transport systems have been integrated into national and regional transport sector programmes**

There has been little progress in integrating inter-modal transport at national or regional levels. Road transport continues to carry the vast majority of land transport of passengers and freight in ESA-IO although, given, in most cases, the relatively large distances between nodes, and increasing demand, bulk transport by rail (and/or pipeline) should be more viable (and less harmful environmentally) in the longer term. However, huge investments in infrastructure with commensurate improvements in operational management together with real application of revised sector policies (in all transport modes) will be needed to enhance such modal splits.

**Indicator 5.2.1: ESA – Evidence of consideration of inter-modal facilities at national and regional levels**

Of all the 9<sup>th</sup> EDF CS & NIPs examined for ESA-IO MS (and the 9<sup>th</sup> & draft 10<sup>th</sup> EDF RSP & RIP) the only reference to inter-modal facilities was found in the Madagascar NIP. The UN International Convention on Multi-modal Transport (1981) is not yet in force as few countries (only 5 in Africa) have ratified the convention and few of these have changed national legislation to fully comply. To address problems of inter-modal facilities special attention should be given to the following issues: i) ratification and accession to international treaties and conventions; ii) operation of international container terminals; iii) support to corridor development; iv) encouragement of national and regional inter-modal transport operators but it may be concluded that multi-modal transport issues are low on national sector agendas.

Thus, RIOs are considering: i) capacity building of HR and sector institutions; ii) development of transit corridors; iii) international linkages between MS; iv) harmonization of laws, standards, regulations and procedures; v) promotion of Public-Private Partnership (PPP) for infrastructure development; vi) dissemination of best practices.

Integration of inter-modal transport systems involves connectivity at national and regional levels for roads, railways, maritime and fluvial transport and civil aviation. Considering each modality:

Road transport. AU/NEPAD have adopted a 'corridor approach' to facilitation of transport in Africa and many harmonisation activities (e.g. standards, regulation, administration) are intended to complement physical interventions on these corridors (which are usually undertaken under national programmes). EC has identified (in connection with the EU-Africa Partnership for Infrastructure) 8 Trans-African Corridors (Dakar – N'Djamena, Nouakchott – Lagos, Khartoum – Djibouti, Lagos – Mombassa, Cairo – Gaborone, N'Djamena – Windhoek, Beira – Lobito and Dar Es Salaam – Kigali) which extend the concept of existing corridor horizons from 'port to landlocked

<sup>113</sup> Source: T.Triche, Road Policy Reform in SSA 1991-1995 SSATP Paper 25.



country' to 'coast to coast'.<sup>114</sup> Some sections of the corridors are identified for investment under 10<sup>th</sup> EDF NIPs (which in itself suggest that the 10<sup>th</sup> EDF CSP/NIPs better reflect regional infrastructure priorities than previous programmes. However, this concept of further horizons does seem a little ambitious (and perhaps impractical) given that significant existing corridors are included (eg NCR), that existing corridors are in need of serious, effective investment and management for immediate demand driven needs and that, whilst the principle of providing choice of routes is accepted, there is little or no demand for at least some sections of these corridor routes (eg Cairo – Gaberone, Beira – Lobito). Of the ESA-IO RIOs, EAC has the most integrated system with the fewest 'missing links'<sup>115</sup> in the two main road (and rail) corridors – Northern Corridor and TAZARA. COMESA (which of course has significant membership overlap with EAC) is 2<sup>nd</sup> in terms of integrated systems whilst having many instruments for facilitation of regional transport – harmonized transit charges, carrier licenses, axle loading, ACIS and ASYCUDA<sup>116</sup> (although implementation of facilitation instruments by MS has been slow). IGAD has greater problems of integration ranging from customs management compatibility and harmonised procedures<sup>117</sup>.

**Table 7.10: Trans-Africa Highways**

RIO	TRANS-AFRICA HIGHWAYS		
	TOTAL/KM	MISSING LINKS/KM	% MISSING LINKS
COMESA	~15800	2700	17
EAC	3800	500	13
IGAD	8800	2400	27

Source: UNECA 2002 (updated by the evaluator)

**Rail transport.** Concessioneering of many railways in Africa has had only mixed results. There are two rail gauges in ESA-IO – 1000mm (narrow gauge) and 1067mm (Cape gauge). EAC (alone of the RIOs) has nominated a standard gauge in order to facilitate integration of rail networks although it is not known how feasible this integration may be in practical terms:

**Table 7.11: Rail Networks**

RIO	RAIL NETWORKS	
	TOTAL/KM	GAUGE/MM
COMESA	32500	1067/1000
EAC	7600	1000
IGAD	9000	-

Source: UNECA 2002

**Maritime & fluvial transport and ports.** Most ports in ESA-IO continue to enjoy significant growth especially in container traffic, commercialisation of cargo-handling and establishment of institutional arrangements to carry out new investment in port infrastructure and provide regulatory oversight<sup>118</sup>. Measures of integration of maritime and fluvial transport and ports consider availability of cabotage services, inland container depots<sup>119</sup> (dry ports) and numbers of maritime ports serving landlocked countries. COMESA has reasonable connectivity with 9 major ports serving 10 landlocked countries, EAC less so with 2 ports serving 4 landlocked countries. Integration of fluvial transport identifies countries linked by river or lake transport although in practice only Lakes Victoria, Malawi and Tanganyika have such operational services (albeit limited) in EAC and these services are very limited due to deterioration of infrastructure and under-investment.

**Table 7.12: Maritime and fluvial transport**

RIO	MARITIME TRANSPORT		FLUVIAL TRANSPORT	
	PORTS	LANDLOCKED COUNTRIES	NAVIGABLE WATERWAYS	COUNTRIES
COMESA	9	10	River Nile, Lakes Victoria, Malawi, Tanganyika	10
EAC	2	4	Lake Victoria	3
IGAD	4	2	River Nile, Lake Victoria	3

Source: UNECA 2002

**Civil aviation.** Integration of civil aviation involves connectivity of air and air-navigation services between RIOs and between RIOs MS. ESA-IO has 2 regional hubs (Nairobi and Addis Ababa). Regional strategies include improved airport and air navigation facilities, encouragement of growth of regional airlines and competition measures.

#### SOURCES OF INFORMATION AND TOOLS

**Documentary Review of:** National and regional sector policy and strategy documents.

**Interviews with:** RIOs and IRCC; ESA IO MS institutions; TAs, PMUs, Project staff.

#### JUDGEMENT CRITERIA 5.3 - The management of the transport and telecommunications network has been

<sup>114</sup> Arises from the Bomako Declaration to integrate regional corridor treaties and relevant international transport conventions into national legislation and remove all non-physical barriers to transport.

**improved, and the logistic chains in the regional market appear more competitive**

Management of the T&C sector is improving but the scale of problems facing the sector in Africa is such that much more is required, especially if, as seems likely, available resources continue to be insufficient to meet the huge levels of necessary investment to expand sector infrastructure. Therefore, the solution for the foreseeable future is likely to involve 'smarter' use of existing infrastructure (including improved maintenance and more commercial operational management) although capacity deficits are endemic at national and regional levels.

**Indicator 5.3.1: Trends in condition and usage of regional corridors (road, rail)**

Development of regional road networks has been predominantly of 'corridors' linking to a port (eg TAZARA – Dar es Salaam, Northern – Mombassa, Djibouti/Ethiopia). Capital works have been almost entirely donor funded with (usually inadequate) maintenance under the responsibility of national governments. In all countries by far the greatest investment and resulting improvement in condition has been on major roads<sup>120</sup>. Rural transport on secondary, tertiary and unclassified roads continues to be difficult and expensive such that rural access is a serious constraint to agricultural development and the rural economy. Road usage is also increasing (road transport demand on the major corridor routes is growing at an average rate of 10% per annum)<sup>121</sup>. However, although road transport continues to enjoy most of the transport market (over 80% in most countries) there are no toll roads as the relatively low traffic volumes are insufficient for viability<sup>122</sup> and enforcement of road traffic regulations (e.g. overloading) is not taken seriously.

Railways<sup>123</sup>, long neglected and starved of investment are increasingly being concessioned (various degrees of PPP) with agreed levels of investment to be covered by realistic freight tariffs and passenger fares. However the record of such concessions is patchy as, in some cases, commitments have not been fulfilled with operating rules and technical standards not having been harmonized, even for inter-connected national rail networks<sup>124</sup>.

Similarly ports which have been a cause of many delays are being reorganized by contracting out management operations and services with concentration on handling of containers and as a result there has been major investment in some ports (eg Djibouti) although many ports remain under state control. On the other hand, clearance of goods and administrative procedures still result in unacceptable delays whilst port facilities have not kept pace with demand such that there continues to be congestion and expensive demurrage charges<sup>125</sup>.

The situation regarding air transport is very different following the Yamoussoukro Decision which deals with liberalization of capacity, frequency, pricing and cooperation. Adoption of this decision has been enhanced by joint regulations on competition in air transport services jointly adopted by COMESA, EAC (and SADC) to set up a Joint Competition Authority<sup>126</sup>. Following the Yamoussoukro Decision many countries in ESA-IO have concessioned airport operations and set up (semi) autonomous civil aviation authorities. This liberalization has increased private sector involvement leading to some regional investment in improved air navigation services. Some countries are experiencing increasing air traffic (eg Zambia, Tanzania, Uganda and, until recently, Kenya due to increasing tourism) whilst in other countries traffic remains more or less static. EC has supported various interventions to improve airport facilities and air traffic control (under NIPs).

**Indicator 5.3.2: Trends in condition and usage of ICT infrastructure**

Although regional ICT strategy is to facilitate regional connectivity through development of a backbone telecoms

<sup>115</sup> sections of road not complying with network design standards.

<sup>116</sup> Advanced Cargo Information System and Automated System for Customs Data respectively.

<sup>117</sup> E.g. ASYCUDA is not compatible with MIRSAL which is the Dubai system used in Djibouti port), border post inefficiency and lack of facilities, limited use of through bills of lading and carrier licensing of cargo tracking systems, inadequate IT for customs management, no harmonised financial services for cross-border transactions (e.g. guarantees, letters of credit, e-payment of duties), no harmonised transit and road user charges and lack of financial control – Source: EC-Horn of Africa Initiative - JAM

<sup>118</sup> Demand for containerised, non-containerised and bulk cargo is increasing in all ports with an average growth in demand >7% over recent years while TEU growth has been greater than 13% per annum over a 5 year period (Mombasa 13.4% pa 2001-2004; Dar es Salaam 13% 2000-2005 - with 60% increase in throughput since 2000, Source [www.ams.usda.gov/tmd2/Countries/EastAfrica](http://www.ams.usda.gov/tmd2/Countries/EastAfrica)).

<sup>119</sup> Over the past decade inland container depots have been established in some countries, among them Tanzania.

<sup>120</sup> Data retrieved from the national road management information systems show that on the whole the condition of regional corridors is improving with increasing proportions of main roads in good and medium condition (this trend is not visible in lower category roads).

<sup>121</sup> Assessing Regional Integration in Africa, ECA

<sup>122</sup> It is estimated that there are some 2,200,000 km of road in Africa of which less than 30% are surfaced, leading to the lowest indices of roads per sq km and per population of the world.

<sup>123</sup> The African rail network is estimated at 90,000km ie 3km/1000sq km.

<sup>124</sup> Times of Zambia 27/02/08 'President Mwanawasa has described the state of the railway system as shameful. Dr Mwanawasa also said that Railway Systems of Zambia (RSZ) had failed to deliver according to the pledges made at the time of signing the concession agreement and warned the government would repossess it and offer it to other investors'

<sup>125</sup> Marine transport carries almost all of Africa's international trade although the deadweight tonnage carried by the African merchant fleet is less than 1% of the global total. The average age of Africa's merchant and container fleets is greater than the world average. There are some 80 major maritime ports in Africa with facilities including conventional and container berths, bulk cargo plus white and crude oils. See also JC8.4 below which tables trends in waiting times at ports, cross-shipment locations and borders.

<sup>126</sup> African share of world air traffic remained at less than 1% for many years with load factors about 15% below world average.

network and cross-border connectivity continues to improve (some MS have bilateral fibre optic connections) the region still suffers from inadequate ICT infrastructure such there continues to be considerable deficits in communications and connectivity, nationally and regionally. Most ESA-IO countries are now liberalizing ICT services and expanding such services beyond telephony<sup>127</sup>. However, a number of countries are continuing with monopolistic public sector services thus preventing access of new operators (eg Ethiopia, Eritrea). Thus, although the public sector cannot make the necessary investments in infrastructure, the private sector is excluded. However, there are signs that policy makers are realising that regulation and policy making should be separated and there has been development of model legislation at regional levels which could be adopted by national governments. Recent developments in this sector include COMTEL (gateway to gateway linkages and regional switching) and EASSy Cable linking EA to the world by completion of the fibre optic links across (and around) Africa. In most RIOs fixed line telephony increased markedly in the 90s (before levelling out) which corresponded to some extent with liberalization of the sector. Thereafter mobile telephone services have taken off dramatically encouraged by greater open-ness of markets and investment in network infrastructure.

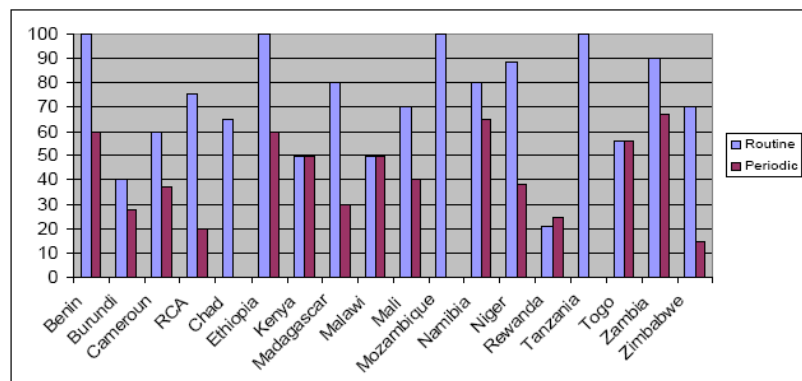
**Indicator 5.3.3: Regional and national transport associations and private sector actively involved in sector management**

There is little involvement or dialogue of transport associations (eg hauliers or PSV operators) or private sector in T&C sector management at regional level although transport associations (national and regional) were brought in to dialogue in connection with SSATP. Despite COMESA (RFP, TCSSIP, Dec 2007) identifying insufficient dialogue or involvement of stakeholders as a constraint, no evidence has been examined of effective COMESA initiatives to address this constraint<sup>128</sup>. At national levels, stakeholders dialogue is included in CS & NIPs and in national sector policies and strategies, although fora for such dialogue exist (eg Road Fund Board or NRAs) private sector representation is usually a minority compared with public sector representation. T&C institutional reform has permitted increased private sector involvement with concurrent shrinking of force account and para-statal organisations (many of which were defunct anyway).

**Indicator 5.3.4: Trends in national funding for capital works and adequate maintenance of national networks**

**Figure 7.1: routine and periodic maintenance**

Most investments in T&C infrastructure (capital investment, operations, maintenance) have been funded under individual MS national programmes (NIP or similar supported by other funding agencies). Any potential 'transfer' of balance from national to regional programmes is, to date, more aspirational than actual and, in any case, national implementation of regional projects is likely to continue. Coverage of routine and periodic maintenance needs varies significantly between countries as may be seen from the chart that



Source: RMI Matrix, 2006

shows the actual percentage of needs covered, although generally there has been a marked increase in funds being raised by fuel levies<sup>129</sup> and channelled to Road Funds (RFs).

Only Eritrea, Somalia and Sudan in ESA-IO do not have RFs. This apparent discrepancy in coverage results from differences between countries in the way in which maintenance needs are assessed, efficiency of maintenance, definition of 'maintenance' especially periodic maintenance<sup>130</sup>, identification of the network on which such maintenance is carried out<sup>131</sup> and, to some extent, revenues generated by fuel levies. Despite increased resources being made available under-funding remains a serious problem in most ESA-IO MS with typically budgets being <60% of needs<sup>132</sup>. A complementary issue is 'value for money' as often the quality of work certified for payment is poor.

<sup>127</sup> The total number of subscribers (fixed and mobile) in ESA has increased some twenty-fold in the decade up to 2005 (albeit from a very low base level) compared with an increase over the same period for SSA of 14 times (ITU World Telecommunication Indicators 2006). Given that over the same period fixed lines have increased by only twofold or threefold it may be seen that most of the increase has been new mobile telephone usage.

<sup>128</sup> The same assessment is made by ECA "Reforms need to strengthen private participation and empower the private sector by involving it in policy dialogue and advocacy for improvements in the operational efficiency" – source ASSESSING Regional Integration in Africa, ECA; 'Involvement of road users and transport operators is part of the RMI building blocks', source NEPAD, T.Triche, Road Policy Reform in SSA, SSATP, Paper 25".

<sup>129</sup> Fuel levy typically represents about 60-70% of road user charges, the balance being made up of road tolls, transit fees and, usually to a much lesser extent, vehicle licensing fees. Overloading fines are negligible.

**Indicator 5.3.5: Creation and use of regional funds**

It is generally recognised that the costs of upgrading regional infrastructure to adequate levels of service delivery (estimated to be in excess of €150Billion) vastly exceed available funding, the total of 10<sup>th</sup> EDF RSP/RIP is expected to be of the order of €650 million which may be augmented by 'Aid for Trade' funds<sup>133</sup>. To address this problem the EU-Africa partnership on Infrastructure was established in 2006 to concentrate specifically on transport, water, energy and ICT infrastructure plus support to harmonisation of transport policies<sup>134</sup> by means of leveraging EDF, EIB and EU MS funding. Also, COMESA has established the 'COMESA Fund for Cooperation, Compensation and Development' including an 'Infrastructure Financing Facility' intended to mobilise public and private resources for infrastructure development and fund feasibility studies (although it is not clear how the claimed overcoming of supply-side constraints by way of leveraging funding from potential investors might thus be achieved). This fund has four objectives:

- financing for PIP
- promote regional integration by ESA MS having an equity stake in regional infrastructure
- allow PPP in ownership and management of capital assets
- vehicle through which donors and DFIs can contribute to priority projects.

Investment decisions are also expected to consider economic and environmental sustainability, energy efficiency, intermodal coordination, cooperation and information sharing.

**Indicator 5.3.6: Trends in VOCs, passenger fares, freight costs and telecom user fees**

Despite large national capital investment programmes over two decades, the regional transport system continues to provide inefficient land transport services due to poor infrastructure<sup>135</sup> (especially railways), complicated immigration and customs procedures leading to delays at borders and ports, poor inter-modal and international linkages between national transport sectors and incompatibility of national regulations, protocols and physical infrastructure (eg differing axle load regulations, various rail gauges). Despite improvements in terms of reduction of VOCs, passenger fares, freight costs and telecom user fees<sup>136</sup>, the effect of this situation is one of the highest transport costs/km of passengers and freight in the world – an obvious constraint to flows of goods, services and trade. Indicative transit costs are summarised in table 7.13.

**Table 7.13: Transit costs**

COUNTRY	TRANSPORT & INSURANCE PAYMENTS/ USD MILLIONS	EXPORT OF GOODS & SERVICES /USD MILLIONS	TRANSIT COSTS AS % OF VALUE OF EXPORTS
Burundi	23	96	24
Ethiopia	240	979	25
Malawi	214	385	56
Rwanda	70	144	48
Swaziland	30	1085	3
Uganda	269	757	36
Zambia	216	1255	17
Landlocked countries	3706	26314	14
LDCs	4277	24840	17
Developing countries	109055	1268581	9

Source: UNCTAD 2001

**Indicator 5.3.7: Main users perceive an overall improvement in access to – and use of - key parts of the regional**

<sup>130</sup> In some countries RF revenues earmarked for maintenance are raided for other budgetary purposes or used for politically attractive capital works

<sup>131</sup> Some countries claiming 100% coverage in the chart do not include major lengths of rural (unclassified) roads in their recognized networks

<sup>132</sup> Where Road Funds have been established in MS, fuel levies have been programmed to increase consistently over a number of years to a point at which revenues are equal to maintenance needs. In no MS has the programme been fulfilled. The current average is USD0.08/litre of petrol and USD0.07/litre of diesel although studies indicate that for SSA the average to meet all maintenance needs should be USD0.13/litre. Source RMI Matrix 2006.

<sup>133</sup> A concrete example of order of magnitude is the longer term vision resulting from the EC-Horn of Africa initiative JAM for a road and rail ring corridor which is estimated at €2.8 Billion to be preceded by studies and technical assistance estimated at €3 million.

<sup>134</sup> In line with AU and NEPAD priorities.

<sup>135</sup> Lack of adequate maintenance of capital investment and existing infrastructure is a ubiquitous problem leading to premature decay of the infrastructure, decreasing serviceability, increasing VOCs, transport costs and journey times.

<sup>136</sup> Telephone connection charges and line rental have more or less consistently reduced over a decade. Meanwhile VOCs reduced immediately following a capital works intervention and then increase again over the next decade as the road is not maintained adequately and thus starts to break down. The freight and passenger costs usually follow the same line as VOCs (but with the added complication of increasing fuel costs). Thus, overall the trend is reduction but it is not a steady continuous trend by any means.

#### transport and telecommunication networks

There are widespread reports of improved accessibility and reduced VOCs resulting from improved serviceability of improved or rehabilitated infrastructure which deliver improved transport services at lower cost although without adequate maintenance such benefits can be fleeting<sup>137</sup>. Recent increases in oil prices are resulting in increased fuel pump prices and passenger fares in some cases thus causing violent protest ( eg Maputo, January 2008) although in this situation it is unrealistic that fuel levies will be raised for road maintenance funding in the near future.

The huge expansion of mobile phone usage is a feature of most countries in ESA-IO which all correspondents quote as the most obvious manifestation of improved access to ICT. Most networks also now permit simple money/credit transfer services, not only voice telephony.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** Condition surveys of road and rail networks; Surveys on condition & usage ICT infrastructure; Annual reports of highway and rail authorities and agencies; Annual reports of telecoms regulators; Programme documents and reports; Articles of association of regional and national transport associations & minutes of meetings.

**Interviews with:** EC Representatives; RIOs and IRCC; ESA IO MS institutions; TAs, PMUs, Project staff; civil society, private sector, academic and research institutions.

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<sup>137</sup> Though no hard data can be provided, this is supported by interviews and multiple visits to some ESA countries – Ethiopia, Eritrea, Kenya, Uganda, Mozambique, Lesotho, RSA, Zambia, Malawi over the past few years (not only in relation to this evaluation).



**JUDGEMENT CRITERIA 5.4 - EC regional interventions have efficiently contributed to improved regional transport and telecommunications services**

EC regional interventions are certainly becoming more visible, more strategic and effectiveness is generally good. However, efficiency of implementation of regional and (some) national sector interventions of regional impact has been less good with programming difficulties, delays and in some cases, contractual disputes postponing project completion and escalating costs (although in all projects examined in detail expected impacts and benefits have actually been eventually delivered).

Changing modalities of aid delivery with the transfer of implementation to regional (and national institutions) is consistent with moves towards a programme approach (at regional and national levels) but this pre-supposes adequate levels of institutional capacity and management which is certainly not the case. Also, this raises the question of exactly what the future role of RSP/RIP might be.

**Indicator 5.4.1: Interventions and activities implemented as planned**

Under the 9<sup>th</sup> EDF, the transport and communication sector identified as focal area 3 with 15-25% of the envelope has absorbed more resources than allocated, ie. 31% of decided resources (although this is partly the result of transfers from previous allocations) and an even higher ratio of projects for which the amount decided has been contracted (52% of overall amounts contracted under the 9<sup>th</sup> EDF). Looking at specific sub-sectors, road transport projects have absorbed to date 13.3% of decided resources, rail transport projects 10.4%, and ICT 7.3% (entirely represented by the ICT programme). Under the EA 8th EDF the situation is similar as the transport sector (initially allocated 75% of resources together with regional integration) has absorbed over 40% of decided resources and again among sub-sectors, road transport projects have attracted most EC regional funding (more than 40%); while there are no significant allocations under the IO 8<sup>th</sup> EDF.

The flagship sector interventions of the 9<sup>th</sup> EDF RIP are: i) the development of the Transport & Communications Sector Priority Investment Plan master plan (TCSPIP)<sup>138</sup> which is intended to identify and prioritise infrastructure investments as well as sector facilitation measures (transit regulations, transport traffic, regional protocols, customs procedures etc); and ii) the Regional ICT Support Programme (RICTSP) with the specific objective of providing regional organisations and member states of the ESA region with the management and technical expertise to help advance the region in its quest for regional integration through efficient ICT, and ultimately to reduce the digital divide in the ESA Region<sup>139</sup>.

Both have experienced delays. RICTSP continues to 'experience challenges', including delays in recruitment of a replacement project manager, absence of ICT coordinator in EAC, lack of technical backstopping, stretched capacity, delays in drafting and finalisation of implementation strategy, difficulties in tying results to overall framework and beneficiary priorities and cancellation of the 4<sup>th</sup> Technical Steering Committee (source IRCC Secretariat Quarterly Report N°17, July-September 2007). The recent arrival of a replacement project manager and EAC ICT Coordinator it may be expected that implementation will pick up.

Preparation of TCSPIP has been delayed, initially due to the time necessary for the establishment of the EC/COMESA CA and more recently by a stalled process for procurement of consultancy services for preparation of TCSPIP over a 2 year contract period. A 'Request for Proposals' was prepared by COMESA in December 2007 and a tender notice was advertised for suitably qualified consultants from COMESA MS, ACP and EU with a deadline for submission of 5/12/08. However, only one bid was received which was returned unopened to the bidder<sup>140</sup>. It is now planned to re-launch the bid with some changes to the TOR (and scope of works) and hopefully wider publicity but at best this would imply appointment of the consultant in late 2008 such that the final TCSPIP would be available in mid-2010. Given that this TCSPIP was intended to inform not only COMESA Fund but also 10<sup>th</sup> EDF (and, potentially other programmes such as the EC-Africa Partnership for Infrastructure, this could be a potential threat to regional programming. It may be possible to identify 'fast track' project interventions of especially high viability for feasibility and detailed studies in advance of completion of TCSPIP as a whole but care could be necessary to ensure that the credibility of PIP is not undermined by pursuit of high-profile 'political' projects of yet-to-be-confirmed viability (or practicality). A further possible complication is that it is reported that all RIOs intend to

<sup>138</sup> TCSPIP is expected to include (for all T&C sectors) national strategies with regional implications, main transport routes, plans (eg concessioning, toll roads, corridor development), funding (transit and road user charges, fuel levy) and communications needs (eg digital divide issues) leading to prioritized and costed intervention proposals including consideration of possible funding mechanisms (eg donor, national funding, PPP)

<sup>139</sup> RICTSP aims to address and deliver three main results in an integrated way: development, and monitoring of implementation, of ICT policy guidelines and strategies and monitoring of e-readiness status; provision of high-speed Internet connectivity to key regional stakeholders, and installation and use of ASYCUDA++ (software) in selected countries; improved and more efficient access to economic, commercial and practical information for the public and private sector through establishment of regional internet portals, information clearing houses and database-driven websites coupled with improved SME ICT skills. RICTSP should coordinate with COMTEL initiatives and the USAID-funded Regional ICT Policy Regulatory Harmonisation Project.

<sup>140</sup> Informal enquiries to international consultants who would normally be expected to bid for such services revealed that none had come across the adverts in their 'normal' channels, websites or communications outlets. COMESA advised that the RFP was only advertised on a few sites (eg COMESA, EC Del Zambia and 'The Economist') as this was a COMESA assignment not EC.

prepare their 'own' PIPs with possibly differing priorities.

**Indicator 5.4.2: Evolution and changes in aid modalities**

As noted elsewhere, EDF resources, alone, cannot meet the infrastructure development needs of ESA-IO through RSP/RIPs or CSP/NIPs. Thus, the proposed leveraging of EDF, EIB and EU MS funds through the EU-Africa Partnership on Infrastructure is introduced. The COMESA Fund and EAC Partnership Funds could be used as vehicles to channel EDF and other EC resources for regional infrastructure projects. Depending upon the nature and value of the proposed infrastructure interventions (and upon RIOs capacity) EDF funds could be disbursed for procurement using Financing Agreements (FAs) or Contribution Agreements (CAs). The RSP 10<sup>th</sup> EDF suggests that EC can bring added value due to its long experience in design and implementation of regional integration programmes. Be that as it may, the reportedly greater flexibility of the CA is a promising contribution to facilitation of the regional programme<sup>141</sup>. Thus, it is proposed that EC will support the planned Infrastructure Fund component of COMESA Fund for upgrading infrastructure and transport systems, improvement of ICT systems (through COMTEL and EASSy) and improvement of marine transportation and port facilities. These interventions should be in accordance with TCSPiP being prepared under 9<sup>th</sup> EDF (9ACPRSA129) and thus, together with the proposed changes in implementation modality manifest the EC move from project to programme approach (which mirrors similar moves towards programme approach SBS and SWAPs at national level). However, assuming this executive programme function is transferred to RIOs this raises the question as to what exactly the function of RSP/RIP might become and whether RIOs should have their own implementing capacity<sup>142</sup>.

Finally interviews have yielded multiple references to perceived problems arising from EC programming and EDF regulations and requirements<sup>143</sup>.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** Programme documents; External and internal reports, reviews, evaluations and monitoring reports.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; civil society, private sector, academic and research institutions.

**JUDGEMENT CRITERIA 5.5 - Cross cutting issues have been adequately considered in EC regional support to 'Transport and Communications'**

**Indicator 5.5.1: Consideration of cross-cutting issues during formulation and implementation of EC regional sector support programmes – environment/natural resource management, gender, capacity building, HIV/AIDS, conflict issues/governance/peace, sustainability and M&E frameworks.**

A number of cross cutting issues are integral to regional integration of which conflict/peace issues and HIV/AIDS are arguably the most immediately significant. However, other cross cutting themes have resonance with the T&C sector although few of them are explicitly discussed or articulated in RSP/RIP sector proposals. This does not imply that the issues have been ignored. Some have been included in CS/NIP interventions whilst others have been acknowledged in RSP/RIP across all sectors (and it may be argued that RSP/RIP proposals for T&C are effectively issue-neutral in most cases). Of the identified cross cutting issues (all of which are dealt with more at national than regional level) EC sector support at regional level addresses environmental, HIV/AIDS, M&E frameworks and conflict/peace issues somewhat reactively whilst governance and gender issues are rather more pro-actively considered.

Environment/natural resource management. All transport sector infrastructure interventions should take environmental issues into account<sup>144</sup> and all major capital works interventions are subject to Environmental Impact Assessments (EIAs) and Environmental Management Plans (EMPs) being prepared. However, these measures are

<sup>141</sup> RIOs are being assessed as to their eligibility to implement CAs which are intended to be the main modality for the Focal Area although especially large or specialized interventions may result in the FA modality being more appropriate.

<sup>142</sup> At present RIOs certainly do not have such capacity.

<sup>143</sup> Some quotes collected during the course of this evaluation: too bureaucratic; full of red tape; too many requirements; AMIS troops on the ground (not getting paid) for months while red tape, financing and bureaucracy was being dealt with; mess between AIDCO, DGDev and RELEX; procedures for spending money are way too bureaucratic; not enough flexibility, too many constraints and demands, quality lacking; EC financial management very poor, overly bureaucratic (from internal and external points of view); RECs need a full-time person fully conversant with EC procedures in order to be able to actually obtain money desired from EC; EC financial management system absolutely poor – have to tender for everything; going to a government and saying 'We want you to change your whole governance system, electoral reform, sectoral institutional change etc for €X millions which will take anywhere from 1 to 4 years to arrive' is a joke; bureaucracy for financing, whether national or regional programmes is more than overly bureaucratic, too heavy, way heavier than WB procedures; Del constantly having to rebuild trust and confidence because of stupid bureaucratic heavy handedness which means that EC agrees on a cooperation and it doesn't deliver; even though EC can bring so much more money than the other donors combined, we would rather not deal with EC – it is too cumbersome, too bureaucratic and takes a huge amount of our time for little delivery; EC should stick to huge infrastructure projects that need to be planned well in advance with little need to be reactive; bad experiences of EDGF procedures which are considered to be difficult to access and highly bureaucratic with danger of available funds not being accessed.

<sup>144</sup> Quality of this consideration varies – all donor funded capital works projects have EIAs and EMPs. No other types of work (eg routine maintenance) normally have such environmental considerations although some countries have undertaken sector-wide assessments.



reactive in that they identify and mitigate impacts resulting from the works (and with adequate engineering good practice any such negative impacts should be minimal). Increasingly works are necessary as a result of environmental situations (eg spikes in surface water run-off patterns are causing flooding and/or wash-out of previously adequate bridges and drainage structures) and, given that a number of the high-profile priority projects identified by COMESA involve major interventions to inland waterways (eg Lukunga barrage, Lake Tanganyika, Shire/Zambezi Waterway) particular care is suggested. WB is supporting a pilot assessment of climate change issues in Djibouti leading to an implementation strategy and action plan.

Gender. There appear to be no references to gender issues in connection with T&C in the 8<sup>th</sup> and 9<sup>th</sup> RSP/RIP.

Capacity building. Capacity building should have a major impact on the medium and long term outlook in the sector (although the impact of HIV/AIDS mortality is having a serious impact on mid-level management capacity). However, in the T&C sector there have been major institutional support and capacity building efforts for more than a decade which have overall disappointing results in terms of residual capacities. Further, of relevance to regional programmes is the variation in sector management capacities between countries. In ICT there are capacity deficits in network engineering, software development and enhancement. Thus at regional level capacity building as a cross cutting issue should cover dissemination of good practices, knowledge sharing, networking, and support to regional training centres plus facilitation in making available capability between MS. However, capacity constraints at regional level have been identified (with EC response in the form of RICTSP and RISP) as have constraints at national levels (eg NAO and sector institutions) but it is reported that some constraints will continue beyond the life of current support programmes. All capacity deficits have been highlighted with specific reference to difficulties in recruitment and retention of staff and poor conditions of employment (in Addis Ababa). Absorption capacity is reportedly 'really limited'. Proposals require greater national executive responsibility in RIOS coupled with greater national involvement in regional initiatives and it thus appears very likely that capacities may not be commensurate with these increased responsibilities. Further institutional support (which may or may not include continuation of existing regional support) should be considered at regional and NAO levels.

HIV/AIDS. It is only with the 10<sup>th</sup> EDF that proposals are formulated for the inclusion of an HIV/AIDS component in all RIP programmes and that most infrastructure interventions include provision for HIV/AIDS awareness programmes. It is clearly recognized that increased mobility can be a significant factor in propagation of HIV/AIDS (as was seen in the 80s along the Northern Corridor route in Uganda and Kenya) and special consideration should be given to any corridor development initiative. However, many NIP interventions have provision for HIV/AIDS awareness activities aimed at the travelling public, contractor's personnel and persons living along or within a catchment area of a works intervention.

Conflict/peace issues. T&C infrastructure is usually an early casualty of any conflict and restoration of such services is always high on the priority list after conflict has subsided. Whilst initial concentration on emergency response, phasing through to reconstruction and development is the usual response, policies and institutional structures must also be restored or adapted to new situations.

Rapid response can, if so managed, provide large scale employment generation (over a short time) and can contribute to community building and consolidation of peace. In the ESA-IO region there are such situations in several locations<sup>145</sup> but there is no articulation of such strategies in RSP/RIP. T&C infrastructure can also greatly facilitate spoilers' mobility and access to populations. A conflict sensitive lens to actions in these areas is important but there is reported to be a general lack of integration of a conflict-prevention lens into programming / planning of infrastructure and impacts upon relations between different groups of people (e.g. clans).

Governance. RSP/RIP proposals for facilitation of convergence of sector policies and strategies are immediately engaged with issues of governance. Indeed, issues connected to sector governance could represent a risk to regional development. The preparation of TCSP/IP identifies governance issues as significant to success of this initiative. Thus, sector governance should be rule-based, participatory, predictable and transparent, and explicitly seek to ensure structures are in place to manage arising conflicts in such a way as to diffuse rather than increase possibilities of violence. In ICT NEPAD has proposed a 'continental umbrella initiative' namely the 'Electronic Governance and Government Initiative for Africa'. More generally there is a history of poor progress of regional infrastructure initiatives due to national failure to implement commitments made at regional level. It has thus been proposed that NEPAD governance and peer review methodology could be applied to national infrastructure development. Attempts to introduce a governance/CP lens on infrastructure programming are reported to be only partially successful.

Sustainability. Sustainability is addressed here in general terms as a cross cutting theme regarding the entire sector, while it has been included as an evaluation criterion in the discussion of the specific JC. Sustainability of policies and strategies is heavily dependent upon private sector expansion as a result of liberalization resulting in improved market access and reduction of transaction costs. Sustainability of physical infrastructure assets depends upon a conjunction of adequate resources and capability both of which continue to be generally inadequate. All physical interventions investigate maintainability (and viability) of the investment but more often than not maintenance is deficient as governments have a poor record of fulfilment of such maintenance commitments

<sup>145</sup> E.g. Eritrea, Ethiopia, Somalia, Sudan, Eastern DRC.

(whether provision of adequate funding, physical works or enforcement of legislation which would contribute such as safety and axle loading regulations). This history of under-achievement does not encourage potential private sector partners to invest either upstream or downstream and this further reduces the overall sustainability.

M&E frameworks. Governments are (or at least should be) withdrawing from service provision to concentrate on policy formulation, regulation and monitoring. This latter has been a serious problem as the quality and availability of data as a basis for informed decision making has been (and continues to be) poor. Also, data bases vary from country to country such that comparisons between countries have been difficult (despite attempts to establish standardised indicators under RMI and other initiatives). Good monitoring data is necessary, not only to monitor progress but also to inform decision making, policy preparation and direction. Participation by users of sector services in M&E can be a powerful tool for improvement of service quality.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** CSPs & NIPs for ESA-IO Member States; Programme documents; Annual reports.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; civil society, private sector, academic and research institutions.

**EVALUATION QUESTION 6:**

**To what extent has the EC regional cooperation strategy in the ESA and IO contributed to sustainable management of shared natural resources and to resolution of common problems and threats?**

**EVALUATION CRITERIA:** Efficiency, effectiveness, sustainability

**EXPLANATORY COMMENTS**

The question is focused on the assessment of the outcomes at sectoral level, according to the proposed logic diagrams. This approach also allows the assessment of EC inputs and the degree of openness of the outcomes toward the impacts, bearing in mind that a different specific question (EQ 8) will assess the impacts of the programme. The question includes: the assessment of the actual ownership and implementation of the programme by the regional actors (outputs); the assessment of the sub-sectoral achievements (outcomes), i.e. those changes occurred in the institutional and economic environment in response (inter alia) to the outputs of the programme.; the assessment of the EC aid modalities, and; the assessment of cross-cutting implications in the design and the implementation of the sectoral programme. The question will also focus on whether EC interventions have been effectively and efficiently delivered (including the strengths and weaknesses of the different aid delivery modalities).

**INITIAL ANALYSIS AND HYPOTHESIS (FINDINGS)**

**JUDGEMENT CRITERIA 6.1 Regional (NRM) initiatives and networks have enhanced the capacity of national institutions and groups to adopt and implement national policies and harmonised regulatory framework.**

**INDICATOR 6.1.1** Established and operational national focal points, coordination and decision-making mechanisms

Most regional programmes have established operational NFP nominated within the national administration (Recomap, PRPV).

Some countries have institutionalised inter-sectoral coordination & management bodies (e.g. ICZM in Mauritius) Regional management bodies (e.g. LVFO, LVBC, IOTC) have been created or/and supported by EC and other donors.

The decision-making mechanisms in LV are consolidated through generations of programmes and partially decentralised to local stakeholders through the 1087 Beach Management Groups established in the three riparian countries and through periodic consultation mechanisms (a stakeholders' conference is held every five years). There is a relation between these consultation mechanisms and policy development, as shown below:

**Table 7.14: NRM Policy developments**

<b>7 EDF</b>	<b>1994:</b> Establishment of Lake Victoria Fisheries Organisation
<b>8 EDF</b>	<b>1999:</b> Strategic Vision for Lake Victoria (1999-2015)
	<b>1999:</b> Establishment of the East African Community (EAC)
	<b>2000:</b> 1st International stakeholders conference on LV <b>2001:</b> LV Fisheries management Plan
<b>9 EDF</b>	<b>2003:</b> Protocol for Sustainable Development of the LV Basin
	<b>2005:</b> 2nd International stakeholders conference on LV
	<b>2005:</b> Establishment of the LV Basin Commission <b>2006/07:</b> Standard Operating procedures for LV fisheries

**INDICATOR 6.1.2** Existing scientific/technical networks for data and knowledge sharing

- The LVFO (<http://lvfo.org>) established a statistical database on fish catch, export and incomes linking and harmonising regional and national statistical systems.
- The Beach Management Units (BMUs) operating on Lake Victoria are forming a network allowing to exchange data and experiences.
- The IOC coral reef monitoring network was established in late 90s' (7EDF) and contributed to the Global network with data and reports from the IO region.
- The IOC marine ecotoxicology network is coordinated by Reunion island for monitoring and sharing data on algal blooms and ciguatera incidence on fish safety and trade.
- Early warning systems have been (or are being) developed in several countries and regions (with support from different partners) in order to share data and prevent natural hazards such as cyclones (IOC), droughts (IGAD), food security (COMESA).
- Existing fish surveillance systems and data are coordinated between IOC and SADC .

**INDICATOR 6.1.3** Formulated/adopted regional/national policies, legal instruments & enforcement mechanisms

For Lake Victoria see main policy papers in I.6.1.1 above. Specific operating strategies & procedures include:

- Regional Action Plan to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing on LV,

2004 and revised in 2006

- Strategy and Action Plan for Monitoring, Control and Surveillance of Fisheries on Lake Victoria, 2006;
- Guidelines for Beach management Units in LV, 2006
- HRD Strategy and Action Plan for Lake Victoria Fisheries, 2006;
- Information, Communication and Outreach Strategy and Action Plan on LV, 2006
- Collection of biological information from the fishes of LV, 2007
- Trawl surveys on LV, 2007
- Lake Victoria Fisheries HIV/AIDS Strategy, 2007.

The elaboration and adoption of the Lake Victoria Fisheries Management Plan was the major output of the 8<sup>th</sup> EDF strategy for this important ecosystem hosting over 30 million people. Further support (9<sup>th</sup> EDF) for its implementation allowed consolidation of the policy framework throughout the decision-making line strengthening the decentralisation process for the management of the lake resources at different levels of governance (regional, national and community), allowing evolution from a sectoral approach to a wider ecosystem approach. This in turn has favoured the emergence of the Lake Victoria Basin initiative that adopted a broader geographic and inter-sectoral perspective linking environmental and socio-economic aspects, thus addressing the needs of multiple stakeholders and contributing to sustainable development.

Other EAC policy achievements include:

- Regional agriculture and rural development strategy, 2006
- Regional protocol for safety and products standardisation (ongoing);
- Strategy for prevention and control of animal diseases (ongoing).

The Association for Strengthening Agriculture Research in East and Central Africa (ASARECA), a non-political association of research institutes in 10 African countries, has received support from the EC and other donors for developing and fine-tuning their research activities through regional thematic networks. This joint effort has led to the development of a long-term strategic Plan for the period 2006-2015.

Finally, it should be mentioned that – under the 8<sup>th</sup> EDF regional Plant Protection programme - the IOC is developing and implementing a regional strategy for the protection and safety of food crops, harmonising phytosanitary legislation and control measures and ensuring safety of agricultural and food trade. These achievements will also strengthen the capacity of member countries to comply with EPAs and WTO regulations. On achievements to date see also indicator 6.3.1

#### **INDICATOR 6.1.4 Regional consensus (protocols & Multilateral Environmental Agreements)**

Several regional and multilateral agreements have been concluded on the wave of the NEPAD environment agenda. Those linked to EC cooperation strategy are the following:

- The Protocol for sustainable development of Lake Victoria Basin was signed in 2003 by Kenya, Tanzania and Uganda under the aegis of EAC; the Protocol was also adopted by the new member states of Burundi and Rwanda as part of their accession to EAC in July 2007.
- The Nairobi Convention for the protection, management and development of the marine and coastal environment of the Eastern Africa region was signed in 1985 by Somalia, Kenya, Tanzania, Seychelles, Mauritius, Madagascar, Comoros, Mozambique, RSA under the aegis of UNEP. Ratifications occurred between 1985 and 2003.

The policy support provided by EC to the IOC-led fisheries and coastal programmes is a clear contribution to the wider Indian Ocean framework, embedded in the Large Marine Ecosystem approach as defined in the Nairobi Convention<sup>146</sup>. The Convention provides a mechanism for regional cooperation and coordination of actions under the NEPAD environment initiative. It is also an important platform for dialogue between governments and civil society, offering a legal framework for improved synergies between development partners.

- In the framework of the Indian Ocean Tuna Commission (IOTC)<sup>147</sup>, established in 1993 under the aegis of FAO approximately 50 resolutions have been adopted from the first IOTC session held in 1996 to date. They addressed resources assessment & monitoring, control and surveillance of fishing operations, legal & financial rules and conservation measures for sustainable exploitation of fish resources in the wide Indian ocean.

The role and valuable contribution of the IOC through the EC-funded tuna tagging and surveillance programmes has been recognised during the 11th IOTC session held in Mauritius in May 2007 (Source: [www.iotc.org](http://www.iotc.org)).

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** EC & RIOs reports; Programme documents and reports; National and regional sector

<sup>146</sup> The Nairobi Convention for the protection, management and development of the marine and coastal environment of the Eastern African region (<http://www.unep.org/NairobiConvention>).

<sup>147</sup> The Indian Ocean Tuna Commission (IOTC), whose Secretariat is based in Seychelles, was established under the aegis of FAO for managing exploitation of migratory fish resources. It comprises 26 members representing the Indian Ocean States of Africa, Asia and Oceania and the outside fishing nations.

policy and strategy documents; Internet and publications; Evidence of ratification and implementation of regional protocols and frameworks.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS institutions; EU MS and other donors; civil society, private sector, academic and research institutions.

**JUDGEMENT CRITERIA 6.2 Knowledge, awareness and protection of valuable and threatened natural resources is enhanced in the participating countries and among the target groups**

**INDICATOR 6.2.1 Inventories and knowledge systems at regional, national and local levels**

Most EC regional programmes had (or have had) a strong capacity-building component. A common approach has been to establish and strengthen national relays and develop regional cooperation networks involving scientists, institutions, decision-makers and private sector associations. Common management mechanisms have been developed and partially adopted in order to make collection, processing and dissemination of data compliant with agreed strategies and with specific national characteristics (see also JC6.3).

In this framework, a number of inventories and knowledge management systems have been established in the ESA-IO region and most with the support of the EC regional envelopes. Among them:

- IOC meteorological programmes contributed to establishing cyclone early warning systems in affected countries.
- IOC coral reef and marine ecotoxicology networks enhanced the capacity of national stakeholders to assess the health of marine environment, raising awareness among scientists and economic operators.
- Development of standard operating procedures for collecting biological data from the fishes of LV, later adopted in 2007 allowing fishers and local and national authorities to assess the carrying capacity of fishery efforts, thus defining regulations and enforcement modalities.
- Inventory and assessment of pest and plant diseases were implemented in the IOC region under the 8EDF Plant Protection programme.
- Testing and dissemination of pest control systems allowed the IOC regional and national stakeholders to identify and adopt the most suitable pesticide or alternative (non-chemical) system.

In addition to this, it should be noted that the promotion and adoption of multi-actors consultation mechanisms (e.g. Lake Victoria stakeholders' periodic conferences) and decentralised financial instruments (RECOMAP Call for Proposals schemes see also indicator below) have increased the participation and empowerment of NSA in planning and implementation of NRM strategies (thus extending participation and knowledge sharing among different groups of actors), partially overcoming past and initial constraints on public-private partnerships.

**INDICATOR 6.2.2 Trained people and acquired skills**

Most regional programmes have/had a capacity building component providing training in various forms (seminars, scholarships, on-the-job training, technical assistance, etc.). The trainees include a wide range of target groups, in accordance to thematic training and purpose: scientists, technical staff, administrators, NGOs and civil society representatives. Acquired skills are diversified and basically compliant with project activities; they include: management of technical tools, project development, advocacy, policy guidelines, etc.

The Lake Victoria fisheries programme (8.ACP.ROR.029) is a good example of qualitative and quantitative impact on human resources; Over 100 local government fisheries officers were initially trained by the project, becoming themselves trainers for the representatives of approximately 800 Beach management Units established during the project lifespan. These achievements were part of the human resources strategy adopted by LVFO after the initial needs assessment (source: IFMP Annual report Oct. 2004- Sept. 2005).

On the theme of coastal management, there are several initiatives in the ESA-IO region: WIOMSA, WWF, France-MPA, IUCN, SIDA and the World bank/GEF. The 9th EDF RECOMAP is pursuing cooperation with those initiatives to converge efforts in terms of networking, capacity building and training of national stakeholders, policy support and financing NSA projects through the Calls for proposal scheme. More specifically, RECOMAP will complement a regional programme on IO marine protected areas (MPA) managed by WWF and financed by France by supporting specific initiatives contributing to local ICZM plans, Knowledge systems, awareness and training of MPA human resources. Cooperation between these two initiatives is included in Recomap project design.

**INDICATOR 6.2.3 Environmental awareness and education initiatives**

8<sup>th</sup> EDF ARPEGE / IOC environmental education programme was implemented between 2003 and 2006. It produced a regional strategy, methodological guidelines and pedagogic tools, introducing environmental education in the curriculum of 80 pilot schools in the IOC countries and training approximately 200 teachers (activities carried out through 17 regional coordinators).

**SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** EC & RIOs reports; Programme documents and reports; Regional networks fora & webpages; Media in ESA-IO

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS institutions; EU MS and other donors; civil society, private sector, academic and research institutions.

**JUDGEMENT CRITERIA 6.3 Regional cooperation networks and monitoring systems enhanced the countries preparedness to natural disasters and their response capacity for more sustainable NRM.**

**INDICATOR 6.3.1** Early warning systems (water crisis, meteorology, food security, etc.)

The Cyclone early warning system in the Indian ocean region was created with support from the EC (7EDF+8EDF) and other international partners (World Meteorological Organisation – WMO).

The cyclone forecast system is now operational in almost all the IOC member states, except for Comoros which is receiving assistance from Madagascar and Mauritius antennas.

In terms of response capacity, efforts should be pursued in the areas of prevention of crisis by developing and implementing disaster mitigation strategies and standards in coastal planning and construction criteria.

Other regional EWS were developed across the continent by different governments, regional organisations and donors; several of them are particularly relevant for the ESA-IO region, as indicated below:

**Table 7.15: Relevant EWS in the ESA IO region**

EWS	Lead RIO	Countries involved	Partners donors	Thematic focus
Drought Monitoring Centre for Eastern & Southern Africa	SADC	SADC member states	WMO, UNDP, Belgium,	Climate, droughts, floods, agriculture, food security, water
Drought Monitoring Centre for the Greater Horn of Africa	IGAD	Burundi, Djibouti, Ethiopia, Eritrea, Kenya, Rwanda, Somalia, Sudan, Tanzania & Uganda	WMO, UNDP,	Climate Food security, water and health.
Famine Early Warning system Network (FEWSNET) for East Africa	N.A.	Djibouti, Ethiopia, Kenya, Somalia, Sudan, Tanzania & Uganda	USAID	Food security. Emergency relief
East Africa Livestock Early Warning system	N.A.	Djibouti, Ethiopia, Kenya, Somalia, Tanzania & Uganda	USAID	Livestock production and health

A proliferation of EWS is noted with potential overlapping and a diversified record of successes and failures (source: FAO assessment of food security EWS in sub-Saharan Africa, 2006). The EC-funded AMESD programme should coordinate these regional and sub-regional systems and valorise the thematic centres of Excellence. Strong commitment in knowledge sharing and harmonisation of these EWS should be prioritised as it appears from field interviews that many national and regional stakeholders are not aware of AMESD, especially among those not specifically involved in its implementation.

**INDICATOR 6.3.2** Quantity and quality of marine and terrestrial protected areas

- 7EDF regional programme on coastal areas of IO contributed to protected areas creation and management in Mauritius (Blue Bay), Seychelles (Grande Anse) and Madagascar through implementation of resources assessment, elaboration of management plans and stakeholders involvement, thus contributing to enforcement of legal/political decisions by national governments and/or promoting the economic and social value of nature protection.. 9EDF Recomap will further strengthen stakeholders capacity to identify and manage Marine Protected Areas (see 6.3.3 below).
- Support to terrestrial protected areas in mainland countries was mainly delivered through NIPs (e.g. Kenya, Tanzania, Ethiopia) as these ecosystems are mainly perceived as a national heritage, unless shared with other countries..

**INDICATOR 6.3.3** Cooperation among network managers, especially among protected areas managers

Recomap will complement a regional programme on IO marine protected areas (MPA) managed by WWF and financed by France by supporting specific initiatives contributing to local Integrated Coastal Zone Management (ICZM) plans, Knowledge systems, awareness and training of MPA human resources. Cooperation between these two initiatives is included in Recomap project design. Other protected areas have been supported by other donors like the GEF (e.g. Rodrigues island in Mauritius) and cooperation agreements are promoted with conservation managers in the region.

The SWIO Coral Reef Monitoring Network (CRMN), set-up under the 7th EDF, created the conditions for involvement of scientists, NGOs and private operators (scuba diving associations) in a long-term monitoring of coastal marine resources considered a major asset for sustainable tourism development and particularly under threat from climatic (global warming) and human hazards (inland and marine pollution). The coral reef network has been signalled as a positive example of empowerment and sustainability of regional initiatives during the focus group meeting held in mauritius (see annex 8).

The IO Marine Ecotoxicology network was set up in the same period to address the phenomena of algal blooms and fish poisoning affecting the territorial waters of some countries of the SWIO. Ten years later, this cooperation and monitoring mechanism is active in countries where the concern for fisheries and public health is important



(Mauritius, Reunion) and where public-private partnerships have been maintained. Again it should be noted that this network was cited as a positive example during the focus group.

Several agricultural research networks were structured and consolidated through regional cooperation initiatives. Under the umbrella of ASARECA and its long-term strategic Plan (see above), thematic centres of excellence are being established for specific agricultural commodities (banana, coffee, etc.), for ecosystem approach (e.g. highlands) and for policy guidance.

Animal and plant protection programmes have created pest control networks contributing to more integrated responses to food security crises and trade requirements.

Assessment and monitoring of environmental indicators based on information sharing between thematic poles of competence (e.g. AMESD) will allow development of the region's and countries' preparedness for natural disasters (droughts, floods, sea level rise) and enhance the integration of preventive and mitigation measures in sectoral policies for agriculture, water, land use and coastal management.

#### SOURCES OF INFORMATION AND TOOLS

**Documentary Review of:** EC & RIOs reports; Programme documents and reports; Articles, internet and other publications of regional cooperation networks

**Interviews with:** RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS institutions; EU MS and other donors; civil society, private sector, academic and research institutions.

#### JUDGEMENT CRITERIA 6.4 Improved trends in the management systems of natural resources

**INDICATOR 6.4.1** Practical and effective measures to limit the degradation process have been taken in several areas (fishery, coast, ...)

- Past and current regional strategies and programmes focus on policy and knowledge development and harmonisation, and on the strengthening of RIOs and countries capacity in diagnosis and monitoring of the natural resources base. This approach contributed to the integration of environmental management in socio-economic development and policy-making processes and promoting participation and benefits for a wider audience, including public institutions and NSA.
- The long term and combined efforts by several development partners to address the sustainable management of the Lake Victoria fish resources, under serious threat during the 80's and 90's, led to the development and adoption of sustainable fishing practices (e.g. bans on destructive fishing gears, zoning and fishing calendars), reducing the pressure on the lake resources.
- The involvement and empowerment of the fishing communities (e.g. 1087 Beach Management Units were created in the three riparian countries) in monitoring and control of fishing operations on the lake and the improvement of the institutional and socio-economic environment are success stories that should be promoted in other water basin management initiatives (sources: LVFO manager and publications).
- Positive trends are underlined in the implementation of agricultural research programmes adapted to the needs of specific sub-regions, countries and agro-ecosystems and able to respond to food security, environmental threats and/or trade requirements, therefore making national agricultural research institutions more responsive to macro and micro-economic needs in productive sectors (Source: ASARECA – Sharing experiences on reform of Agricultural Technology Development and Dissemination Systems in eastern Africa, report of the Practitioners' Retreat, Addis Ababa, February 2004).
- Multilateral agreements signed among RIOs MS (e.g. EAC and IOC countries) proved to be effective in developing standard procedures and management tools, such as regional EIA guidelines for shared ecosystems (Sources: EAC - <http://www.eac.int> and RECOMAP - <http://www.recomap-io.org> ).

#### SOURCES OF INFORMATION AND TOOLS

**Documentary Review of:** Multilateral Fishery Agreements in the Indian Ocean, Reports and publication by the Lake Victoria Fisheries Organisation (LVFO)

**Interviews with:** EC Representatives; RIOs and IRCC; LVFO. TAs, PMUs, Project staff; ESA-IO MS institutions; civil society, private sector, academic and research institutions.

#### JUDGEMENT CRITERIA 6.5 EC regional interventions have efficiently contributed to improved NRM in the region

**INDICATOR 6.5.1** Interventions and activities implemented as planned

When comparing RIP allocations and project implementation status (CRIS, end 2007), the performance of the regional NRM envelopes appears as follows.

**Table 7.16: Regional NRM envelopes** (source: inventory, own elaboration)

Amounts in M€	allocated	decided	contracted	paid
8th EDF IOC	12.75	12.618	11.305	9.998
		99%	90%	79%
8th EDF EA	38.8	70.312	50.612	38.876
		181%	72%	55%
9th EDF ESA-IO	63.7	63.626	34.81	19.823
		100%	55%	31%



The above figures show a positive correlation between planning and implementation for the IOC 8th EDF, while the East Africa 8th EDF envelope has encountered considerable reallocations and consequently slower implementation rates. For the 9th RIP, most programmes are currently being implemented and the rates of commitments and disbursements are in line with implementation status.

The Joint Annual Report 2006 for the ESA-IO cooperation expressed a satisfactory assessment on the implementation status of NRM programmes. The following findings arise from programme analysis.

Most 8<sup>th</sup> EDF regional initiatives are completed (e.g. Meteorology and ARPEGE) or close to completion (e.g. Plant protection and Agricultural Research programmes) with the exception of IGAD-HYCOS that was removed from the programme pipeline.

Some programmes (e.g. IO Tuna Tagging and LV Environment programme) stretched over the 8<sup>th</sup> and 9<sup>th</sup> EDF in order to ensure continuity and overcome financial shortcomings.

The duration of strategy and programme preparation and financing remain long (from one to two years), despite continuity in thematic support and increased capacity within RIOs. This is due to the complexity of programmes, the geographic coverage under the new ESA-IO set-up and the necessary consultation process among the recipient countries and within the EC Services.

The role and contribution of IRCC is generally appreciated by the RIOs, the management focus of which has been devoted to relevance and quality of project preparation in order to make the ESA-IO umbrella more responsive to their specific sub-regional characteristics.

The improved preparation and management skills conform to the criteria for the application of contribution agreements to RIOs, in particular EAC and IOC that are currently undertaking important management reorganisation in order to accelerate the adoption of the Contribution Agreement tool in the forthcoming 10<sup>th</sup> EDF RIP.

Efficiency of regional programmes implementation arrangements, particularly in relation to national actions, is subject of debate on appropriate administrative procedures (there is a general feeling in the region that the EC procedures are not appropriate to the regional cooperation ambitions and challenges), empowerment of national resources persons and synergies with NIPs and national projects. Subsidiarity and complementarity of regional and national envelopes is certainly an area for improvement and should be tackled in the early stages of the 10<sup>th</sup> EDF strategy.

Aid efficiency and effectiveness is also strongly linked to donor coordination, as underlined by several regional stakeholders during a focus group in Mauritius, as the different response and commitment of national authorities to the regional cooperation initiatives is often influenced by the opportunity to join one or more similar or overlapping programmes (several coastal management initiatives are under way in the region). Synergies between those initiatives should be strengthened prior to their implementation, whenever possible.

#### **INDICATOR 6.5.2** Evolution of changes in aid modalities

9<sup>th</sup> EDF introduced several changes in aid modalities, as follows:

- Contribution agreements are under negotiation with EAC and IOC. The new instrument requires adequate management reorganisation and strengthening. The road maps to achieveve them has been defined and are currently negotiated between RIOs, their member countries and donors, based also on positive dialogue generated by the EAC Partnership Fund, a funding platform joined by several donors, including EU-MS.
- Recomap introduced Calls for Proposals schemes in order to allow direct funding to local governments and NSA for bottom-up initiatives matching the programme objectives.

Several financing instruments have been combined toward common objectives. In addition to RIPs:

- All-ACP programmes have been used such as the SFP-ACP projet (strengthening fish products safety in ACP-OCT countries).
- DG-Fishery funds have been devoted to support compliance with EU-ACP fisheries agreements and ensure suveillance of fishing operations in IOC EEZs.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** Programme documents; External and internal reports, reviews, evaluations and monitoring reports.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; civil society, private sector, academic and research institutions.

**JUDGEMENT CRITERIA 6.6** **Programming and implementation in NRM, actively promotes shared use and improved management of NR and access to NR (land, water, etc.) for neighboring communities, thus reducing conflicts and risks among countries and stakeholders.**

**INDICATOR 6.6.1** Natural resource management projects address environment related structural causes of conflict and resources fuelling violent conflict (access and tenure rights, dispute solving mechanisms, transparency initiatives, guiding business activities, scarcity/abundance power relations);

- Several generations of research and development programmes in the Lake Victoria Basin that have

enhanced knowledge and management arrangements of common issues (fisheries, environmental degradation, access and use of water resources, watershed management) promoting a basin-wide approach and generating consensus on priorities and strategies among the countries and local communities up-stream and down-stream. In a region where conflicts are often generated by access to and exploitation of NR this can be seen as a considerable achievement.

- Monitoring and risk management programmes such as HYCOS, AMESD and REFORM aim at enhancing the preparedness of single countries in respect to natural and human-induced hazards (cyclones, floods, droughts, food crisis and migration), by pulling scarce national technical and human resources into a regional coordinated response to the benefit of more vulnerable countries and communities. This regional cooperation shift is increasingly perceived<sup>148</sup> by African states and donors as a fundamental move toward intra-regional response capacity leading to enhanced dialogue and increased socio-economic benefits, including reduced donor-dependence, prevention capacity and valorisation of regional centres of excellence and neighbouring value-chains.
- Shared management of marine migratory species (e.g. tuna), through monitoring of fish stocks and control of fishing operations (particularly by foreign vessels) helped the Indian ocean countries to improve their economic benefits through multilateral agreements (compared to past bilateral agreements), reducing illegal access and poaching.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** RSPs/RIPs, RIOs strategy and policy documents; EC and RIOs Programme documents and reports; Annual reports, mid-term reviews

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS institutions; civil society, private sector, academic and research institutions.

#### **INDICATOR 6.6.2 Protocols and management instruments for shared NR**

Protocol for sustainable management of Lake Victoria basin, signed in November 2003 by the Governments of Kenya, Tanzania and Uganda.

Nairobi Convention for the protection, management and development of the marine and coastal environment of the Eastern Africa region

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** CSPs & NIPs for ESA-IO Member States; Programme documents; Annual reports.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS institutions; civil society, private sector, academic and research institutions.

<sup>148</sup> Source: Assessing Regional Integration in Africa, ECA, 2004 and NEPAD policy framework

**EVALUATION QUESTION 7:**

**To what extent has EC support helped establish regional CPRM strategies, and improve capacity to prevent, resolve and manage conflicts in the region, and therefore enhance regional peace?**

**EVALUATION CRITERIA:** Efficiency, effectiveness, sustainability

**EXPLANATORY COMMENTS**

The question is focused on the assessment of outcomes at sectoral level, according to the proposed logic diagrams. This allows for an assessment of EC inputs, outcomes and impact, bearing in mind that a specific question (EQ 8) assesses the impact of the overall programme. The question covers: the assessment of the actual ownership and implementation of the programme by the regional actors (outputs); the assessment of the sub-sectoral achievements (outcomes), i.e. those changes that occurred in the institutional and economic environment in response (inter alia) to the outputs of the programme; the assessment of the EC aid modalities, and; the assessment of cross-cutting implications in the design and the implementation of the sectoral programme. The question also focuses on whether EC interventions have been effectively and efficiently delivered.

This question covers the ways in which EC development assistance has reinforced capacity to prevent, resolve and manage conflict in the ESA-IO region. It also examines whether EC programming (for regional integration and trade; transport; and natural resources management) has been conflict sensitive. Issues of capacity building, governance, gender, HIV/AIDS, and environment are treated as cross cutting issues.

**INITIAL ANALYSIS AND HYPOTHESIS (FINDINGS)**

The EC lacks the substantive capacity, personnel, and knowledge management networks required to deliver effectively and efficiently on its CPRM objectives. It has no clear guidance on conflict programming at regional level.

A better articulation is required between the EU approaches towards the AU (pan African) peace and security issues, and the EC approaches to CPRM in the regional institutions. Reinforcing subsidiarity between AU and the regional institutions, needs to be strengthened.

The delays in the programming process, the poor coherence with the ESA-IO focal sectors, and the possible complementarities of the regional programme with the CPRM support provided by EC to the African Union may demonstrate less than optimal efficiency and effectiveness of managing the CPRM in the region in the context of the ESA-IO programme.

Highlights:

- Although EC support has helped to some small degree to consolidate regional CPRM capacities to prevent, resolve and manage conflicts in the region there is no CPRM strategy that covers the whole region. The complementarities between support to the AU and support to the RIOs have yet to be fully realised – in terms of efficiency and effectiveness it is too early, since the FA was signed in November 2007, to evaluate.
- Capacity to exercise CPRM mandates and activities in the region is improving. However, to date, the CPRM sector has been severely under funded with respect to RIPs and major programmes to increase institutional capacity are recent. Aid modalities do not seem to have been efficient or effective in relation to delivery since the programme is barely off the ground at the end of the 9<sup>th</sup> EDF.
- EC programming in other sectors, which should be conflict sensitive, is not, and conflict analysis is rarely used during programming in other areas. There is little coherence between CPMR objectives and the main components of the EC regional programmes.
- Consideration of cross-cutting issues during formulation and implementation of EC regional sector support programmes – environment/natural resource management, gender, capacity building, HIV/AIDS - has taken place in the financing proposals studied. Discussions at the field level demonstrate that planned implementation is not likely to take this issues particularly into account.

**JUDGEMENT CRITERIA 7.1 Coordinated CPRM policies and plans have been put in place by RIOs and their member states.**

**Indicator 7.1.1 Creation and implementation of regional or sub-regional CPRM strategies**

The African Union and sub-regional bodies, COMESA, EAC, IGAD, IOC, are important elements and partners in efforts to develop regional strategies for political peace and stability in the ESA-IO region. To varying degrees they play a role in promoting and implementing peace, security and economic integration agendas. At the same time, they have different structures, mandates, membership, capacities and ambitions in the peace-conflict arena. The need to strengthen the capacities of these sub-regional bodies, and to ensure complementarity between them is clear. Though the ESA-IO region has achieved some progress in the resolution of its regional conflicts, the situation remains fragile, and focus in this area could help to ensure that development progress is sustainable.

The EC does not have a CPRM strategy that covers the whole ESA-IO region. The regional institutions (EAC, IGAD, COMESA) do not have a global strategy either.

The AU-EU Partnership, with its AU-EU Action Plan 2008-2012 (Lisbon) and with its Peace and Security Partnership (focusing on capacity building, the peace and security architecture, early warning and response capacity, financing, trafficking, small arms etc) represents a sort of Pan-African strategy.

Although the articulation between regionally financed CPRM related activities (see below) and AU related activities needs to be clarified and strengthened, it does appear that the logical structure behind the AU-EU Partnership, and the AU "coordinating" role in the peace and security arena sets the stage to eventually be able to have a coherent CPRM strategy to cover the whole ESA-IO region that would be subsidiary to, and work within in a coherent manner, as it were, with the AU.

The regional institutions do have topic specific strategies and policies (for example IGAD early warning system and plans to create a CPRM strategy; COMESA focus on the war economy; EAC's approach to tackling small arms and light weapons). These are supported through the 'Conflict Prevention Programme for the ESA Region' (10 million euros) which has been prepared jointly by the IRCC, IGAD, COMESA, EAC and IOC under the 9<sup>th</sup> EDF. These strategies and policies are not coordinated by the RIOs themselves, the IRCC, the AU or the EC. The EC has asked IGAD to take on a coordinating role (within the structure of the CPP above cited). IGAD has reluctantly agreed to do so (the Executive Secretary of IGAD acts as RAO - FA signed 10 November 2007). Since the programme is not yet beyond preliminary implementation it is not possible to ascertain the degree to which it will enhance the creation of common or coherent/coordination sub-regional or regional strategies.

What can be stated at present, is that the CPP Programme is the result of a good assessment of needs, strengths and weaknesses of each regional institution, and aims to establish a certain 'division of labour' amongst topics and areas so as to avoid duplication between the RIOs. It attempts to build the capacity of the three institutions in a manner that is complementary and coherent. However, the coordinating and exchange mechanism to bring together the disparate activities by the three RIOs is not in place and it is not clear how information is to be shared with the AU and the APF. This is partly due to the problematic leadership. In fact, although IGAD has reluctantly agreed to take an oversight role for the CPP, it does not have the capacity or the motivation to do more than minimally ensures advancement of the programme. IGAD believes the AU alone has the mandate for oversight over the RIOs but at the moment, the AU Secretariat is relatively young, with low capacity to play any sort of oversight coordination role, or lead role in establishing strong regional CPRM strategies or directives (source Interviews with staff in IGAD; GTZ).

The EC has created a sub-regional CPRM strategy for the Horn of Africa. This builds on work carried out in the 8<sup>th</sup> EDF and includes programming to enhance the capacities of the RIOs and NSAs in the ESA Region in exercising their CPRM mandates and activities from a regional perspective.

The EC agreed a Horn of Africa (HoA) strategy (originally intended as an EU strategy, it has remained an EC strategy). This complete and coherent strategy, which suggests the need to address a great number of issues in the HoA was created with active input from IGAD (via an EC financed technical assistant); ownership within IGAD is strong. The strategy could serve as a good example for other "sub"-regional strategies. However, it appears that there is no forthcoming finance to enact the strategy, and political tensions between governments (Eritrea and Ethiopia) and within governments (in recognising some of the issues) are likely to result in the strategy being enacted via infrastructure types of projects (transport, communications, water). This lack of political will behind the strategy from the EU and in relation to financing is an important lesson in relation to raising expectations with little delivery, despite excellent formulation process.

More details on the regional institutions' approaches follows:

**IGAD: Peace Strategy:** In 2003 the Summit of Heads of State and Government endorsed the new IGAD Programme on Conflict Prevention, Management and Resolution and a 5-year implementation plan. Both foresaw CPRM programmes as one of the priority areas for IGAD, and envisaged the setting up a CPRM strategy. In addition to the existing programs, some of which have been going on since the revitalization of IGAD, the renamed Division of Peace and Security was tasked to coordinate the development of a regional peace and security strategy for the Eastern and Southern African region that brings together IGAD, COMESA, EAC and IOC under the ACP/ EU arrangement of the 9th EDF. This still has not taken place. The aim of the IGAD Peace and Security Strategy is to enable IGAD Member States, the IGAD Secretariat, and citizens of IGAD countries to actively contribute to developing and maintaining a robust peace and security order throughout North-East Africa. The Strategy aims thereby to contribute to democracy, good governance, economic development, and the social and economic integration of the IGAD sub region and the African continent. The objectives of the strategy are to develop, implement and sustain a mechanism in order to prevent, manage and resolve violent conflicts in the IGAD region. They include:

- Facilitation of the development of appropriate national-level mechanisms to promote national peace and security within the context of common core values.
- Appraisal of structures and mechanisms for conflict early warning, management and resolution within the region and across its boundaries.
- Achievement of consensus on aims, principles and benchmarks for the promotion of regional peace and security.

- Monitoring and supporting post-conflict transitions.

EAC: The EAC Small Arms and Light Weapons Project was established to promote the implementation of the Nairobi Protocol for the Prevention, Control and Reduction of small Arms and Light weapons the Great Lakes Region, the Horn of Africa and Bordering States, It tries to take into account the various steps taken towards deepening regional integration with the consolidation of the Customs Union, the ongoing process towards the Common Market, Monetary Union and eventually Political Federation, which would enhance movement of goods and persons across borders in the region. The project envisages consolidating and utilizing the already existing infrastructure at the Partner States level in the development and implementation of national action plans, harmonization of laws relating to small arms and light weapons, development and implementation of joint training for National Focal Point and EAC Secretariat staff, establishment of regional databases, improvement in the management and control of stockpiles and destruction of recovered/surrendered, obsolete and excess/surplus firearms. The Nairobi based Regional Centre on Small Arms (RECSA) thus remains a key implementing partner. The EC « Conflict Prevention Programme » finances EAC work in this area.

COMESA: is in the process of putting together a strategy to focus on war economies. It will be supported by an Early Warning and Response system and post conflict reconstruction and development activities aimed at addressing conflicts rooted in or propagated by the exploitation and/ or marketing of natural resources and other valuable commodities. It aims to: i) enhance capacity within COMESA to address conflicts related to war economy; establish effective regional cooperation in fighting war economy crimes; strengthen legal frameworks with respect to corporate governance, corporate social responsibility, and a code of conduct against all kinds of illegal economic activities related to conflicts; develop gender-aggregated early warning indicators with respect to conflicts propagated by war economies. The EC « Conflict Prevention Programme » finances EAC work in this area.

#### **Indicator 7.1.2 Regional institutions (RIOs; RECs; NSAs) provide dialogue forum for sensitive issues**

The RIOs, RECs and NSAs have been proactive in recent years in providing a forum for addressing sensitive issues. The most notable examples of fruitful engagement by RIOs, are: IGAD's role in the Peace Process for Southern Sudan; IGAD's role in the Somalia Peace Process; and COMESA's role in the Great Lakes Initiatives.

More specifically, IGAD played an active role in the Sudan and Somalia peace processes, providing an effective dialogue forum. The EC contribution to the Sudan and Somalia peace processes (under IGAD auspices) exceeded € 20 million, for which two separate peace secretariats were set up. Both were administered from Kenya. None of these actions have yet been independently evaluated, but IGAD intends to undertake a lessons learned study of the peace processes in the context of developing a CPRM strategy.<sup>149</sup>

IGAD also convened a first meeting of the Eastern African Chiefs of Defence Staff in Uganda (2004) to discuss the establishment of the Eastern African Standby Brigade (EASBRIG) within the framework of the AU's African Standby Force. Representatives from attended: Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, Sudan, Tanzania and Uganda.

Without a doubt, IGAD also provides the only forum in which Eritrea and Ethiopia can sit at the same table for discussions. EAC and COMESA have the potential to provide such dialogue fora on sensitive issues, but thus far this potential has not been much explored. In addition, with the event of the AU, the expectations from the regional institutions seem to be moving towards asking the AU to play an oversight/dialogue role, as well as a military oversight role (African Peace Facility) and to expect the AU to instigate requests for preliminary dialogue within the sub-regions.

All of the RIOs attach great importance to the role of the NSAs, and have developed frameworks for their participation in CPRM related issues:

- COMESA has established a Private Sector/ Civil Society Desk (PS-CSD) (2004). COMESA through the Secretary General has started to receive applications for accreditation from non-state actors. It is noteworthy that a wide range of stakeholders including government representatives, civil society representatives and private sector representatives developed the rules for accreditation, and this has ensured ownership and support by those key stakeholders. COMESA now has in-place a unique strategy, which when fully operational should link policy actors with the civil society actors and thus incorporate recommendations from civil society in the overall decision processes.
- The IGAD "Khartoum Declaration" opened the way for the building of a meaningful interface between the Secretariat of IGAD and the civil society organizations of the peoples of the IGAD region. The interface, authorized by the Declaration, provides a mechanism for interaction and exchange of information and experience between the IGAD Secretariat and civil society; and among civil society organizations in the region. This offers the possibility of greatly enhanced cooperation at all levels within and across countries to pursue the common interests of the peoples of the region towards unity and development for all.

#### **Indicator 7.1.3 Mechanisms established / implemented to tackle conflict issues, such as illicit trafficking in**

<sup>149</sup> Drawn from financial agreement document for the Conflict Prevention Programme for the ESA Region (10 million euros).

goods, services, people, natural resources, and arms.

Regional responses to the challenge of small arms have been applied in the Great Lakes Region and in the Horn of Africa, following the UN Conference on illicit trafficking in such weapons, where 10 countries<sup>150</sup> of the region took an active role to promote initiatives to stem small arms proliferation at national, sub-regional and regional levels. This resulted in the Nairobi Declaration, where they commit themselves to work together to implement a coordinated regional action plan to control the proliferation of small arms. This contributed to the adoption of a common African position known as the Bamako Declaration. A follow up Ministerial Conference on Small Arms and Light weapons held in Nairobi on the 24<sup>th</sup> June 2005 designated the Nairobi Small Arms Secretariat to be an Inter-Governmental Regional Centre for Small Arms and Light Weapons (RECSA). Consequent to this development, a workshop was convened by RECSA in Kampala Uganda from 5-6<sup>th</sup> September to redefine the role of RECSA and how it relates to the RIOs in the region on small arms issues.

The EC CPP Programme (10 million) foresees capacity development in order to strengthen the mechanisms for small arms, early warning, and war economy issues. These last could include natural resources issues. It is not possible to pronounce an evaluation response to these EC linked efforts however since the programme was agreed November 2007. At the same time, the RIOs are active with support from other donors and they have the following:

IGAD has set up a series of mechanisms, with EU funding for 1<sup>st</sup> and 2<sup>nd</sup>. and that it plans to establish a CPRM strategy for the ESA IO region:

- CEWARN (The conflict and early warning and response mechanism) including a Rapid Response Fund.(2003)
- Coordination of Peace Initiatives/East African Standby Brigade (shift to AU).
- ICPAT (IGAD Capacity Building Program against Terrorism) (2006).

EAC has set up a mechanism for dealing with small arms and light weapons, which will receive funding under the EC CPP 9<sup>th</sup> EDF.

COMESA is setting up a mechanism for addressing the war economy, corporate governance etc, which will equally receive funding under the EC CPP 9<sup>th</sup> EDF.

The issues around cross border transfers – and the implications of opening markets and borders, and building transport roads, in relation to illicit trafficking of goods, commodities and people, does not appear to be receiving direct attention via EU financing or policy dialogue.

It is also important to point out that it does not appear that any linkages are being made between EC support to trade, regional integration, infrastructure development and the impact these developments might have on increased/decreased illicit trafficking in goods, services, people, natural resources, and arms. This inconsistency with declared policy could have negative impact on the region.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** Regional sector policy and strategy documents; Other IRCC and RIOs reports.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; civil society, private sector, academic and research institutions.

#### **JUDGEMENT CRITERIA 7.2. Capacity to exercise CPRM mandates and activities in the region is improved.**

##### **Indicator 7.2.1 Activities in place to strengthen institutional capacity development for CPRM, for regional bodies.**

The EC funds three regional organisation in the ESA region (COMESA, EAC and IGAD) through the regional indicative programme, under the above-mentioned CPP Programme (10 million). The CPP aims at strengthening the RIOs capacity according to the assessment made in 2001 (CPRM Capacity assessment study for the IGAD region) and the programme document formulated in 2004-5.

A number of other financing instruments also try to strengthen capacity of these institutions:

- A 1 million project to strengthen capacity of IGAD (in particular financial reporting) see also annex 9 / #13.
- The major support provided by the EU to the AU peacekeeping operations through the Africa Peace Facility (250 million) programme and in particular the 35 million envelope of the APF for capacity building and training for the AU and the regional institutions to strengthen their capacity to support the Peace Support Operations and to support conflict prevention, early warning system, post-conflict reconstruction, continental defence and peace support operations
- A total of 29 million is allocated for strengthening capacity of regional organisations across Africa.
- The financing – through the APF – of one liaison officer from each regional institution (COMESA, EAC, IGAD) to coordinate with the AU Commission in Ethiopia. These officers should contribute to ensuring effective implementation, as well, of the CPRM programme.
- The support provided by the EC to the African Peace Processes through the Rapid Reaction Mechanism (RRM) with over 1 million.
- The EC support to the AU Good Governance Agenda, through the European Initiative for Democracy and

<sup>150</sup> The 10 countries are : Burundi, Democratic Republic of Congo, Djibouti, Ethiopia, Eritrea, Kenya, Rwanda, Sudan, Uganda and the United Republic of Tanzania.

<p>Human Rights (2 million).</p> <ul style="list-style-type: none"><li>▪ The 12 million programme signed between the AU and the EC in April 2003 to support the AU Security Agenda. In early 2007 the EC committed 55 million to the AU, of which 15 million are for activities in the area of peace, security and good governance.</li></ul> <p>The Financial agreement for the CPP was signed November 2007, so it is not possible to evaluate programme implementation. The same holds true for the 1 million programme for IGAD that has not yet been implemented (signature of the FA dates April 2008). The support to the AU appears to have provided good capacity support. Once the CPP programme is up and running it should also help strengthen the AU african peace and security architecture. Although the liaison officers in theory would help to ensure coordination, coherence and complementarity – at time of evaluation liaison officer for IGAD (only) had just arrived – so no evaluation possible.</p>
<p><b>Indicator 7.2.2</b> <u>Capacity of key institutions with regional mandates in CPRM increased, and visible interventions taking place within conflict mediation.</u></p> <p>Efforts under the 8<sup>th</sup> EDF to improve IGAD's role in the peace processes in Southern Sudan and Somalia (for which two separate secretariats were established, both in Kenya) have increased IGAD's visibility in this arena. No independent evaluation has taken place of IGAD's role in Sudan and Somalia however, though apparently IGAD intends to undertake a lessons learned study of its role in the peace processes which should contribute to its development of a CPRM strategy.</p> <p>COMESA has had a visible role in the Great Lakes Initiatives.</p> <p>Key institutions' engagement in longer term conflict prevention activities is difficult to determine.</p> <p>The newly approved EC programmes may support effective interventions and results in relation to mediation activities. The EU support to the AU should improve its capacity to play mediation roles and request subsidiary or regional bodies to do so as well.</p> <p>Since the CPP Programme has not yet had time to produce any results, it is not possible to say that EC financing has had much impact on the capacity of these regional institutions. At the same time, the EC financing to the Sudan and Somalia peace processes under IGAD auspices, as well as the work required to produce the CPP by the regional institutions themselves, has created an environment conducive to strategising and embracing capacity development activities.</p> <p>The support to the AU (with a pan-African rather than a regional mandate) appears to be strengthening the AU capacity to address CPMR and peace and security issues overall.</p>
<p><b>Indicator 7.2.3</b> <u>Capacity available to address gender related peace and security issues</u></p> <p>IGAD, COMESA and EAC<sup>151</sup> have gender equality policies and strategies to mainstream all activities within the framework of the African Union Solemn Declaration on Gender and Development in Africa, and the Beijing Plan for Action (1995), CEDAW, UN Resolution 1325 (2000), among others. It is also worth noting that the RIOs Gender Affairs have a network and close working relationships within the AU and NEPAD frameworks,<sup>152</sup> and that in IGAD the gender affairs desk/programme is very involved in CEWARN (early warning system) and the post conflict processes in both Sudan and Somalia.</p> <p>Where strategies exist in the RIOs, they take due account of cross cutting issues such as gender and environment. On the other hand (see also JC 7.3), the RSP/RIPs and financing proposals demonstrate relatively poor inclusion of cross cutting issues such as gender equality and the environment in CPRM approaches, and the environment related programming seems to take CPRM into account very rarely.</p> <p>The capacity available in the RIOs to address gender related peace and security issues is not connected to EU or EC financing or programming.</p>
<p><b>SOURCES OF INFORMATION AND TOOLS</b></p> <p><b>Documentary Review of:</b> IRCC and RIOs reports; Programme documents and reports</p> <p><b>Interviews with:</b> EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; civil society, private sector, academic and research institutions.</p>

<sup>151</sup> IGAD and COMESA also have gender desk officers.

<sup>152</sup> from section 2 (Regional Context) of Financing Proposal for the EDF9, conflict prevention, management and resolution for the ESA-IO Region (via IGAD) €10,000,000.



### **JUDGEMENT CRITERIA 7.3 Conflict analysis is systematically applied in sectoral development and programming**

#### **INDICATOR 7.3.1 EC programming in trade, regional integration, transport, and natural resources management uses conflict analysis, is conflict sensitive – and attempts to “Do no harm” – by actively avoiding unintended negative impact on potential conflict dynamics**

Financing proposals, project fiches and field interviews demonstrate very few attempts to integrate CPRM issues into programming for trade, regional integration, transport, communications and natural resources management; and conflict analysis is rarely used during programming in other areas. So there are few attempts to ‘do no harm’ by actively avoiding possible unintended negative impacts on potential conflict dynamics.

Guidelines circulated by the EC’s interservice Quality Support Group (iQSG) in May 2001 aimed to establish a “Common Framework for Country Strategy Papers”. During formulation process, the iQSG guidance states that “conflict prevention and crisis management require systematic attention”. The iQSG “Fiche on Conflict Prevention” emphasises the imperative “that EC external assistance and policies are contributing towards tackling the root causes of conflicts and that EC assistance does not have unintended negative impact on the conflict dynamic”. The EC (RELEX) has also developed a check-list of root causes of conflicts, with expectations that this is applied.

The reasons for this lack of conflict sensitivity in this fragile region are multiple. The EC lacks personnel with substantive knowledge of CPRM, fragility, governance and the (sub)regions. Strong policy statements (Goteborg, etc.) do not seem to be backed up by equally strong policy guidance. There is no enforced incentive system for ensuring conflict sensitivity of regional programming and regional strategies. The iQSG programming fiche for CPRM, for example, is extremely complete, but no evidence could be found, whether in documents, discussions in Brussels or in the field, that anyone uses the fiche or feels the need to do so (in relation to regional issues). Most staff queried, including those responsible for national programming, did not know it existed. There is no knowledge management network within the EC allowing non-specialist staff grappling with CPRM issues, or conflict-affected countries, to exchange information, pose queries, gather knowledge and learn from each other<sup>153</sup>. There appears to be no network of any sort that brings together conflict advisors and specialists from across the EU, or within the EC, or even across the ESA region, although a Horn of Africa network of governance advisors appears to be expanding towards an Africa-wide network<sup>154</sup>. Such networks would provide forum to discuss information, challenges and opportunities.

Finally, lack of dedicated ‘champions’ or CPRM staff responsible for regional CPRM programme implementation and solely dedicated to these, means that any quality is dependent on the individual(s) rather than the system.

#### **INDICATOR 7.3.2 The private sector and other non-state actors are integral to programme design and delivery of projects for each focal sector.**

These actors, in particular in countries with fragile governance situations and rich natural resource heritage are important players in the balance between conflict and peace. The RIOs attach great importance to their role and have developed frameworks for their participation in CPRM, most notably the IGAD “Khartoum Declaration” and the Private Sector/ Civil Society Desk (PS-CSD) established by COMESA. Field discussions did not demonstrate that EU activities have helped the RIOs strengthen these particular approaches. It does not appear that the trade, transport and natural resource management programming involved the NSAs. Although at the national level there are attempts to address and include civil society organisations (for example Ethiopia and governance programming or Somalia programming (according to ECDPM’s CSO evaluation 2008) there does not appear to be any consultation with non-state actors or private sector in regional programme design – whether this be for transport, communications, NRM or CPRM programming in the ESA-IO region.

#### **INDICATOR 7.3.3 Regional institutions have increased use of conflict analysis as basis for regional policies and development.**

Documents reviewed and interviews conducted at both HQs and field level lead to conclude that the use of conflict analysis as a basis for development programmes within the RIOs, is not a strong element, with the exception possibly of IGAD and the Horn of Africa strategy, though all the institutions recognise the importance of addressing peace and security issues and the importance of establishing a CPRM strategy. The EC itself does not appear to use conflict analysis systematically, though the Horn of Africa strategy is based on strong political analysis, and a conflict capacity analysis was the basis for the CPP programme (10 million) itself.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary Review of:** Strategic and programming reports of RIOs; RSPs/RIPs and CSPs & NIPs for ESA-IO Member States; Programme documents and reports; Annual reports

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS institutions; civil society, private sector, academic and research institutions.

<sup>153</sup> See UNDP CPR-NET internal knowledge management system.

<sup>154</sup> According to discussions with ECPDM staff on 6 April 2008 when exchanging information on recent CSO evaluation in Somalia.

#### JUDGEMENT CRITERIA 7.4 EC's interventions have been efficiently delivered.

##### Indicator 7.4.1 The interventions have been planned and implemented as scheduled.

The CPRM sector has been severely under funded with respect to RIPs. Funding for CPRM has remained far below the expected amount.

Under the EA 8<sup>th</sup> EDF RIP, only 0.8% was programmed for Non-Focal Areas (including CPRM) against what should have been 5% of total allocations. CPRM also appears to have been somewhat neglected over the course of the 9<sup>th</sup> EDF period, with only 3.6% actually planned against the originally 10-15% allocated (then modified in Addendum to a 7%). Furthermore, it is only towards the end of the programming period that there does seem to have been a flurry to approve programming for about €11 million (CPP – 10 million, signed in November 2007 & IGAD capacity building – 1 million, signed in April 2008). Such delays in finalising and signing the financial agreements are due to both political difficulties with the RIOs (most notably IGAD – e.g. constraints created by the strained Eritrea/Ethiopia relations) as well as highly complex financial requirements from the EC coupled with weak institutional capacity to provide the required paperwork and reporting.

Implementation will take place under the 10<sup>th</sup> EDF time-frame.

In sum, the CPRM interventions have not been efficiently delivered. This has created difficulties for the regional institutions concerned in relation to getting the CPRM related programmes off the ground, as well as creating tensions amongst donors. AU financed programming (13 million for peace and security) has also experienced difficulties with efficient delivery, for example in relation to peace support operations and on-the-ground salary payments (according to delegation staff).

It was suggested (multiple interviews during the field visits) that in relation to financing mechanisms, it does not seem feasible to continue to apply the same procedures to operational (peace operations) and non-operational CPRM activities. According to EC Delegation staff, peace support operations cannot be set up and financed quickly through EU/EC funding, even though they need this in order to be effective. The currently complicated EDF financing rules do not seem to allow the reactivity and flexibility required for efficient and effective delivery. Staff were not able to explain why peace support operations were financed via EDF rather than the Instrument for Stability.

##### Indicator 7.4.1 Appropriate aid modalities have been combined, developed and implemented

No specific aid modalities have been developed. On this, interviews at IGAD level have confirmed the difficulties IGAD has in complying with the EC procedures which in their view are too bureaucratic and cumbersome, taking up a lot of energies. This problem is compounded by the fact that IGAD does not yet qualify for contribution agreements. It was further suggested that a more rapid and flexible approach should be adopted to deal with peace and conflict related initiatives.

#### SOURCES OF INFORMATION AND TOOLS

**Documentary Review of:** Programme documents; External and internal reports, reviews, evaluations and monitoring reports

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; civil society, private sector, academic and research institutions.

#### JUDGEMENT CRITERIA 7.5 CPRM has taken into account other important cross cutting issues

##### Indicator 7.5.1 Consideration of cross-cutting issues during formulation and implementation of EC regional sector support programme – environment/natural resource management, gender, capacity building, HIV/AIDS, sustainability and M&E frameworks

Consideration of cross-cutting issues during formulation and implementation of EC regional sector support programmes – environment/natural resource management, gender, capacity building, HIV/AIDS - has taken place in the financing proposals studied. Discussions at the field level demonstrate focus on these issues is not strong. The RSPs/RIPs for the 8<sup>th</sup> and 9<sup>th</sup> EDF are not particularly strong in these areas in relation to CPRM; and this is true for programmes specific to those 'sectors'. The draft 10<sup>th</sup> EDF addresses environmental issues in depth, but the space provided to linkages between environmental issues and CPRM is minimal.

Actual implementation (not yet started to any large degree) would provide a more accurate view on this.

With regards to RIOs capacity to address cross-cutting issues and involve other stakeholders see indicators 7.1.2, 7.1.3, 7.2.3, 7.3.2.

#### SOURCES OF INFORMATION AND TOOLS

**Documentary Review of:** RSPs/RIPs, RIOs strategy and policy documents; EC and RIOs Programme documents and reports; Annual reports, mid-term reviews

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS institutions; civil society, private sector, academic and research institutions.

**EVALUATION QUESTION 8:**

**What have been the achievements in terms of increased trade in goods and services, NR related economic activities, investment and inter-regional movement of people, and what are their main determining factors? If significant achievements are registered, what has been the contribution from the sectoral changes supported by the EC strategy?**

**EVALUATION CRITERIA:** Impact

**EXPLANATORY COMMENTS**

This question directly addresses the impacts of the activities supported by the EC in the four focal areas. The question will draw on answers to the other evaluation questions (4-7) focusing on the outcomes of the three focal and one non-focal areas and estimate whether further impact can be estimated to exist.

According to the effects diagram, the measures adopted in the focal sectors/ areas should contribute to a growth response of the entire economy and economic growth should have an impact on poverty reduction.

Such a sequence of results should follow the logic set out below:

- a more integrated and liberalised economic environment, better infrastructure, improved resource management and stronger security and peace should contribute to the economic growth of the different sectors of the economy;
- such growth should contribute to poverty reduction, through different processes:
  - reducing income poverty, especially through an increase in farm incomes and general employment;
  - reducing non-income poverty, through an increase of the governments' resources and capacity to provide services for the poor; and
  - empowering the poor in the regional societies, through the establishment of better conditions of peace and democracy (including gender equality, HIV/AIDS reduction, etc.).

The question should ascertain:

1. what kind of progresses have been made in terms of actual economic growth (see the medium-term impact in the IL). Beyond the GDP indicators, various complementary economic indicators will be considered, especially those regarding trade, transport, capital and persons' flows;
2. the actual links of the progresses (or non progresses), made as from the point 1 above, with the achievements (or non-achievements) in the focal sectors of the regional programme (see the outcomes/medium term impacts in the IL). Here the effect on economic growth of the various outcomes / medium-term impacts (positive or negative) of the programme will be discussed, building on available data and informed advice. Such an exercise should allow the identification of contribution links (and their relative strength) between the outcomes of the programme and the economic changes occurred;
3. what kind of progresses have been made in the fields related to poverty reduction all over the region (see longer term impact). To facilitate such an assessment the statistics related to the progress made in the MDGs will be used; the usefulness of tracking progress at country and/or sub-regional level (EAC, COMESA, etc) will also be assessed.
4. the actual links of the progress (or non-progress) made in economic growth with the achievements (or non-achievements) in terms of poverty reduction, as from the point 3 above. This will be done considering the main features of the economic growth, i.e. the levels of the growth<sup>155</sup>, the main sectors and sub/sectors involved and their capacity to affect the poor, and the change in the national policies of the governments (adoption of PRSP and their effective implementation according to existing evaluations).

<sup>155</sup> The 9<sup>th</sup> EDF ESA-IO RSP § 75 mentions existing studies to state that a minimum economic growth rate of 6% is necessary to guarantee a trickle down on poverty reduction.

**INITIAL ANALYSIS AND HYPOTHESIS (FINDINGS)**

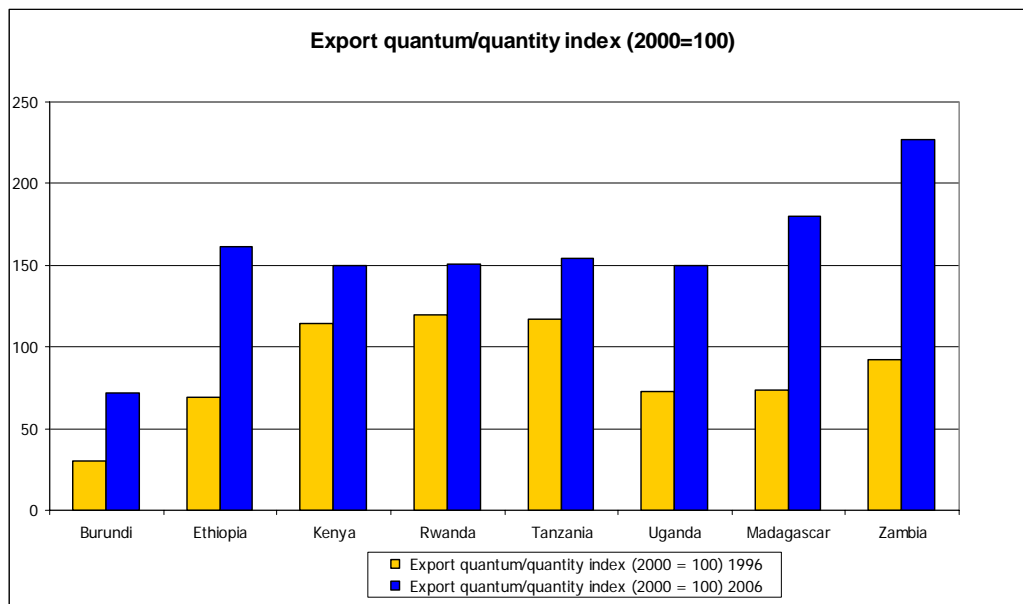
**JUDGEMENT CRITERIA 8.1 Export and intra-regional trade volumes increased**

INDICATOR 8.1.1 Volume of merchandise trade increased within and between RIO regions &

INDICATOR 8.1.2 Increased share of world markets

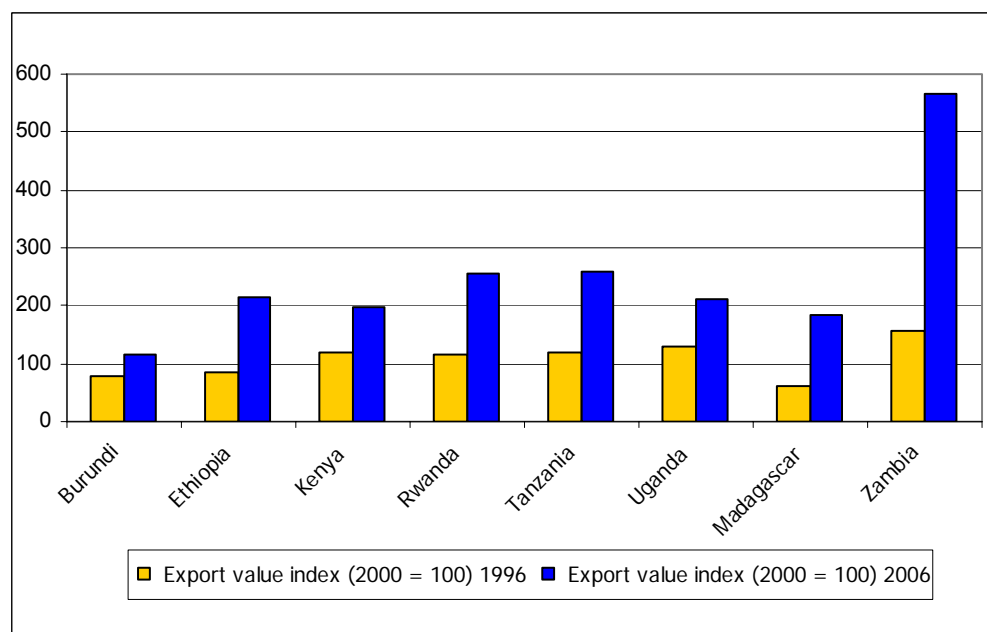
Export volumes and values have increased for most countries and for the sub-region as a whole, as shown by figures 7.1 and 7.2.

**Figure 7.1: Export Quantity Index (2000=100) for selected ESA-IO countries, 1996-2006**



Source: World Bank, World Development Indicators, 2007

**Figure 7.2: Export Value Index (2000=100) for selected ESA-IO countries, 1996-2006**



Source: World Bank, World Development Indicators, 2007

Such growth is only partly attributable to the oil related trade, since in the majority of the countries, the share of oil in trade is relatively low (fuels exports as percentage of merchandise exports in the concerned period and for the selected countries vary between 0 and 8%, Source World Development Indicators).

**Table 7.17: Annual GDP, million USD (1996-2006)**

	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006
Burundi	869,00	973,00	894,00	808,00	709,00	662,00	628,00	595,00	664,00	796,00	903,00
Comoros	230,00	212,00	216,00	223,00	202,00	220,00	251,00	324,00	362,00	387,00	403,00
Djibouti	494,00	503,00	514,00	536,00	551,00	572,00	591,00	622,00	666,00	709,00	769,00
Ethiopia	8483,00	8891,00	8069,00	7827,00	8180,00	8169,00	7791,00	8558,00	10054,00	12305,00	15166,00
Kenya	11973,00	13034,00	14016,00	12799,00	12604,00	12983,00	13152,00	14986,00	16199,00	18730,00	22779,00
Madagascar	3995,00	3546,00	3739,00	3717,00	3878,00	4529,00	4397,00	5474,00	4364,00	5040,00	5499,00
Mauritius	4163,00	4385,00	4146,00	4258,00	4469,00	4539,00	4549,00	5248,00	6064,00	6290,00	6347,00
Rwanda	1382,00	1852,00	1989,00	1931,00	1735,00	1675,00	1641,00	1777,00	1971,00	2379,00	2869,00
Tanzania	6496,00	7684,00	8383,00	8638,00	9079,00	9441,00	9758,00	10283,00	11351,00	14142,00	14178,00
Uganda	6045,00	6269,00	6585,00	5999,00	5927,00	5681,00	5836,00	6250,00	6817,00	8738,00	9495,00
Zambia	3270,00	3910,00	3237,00	3131,00	3238,00	3637,00	3716,00	4374,00	5525,00	7349,00	10886,00
<b>Total</b>	<b>47400</b>	<b>51259</b>	<b>51788</b>	<b>49867</b>	<b>50572</b>	<b>52108</b>	<b>52310</b>	<b>58491</b>	<b>64037</b>	<b>76865</b>	<b>89294</b>

Source: World Development Indicators, 2007

**Table 7.18: Exports, in million USD (1996-2006)**

	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006
Burundi	40	87	65	54	50	39	31	38	48	57	58
Comoros	6	6	6	9	14	17	19	27	19	12	10
Djibouti	29	31	28	69	75	76	83	37	38	40	56
Ethiopia	417	587	561	467	486	455	480	496	678	903	1.050
Kenya	2.068	2.054	2.008	1.747	1.734	1.944	2.116	2.411	2.684	3.293	3.437
Madagascar	509	516	538	584	824	928	859	849	999	853	974
Mauritius	1.802	1.592	1.645	1.588	1.810	1.628	1.801	1.898	1.993	2.138	2.333
Rwanda	60	87	60	60	53	85	65	63	98	125	147
Seychelles	140	113	122	145	193	217	228	274	291	340	380
Uganda	587	555	501	519	460	457	443	562	709	863	1.004
Tanzania	784	753	589	543	734	851	980	1.216	1.473	1.676	1.723
Zambia	1.037	915	1.032	1.063	892	987	956	980	1.576	1.810	3.770
<b>Total</b>	<b>7.480</b>	<b>7.295</b>	<b>7.156</b>	<b>6.849</b>	<b>7.324</b>	<b>7.683</b>	<b>8.062</b>	<b>8.852</b>	<b>10.605</b>	<b>12.108</b>	<b>14.942</b>

Source: UNCTAD

**Table 7.19: ESA IO Total Exports- Imports, 1996-2006**

Country	Total Exports (%GDP)			Total Imports (%GDP)		
	1996	2001	2006	1996	2001	2006
Angola	82.0	77.0	74.0	68.0	75.0	38.0
Burundi	6.0	7.0	11.0	16.0	21.0	48.0
Comoros	18.0	16.0	12.0	41.0	31.0	36.0
Congo (DR)	30.0	19.0	29.0	30.0	21.0	41.0
Djibouti		35.0	41.0		50.0	51.0
Eritrea	29.0	20.0	8.0	87.0	76.0	50.0
Ethiopia	9.0	12.0	16.0	16.0	25.0	42.0
Kenya	25.0	23.0	26.0	29.0	31.0	36.0
Madagascar	20.0	29.0	30.0	26.0	32.0	41.0
Malawi	23.0	28.0	17.0	32.0	39.0	29.0
Mauritius	62.0	66.0	60.0	64.0	63.0	67.0
Namibia	51.0	45.0	54.0	59.0	51.0	55.0
Rwanda	6.0	9.0	12.0	26.0	25.0	32.0
Seychelles	66.0	82.0	111.0	76.0	103.0	133.0
Somalia						
Sudan	7.0	13.0	16.0	16.0	21.0	27.0
Swaziland	72.0	92.0	81.0	98.0	107.0	86.0
Tanzania	20.0	16.0	24.0	32.0	24.0	31.0
Uganda	12.0	12.0	15.0	23.0	24.0	29.0
Zambia	31.0	28.0	38.0	39.0	44.0	30.0
Zimbabwe	36.0	23.0	57.0	36.0	22.0	73.0
<b>Total ESA IO (average)</b>	<b>31.8</b>	<b>32.6</b>	<b>36.6</b>	<b>42.8</b>	<b>44.3</b>	<b>48.8</b>

Source: World Bank Statistical Database, own elaboration

Data presented in tables 7.17, 7.18 and 7.19 indicates that trade grew faster than the whole economy.

GDP has grown at an annual rate of 6.5% (calculations based on data in table 7.17) while exports (measured in USD) have grown at 7.2% per annum between 1996 and 2006 (see table 7.18).<sup>156</sup> As a percentage of GDP, they increased almost 5 percentage points over the period 1996-2006 from 31.8% to 36% as shown by the tables on ESA-IO total export and import as % of GDP (see table 7.19). Such data show that trade has been one of the drivers of the significant economic growth that has characterised the region in the last decade.

<sup>156</sup> Overall exports' value (in the countries considered) has double in the period 1996-2006. These figures exclude the two big oil exporters (Sudan and Angola) and other countries for which no reliable / continuous data could be found.

**Table 7.20: Growth rates of ESA exports, 2001-2006**

Total	Intra	Extra	World
	13.3	18.7	18
of which:			
Agric. Raw materials	3	11.3	10.5
Food	12.2	9.2	9.7
Fuels	-12.4	30.4	27
Manufactures	23.4	16.2	17.4
Ores and Metals	27.8	31.2	31.1
Other	9	19.9	19.4

Table 7.20 shows that intra-regional exports have registered an important growth rate, though lower than extra-regional exports, in the period 2001-2006 (+13.3% versus +18%). This slight difference is mainly due to the rapid growth in world demand for raw materials. In fact, in the case of food and manufactures intra-regional exports have risen significantly faster than extra-regional exports, showing that the regional market represents a space where the competitiveness of local manufactured products is facilitated compared to the international markets.

Source: Comstat

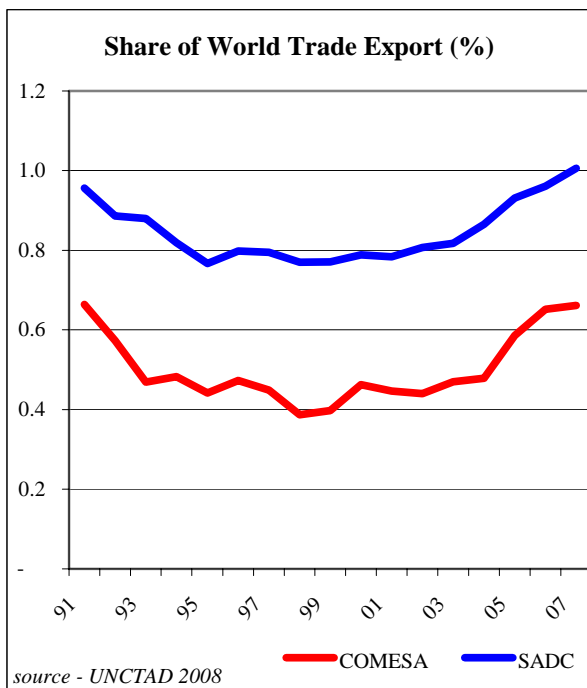
**Table 7.21: RIOs Merchandise Exports, 1996-2006**

RIOs	Merchandise exports within bloc (\$ millions)		
	1995	2001	2005
COMESA	1,386	1,819	3,330
EAC	530	664	857
IOC	127	134	159

Again, table 7.21 confirms the conclusion made under table 7.20, that intra-regional exports have risen significantly. The table shows that all merchandise exports within blocs have increased, ranging from a + 140% for COMESA to a +60% for EAC to a +25% for IOC.

Source: Africa Development Indicators 2007, World Bank  
 Note: Merchandise exports within bloc are the sum of merchandise exports by members of a trade bloc to other members of the bloc (shown in U.S. dollars).

**Figure 7.3: Comesa Export-Import Shares, 1996-2006**



With respect to the share of world trade significant data are provided by UNCTAD and COMSTAT. The share of COMESA export in the world market has increased since the late nineties, while the share of COMESA import has remained practically unchanged.

Summarising the above considerations, the data on trade show that the exchange of products within the region and between the region and the rest of the world has significantly increased over the period considered. Since such increase has been higher than the increase of the regional income, it is reasonable to consider that trade has been one of the drivers of the economic growth of the region. Trade growth (in particular quantitative growth and the increases in market shares) implies an increase in the international competitiveness of the regional products. Part of such increase is certainly due to the improvements in transport and communication networks and the reduction of tariff and regulatory barriers, though - based on the available data - it is not possible to say more on the relative importance of such factors compared to other competitiveness factors.

The consideration of the following outcome indicators (access to communication and transport network) provide further support for such a conclusion.

**SOURCES OF INFORMATION AND TOOLS**

Documentary review of: Trade and GDP Statistics

**JUDGEMENT CRITERIA 8.2 Increased access to - and improved competitiveness of - telecommunication networks**

**INDICATOR 8.2.1 Trends in use of telephones (mobile and fixed line)**

**Table 7.22 : ESA IO telephones accessibility, 1996-2006**

Country	Cellular subscribers (Per 100 population)			Telephone lines (Per 100 population)		
	1996	2000	2006	1996	2000	2006
Angola	0.06	0.2	14.33	0.5	0.69	14.95
Burundi	0	0.24	2.03	0.25	0.54	4.14
Comoros	0		2.01	0.79	0.98	
Congo (DR)	0	0.21	4.77	1.4		4.79
Djibouti	0	0.47	6.37	0.09	1.57	7.92
Eritrea	0		1.36	0.51	0.84	2.18
Ethiopia	0		1.09	0.25	0.39	2.01
Kenya	0.08	0.42	18.47	1.03	1.37	19.31
Madagascar	0.08	0.39	5.47	0.29	0.73	6.15
Malawi	0.07	0.47	3.33	0.41	0.92	4.13
Mauritius	1.84	15.08	61.5	18.06	38.61	89.95
Namibia	0.41	4.61	24.37	5.74	10.8	31.21
Rwanda	0.08	0.5	3.21	0.19	0.73	
Seychelles	1.38	33.63	86.52	22.12	60.35	111.95
Somalia	0	1.14	6.08	0.24	1.5	7.29
Sudan	0	0.07	12.66	0.37	1.32	14.38
Swaziland	0.49	3.27	24.29	2.41	6.43	22.75
Tanzania	0.06	0.32	15.99		0.82	16.37
Uganda	0.13	0.52	4.56	0.24	0.78	7.09
Zambia	0.08	0.92	8.14	0.82	1.7	8.95
Zimbabwe	0.05	2.34	6.36			
<b>Total ESA IO (average)</b>	<b>0.23</b>	<b>3.60</b>	<b>14.90</b>	<b>2.93</b>	<b>6.90</b>	<b>20.86</b>

Source: MDG 2007 UN Database

Significant progress has been achieved in terms of access to telephone services in the ESA-IO region. As shown in the table below, values recorded in 2006 largely overwhelm data available for previous years. Cellular subscribers increased by almost 15% points, and telephone lines grew by 18% points over the period considered.

Despite these increases in tele-density in recent years<sup>157</sup>, Africa remains far behind the rest of the world and there are huge disparities between different regions of the continent and between urban/rural areas. A few comparative figures:

**Table 7.23: Telecommunications Disparities Africa/Rest of the World, 2006**

INDICATOR	REST OF WORLD	AFRICA
Population	87%	13%
Telephone subscribers	97.7%	2.3%
Main telephone lines	98%	2%
Tele-density average (n° main lines/100 population)	17.2	2.6
Telephone connections (as % of GDP per capita)	1%	20%
Typical telephone charges	X	10x

Source: ITU African Telecommunications Indicators 2006; NEPAD Short-term Action Plan – Infrastructure 2002 ; Assessing Regional Development in Africa, ECA, 2004; other data collation and updating by the evaluation team

<sup>157</sup> For Africa as a whole tele-density rose from 2.6 to 3.1 in the period 2001-2006 (with mobile lines/100 population rising from 2.0 to 15.0 in the same period).



Several disparities are observed among the different African regions as well:

**Table 7.24: Telecommunications Disparities in Africa, 2006**

INDICATOR	REGION <sup>158</sup>				
	NORTH	SOUTH	EAST	WEST	CENTRAL
Population	17%	15%	27%	26%	12%
Main line distribution	52%	32%	7%	8%	1%
Tele-density average (n° main lines/100 population)	7.3	5.4	0.6	0.7	0.2
Tariffs (3 min local call/ USD)	0.04	0.07	0.09	0.10	0.16
Connection cost (residential) (% GDP per capita)	4.9	2.4	31.3	20.9	28.3
% population in urban areas	22%	14%	22%	15%	22%
% of main lines in urban areas	37%	43%	69%	43%	77%

*NEPAD Short-term Action Plan – Infrastructure 2002 :Assessing Regional Development in Africa, ECA, 2004; other data collation and updating by evaluator Comparing regions of Africa*

**Table 7.25: Telecommunications Disparities among African Regions, 1995-2005**

INDICATOR		YEAR		
		1995	2001	2005
World	Telephone subscribers (fixed & mobile)/Millions	781	2002	3441
SSA		7.3	27.5	101.7
North Africa		5.9	19.6	60.9
Central Africa		0.2	1.2	8.2
West Africa		0.9	4.1	32.7
Southern Africa		5.0	17.7	44.9
East Africa		0.7	2.9	14.2
World	Telephone subscribers/100 population	19.3	44.2	53.4
SSA		2.5	8.9	15.7
North Africa		5.0	13.9	39.2
Central Africa		1.0	4.3	14.6
West Africa		0.8	3.6	10.9
Southern Africa		2.9	10.8	26.0
East Africa		0.4	1.4	5.4
World	Fixed lines in operation/Millions	691	1039	1250
SSA		6.7	9.9	10.9
North Africa		5.9	11.4	15.6
Central Africa		0.2	0.3	0.3
West Africa		0.9	1.8	2.6
Southern Africa		4.5	5.7	5.7
East Africa		0.7	1.4	1.9
World	Residential connection charge/\$	119.2	59.5	54.0
SSA		72.5	55.7	38.5
North Africa		68.1	56.0	42.1
Central Africa		44.0	29.5	45.6
West Africa		109.4	50.2	35.4
Southern Africa		46.7	20.0	44.1
East Africa		73.2	44.4	31.9
World	Residential monthly subscription/\$	5.76	5.21	7.19
SSA		4.19	2.88	4.22
North Africa		3.38	2.56	3.53
Central Africa		3.43	2.19	2.82
West Africa		4.01	2.68	3.45
Southern Africa		4.43	3.45	5.95
East Africa		5.96	4.26	3.51

*Source:ITU World Telecommunication Indicators 2006 with some calculations by author*

The table shows trends in the use and costs of telephone lines over the past 15 years. Especially noticeable is the huge increase in phone usage (especially mobile). Although the absolute growth levels in the sector remain inadequate to support sustained economic development, the ESA-IO region indexes are more favourable compared to the SSA average. Indeed, subscribers increase is lower than in West Africa, where a large part of the increase, however, is concentrated in Nigeria. The average cost decrease, instead, is the highest in Africa.

<sup>158</sup> North - Algeria, Egypt, Libya, Morocco, Tunisia; Central – Angola, Cameroon, CAR, Congo, DRC, Gabon, Equatorial Guinea, São Tomé e Príncipe; South – Botswana, Lesotho, Malawi, Moçambique, Namibia, Swaziland, RSA, Zambia, Zimbabwe; East – Burundi, Ethiopia, Kenya, Uganda, Rwanda, Tanzania; West – Benin Côte D'ivoire, Ghana, Guinea, Guinea Bissau, Liberia, Nigeria, Sierra Leone, Togo. Regional categorization varies such that some sectors have other regions identified (e.g. Sudan-Sahel region) – in the reference above these countries have been included in East (Djibouti, Eritrea, Somalia, Sudan) and West (Burkina Faso, Cabe Verde, Chad, Gambia, Mali, Mauritania, Niger, Senegal). IO countries (Comoros, Madagascar, Mauritius, Seychelles) are not included.

**INDICATOR 8.2.2** Trends in use of internet (including availability of broad band services) &

**INDICATOR 8.2.3** Evidence of reduction of the digital divide.

**Table 7.26: ESA IO internet accessibility, 2000-2006**

Country	Internet Users (Per 100 population)		
	1996	2000	2006
Angola	0	0.11	0.55
Burundi	0	0.07	0.77
Comoros	0	0.22	2.56
Congo (DR)	0	0.01	0.3
Djibouti	0	0.22	1.36
Eritrea	0	0.14	2.19
Ethiopia	0	0.02	0.21
Kenya	0	0.33	7.89
Madagascar	0	0.19	0.54
Malawi	0	0.15	0.45
Mauritius	5	7.29	14.49
Namibia	1	1.69	3.97
Rwanda	0	0.06	0.7
Seychelles	1.3	7.77	26.04
Somalia	0	0.21	1.11
Sudan	0	0.1	9.46
Swaziland	1	0.99	4.02
Tanzania	0	0.12	1
Uganda	0	0.16	2.51
Zambia	0	0.19	2.87
Zimbabwe	0	0.44	9.32
<b>Total ESA IO (average)</b>	<b>0.40</b>	<b>0.98</b>	<b>4.40</b>
<b>Total SSA</b>	<b>0.02</b>	<b>1.50</b>	<b>3.18</b>

Source: ITU World Telecommunication Indicators 2006  
 with some calculations by author & MDG 2007 UN  
 Database

Developments in the internet sector have come to a rather low pace. The number of internet users reached the level of just 4.4% of the population in 10 years. The performance has been particularly disappointing in countries as Congo DR, Ethiopia, and Malawi where the percentage of internet users in 2006 is less than 0.5% of the population.

Such a situation is common to all SSA which is lagging behind compared to the other developing regions. In such a context, however, the growth rates of the ESA-IO have been higher especially since 2000.

In conclusion, it is possible to stress that, though in the framework of the very backwarded African context, where the digital divide with the rest of the world is increasing, the ESA-IO region shows relatively higher growth rates, especially since 2000.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Communications statistics; Evidence of ratification and implementation of regional protocols and frameworks

**Interviews with:** RIOs and IRCC; ESA-IO MS institutions; civil society, private sector, academic and research institutions.

### JUDGEMENT CRITERIA 8.3 Increased cross border and international investment

#### INDICATOR 8.3.1 Trends in foreign investment flows within and between regions, and with the outside world

Table 7.27: ESA-IO FDI Flows, 2000-2006 (US million Dollars)

Country	FDI (Flow-inward)			FDI (Flow-outward)		
	1996	2001	2006	1996	2001	2006
Angola	181	2,146	-1,140	-12	-21	93
Burundi	0	12	290	0	0	0
Comoros	1	1	1	0	0	0
Congo (DR)	25	82	180	0	1	0
Djibouti	3	3	108	0	0	0
Eritrea	37	12	4	0	0	0
Ethiopia	22	349	364	0	0	0
Kenya	11	5	51	-3	0	24
Madagascar	10	93	230	-1	0	0
Malawi	16	60	30	2	5	1
Mauritius	37	-28	105	3	3	10
Namibia	129	365	327	-2	-13	-12
Rwanda	2	4	15	0	0	0
Seychelles	29	65	146	12	9	8
Somalia	1	0	96	0	0	0
Sudan	0	574	3,541	0	0	9
Swaziland	22	29	36	-11	17	2
Tanzania	149	389	377	-1	1	0
Uganda	40	151	307	0	0	0
Zambia	117	72	350	0	0	0
Zimbabwe	71	81	40	51	8	0
<b>Total ESA IO</b>	<b>903</b>	<b>4,465</b>	<b>5,458</b>	<b>38</b>	<b>10</b>	<b>135</b>
<b>Central Africa</b>	<b>1</b>	<b>1,551</b>	<b>3,786</b>	<b>24</b>	<b>50</b>	<b>-19</b>
<b>West Africa</b>	<b>2615</b>	<b>2,079</b>	<b>6,841</b>	<b>580</b>	<b>-186</b>	<b>551</b>

Source: UNCTAD, Foreign Direct Investment Statistical Database

Comprehensive statistics on bilateral flows of foreign direct investment (UNCTAD)<sup>159</sup> show that the flow of FDIs has considerably increased over the period 1996-2006. Inward FDIs reached in 2006 a value five times the one recorded in 1996.

Inward FDIs are usually encouraged by the existence of economically significant resources, direct incentives (e.g. tax breaks, subsidies, etc.) and by a relatively conducive business environment (market competition and infrastructure).

According to the data breakdown and leaving out figures related to the two main oil exporting countries (Angola and Sudan), it can be estimated that approximately 50% of the increase in FDI is concentrated in non-oil countries. This means that overall the ESA-IO region has become more attractive as well as more reliable for foreign investors.

#### SOURCES OF INFORMATION AND TOOLS

Documentary review of: Foreign investment statistics.

### JUDGEMENT CRITERIA 8.4 Access to transport services (freight and passenger) has increased at affordable levels

#### INDICATOR 8.4.1 Trends in cross-border flows (freight and passenger)

Major corridor routes within ESA-IO are:

- Djibouti/Ethiopia,
- Northern Corridor (Mombassa, Nairobi, Kampala, Kigali, Bujumbura, DRC),
- Central Corridor (Dar es Salaam, Tabora, Mwanza, Kampala/Kigali/Bujumbura, DRC)
- Corridor routes which cross regional borders such as Beira (Mozambique/Zimbabwe/Zambia), Nacala (Mozambique/Malawi) and Durban (RSA/Zimbabwe/Zambia/Malawi).

Other corridors of lesser importance are:

- Corridor 3 (south side of Lake Victoria to Sudan),
- Corridor 4 (North east Tanzania to Zambia)
- Corridor 5 (Zambia/Tanzania border to Ethiopia).

On the major corridor routes road transport demand is growing at around 10% per annum though there are major

<sup>159</sup> For associates and subsidiaries, FDI flows consist of the net sales of shares and loans (including non-cash acquisitions made against equipment, manufacturing rights, etc.) to the parent company plus the parent firm's share of the affiliate's reinvested earnings plus total net intra-company loans (short- and long-term) provided by the parent company. For branches, FDI flows consist of the increase in reinvested earnings plus the net increase in funds received from the foreign direct investor. FDI flows with a negative sign (reverse flows) indicate that at least one of the components in the above definition is negative and not offset by positive amounts of the remaining components.

issues of poor maintenance, congestion and delays at border crossings (although proposed one-stop border posts should theoretically halve such delays)<sup>160</sup>. Rail networks are also experiencing increases of demand >15% pa though such demand is putting additional pressure on aging, inadequately maintained infrastructure exacerbated by inefficient operational and tracking systems.

The condition of the infrastructure, however, together with avoidable delays during the transit of countries and borders, continue to make vehicle operating costs (and thus freight and passenger transport costs) among the highest in the world<sup>161</sup>.

The major lake ports are served by rail at Mwanza (Lake Victoria) and Kigoma (Lake Tanganyika) but demand is increasing at a much lower rate for lake transport due to the poor quality of lake services.

An oil pipeline runs from Mombassa to Eldoret and Kisumu (which serves onward shipment mainly by road to Uganda, Rwanda, northern Tanzania, DRC, Burundi and even southern Sudan. Plans to extend the pipeline to Kampala have been on the drawing board for many years.

See also 5.3.7

#### **INDICATOR 8.4.2 Trends in cargo movement at sea, riverine and inland ports**

The main ports are: Mombassa, Djibouti Dar es Salaam.

Demand for containerised, non-containerised and bulk cargo is increasing in all ports with an average growth in demand >7% over recent years while TEU<sup>162</sup> growth has been greater than 13% per annum over a 5 year period: Mombasa 13.4% pa 2001-2004; Dar es Salaam 13% 2000-2005, with 60% increase in throughput since 2000 (source www.ams.usda.gov/tmd2/Countries/EastAfrica). Other sources provide different figures but confirm the trend, whereby the port throughput of Mombasa port has increased from 10.6 mln in 2001 to 13.2 million in 2005 (+ 25%) with an increase of 7% in transit traffic, while the port throughput of Dar es Salaam port increased from 4.2 mln to 6.3 mln (+47%), with a particular increase in transit cargo ('Improving transit transport in East Africa: Challenges and Opportunities, UNCTAD, June 2007)

Although there has been some increase in capacity (by additional handling equipment and productivity increases) major capital investment is planned for all ports in order to meet the demands of expected growth under regional development strategies. These expansions will include improved craneage, streamlined operations, computerisation and community-based (EAC) communication systems plus recent security measures in compliance with ISPS2 Code of International Maritime Organisation.

#### **INDICATOR 8.4.3 Trends in waiting times at ports, cross-shipment locations and borders**

Operational issues are now probably the greatest cause of lost time for haulers and in passenger transport at border posts leading to increased transit costs. Border crossings are a perennial source of delay which has only been slightly eased by harmonized documentation and procedures as there are very few one-stop international crossings and working arrangements on adjoining border administrations can be markedly different. A further issue in some countries is road blocks and other inspection points, many of which are simply free lance road tolls, thus contributing further to journey times and costs<sup>163</sup>.

The poor condition of roads (and rail networks) can also increase journey times although this is more an issue of increased Vehicle Operating Costs (VOCs). High costs of transport in ESA-IO in general are a serious impediment especially for land locked countries<sup>164</sup>. Specimen transit times in EAC are shown below:

**Table 7.28: Specimen transit times in EAC**

ROUTE	PORT	Journey times/days	Trans-shipment & off-loading (including borders)/days	TOTAL
<b>Uganda</b>				
via Malaba (road)	13 (Mombassa)	4	6	23
via Malaba (rail)	13 (Mombassa)	4	5	22
via Kisumu (rail/lake)	13 (Mombassa)	13	5	31
via Mwanza (rail/lake)	22 (Dar es Salaam)	6	7	35
<b>Burundi/Rwanda</b>				
via Malaba (road)	13 (Mombassa)	10	2	26
via Dar es Salaam (road)	22 (Dar es Salaam)	5	2	29
via Kigoma (rail/lake)	22 (Dar es Salaam)	4	14	40

Source: Assessing Regional Integration in Africa – ECA 2004

#### **INDICATOR 8.4.4 Trends in free passage of persons (visa/passport requirements, labour rights, work permits etc)**

<sup>160</sup> Assessing Regional Integration in Africa, ECA, 2004.

<sup>161</sup> Sources: Assessing Regional Integration in Africa, ECA, 2004 shows that transport costs are high in Africa in general and in landlocked African countries in particular - averaging 14% of the value of exports compared to 8.6% for all developing countries - and higher still for many countries, such as Malawi (56%) [...] and Rwanda (48%).

Other studies also indicate that transport costs in Africa are the highest in the world. A report by the United Nations Conference on Trade and Development (UNCTAD 2002) shows that the freight cost as a percentage of total import value was 13 per cent for Africa in 2000 compared to 8.8 per cent for developing countries and 5.2 percent for industrial countries. At the sub-regional level, the freight costs of West Africa as a percentage of total import value was 14 per cent while those of East and Southern Africa, including the Indian Ocean region was 15.2 per cent. The ratio of North Africa stood at 11 percent (UNCTAD 2002)."

<sup>162</sup> TEU – 20ft equivalent unit ie the intermodal standard shipping container size (6m). A 40ft container = 2 TEUs

The Abuja Treaty and various RIOs treaties and protocols deal with free flow of persons, labour and services such that COMESA and EAC have various articles of agreement although a number of COMESA MS have not ratified these protocols. Although an EAC passport valid for travel only between EAC MS has been introduced, national passports are most commonly used. Under the agreement for establishment of IGAD free movement of goods, people and services have led to visa-free entry between some MS.

However, despite aims of free movement of people RIOs' MS have strong reservations as there are, in most countries, only limited employment opportunities such that there continue to be limits on issuing of work permits.

Common labour standards and policies will require additional efforts, although some RIOs have taken steps to ensure this end including identifying core labour issues that should be harmonized, labour force surveys, establishment of labour data systems and review of national labour legislation in comparison with international labour conventions.

Reductions in barriers to movement in selected COMESA MS are summarised below:

**Table 7.29: Improvements in free passage of persons**

COUNTRY	Actual situation at the borders
Djibouti, Ethiopia, Sudan	Removal of non-tariff barriers (quantity restrictions, import and export licensing, foreign exchange licensing, import service stipulation, import prohibition, import deposits, charges on foreign exchange)
Kenya	Quantitative restrictions, import bans, cumbersome duties, road blocks, corruption, administration charges
Tanzania	Technical, physical, procedural and immigration restrictions
Uganda	Border charges, physical, technical and immigration restrictions. National policies and laws not in line with regional accords
Zambia	Restrictions related to national policies, inspection delays, road access

Source: ECA

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Transport statistics

**Interviews with:** civil society, private sector, academic and research institutions.

<sup>163</sup> According to the document released following the Trade Facilitation to promote Intra-African Trade, Committee on Regional Cooperation and Integration Fourth Session, Addis Ababa, Ethiopia, 24-25 March 2005. "Road users in Eastern Africa also suffer from the existence of numerous checkpoints. For example, there are 27 police controls between Mombassa in Kenya and the Ugandan border. Within Uganda, there are 4 checkpoints and 5 obligatory stop zones for transit vehicles."

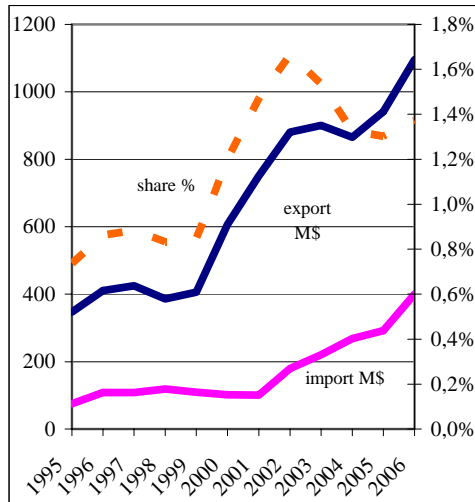
<sup>164</sup> Transport costs as % of export costs average 9% for all developing countries and 14% for land locked countries. However, in ESA-IO these percentages are much higher eg Malawi 56%, Rwanda 48%

**JUDGEMENT CRITERIA 8.5 Economic activities relying on NR conservation and security have increased**

**INDICATOR .8.5.1** The Multilateral Fishery Agreements in the IO and in the great lakes basins have enhanced the intra-regional and international fishery trade and related incomes

Unfortunately the team has been unable to find specific data related to the impact of the Multilateral Fishery Agreements in the IO and in the great lakes basins on the intra-regional and international fishery trade and related incomes. Specialised studies would be needed, which are not actually available.

**Figure 7.4: Export and Import of fish in East Africa (million US\$), 1996-2006 (source: UNCTAD)**



Data on fish trade, as shown in Figure 7.4, indicate that the region has significantly increased its amount of both total and net exports, and its share in the international market. Exports have shifted from 345 million US\$ in 1995 to 1,100 million in 2006, with a share of about 1.5% in the world market from a level of 0.7% in 1995.

With respect to marine fisheries, the total capture of the South-Eastern Indian Ocean region amounts to about 4 Million tonnes, having reached a probable ceiling in the last decade, according to the existing studies<sup>165</sup>. While the share of industrial catches remains almost unchanged at about 0.4 Million tonnes, the strong increase in export is partly attributable to artisanal fishery, which has reached a number of marine fishers estimated at about 350,000 (idem - see also FAO<sup>166</sup>, recent data on Madagascar and other countries in the region).

On the other hand, the following data is available with specific reference to the Lake Victoria fisheries<sup>167</sup>.

- In the period 1999-2005, the annual estimated total amount of fish catch has increased by 16% from 688,836 to 804,471 tonnes. With an estimated beach value for the year 2005 of US\$ 347,552,424. Today, fishery yields from the lake is of the order of magnitude of 800,000 – 1,000,000 t valued at 350 – 400 million \$ at the beach, with export earnings estimated at US\$ 250 million.

**Table 7.30: Fishery Activities LVFO, 1999-2005**

Annual total fish catch in Lake Victoria (Tonnes)								
Fish Species	1999/2000				2005			
	Kenia	Tanzania	Uganda	Total	Kenia	Tanzania	Uganda	Total
Nile perch	109,088	138,323	72,632	320,044	50,630	124,278	57,930	232,838
Dagaa	38,968	167,789	70,333	277,091	81,800	228,232	75,288	385,320
Tilapia	23,266	11,811	29,959	65,037	20,978	20,502	29,748	71,228
Haplos		17,161	4	17,165	4,423	100,259	5,582	110,264
Others		6,993	2,505	9,499	1,461	2,094	1,266	4,821
<b>Total</b>	<b>171,322</b>	<b>342,078</b>	<b>175,434</b>	<b>688,836</b>	<b>159,292</b>	<b>475,365</b>	<b>169,814</b>	<b>804,471</b>

Source: LVFO Statistics

The fisheries of Lake Victoria make a substantial contribution to the economy and livelihoods of the region: over 2 million people are supported by the fisheries and the annual fish consumption needs of almost 22 million people in the region are met by the lake alone, making a significant contribution to regional food security. Fisheries contribute to poverty reduction and economic growth at all levels: individual, household, community, local government and national, through employment, income, food security, revenue-raising and foreign exchange earnings from international exports<sup>168</sup>.

<sup>165</sup> Rudy van der Elst<sup>1</sup>, Bernadine Everett<sup>1</sup>, Narriman Jiddawi, Gerald Mwatha, Paula Santana Afonso and David Boule, *Fish, fishers and fisheries of the Western Indian Ocean: their diversity and status. A preliminary assessment* – 2004

<sup>166</sup> South west Indian ocean fisheries commission - Report of the first working party on fisheries data and statistics, 2007

<sup>167</sup> Implementation of a Fisheries Management Plan for Lake Victoria, Annual report October 2004-September 2005, other LVFO documents and interviews. See also annex 9, fiche # 10.

<sup>168</sup> Studies on the economics of the fishery and the distribution of benefits, though foreseen among the activities to be carried out by the IFMP project have not been carried out yet.



**Figure 7.5 - Export value of Fresh water fish from Kenya, Tanzania, Uganda - MUS\$ (FAO)**

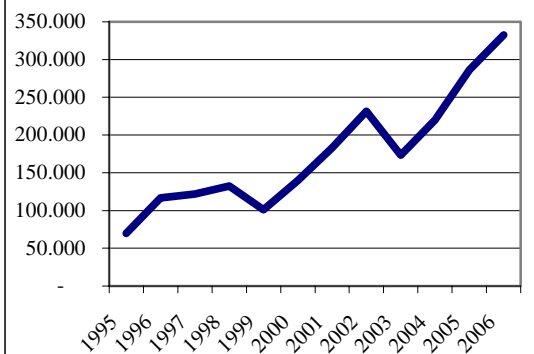


Figure 7.5 shows the increase of freshwater fish exports from Kenya, Tanzania and Uganda (most of which come from Lake Victoria) in the last decade.

- The strategic approach furthered by the LVFO (supported through the EC regional envelope) centres on the establishment, and building of capacity, of a lake-wide network of community-based organizations called Beach Management Units (BMUs) for fisheries co-management (1087 Beach Management Units were created in the three riparian countries), that also provide an entry point for development assistance to fishing communities.
- The BMUs are mandated to promote membership and participation of boat crew, traditionally the poorer members of fishing communities, and women to make sure their views and priorities are included in planning and decision-making, thereby promoting the inclusion and empowerment of the poor and of women in fisheries management.
- Whilst some fish is used for home consumption, most of it is traded, in local, regional and international markets. The three main species caught on the lake – Nile tilapia, Nile perch and dagaa - have different trading patterns in the lake basin and beyond.
  - The Nile tilapia and dagaa are the most important species in the local fish trade. Nile tilapia is either sold fresh or smoked and makes an important contribution to food security within the region, as well as for the fishing communities themselves.
  - Dagaa is the most important species in the regional trade market. Dagaa are dried and find considerable export markets in the region and elsewhere on the African continent. Regional trade in fish and fish products provides substantial income, employment and revenue, as well as contributing to food security.
  - Nile perch is the most important species in the international trade market, and over 75% of the Nile perch goes directly to the fish processing factories for export bringing considerable benefits to the region, in terms of employment, income and contribution to foreign exchange earnings
  - The standing crop of fish in Lake Victoria has remained fairly constant over the years, albeit with a reduction of Nile perch and a parallel increase of dagaa and other species. More generally, regarding sustainable resource management practices, a regional plan of action to prevent, deter and eliminate illegal, unreported and unregulated fishing was prepared (with support of FAO) and is currently implemented as part of the LVFMP, and a sustainable monitoring, control and surveillance system has been established.

Worldwide, existing studies indicate the following in relation to overall developing countries fishery trade and food security<sup>169</sup>:

- In the fisheries sector international trade has increased dramatically over the past 20 years. The value of fishery exports has increased from US\$15.5 billion in 1980 to US\$63.3 billion in 2003 (growth of 8.6% in 2003). Developing countries have particularly benefited from this increase as their net earnings (export – import) from fishery products increased from \$US3.4 billion to US\$18.3 billion over the same period, an amount larger than the combined net total of other traded food commodities.
- In 2003, the Low-Income Food-Deficit Countries (LIFDCs) accounted for 20% of total exports in value terms. For many developing nations, fish trade represents a significant source of foreign currency earnings, in addition to the sector's important role in income generation, employment and food security. For LIFDCs alone, net export revenues rose to \$8.6 billion in 2003<sup>170</sup>.
- The fisheries sector is particularly important for 44 countries (15 small island developing states, 12 African and 12 Asian countries, 3 transition economies and 2 Latin American countries) where the sector makes a significant contribution to both exports and domestic nutritional intake.

<sup>169</sup> Committee on Fisheries, Sub-Committee on Fish Trade Tenth Session Santiago De Compostela, Spain, 30 May – 02 June 2006: Status And Important Recent Events Concerning International Trade In Fishery Products



Concerns on the relationship between fish trade and food security has led FAO to undertake a study on "the impact of international trade in fishery products on food security"<sup>171</sup>. Key conclusions arising from the study include the following:

1/ international trade in fishery products has had a positive effect on food security. International trade in fishery products generates employment, higher incomes and foreign exchange. Higher employment rates and incomes have, in particular, resulted in improved domestic purchasing power. This has enabled countries to raise their standard of living and to alleviate food security concerns. Over time, many developing countries and LIFDCs have become net foreign exchange earners from trade in fishery products. Such earnings can contribute to the nation's debt repayments. They also provide the foreign currency required by developing countries and LIFDCs to import essential food stuffs, including fish. This is especially important for countries that depend on imports to meet food security needs.

2/ Production and trade statistics indicate that international trade has not had a detrimental effect on food security in the form of fish as food. Increases in production (from capture fisheries and aquaculture), coupled with the import and export of fishery products, has insured the continued availability of fish for domestic supply in LIFDCs.

3/ Sustainable resource management practices are a necessary condition for sustainable international trade. Market demand needs to be coupled with a sustainable resource management policy. The study in fact highlighted that International trade in fish products was, however, determined to have a negative impact on the fish resources for all the countries, highlighting the urgent need for more effective management regimes

4/ The study also highlights the need for free and transparent trade and market policies to ensure that the benefits from international fish trade are enjoyed by all segments of society.

Although it is recognised that the above data does not allow to quantify nor to identify the direct determinants and cause-effects chains, it certainly allows to conclude – albeit with all the limitations of the case - that the combined EC support to Lake Victoria resources conservation and management through successive projects has contributed to improve access of lake fish products to local, regional and international markets in a sustainable manner, thereby contributing to the economy and livelihoods of the region with a long term perspective. In particular, the role of the EC supported projects has had a significant impact in promoting the sustainable management of the Lake Victoria fish resources through the development and adoption of more environmental-friendly fishing practices (e.g. bans on destructive fishing gears, adoption of zoning and fishing calendars), and of co-management structures, thereby reducing the pressure on the lake resources.

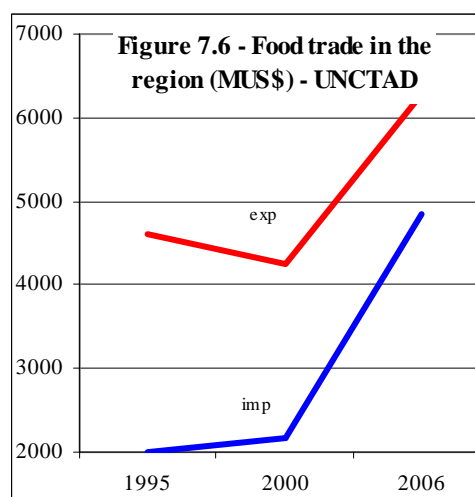
Finally, it should be stressed that while impact is difficult to measure, the findings presented under EQ 6 show that the region has been highly successful in implementing a co-ordinated and global approach to NRM development issues, which takes into consideration economic, social and environmental aspects. Partner states of the EAC for example have been strongly supported in their cooperation efforts to effectively manage natural resources in an environmentally sustainable way in areas of common interest e.g. Lake Victoria and its Basin. In a situation where the integrated management of the lake resources is vital for the sustained development of the region and where fishing represents a significant proportion of export earnings for many countries in the region this is undoubtedly a noticeable achievement.

With respect to the agriculture, it is much more difficult to identify the impact that the conservation measures have had on the actual production and incomes of the poor. Data on regional agricultural exports show a strong increase in food exports, which have kept a substantially positive balance in the food sector trade, despite the huge increase in the population. The team could not acquire, however, the data necessary to analyze the impact of such growth on the small farmers and the rural population, as well as on consumers' prices and urban poor.

**Figure 7.6 Food trade in the region (MUS\$), 1995-2006**

<sup>170</sup> Committee on Fisheries, Sub-Committee on Fish Trade Tenth Session Santiago De Compostela, Spain, 30 May – 02 June 2006: Status And Important Recent Events Concerning International Trade In Fishery Products

<sup>171</sup> Kurien J (Editor), 2005. Responsible fish trade and food security. FAO Fisheries Technical paper 456. This study has been funded by the Norwegian Ministry of Foreign Affairs. The study examines international trade in fishery products and the impact it has on food security in two ways: (a) indirectly, as a source of livelihood through employment and income generated by the fisheries sector, and (b) directly, in the form of fish as food. The study's findings are based on an assessment at the global level as well as evidence drawn from 11 representative national case studies (among them Namibia and Kenya).



**Table 7.31: Natural Resources Related Activities, 1996-2002-2006**

Country	Cultivated area (arable land + permanent crops) (1000 ha)			Total economically active population in agriculture (1000 inhab)			Agricultural Production (FAO Production Index)*		
	1996	2002	2006	1996	2002	2006	1996	2002	2006
Angola	3,500	3,390	3,590	5,987	6,778	7,403	79.92	123.22	151.14
Burundi	1,310	1,351	1,336	3,297	3,583	4,008	103.70	108.52	102.62
Comoros	124	132	133	298	348	380	92.28	101.48	98.72
Congo (DR)	7,880	7,800	7,800	19,842	21,930	23,736	106.33	96.10	95.42
Djibouti	1	1	1	324	379	404	83.31	105.18	105.31
Eritrea	393	565	640	1,565	1,889	2,149			
Ethiopia	10,551	10,637	13,922	27,900	31,713	34,323	93.34	110.38	133.53
Kenya	5,298	5,518	5,721	14,340	16,313	17,395	87.74	109.13	126.58
Madagascar	3,490	3,550	3,550	7,110	8,221	8,971	98.34	96.69	114.33
Malawi	2,085	2,440	2,740	5,138	5,748	6,068	81.83	80.46	91.38
Mauritius	106	106	106	492	531	551	103.26	103.06	106.64
Namibia	820	820	820	708	793	832	84.15	102.07	93.45
Rwanda	1,050	1,385	1,475	3,194	4,573	4,873	75.63	124.35	121.82
Seychelles	6	6	6	46	49	51	107.27	98.29	103.31
Somalia	1,066	1,226	1,376	2,960	3,406	3,737			
Sudan	16,717	16,644	19,657	11,816	13,501	14,558	90.89	107.71	116.97
Swaziland	191	192	192	334	362	370	94.41	99.92	98.96
Tanzania	10,003	10,200	10,350	17,016	18,992	20,224	94.82	104.37	109.92
Uganda	7,060	7,200	7,600	10,791	12,382	13,625	85.92	109.08	105.21
Zambia	5,284	5,289	5,289	4,254	4,704	4,968	103.59	96.64	109.96
Zimbabwe	3,381	3,350	3,350	5,607	5,989	6,180	92.06	80.72	73.28
<b>ESA IO Total</b>	<b>80,316</b>	<b>81,802</b>	<b>89,654</b>	<b>143,019</b>	<b>162,184</b>	<b>174,806</b>	<b>92.57</b>	<b>103.02</b>	<b>108.34</b>

Source: FAOSTAT

**INDICATOR .8.5.2** The coastal protection measures and the management of trans-boundary protected areas have allowed the continuation and development of tourism

The cooperation between coastal management initiatives (7 and 9 EDF) and the marine protected areas in the IO region (France/WWF funding) enhanced the economic value of biodiversity and the benefits for the tourism and for the environmental education of the populations relying on these resources. E.g. The establishment of the Blue Bay Park in Mauritius has been accompanied by a ban on coral sand mining and the re-orientation (and absorption) of local sand miners towards environmental and tourism related jobs, and leading to increased – and more sustainable - economic return as well as employment opportunities. [source: site visits and consultations with local operators]

Involvement of private sector operators (hotels, diving centres) in monitoring the health of coral reefs reduced the sources of pollution and degradation especially when combined with water and sanitation investments funded by other sources (e.g. NIPs in Mauritius and Comoros). The team has no information on the impact that such changes have had on the actual tourism flows, though according to the UNWTO, the trend in tourism for the region have improved in the last decade. The region is the third in terms of attractiveness at continental level, and tourist flows have registered increases much above the world average, keeping Kenya, Mauritius, Tanzania, and

Madagascar among the continental leaders in tourist business.

**INDICATOR 8.5.3** Regional management of shared NR have reduced conflicts and disputes over access, exploitation incomes and pollution sources

While disputes over access on Lake Victoria national waters decreased due to countries dialogue and involvement of stakeholders in law enforcement / marine patrol programme [reductions in illegal net gills (20%), reductions in other illegal gears such as cast nets (27%) and traps (14%)<sup>172</sup>, recriminations still occur in the Indian Ocean EEZ and should be addressed through boundaries delimitation and policy dialogue, given the overlapping role of France as EU fishing country and IOC member.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Fishery and trade statistics for IO and lake Victoria; Tourism statistics; CPRM related sources.

**Interviews with:** EC Representatives; RIOs and IRCC; TAs, PMUs, Project staff; ESA-IO MS institutions; civil society, private sector, academic and research institutions.

<sup>172</sup> Implementation of a Fisheries Management Plan for Lake Victoria, Annual report 2004-2005.

**JUDGEMENT CRITERIA 8.6 Outcomes of EC regional programme have contributed to the change in above-mentioned economic growth indicators**

**INDICATOR 8.6.1** Links between the outcomes of the sectoral RIP interventions (as from the answers to EQs 4, 5, 6, and 7) and the economic growth indicators in the region.

Previous sections of this annex have highlighted that:

EQ 4: Regional integration and trade. The Programme has provided tremendous support to the EPA process and has helped implementing trade liberalisation, and market integration, including the promotion of CUs all over the region. Both in the EAC CU and in the COMESA FTA, tariffs have been eliminated (excluding some sensitive goods in the EAC where there is a timetable for elimination). Apart from the fact that several COMESA MS are not yet participants in the FTA, the achievement of tariff-free trade among the FTA members is a striking success. Less progress has been registered in terms of monetary and fiscal harmonisation.

EQ 5: Transport and Communications. The Programme has contributed to the establishment of T&C sector planning, regulatory and management systems, and to the advancement in national and regional convergence but that little progress has been done in the integration of different transport modalities. The TCSPIP, the flagship intervention of the 9<sup>th</sup> EDF RSP, is playing an important role in improving EC interventions' visibility and strategic focus. In fact, looking at single infrastructural projects, it appears that although impacts in terms of lowering of transport costs, decongestion of traffic, minimisation of road deterioration, facilitation of economic development, promotion of international trade and regional integration, are highly likely (few projects had been completed to allow the full assessment of impacts) in most cases these would depend upon the upgrading, maintenance, or realisation of other sections of the transport corridors involved, thereby highlighting once again the importance of the preparation of the TCSPIP which is intended to identify and prioritise infrastructure investments as well as sector facilitation measures (transit regulations, transport traffic, regional protocols, customs procedures etc).

EQ 6: Natural Resources Management. The EC, through its regional envelope, has played a leading role in supporting regional NRM cooperation in the ESA-IO, favouring the empowerment of regional integration organisations (RIOs) and improving coordination with and between developing partners. Significant achievements are evident in a number of areas, including the development of sectoral strategies (e.g. fisheries); the establishment of cooperation networks (e.g. IO coral reef); development and adoption of shared management tools; public awareness and stakeholders' participation, all of which have a direct impact on resource conservation and economic growth.

EQ 7: Conflict Prevention, Resolution and Management. Overall, the EC/EU has established significant financial agreements for CPRM activities and partnerships (in initial implementation stages); agreed a sub-regional strategy for the Horn of Africa (no implementation yet); and provided important support to peace processes (including the Africa Peace Facility- APF). These are positive elements to bolster the CPRM requirements in the region. Looking more closely at the activities financed under the regional envelope, it must be emphasised that the EC has no ESA-IO-wide CPRM strategy, nor has it contributed to the establishment of an ESA-IO wide strategy. It is however supporting – through the CPP programme – the ESA regional institutions specific CPRM strategies and policies. The FA has only been signed recently so it is impossible to assess its impact nor its outcomes for that matter, but the CPP does attempt to build the capacity of the three institutions.

In terms of medium term impacts, previous sections have highlighted that:

Regional integration and trade. Growth in intra-regional trade has increased substantially, and, although exports to the rest of the world have increased faster than intra-regional exports this is mainly linked to the rapid growth in world demand for raw materials, minerals and fuels. In fact, in the case of food and manufactures, intra-regional exports have risen significantly faster than extra-regional exports.

Transport and Communications. Overall, significant progress has been achieved in terms of access to telephone services in the ESA-IO region. Especially noticeable is the huge increase in phone usage (above-all mobile). Although the absolute growth levels in the sector remain inadequate to support sustained economic development, the ESA-IO region indexes are more favourable compared to the SSA average. Trends in the use of internet and data on the digital divide indicate that, though in the framework of the very backward African context, where the digital divide with the rest of the world is increasing, the ESA-IO region shows relatively higher growth rates, especially since 2000.

Demand for all modes of land transport services is increasing at around 10-15% per annum. Demand for containerised, non-containerised and bulk cargo is increasing in all ports at an average growth in demand of over 7% in recent years. Although the condition of the infrastructure, together with avoidable delays during the transit of countries and borders, continue to make vehicle operating costs (and thus freight and passenger transport costs) among the highest in the world, VOCs, passenger fares and freight costs, and telecom user fees are reducing, and main users perceive an overall improvement in access to – and use of - key parts of the regional transport networks mostly as a result of rehabilitated infrastructure.

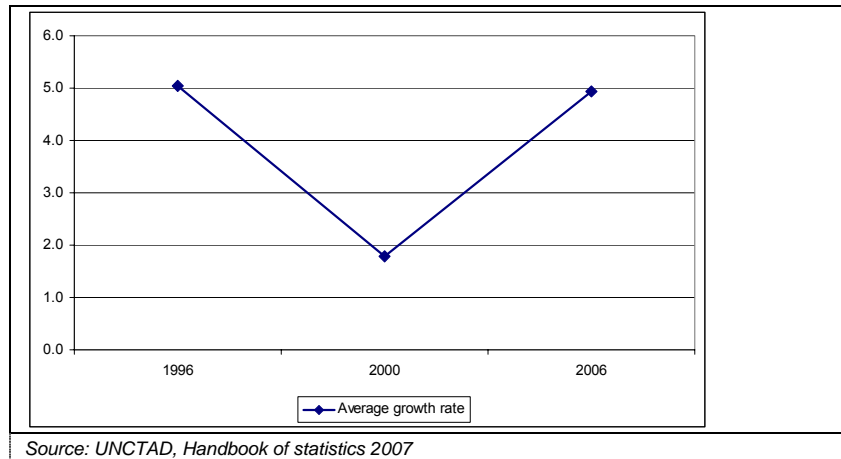
Natural Resources Management. Despite the lack of data does not allow to quantify nor to identify the direct determinants and cause-effects chains, available information allows to infer that the combined EC support to Lake

Victoria resources conservation and management through successive projects has contributed to improve access of lake fish products to local, regional and international markets in a sustainable manner, thereby contributing to the economy and livelihoods of the region with a long term perspective.

**Economic growth indicators.**

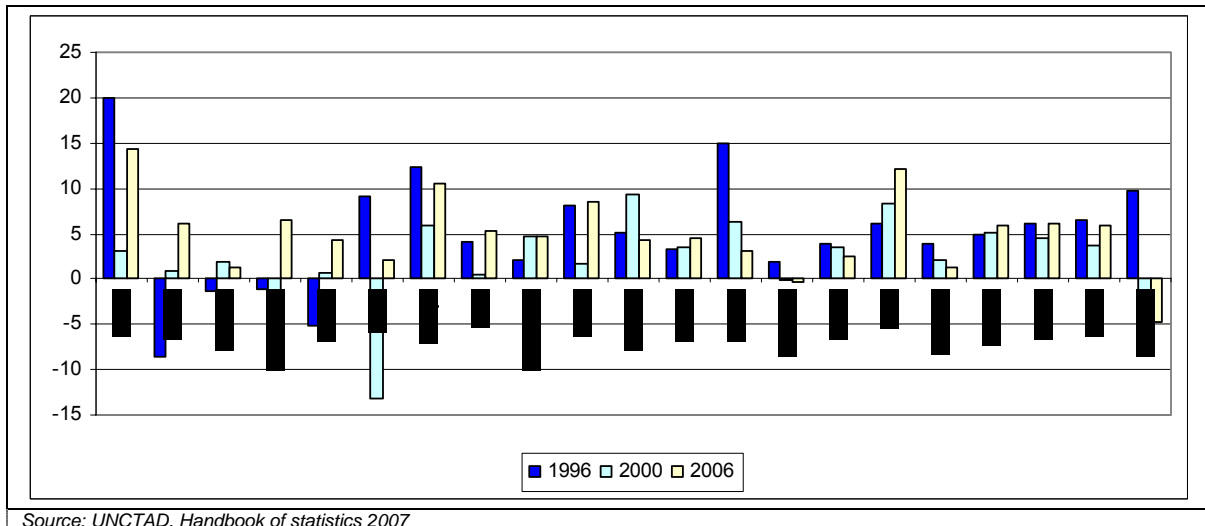
Overall, the ESA IO region has recorded a positive performance in terms of economic growth over the period considered. However, as depicted in figure 7.7, growth rates have not been constant during the years analysed. The economic growth rate experienced a strong fall in the middle of the period 1996-2006 when it dropped of approximately 3 points. It is worth noting that a key role in this fall has been played by Congo (DR), Eritrea, and Zimbabwe that all have registered highly negative economic growth rates (see Figure 7.8) The following years have been characterized by a steady rising economic growth that has allowed the region to reach in 2006 an average economic growth rate of 4.9 percentage points.

**Figure 7.7: ESA IO Average Economic Growth Rate, 1996-2006**



The figure below shows economic growth rates for each ESA IO country in 1996, 2000, and 2006. It is worth noting the outstanding performance of countries as Congo DR and Eritrea where national economies were able to rapidly catch up to regional economic levels after the dramatic fall in 2000.

**Figure 7.8: ESA IO Country Economic Growth Rate, 1996-2006**



EC support in regional integration and trade (support in the implementation of trade liberalisation measures and market integration), infrastructure and ICT (establishment of T&C sector planning, regulatory and management systems, and infrastructure investments) and natural resources management (favouring the empowerment of regional integration organisations (RIOs) and improving coordination with and between developing partners at different levels) has played an important role in the achievement of these positive results.

**INDICATOR 8.6.2 Other national and regional factors which have contributed to the change in the indicators**

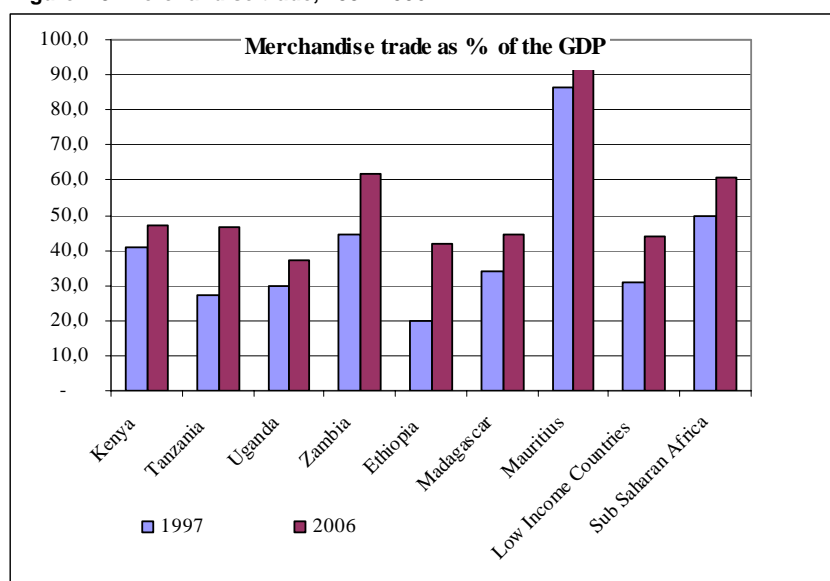
Economic growth has been facilitated by key factors as positive trends in the world economy after the mid-nineties' crisis, the gradual opening up to foreign trade, especially in terms of exports from the region to OECD countries, Russia, India, and China; rising world prices of oil, minerals and metals, which have benefited regional producers as Zambia; and good agricultural growing conditions. The process of debt forgiveness has also played a central role as it helped to reduce the fiscal burden while allowing for more expansionary policies, notably in the Congo DR, Malawi and the Sudan.

Nevertheless, political weakness, conflicts of different nature, deficiencies in terms of sound democratic systems are among those factors hindering further positive economic and social changes in the region.

**INDICATOR 8.6.3** Counterfactual considerations to highlight the weight of the EC contribution

Merchandise trade, which is a main indicator of regional integration, has grown much faster than GDP, as shown in figure 7.9. As anticipated in other sections, growth in intra-regional trade has increased substantially. In the case of food and manufactures, intra-regional exports have risen significantly faster than extra-regional exports. Looking at merchandise exports alone, an increase in exports is registered for all trading blocs, ranging from a +140% for COMESA to a +60% for EAC to a +25% for IOC [ Source: Africa Development Indicators 2007, World Bank]. Indeed while the main factors underlying trade growth are common to all Sub-Saharan Africa: export of raw materials, and fuels for which the international demand has heavily increased. This has played as a driver also for the increase of manufactured exports, especially for the regional market. Trade growth has been the main factor of economic growth in the region. Trade could have not grown at such a pace without the significant improvements envisaged in trade regulation and transport. This is especially true for the growth of intraregional trade. The latter, though underscored for the weight of unregistered flows, has grown significantly at rates two times more than the GDP growth rate. It relies –much more than the big consolidated international commodity flows- on the intraregional networks, their effectiveness and efficiency.

**Figure 7.9: Merchandise trade, 1997-2006**



Source: World Bank, World Development Indicators, 2007.

Indeed, though the data are insufficient and the analysis carried out is very general, it is possible to formulate a broad conclusion on the positive role played by the improved regulations and transport corridors, and the reduction of tariff barriers. Such conclusion doesn't overlook the enormous work that remains to do to expand and consolidate such improvements. In particular the status of infrastructure and its competitiveness should be looked at, with particular reference to hard investment, maintenance and management.

On the NRM side, it is important to note the estimated contribution to economic growth and increase of exports in sectors strictly linked to NRM, e.g. fisheries in both the Indian Ocean and Lake Victoria. The advanced stage of the NRM cooperation is mainly due to the awareness of the economic actors involved of the need to link the expansion of the fishery sector to sound regional management of the related resources. EC programmes have interpreted such needs and have contributed to the economic growth of the sector. There has been a significant increase in food exports as well, though it is more difficult to identify the linkages between such increase and any NRM process supported by the EC programme.

Increased peace affects economic growth positively. The reverse is also true. Though it is not possible to draw direct correlations between EC and EU related CPRM activities and economic indicators, it is possible to say that direct efforts to support peace by the EC/EU certainly impacted positively on structural economic factors, although it should be noted that the specific contribution of the EC's regional programme (as opposed to other non regional programmes) is not particularly significant. On the other hand, it is not possible to say in which way the lack of conflict sensitivity of the sectoral regional programmes has produced, or not, the seeds of future violence and fragility.

**SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** Answers to EQs 4-7; Macro-economic statistics; UNECA reports, World Bank reports; Scenarios of RIOs without EC support.

**JUDGEMENT CRITERIA 8.7 According to the intentions of the RSPs, there are links between economic growth and longer term poverty reduction**

**INDICATOR 8.7.1** The status of the MDGs in the region

Although updated and complete data on this are rather poor, as many countries have started only recently to accurately carry out household surveys, figures collected in Table 7.32 below suggest improvements for the whole set of MDGs.

**Table 7.32: MDGs for the ESA-IO Region**

Goal	Indicators	1996	2000	2005
1	Population below \$1 (PPP) per day consumption, percentage (1)	-	52.60	-
	Poverty gap ratio [incidence x depth of poverty] (2)	15.71	-	-
	Children under 5 moderately or severely underweight, percentage	28.53	28.33	-
	Proportion of population below minimum level of dietary energy consumption, percentage	42.21	-	38.68
2	Net enrolment ratio in primary education, both sexes	51.72	67.53	79.57
	Literacy rate of 15-24 year-olds**	77.06	77.04	76.15
	Proportion of pupils starting grade 1 who reach grade 5**	56.55	63.20	62.75
3	Seats held by women in national parliament, percentage	10.56	13.50	17.60
	Share of women in wage employment in the non-agricultural sector (3)	-	31.20	-
	Ratio of literate women to men 15-24 years old**	-	0.86	-
	Gender Parity Index in primary level enrolment*	-	0.90	0.92
4	Children under five mortality rate per 1,000 live births	143.40	137.50	131.75
	Infant mortality rate (per 1,000 live births)	89.05	85.40	82.20
	Children 1 year old immunized against measles, percentage	67.15	69.85	74.15
5	Maternal mortality ratio per 100,000 live births	-	837.58	-
	Proportion of births attended by skilled health personnel	45.83	46.74	-
6	Tuberculosis prevalence rate per 100,000 population	291.35	371.95	384.70
	Proportion of tuberculosis cases detected and cured under directly observed treatment short course DOTS (Internationally recommended TB control strategy)	46.06	47.10	49.65
	Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14 years**	-	0.81	-
	HIV prevalence among pregnant women aged 15-24 years** (1)	-	16.43	14.03
	People living with HIV, 15-49 years old, percentage*	-	9.43	7.35
7	Land area covered by forest, percentage	29.15	28.10	27.10
	Ratio of area protected to maintain biological diversity to surface area**	10.43	10.11	10.32
	Energy use (kg oil equivalent) per \$1 GDP (PPP)** (1)	386.63	393.63	385.38
	Carbon dioxide emissions (CO2), metric tons of CO2 per capita (CDIAC)	0.45	0.60	0.70
	Proportion of population with access to improved sanitation, urban and rural**	33.81	-	41.95
	Proportion of population with sustainable access to improved water source, urban & rural**	58.00	-	65.24
	Proportion of households with access to secure tenure **	73.86	72.63	-
8	Debt service as a percentage of exports of goods and services**	16.31	14.50	8.51
	ODA received in landlocked developing countries as percentage of their GNI** (1)	16.98	11.50	20.17
	ODA received in small islands developing States as percentage of their GNI** (4)	7.40	4.27	3.32
	Youth unemployment rate, aged 15-24, both sexes** (5)	24.32	-	-
	Telephone lines per 100 population**	2.93	6.87	16.79
	Internet users per 1000 population	1.00	19.10	39.55

Source: World Bank MDGs Indicators, unless otherwise mentioned

\* Data have been extracted from MDG Monitor UNDP

\*\* Data have been extracted from UNSTAT

Note: Due to the lack of available figures for the whole set of countries of the ESA-IO region in the years considered, regional averages have been calculated for those indicators where figures were recorded for at least 12 countries. Exceptions have been made in the following cases, where regional averages are intended as: (1) Average value calculated over eighth countries; (2) Average value calculated over seven countries; (3) Average value calculated over ten countries; (4) Average value calculated over three countries; (5) Average value calculated over five countries

Poverty rates seem to be lowering, at least by looking at the proportion of population below minimum level of



dietary energy consumption, which has slightly decreased from 1996 to 2005, from 42.21% to 38.68%. Outcomes in terms of primary education are rather positive as both 'the net enrolment ratio in primary education' and the 'proportion of pupils starting grade 1 who reach grade 5' have increased, respectively from 51.72% to 79.57%, and from 56.55% to 62.75%.

Some steps forward are also registered in terms of gender equality and women empowerment. The share of women in national parliaments has increased from 10.56 % to 17.60 %. The Gender Parity Index in primary level enrolment has improved as well, shifting from a value of 0.90 in 2000 to 0.92 in 2005.

Achievements in terms of reduced child mortality are rather encouraging, as for the whole set of indicators reported in the table above there have been improvements. Under-5 mortality rate decreased from 143.40 in 1996 to 131.75 in 2005, and infant mortality rate, which was 89.05 in 1996, dropped to 82.20 in 2005.

With respect to maternal health, the maternal mortality ratio is still rather high (837.58 per 100,000 live births), but progress has been done in terms of births attended by skilled health personnel, which grew from 45.83 % to 46.74%.

The 6<sup>th</sup> MDG is of particular concern, as it aims at combating HIV, malaria and other diseases. While HIV prevalence has been slightly decreasing over the period considered, for example from 16.43% to 14.03% for pregnant women aged 15-24 years, other diseases have worsened. As a matter of fact, tuberculosis cases have remarkably increased from 291,35 in 1996 to 384,70 in 2005 (data are to be intended per 100,000 population).

Progress in terms of environmental sustainability is rather uneven. On the one hand, progress has been achieved in terms of access to improved sanitation and access to improved water source, for which values have increased respectively from 33.81 to 41.95, and from 58.00 to 65.24. On the other hand, outcomes in terms of energy and natural resources conservation and protection seem to be rather disappointing. For instance, carbon dioxide emissions have risen from 0.45 to 0.70 metric tons per capita. The ratio of area protected to maintain biological diversity to surface area has moved from a value of 10.43 to 10.32. Although these negative changes are rather modest, more attention and support in the future are needed in these areas in order to avoid gradual worsening of these values.

**INDICATOR 8.7.2 Direct impacts of the regional economic and institutional development on the MDGs: employment growth, environment protection; peace keeping and democracy.**

Due to the lack of consistent statistics on the subject, reliable data on employment growth are not yet available. However, hints of the current labour situation in the ESA IO region is provided in Table 7.33 below, where data on labour force and participation rate are reported.

**Table 7.33: ESA IO labour force participation, 2005**

Country	Labor force ages 15 and older (thousands)			Participation rate (%)				
	Total	Male	Female	Ages 15 and older	Ages 15-24	Ages 25-54	Ages 55-64	Ages 65 and older
Angola	6,939	3,742	3,197	81.30	79.20	87.70	78.80	54.50
Burundi	3,775	1,813	1,962	91.00	87.40	97.60	94.40	79.70
Comoros	333	200	133	71.90	60.20	82.20	75.20	50.80
Congo (DR)	23,003	13,554	9,449	75.80	71.80	81.70	71.00	50.00
Djibouti					54.70	79.20	66.60	39.40
Eritrea	1,792	1,056	736	73.70	68.80	80.00	67.40	45.10
Ethiopia	34,137	18,880	15,257	79.50	76.90	87.00	71.60	42.70
Kenya	15,413	8,725	6,688	78.70	70.40	88.50	81.50	52.70
Madagascar	8,540	4,413	4,127	82.00	68.20	92.20	88.10	71.80
Malawi	5,934	2,987	2,947	87.50	80.30	93.50	90.60	77.60
Mauritius	554	364	190	59.00	46.80	75.40	44.40	9.80
Namibia	641	365	276	53.90	33.00	73.90	48.40	25.80
Rwanda	4,161	2,029	2,132	81.50	71.10	94.30	83.00	48.40
Seychelles								
Somalia	3,513	2,133	1,380	76.90	79.50	68.10	52.70	
Sudan	10,041	7,559	2,482	45.60	32.70	57.50	52.40	37.70
Swaziland	301	204	96	49.30	41.60	64.90	46.40	19.50
Tanzania	19,235	9,718	9,516	87.40	80.60	96.00	90.20	61.80
Uganda	11,884	6,173	5,711	83.20	75.70	91.40	86.30	59.90
Zambia	4,897	2,831	2,065	77.50	76.80	84.40	67.50	50.80
Zimbabwe	5,659	3,216	2,443	72.50	59.80	87.30	83.80	58.80
<b>ESA IO Region</b>	<b>160,752</b>	<b>89,962</b>	<b>70,787</b>	<b>74.12</b>	<b>65.78</b>	<b>83.14</b>	<b>72.02</b>	<b>46.84</b>
Sub-Saharan Africa	296,962	170,084	126,878	73.90	65.60	83.50	73.60	48.60
North Africa	64,379	47,798	16,580	50.50	36.70	63.70	45.40	17.80
Africa	361,341	217,883	143,458	68.20	59.50	78.50	66.40	39.80

Source: Africa Development Indicator 2007

As data refers exclusively to 2005, it is not possible to track down a trend and, hence, make a proper assessment of developments occurred in this area. Nevertheless, these figures allow asserting that labour force in the ESA IO region has a strong female component, almost 45% of the total. The labour force of the region represents more than half of the total labour force of the Sub-Saharan Africa and almost half of the labour force of the whole Africa. The participation rate, which is the ratio between the labour force and the overall size of their cohort (national population of the same age range), presents the highest value for people aged 25-54, as usually it is expected to be. However, it is worth noting that this value is highest than the one recorded for North Africa, 63.70, and the whole Africa, 78.50.

With respect to environmental protection, as previously shown in Table 7.32 (MDGs) above, the situation is not highly concerning but progress has yet to be done. Actually, outcomes in terms of energy and natural resources conservation and protection seem to be rather disappointing. For instance, carbon dioxide emissions have risen from 0.45 to 0.70 metric tons per capita. The ratio of area protected to maintain biological diversity to surface area has moved from a value of 10.43 to 10.32.

In terms of peacekeeping, it can be stated that several steps forward have been carried out in past years. Although the African scenario remains worrying, the number of civil war, civil unrests, guerrilla campaigns, inter-ethnic violences and other related activities has remarkably decreased since 1996. As shown in the table below, countries in the ESA IO region involved in conflicts of different nature has shifted from 15 in 1996 to 14 in 2000, and to 5 in 2006.

**Table 7.34: ESA IO Conflicts, 1996-2006**

	1996	2000	2006
	Angola	Angola	Burundi
	Burundi	Burundi	Ethiopia
	Comoros	Comoros	Somalia
	Congo (DR)	Congo (DR)	Sudan
	Djibouti	Eritrea	Uganda
	Eritrea	Ethiopia	
	Ethiopia	Namibia	
	Kenya	Rwanda	
	Rwanda	Somalia	
	Somalia	Sudan	
	Sudan	Tanzania	
	Tanzania	Uganda	
	Uganda	Zambia	
	Zambia	Zimbabwe	
	Zimbabwe		

Source: *Peace Reporter, NDCF, CSCV*

With respect to democracy however, reliable and consistent statistics for several years are missing. However, it is worth considering the Democracy Index, which has been developed by the Economist Intelligence Unit. It focuses on five general categories; free and fair election process, civil liberties, functioning of government, political participation and political culture. The five category indices are then averaged to find the democracy index for a given country. Finally, the democracy index, rounded to one decimal, decides the classification of the country, as quoted:

1. Full democracies—scores of 8-10.
2. Flawed democracies—scores of 6 to 7.9.
3. Hybrid regimes—scores of 4 to 5.9.
4. Authoritarian regimes—scores below 4.

The table below reports the democracy index of the ESA IO countries, their score in the international list (total of 167 countries assessed), and the classification for each country (the highest the number, the lowest the index). Data below depicts a rather concerning scenario. As a matter of fact, only 1 country in the region can be considered as a functioning democracy, namely Mauritius, and another one as a flawed democracy, namely Namibia. Ten out of 19 countries in the region are reckoned as authoritarian regime, with Eritrea, Djibouti, and Zimbabwe at the top. Although these figures do not allow making comparisons with the past, it can be eventually stated that even if several changes have probably occurred, democracy in the region remains one of the priorities to be addressed.

**Table 7.35: ESA IO Democracy Index, 2006-2007**

Country	Score	Index	Category
Angola	151	2.41	Authoritarian regime
Burundi	107	4.51	Authoritarian regime
Comoros	115	3.9	Authoritarian regime
Congo (DR)	144	2.76	Authoritarian regime
Djibouti	152	2.37	Authoritarian regime
Eritrea	154	2.31	Authoritarian regime
Ethiopia	106	4.72	Hybrid regime
Kenya	101	5.08	Hybrid regime
Madagascar	85	5.82	Hybrid regime
Malawi	103	4.97	Hybrid regime
Mauritius	25	8.04	Functioning democracy
Namibia	59	6.54	Flawed democracy
Rwanda	118	3.82	Authoritarian regime
Seychelles	-	-	-
Somalia	-	-	-
Sudan	141	2.9	Authoritarian regime
Swaziland	139	2.93	Authoritarian regime
Tanzania	99	5.18	Hybrid regime
Uganda	100	5.14	Hybrid regime
Zambia	97	5.25	Hybrid regime
Zimbabwe	147	2.62	Authoritarian regime
N. Authoritarian Regimes		10/19	
N. Hybrid Regimes		7/19	
N. Flawed Democracies		1/19	
N. Functioning Democracies		1/19	

Source: Economist Intelligence Unit

**INDICATOR 8.7.3** Other impacts of the regional economic and institutional development on the MDGs: social inclusion and empowerment, gender equality; ...

As previously shown in Table 7.32 above, some progress has been done in terms of gender equality and women empowerment. The share of women in national parliament has increased from 10.56 % in 1996 to 17.60 % in 2005. The Gender Parity Index in primary level enrolment has improved as well, shifting from a value of 0.90 in 2000 to 0.92 in 2005. Data in Table 7.36 below provides further support to progress done so far, as the % of women in parliaments recorded for the ESA IO region in 2005 is higher than the value in Sub-Saharan Africa, 16%, and Middle East and North Africa, where the % is merely a 8%.

**Table 7.36: ESA IO Gender Statistics, 2005**

Region	Female population (% of total)	Women in parliaments (% of total seats)
ESA IO (average)	50.48	17.60
Sub-Saharan Africa	50.10	16.00
Middle East & N. Africa	49.50	8.00

Source: World Bank, Gender Statistics

**Intentions of the RSP and linkages between strategy proposed and poverty reduction.**

**RSP's intended impacts.**

The overall EC response strategy outlined in the 9<sup>th</sup> EDF RSP/RIP aims at addressing the issue of poverty reduction through achieving higher levels of economic integration while taking into consideration the complex inter-linkages between poverty and environment (§ 114). It is further stated that "for sustainable poverty reduction to take place there is a need to have sustainable economic growth at levels which allow increased capitalisation and infrastructural development to take place" (§67) and that "the analysis of the regional situation and the assessment of regional integration for the E&S Africa region indicates that countries in the region accept that poverty reduction depends upon achieving levels of economic growth of 6% or more per annum" (§ 75).

Looking at specific sectors, the 9<sup>th</sup> EDF RSP envisages what follows:

**Economic Integration and Trade:** "The overall aim is to increase economic growth and reduce poverty through higher levels of regional economic integration. The specific objective is that the programme will enable all countries in the region to become members of regional Free Trade Areas and/or a Customs Union, and to improve trade negotiating capacities at the regional and multilateral levels (including WTO and EPAs). This is expected to result in increased intra-regional trade; improved capacity to formulate trade policies; and the easing of budgetary constraints to further trade liberalisation. (§139)

**Management of Natural Resources.** The specific objective of this focal sector is to ensure the sustainable management of the natural resource base of the region in order to contribute to the overall aim of the reduction of poverty. This is expected to result in the development of common strategies, tools and networks to ensure sustainable management of the natural resources and the safeguarding of bio-diversity and in the definition and implementation of a regional fisheries policy. (§152)

**Transport and Communications.** The support envisaged for the sector can be summarised as follows:

*Aim* – to increase economic growth and reduce poverty through higher performance levels of the regional T&C network. *Specific objective* – improve efficiency of use of T&C infrastructure and develop a plan from which prioritised interventions can be identified, costed and financed. *Expected results* – master plan adopted for the region, regional T&C networks improved, transport costs reduced, increased inter-regional traffic flows (T&C). It is however explicitly recognised that since EC funds available at a regional level are relatively modest vis a vis EDF9 NIPs in E&S Africa countries, the RIOs should assist in bringing all stakeholders together to ensure the best possible return on the total NIP allocation, and that to avoid a piecemeal approach to the needs of the region, a transport and communications infrastructure master plan will be developed.

Finally, with regards to **CPRM**, the RSP states that “It is universally recognised that without peace and security there can be no meaningful development, so progress in conflict prevention, resolution and management are a pre-requisite for poverty alleviation.” (§61).

It is here recalled that the analysis of the 8<sup>th</sup> and 9<sup>th</sup> EDF strategies and of related interventions, shows that the sectors supported have largely been continued from the 8<sup>th</sup> EDF into the 9<sup>th</sup> EDF for the ESA-IO Region with almost identical intended effects (see effects diagram on page 15). The following table presents in a simplified manner how support to each focal sector was expected to contribute to the attainment of the overall objective (see also effects diagram presented in volume I (page 15) and in the present volume (page 60).

#### **Regional Economic Integration and Trade**

*Inputs*<sup>173</sup>: Support to RIOs to enhance regional and international trade liberalisation and competitiveness and integration of regional markets (through the improvement of negotiating capacities, capacity to formulate trade policies and easing of budgetary constraints) →

*Outputs*: RIOs strengthen the institutional and regulatory framework for regional liberalisation and economic integration and participate in regional Free Trade Areas and/or Custom Unions →

*Outcomes*: more competitive intra-regional market and increased competitiveness in the international market →

*Medium-term impact*: increased regional economic integration and exchanges with the rest of the world →

*Longer-term impact*: sustainable regional development / poverty reduction.

#### **Natural Resources Management**

*Inputs*: Support to RIOs to improve management of common natural resources (support to the development of common strategies, tools and networks) →

*Outputs*: RIOs strengthen policies, agreements and plans for coordinated management of common natural resources →

*Outcomes*: improved management (including both productivity and protection) of natural resources →

*Medium-term impact*: increased attractiveness of the region in terms of natural resources / increased competitiveness of the economic activities based on natural resources →

*Longer-term impact*: sustainable regional development / poverty reduction.

#### **Transport and Communications**

*Inputs*: Support to RIOs to increase competitiveness of regional transport and telecommunication networks →

*Outputs*: RIOs strengthen the planning and management systems for regional transport & telecommunication networks (development of a regional master plan, harmonisation of regulations and licences, ...) →

*Outcomes*: Reduced transport and telecommunication costs →

*Medium-term impact*: increased regional economic integration and exchanges with the rest of the world →

*Longer-term impact*: sustainable regional development / poverty reduction.

#### **Conflict Prevention, Resolution and Management**

*Inputs*: Support to RIOs to strengthen their capacity in CPRM →

*Outputs*: RIOs are enabled to promote and implement programmes/instruments for CPRM →

*Outcomes*: More effective CPRM initiatives in place →

*Medium-term impact*: increased attractiveness of the region in terms of security →

*Longer-term impact*: sustainable regional development / poverty reduction.

**The achievements assessed so far.** Previous sections of the report indicate that significant achievements have been registered; these can be summarised as follows:

- **Regional integration and trade:** 1/ the Programme has strongly supported the EPA process and has helped implementing trade liberalisation and market integration, including the promotion of CUs all over the region (see EQ 4); 2/ although at a general level, it is possible to conclude that improved trade regulations and the reduction of tariff barriers have had a positive impact on the growth rates registered in terms of trade volumes and values, even more so in the case of intra-regional trade (JC 8.6).

<sup>173</sup> Inputs under each component typically include: technical and institutional support, policy dialogue, financial support.

- **Transport and Communications:** 1/ the EC is contributing to the establishment of T&C sector planning, regulatory and management systems, and to the advancement in national and regional convergence (EQ 5); 2/ again, although at a general level, it is possible to conclude that improved transport regulations and corridors have contributed to the reduction of VOCs, passenger fares and freight costs (JC 8.4) and to increased trade (JC 8.6)
- **Natural Resources Management:** 1/ the Programme has played a leading role in supporting regional NRM cooperation favouring the empowerment of RIOs and improving coordination with and between development partners (EQ 6), and 2/ combined EC support has contributed to improve access of lake fish products to local, regional and international markets in a sustainable manner and has contributed to an increase of exports in sectors related to NRM; and EC supported projects have had a positive impact in promoting the sustainable management of the Lake Victoria fish resources (JC 8.5 & JC 8.6).
- **Conflict Prevention, Resolution and Management:** of the four focus areas this is the one 1/ where the EC - despite its huge value added - has been unable to fully develop its strategic potential (EQ 7), and 2/ where although the efforts to support peace by the EC/EU have had a positive impact on structural economic factors, the specific contribution of the EC's regional programme is negligible (EQ 8.6).

Among the positive achievements it should be noted that trade – the main indicator of regional integration - has grown faster than GDP (exports have grown at a rate of 7.2% per year while GDP has grown at a rate of 6.5% per year<sup>174</sup>).

**The impact on poverty reduction.** The growth rates attained in the region in the last decade, driven by the growth in trade, for their dimension should be able to produce a positive impact on poverty reduction<sup>175</sup>, although the time needed to generate a stable progress in the livelihood is longer than just a decade.

In fact, despite the generally improved growth performance, which is approaching the 7% MDG target growth rate required for a significant reduction of poverty levels, there remain considerable differences in living standards between countries as well as a certain degree of volatility in the last three years. Overall, performance in terms of MDGs is fairly disappointing (as all over Africa). Nevertheless, data retrieved shows some improvements (though not always consistently across indicators) for the whole set of MDGs<sup>176</sup>:

- MDG 1 - Poverty. The proportion of the population below the minimum level of dietary energy consumption decreased from 42.21% in 1996 to 38.68% in 2005.
- MDG 2 – Education. 'the net enrolment ratio in primary education' and the 'proportion of pupils starting grade 1 who reach grade 5' increased, respectively from 51.72% to 79.57%, and from 56.55% to 62.75%.
- MDG 3 – Women. Gender equality and women empowerment indicators are improving.
- MDG 4 – Child mortality. Under-5 mortality rate (per 1,000 live births) decreased from 143.40 in 1996 to 131.75 in 2005, and infant mortality rate (per 1,000 live births), which was 89.05 in 1996, dropped to 82.20 in 2005.
- MDG 5 – Maternal health. The maternal mortality ratio is still rather high (837.58, per 100,000 live births), but progress has been recorded in terms of births attended by skilled health personnel, which grew from 45.83 % to 46.74 %.
- MDG 6 – Disease. While HIV prevalence has been slightly decreasing over the period considered, other diseases have worsened.
- MDG 7 – Environment. Progress has been achieved in terms of access to improved sanitation and improved water sources, for which values have increased respectively from 33.81 to 41.95, and from 58.00 to 65.24. On the other hand outcomes in terms of energy and natural resources conservation and protection seem rather disappointing.
- MDG 8 – Development. Specific development indicators have already been addressed in other sections.

**The correlation between actual achievements and poverty reduction.** The EC programme implementation has favoured trade growth and productivity growth in some natural resource related sectors and in other areas. Trade growth has been the main driver of economic growth in the region, and the sectors (fisheries, tourism, transport, finance) that have benefited of the direct and indirect support of the EC programme have played an important role in the economic growth process. Therefore the programme has contributed to economic growth.

To what extent such economic growth has contributed to poverty reduction is a question that goes beyond the scope and the resources of the present evaluation. First, it is too early to identify a visible change in the regional poverty dimension as a consequence of less than ten years of sustained economic growth. Second, more complex and costly investigations should be carried out to identify the poverty impact of the actual economic

<sup>174</sup> These figures exclude the two big oil exporters (Sudan and Angola) and other countries for which no reliable continuous data has been found. GDP data are from World Development Indicators and export data are from UNCTAD. Full data are presented in Annex 7, tables 7.17 & 7.18 under JC 8.1.

<sup>175</sup> Cfr: §67 & 75 of the RSP "for sustainable poverty reduction to take place there is a need to have sustainable economic growth at levels which allow increased capitalisation and infrastructural development to take place", estimated for the region at 6% or more (§67 & 75 of the RSP).

<sup>176</sup> A summary table indicating changes in the MDGs in the ESA-IO region in the period 1996-2005 is presented in Annex 7 under Indicator 8.7.1, while the full list of data relating to the MDGs retrieved for all ESA-IO member states is presented in Volume 2, Annex 7, tables 20- 42).

growth occurred in some sectors. Here it is possible to develop several hypotheses based on the theory, such as:

- the economic growth of 6% must have generated employment in the most dynamic sectors: transport, trade and financial services, tourism, and others;
- the trade growth in fisheries and food shows an increased competitiveness of the regional supply chains, which rely on a majority of smallholders. Such smallholders must have benefited in terms of income from the increased competitiveness of their product.

It is not possible to develop any hypothesis, instead, on the alleviation of non-income poverty, though the governments' finance has certainly benefited of the economic growth and governments' expenditure capacity should have increased. But the study didn't acquire any data on the quality of the public expenditure. The same applies to the empowerment of the poor.

#### **SOURCES OF INFORMATION AND TOOLS**

**Documentary review of:** RSPs/RIPs; World Bank and other reports; Statistics on MDGs

**Interviews with:** civil society, private sector, academic and research institutions.





## ANNEX 8: SYNTHESIS OF FOCUS GROUPS

<b>FOCUS GROUP 8/04/2008 – MAURITIUS, INDIAN OCEAN COMMISSION SECRETARIAT</b>
<b>PURPOSE OF THE FG</b>
To assess programming and implementation cycle at IOC secretariat and their evolution since 7 <sup>th</sup> EDF taking into consideration the institutional framework and related management arrangements.
<b>WHO MANAGED THE FG AND HOW</b>
The evaluation consultant sent an outline of the questions in advance to a focal person in the IOC that helped to call the participants to the meeting. The consultant has initially explained the purpose and the focus of the meeting and detailed each question before giving the floor to the participants; he moderated the debate stimulating practical replies and examples
<b>PARTICIPANTS</b>
The five “Chargés d’Affaires” working at IOC Secretariat, each one appointed by a member country: 1. Fatoumia Bazi Abdoukarim (Comoros) 2. Gilbert Andrianantoanina (Madagascar) 3. Raj Mohabeer (Mauritius) 4. Gina Bonne (Seychelles) 5. Denis Bossard (France/Réunion) Each CdA manages several dossiers and programmes; they represent the only technical staff of the IOC outside project appointed TAs.
<b>SUMMARY OF CONTENTS</b>
IOC is supportive of the ESA-IO regional institutional configuration as it brought more involvement and visibility of the IOC in the African Union and NEPAD process.  IOC is willing to play an active role in this macro-region as well as to open functional cooperation with other countries and regions sharing its “island peculiarity”.  IOC is aware of its management weakness when compared to its programme portfolio and commitments. IOC is ready to strengthen its operational capacity and is seeking the support of its members countries and of the donors in the policy and political dialogue, in order to reach compliance with the Contribution agreement requirements.  IOC is willing to pursue its cooperation with EC in the sectors that characterise its peculiarities and its areas of competence, namely sustainable development and the natural resources sector.  IOC is supportive of the COMESA EPA negotiation at the condition that it will safeguard a fair deal for its export commodities (i.e. fish and textile).  Complementarity and subsidiarity of regional strategy with national ones should be enhanced in order to increase aid effectiveness and efficiency, as well as national empowerment and ownership.
<b>Issue / Question 1: What has been the impact of the evolving regional institutional framework on the IOC management?</b>
<ul style="list-style-type: none"> <li>• <b>7EDF:</b> IOC in its first RAO mandate had experienced financial management problems influencing its capacity to commit and disburse the regional envelope allocations.</li> <li>• <b>8EDF:</b> Its programming and implementation capacity improved, but the burden on the IOC staff increased due to diversification of programmes and donors.</li> <li>• <b>9EDF:</b> Despite limitation of focal areas by the umbrella framework of COMESA (top-down approach), IRCC played a satisfactory coordination role and the IOC focused on programme preparation and management.</li> </ul> <p>The overall institutional transition is positively assessed, despite the increasing work load on the limited staff and the lengthy EC procedures from planning to implementation. Two years for the preparation of the 10<sup>th</sup> EDF regional strategy is judged as being excessive and is a constraint for the definition of the institutional programming.</p>
<b>Issue / Question 2: How do you see the role of IOC and what are the priorities and challenges for the future?</b>
The IOC played a minor role in Africa regional cooperation in the past, due also to a scarce visibility and

limited knowledge of IOC in other African countries and regional organisations, to its strong affiliation and dependance to EC (the unique donor till EDF 8) and its strong ties with non-African Indian Ocean partners (India and Australia). The role and visibility increased with cooperation and association to SADC and COMESA.

To pursue the effort of improved integration in the African Union is a key objective of the IOC. Therefore IOC supports those initiatives favouring its contribution to wider platforms (i.e. AMESD), especially when it allows the IOC to promote and valorise its specific identity of island nations. IOC is favorable to build and strengthen regional competences and poles of excellence (i.e. coastal and marine resources management).

The IOC is now at a turning point. It has to increase its credibility and its role in regional cooperation, not limited to the neighbouring countries of the ESA-IO region but also enlarged to these countries and regions sharing its island peculiarity. IOC is promoting increased cooperation with other small islands developing states (SIDS) of the Atlantic coast (i.e. Cabo Verde), of the Indian ocean (Zanzibar and Maldives) and of the Caribbean and Pacific regions, regardless of geographic location. The catalyser of such enlarged cooperation is the Sustainable development agenda (follow-up to the Barbados Convention).

The "island specificity" is strongly advocated in other economic and social sectors of cooperation. IOC has adhered to the COMESA Economic Partnership Agreement (EPA) and moved forward with the so-called CMMS proposal led by Mauritius and Seychelles and joined by Comoros and Madagascar with the specific aim to guarantee the safeguard of favourable conditions to their export commodities (mainly fish). After the past regional initiatives on tourism, a new strategic approach is coming up focused on valorisation of heritage and involvement of SMEs, as the current private sector led approach does not need the IOC support. Instead, small-scale eco-tourism can contribute to link poverty reduction with sustainable NRM. Another priority area is risk assessment and natural disaster prevention and management (building on past and current coastal management and meteorology programmes).

**Issue / question 3: What is the added value of the EC regional cooperation and what do you expect from the EC support in the future**

The thematic/sectoral continuity of EC support to the IOC region is fully appreciated and contributed to strengthen its identity, competence and role in the wider platforms. Further consolidation of these achievements is expected in the 10<sup>th</sup> EDF regional strategy. The IOC is aware that meeting future commitments requires strengthening of its management capacity and that the current structure is weak compared to other RECs staff resources (i.e. IGAD, EAC).

The objective is to meet the EC requirements for the provision of the Contribution Agreement mechanism. The leading role of the EC in coordinating donors contribution to the IOC is appreciated. The IOC expect the EC to strengthen the policy dialogue with member countries in order to raise the importance and contribution of regional cooperation.

**Issue / question 4: How do you assess the regional / national relationships (subsidiarity), the impact of the IOC strategy and programmes in the member countries and what could be done to improve ownership and empowerment of regional cooperation in the member countries?**

Regional strategies and programmes should support not replace the national development efforts. Visibility of regional programmes should be enhanced for their added value and complementarity, they should respond to national needs. Need assessment during strategy and programme preparation is often weak. A subsidiarity study is highly needed and should accompany future planning and project preparation. Regional and national authorities should exchange information on respective RIP and NIPs and should jointly identify and decide appropriate funding instruments, in particular for EC funding, but also open for enhanced donors coordination.

Clear selection criteria and TOR should help the mobilisation of national focal points (NFP) responsible for ensuring appropriate empowerment and involvement of national stakeholders. This is often difficult as NFP are nominated by governments on top of their normal duties and their work is not monitored nor evaluated on performance criteria. The donors should support the political dialogue when formulating the strategies and signing programmes financing agreements.

In the specific case of Réunion island, there should be additional efforts to coordinate and make coherent the FEDER funds available for OCT with the EDF regional envelope in order to strengthen participation and contribution of Réunion to regional programmes.

<b>FOCUS GROUP 8/04/2008 – MAURITIUS, INDIAN OCEAN COMMISSION SECRETARIAT</b>
<b>PURPOSE OF FG</b>
Assess achievements, impact and implementation modalities of past and current EC regional programmes in order to identify key lessons and possible recommendations.
<b>WHO MANAGED THE FG AND HOW</b>
The evaluation consultant sent an outline of the questions in advance to a focal person in the IOC that helped to call the participants to the meeting. The consultant has initially explained the purpose and the focus of the meeting and detailed each question before giving the floor to the participants; he moderated the debate stimulating practical replies and examples
<b>PARTICIPANTS</b>
Managers, staff and regional stakeholders involved in the following regional programmes: 1. Mira Koonjul, Albion Fisheries Research centre (Mauritius), for the IOC Coral reef Regional network (7EDF) 2. Julien Million, Tuna tagging Programme (9EDF) 3. David Ardill, Regional Coordinator, SCS Fisheries Project (9EDF) 4. Denis Etienne, IOC technical advisor on marine environment (French funded). 5. Claude Soopramanien, regional Coordinator, Plant Protection programme (8EDF) 6. Lamberto Orilia, Administrative & Finance officer, Recomap (9EDF) 7. Winfried Wiedemeyer, ICZM specialist, Recomap 8. Laurence Cordonnery, IOC university Cooperation programme 9. Raj Luchman, IOC-IRCC project officer 10. Kalid Dopramenad, Technical officer, Ministry of Agro-industries & Fisheries (Mauritius) 11. Vincent Esclapez, Coordinator of the Fisheries Surveillance project (DG-FISH)
<b>SUMMARY OF CONTENTS</b>
Regional networks proved to be powerful means of cooperation, especially when favouring platforms of dialogue between public and private stakeholders and when linking scientific cooperation with economic sectors and decision-making processes.  However, sustainability and empowerment of such regional networks are limited by availability and continuity of qualified and trained human resources and by the degree of interest and commitment demonstrated by the countries' political and administrative spheres.  Complementarity and subsidiarity of regional and national initiatives is still poorly understood and enforced. More efforts should be given to exchange information and to favour dialogue at the policy and strategy formulation levels, as to clearly define appropriate platforms and financing instruments and enhance complementarity between regional and national strategies and interventions.  Regional strategies are appreciated and should be pursued in the harmonisation of national policies and legislation, strengthening the capacity building components and the linkages with the policy/political dialogue and sensitisation on sustainable development issues.  Improved support to governance and accountable management systems (both regional and national) could help overcoming the cumbersome administrative procedures, through increased reliance and application of budget support and contribution agreements.  There are some efforts in coordination of similar and sometimes overlapping initiatives in the region. Strong regional organisations and donors coordination platforms contribute to effective aid delivery methods and enhanced impact and visibility.
<b>Issue / Question 1: Empowerment and sustainability of regional initiatives.</b>
<u>Positive examples:</u> Regional Marine ecotoxicology network build under 7EDF PRE-COI is still alive and continue to operate mostly in Mauritius and Réunion, the countries mostly threaten by ciguatera (algal bloom and fish poisoning) problem.  Regional coral reef network (7EDF) continues to operate through public/private partnership arrangements and participate to the Global Network exchanging data and indicators in and for the region.

Weaknesses:

Some countries do not have qualified and/or sufficient human resources to cope with regional networking and cannot ensure full empowerment and continuity, especially where there is no arrangement or possibility to outsource or involve non-state actors. Continuous shifting of qualified staff in public administration is another factor of weak empowerment.

Some countries (i.e. Mauritius) do not fully understand neither are committed to regional management of shared resources (tuna), as they see only the interests of the national economy. There is a short-term vision and weak understanding of sustainable management from the political sphere.

**Issue / Question 2: Regional-national complementarity.**

The impact of regional initiatives in the countries can improve if a real complementarity with national level initiatives is promoted and assessed prior to strategy and project implementation.

Although policy support is seen as a major regional service, harmonisation of laws and regulations remains difficult.

Regional added value depends on the degree of ownership by participating countries, which is still weak either for political commitment and/or for scarce and discontinuous human resources.

Regional resources are still seen as extra-money in national projects and budget, therefore resources allocation and distribution to national components become often more important than the results and benefits of the programmes.

**Issue / question 3: Efficiency of implementation modalities.**

General and recurrent complaint on cumbersome EC administrative procedures. Limits of management instruments not adapted to ambitious objectives of the projects and neither to the countries legislation (i.e procurement of good and services). This situation lead to continuous reliance of project team on ECD to solve the problems (burden on EC staff) and often to delays in project expenditure, not meeting the targets and leaving resources unspent.

**Issue / question 4: Coordination and coherence with other donors and initiatives.**

Two projects are currently addressing the control and surveillance of fishery vessels (mostly EU nationals) in the IOC territorial waters. One is funded by the EDF regional programme (details) and the other is funded by the EC-DG Fisheries. The first has developed methodologies and tools for surveillance on landing stations but proved to be insufficient as the countries' competent authorities had neither the practical experience neither the resources to cover for the surveillance activities on sea. The second project is providing practical training on the vessels on rotation and with the participation of the other countries' officers. This is contributing to enhance cooperation between the regional authorities and staff. This is an example of coherence and complementarity between the two DGs of the EC with distinct objectives. DG-Dev is supposed to help the countries of the region, as DG-Fish has the objective to ensure the interests of the EU fleets.

On the theme of coastal management, there are several initiatives in the ESA-IO region: WIOMSA, WWF, France-MPA, IUCN, SIDA and the World bank/GEF. The 9<sup>th</sup> EDF RECOMAP is pursuing cooperation with those initiatives to converge efforts in terms of networking, capacity building and training of national stakeholders, policy support and financing NSA projects through the Calls for proposal scheme. In addition, the "Consortium for Conservation of Coastal and Marine Ecosystems in Western Indian Ocean", (WIO-C) is a joint initiative by IUCN, WWF, WIOMSA, CORDIO, WCS, UNEP-Nairobi Convention, IOC-Indian Ocean Commission, NEPAD and IOC-UNESCO, aimed at developing synergistic partnerships that will advance marine research, conservation and management in the Western Indian Ocean region.

**ANNEX 9: LIST OF PROJECTS SPECIFICALLY CONSIDERED AND PROJECT ASSESSMENT FICHES**

N°	Sector	Project name & number	Region / Countries
1	Regional Integration and Trade	Regional Integration Support Programme <i>9 ACP RSA 19</i>	ESA Region
2		Regional Integration Support Mechanism <i>RSA/006/05</i>	ESA Region
3	Transports & Communications	South Western Uganda Road Maintenance Programme <i>7 ACP RPR 692, 6 ACP RPR 573, 7 ACP UG 043, 7 ACP UG 044</i>	Uganda
4		Technical Assistance to the Roads Agency Formation Unit (RAFU) <i>9 ACP UG 009</i>	Uganda
5		Kampala Northern Bypass <i>8 ACP UG 40, 8 ACP RPR 28</i>	Uganda
6		Strengthening of Northern Corridor Road (Jinja – Bugiri) <i>7 ACP RPR 773, 8 ACP UG 31, 8 ACP ROR 20, 9 ACP UG 18</i>	Uganda
7		Urgent Repairs to Kampala-Malaba Railway Line <i>CA/SXP92/017</i>	Uganda
8		Rehabilitation of Monze-Zimba Road <i>8 ACP RAU 2, 8 ACP ZA 016</i>	Zambia
9		Rehabilitation of the Kabwe-Kapiri Mposhi and Chisamba Roads - <i>8 ACP ZA 20</i>	Zambia
10		Natural Resources Management	Implementation of the Fisheries Management Plan for Lake Victoria <i>8 ACP ROR 29</i>
11	Programme Régional de Protection des Végétaux dans l'Océan Indien <i>8 ACP RIN 12</i>		Comoros, Madagascar, Mauritius, Seychelles and France/Réunion (members of the IOC)
12	Conflict Prevention and Resolutions Management	Conflict Prevention Programme in the ESA-IO Region <i>9 ACP RSA 027 RSA/002/05</i>	Angola, Burundi, Comoros, Rep. Dem. Of Congo, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Malawi, Mauritius, Namibia, Rwanda, Seychelles, Somalia, Sudan, Swaziland, Tanzania, Uganda, Zambia and Zimbabwe
13		Institutional Strengthening and Capacity Building for the IGAD Secretariat	ACP Member States of the IGAD region (Djibouti, Ethiopia, Kenya, Somalia, Sudan, Uganda)
14		Support the implementation of the continental peace and security policy that has been designed by capacity development for AU	AU Member States

<b>Sector: RI &amp; T, # 1</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Regional Integration Support Programme 9 ACP RSA 19
<b>Country(ies)</b> ESA Region
<b>EC allocations and disbursements (budget line):</b> <b>(and including co-financing):</b> Euro 33,500,000.00
<b>Starting date</b> (planned / actual): 2004 <b>End date</b> (planned / likely):2009
<b>Project objectives (overall and specific):</b> This programme aimed at supporting and further promoting the regional integration efforts of the member countries of COMESA. It is mainly aimed at strengthening the COMESA secretariat in its role as designer and co-coordinator of integration process in the ESA region. The overall goal is to assist the region to implement the FTA as planned by October 2000, to manage the subsequent transition phase towards a Common External Tariff by 2004 and to move gradually to sustainable Common Market. The project, aims at supporting regional economic integration through a variety of activities: <ul style="list-style-type: none"> <li>▪ Implementation of the COMESA CU and EAC CU road maps</li> <li>▪ Improved trade negotiations capacity</li> <li>▪ Improved capacity to meet regional and international standards and SPS requirements</li> <li>▪ Improved and harmonised statistical data</li> <li>▪ Harmonised regional policies at national level</li> <li>▪ Strengthened monetary and fiscal cooperation</li> <li>▪ Improved tax policy and capital market harmonisation</li> <li>▪ Coordination of RISP implementation and capacity building for COMESA and EAC Secretariats</li> <li>▪ Transport and communications strategy and priority investment plan</li> </ul>
<b>Project activities:</b> All of the above with emphasis, to date, on 1,2,3,4 and 8 of the above. The prioritisation of projects is done by the COMESA Secretariat through a Contribution Agreement.
<b>Institutional framework:</b> COMESA SG.
<b>2. Methodology</b>
<b>List of documents analysed:</b> <ul style="list-style-type: none"> <li>▪ COMESA Secretariat, EAC Secretariat, Cooperating Partners Coordination Meeting, Report, Nairobi, Kenya, 27 June 2007</li> <li>▪ Davenport, M., (1999): <i>Review Of The Project On Regional Integration In Eastern And Southern Africa, and Financing Proposal for Regional Integration Programme II.</i></li> <li>▪ EC Delegation office - Lusaka, <i>Regional Programmes Coordination Meeting, Report</i>, 19 March, 2007</li> <li>▪ EC Delegation, Lusaka, <i>RISP Progress Monitoring Report</i>, 2007</li> <li>▪ EC Delegation, <i>Regional Programmes Coordination Meeting, Report</i>, Lusaka, 19 March 2007</li> <li>▪ EC-ACP: Partnership Agreement between the Members of the African, Caribbean and Pacific group of States of the one part, and the European Community and its Member States, of the other part signed in Cotonou on the 23 June 2000 (2000)</li> <li>▪ <i>EC-ESA EPA Trade Ministerial Meeting</i>, 3 March 2008, Zambia, Joint Conclusions</li> <li>▪ Evaluation of the European Commission's support to Southern African Development Community-SADC Regional Level Evaluation, Final Report and Annexes, (2007)</li> <li>▪ <i>Inter-Regional Coordinating Committee Secretariat</i>, Fourteen Meeting of the Inter-Regional Coordinating Committee, Quarterly Report no.18, Oc.-Nov.-Dec. 2007 and Jan. 2008</li> <li>▪ IRCC (2005) Joint Annual Report on Cooperation between the Region Eastern and Southern Africa and the Indian Ocean (ESA) and the European Community and Annexes</li> <li>▪ IRRC (2007): IRCC Quarterly Activity Report</li> <li>▪ IRRC (2007): Minutes of the 11th Meeting Feb. 8th and 9th, Final Report</li> <li>▪ Jakobiet, C; Hartzenberg, T; Charalambides, N (2005): <i>Overlapping membership in COMESA,EAC, SACU and SADC - Trade Policy Options for the Region and for EPA Negotiations.</i></li> <li>▪ Mid Term Evaluation of IRCC project, (2005)</li> <li>▪ <i>Regional Integration Support Programme (RISP)</i>, Narrative and Financial Reports, 1 January – 31 December 2008</li> <li>▪ <i>Regional Integration Support Programme</i>, Work Plan and Budget, COMESA-EAC, 1 January – 31</li> </ul>

December 2008, <i>Draft</i>
<b>List of people met:</b> see annex 3
<b>Other sources of information</b> (observation, focus groups, ...): N/A
<b>3. Scoring and explanatory comment</b> (very good, good, satisfactory, poor).
<b>Relevance: very good.</b> There is no doubt of the gains to be made from regional integration in the region
<b>Effectiveness: good.</b> There has been good progress in some areas, in particular the dismantling of tariffs, but less progress in others, e.g. non-tariff barriers and monetary and fiscal coordination
<b>Impact and sustainability: good.</b> There are some doubts about the prospects for further integration at the regional level, The EAC will likely go ahead and implement the planned common market, while the IOC countries may opt for their own CU and EPA. Other countries may choose the EBA option. As a result the COMESA CU - and its merger with the EAC CU - may not be implemented as planned.
<b>Efficiency: good.</b> Particularly in those areas which the COMESA Secretariat has prioritised
<b>3Cs: good</b> Though more coordination between the EAC and COMESA Secretariats in the past might have avoided certain problems, e.g. as regards the two CETs (now resolved) and the categorisation of goods (not yet resolved). These might have been avoided by a wider mandate for the IRCC
<b>EC value added: very good.</b> Other donors are not major players in regional integration
<b>4. Other observations</b> (if relevant): N/A



<b>Sector: RI &amp; T, # 2</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Regional Integration Support Mechanism RSA/006/05
<b>Country(ies)</b> ESA Region
<b>EC allocations and disbursements (budget line):</b> Euro 78,000,000.00
<b>Starting date</b> (planned / actual): 2009
<b>End date</b> (planned / likely):
<b>Project objectives (overall and specific):</b> The RISM Facility is intended to accelerate the regional trade liberalisation measures foreseen by EAC (CU) and COMESA (FTA and CU) by providing capital to the COMESA Fund which will in turn provide countries with financial support which face temporary revenue shortfall due to reduced tariff revenue.
<b>Project activities:</b> Funds will be paid to the ESA countries in question through the COMESA Fund and by way of a Contribution Agreement with the EC
<b>Institutional framework:</b> COMESA SG
<b>2 Methodology</b>
<b>List of documents analysed:</b>
<ul style="list-style-type: none"> <li>▪ COMESA (2007): 23<sup>rd</sup> Council of Ministers, Report</li> <li>▪ EC EuropaAid Co-operation, Office, Financing Proposal for RISM, 2007</li> <li>▪ Regional Integration Support Mechanism (RISM), Contribution Agreement between the European Commission (EC) and the Common Market for Eastern and Southern Africa (COMESA), 2007</li> </ul>
<b>List of people met:</b> see annex 3
<b>Other sources of information</b> (observation, focus groups, ...):N/A
<b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b>
<b>Relevance: very good.</b> There is no doubt of the gains to be made from regional integration in the region
<b>Effectiveness: good.</b> The programme has not yet been implemented and is awaiting ratification by certain COMESA MS and contributions to the COMESA Fund.
<b>Impact and sustainability: too early to assess</b> Likely to be good as long as the progress towards a ESA CU proceeds.
<b>Efficiency: too early to assess</b> This will have to be determined after the programme has been implemented
<b>3Cs: good.</b>
<b>EC value added: very good.</b> No other donors are involved in such a project
<b>4. Other observations (if relevant):</b> N/A

<b>Sector: T &amp; C, # 3</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> South Western Uganda Road Maintenance Programme 7ACPRPR692, 6ACPRPR573, 7ACPUG043, 7ACPUG044
<b>Country(ies):</b> Uganda
<b>EC allocations and disbursements (budget line):</b> €26.4 M (€13.3 m GOU), (and including co-financing): 21020: Road Transport
<b>Starting date</b> (planned / actual): 1/07/97 - <b>End date</b> (planned / likely): 30/06/01
<b>Project objectives (overall and specific):</b> Overall Objective: to eliminate constraints to development of regional and national economy by establishing a satisfactory level of services of the road network Project Purpose: control road deterioration in the region and preserve the capital investment in NCR and other main roads
<b>Project activities:</b> <ul style="list-style-type: none"> <li>▪ Partial strengthening and periodic maintenance of Kampala-Masaka Road sections B and C including sealing of shoulders and reinstatement of road markings and paintings</li> <li>▪ Spot rehabilitation and periodic maintenance of Kabale-Katuna Road</li> <li>▪ Maintain 2046 km of roads including urgent rehabilitation of some gravel roads</li> <li>▪ Recruitment of TA and the counterpart to the Management Training Unit (MTU), procure equipment for MTU and study MOWHC organisational structure in SWU</li> <li>▪ Registration of local contractors, carry out training needs assessment, procure training aids and develop training materials</li> <li>▪ Design and execute training programmes for MOWHC and local contractor's personnel</li> <li>▪ Construction and furnishing of an office block for the Management Support Unit</li> <li>▪ Establish District Management Units</li> <li>▪ Study and review current road maintenance planning and management systems and procedures and introduce new appropriate equipment (tractor drawn equipment)</li> <li>▪ Procure spares and repair selected MOWHC plant and equipment</li> <li>▪ Planning, management and supervision of routine and periodic maintenance activities</li> <li>▪ Locate 3 new axle load survey lay-bys, procure portable weighbridges, assign and train operators for mobile teams and introduce measures to enforce axle load limit control</li> </ul>
<b>Institutional framework:</b> National Authorising Officer of Ministry of Finance & Economic Planning
<b>2. Methodology</b>
<b>List of documents analysed:</b> MR-00183.01; Final Evaluation Report
<b>List of people met:</b> <ol style="list-style-type: none"> <li>1. Costas Tsiligiannis, 1<sup>st</sup> Counsellor, Head of Operations, EC Delegation</li> <li>2. Tomas Vens, Head of Section, Operations 2 – Economics, Trade &amp; Regional Interventions, EC Delegation Uganda</li> <li>3. Marcus Wattam, Managing Director, Cowi Uganda Limited</li> <li>4. George MacDonald, Programme Manager, Road Agency Formation Unit</li> </ol>
<b>Other sources of information.</b> Also as per Annex 4 Final Evaluation Report (evaluator was member of team which carried out final evaluation – HR & T expert)
<b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b>
<b>Relevance:</b> The project was designed as a road maintenance project but due to the delay in the start up many sections of road required reconstruction rather than maintenance. The budget was therefore rearranged to cater for more reconstruction and less maintenance than had originally been planned. The timing of some of the programme components was poorly designed and in particular the time required to procure equipment was underestimated which in turn affected the training and contracting elements. Drainage works were largely overlooked in the original design and these are of particular importance due to the hilly terrain, however these were implemented subsequently. There continues to be little regulatory

<p>control on overloading, speeding and safety although a weighbridge was constructed near to Mbarara. The overall objective to control the deterioration of the roads in the region was achieved. Original assumptions remain relevant but the timing of the components in the financing proposal was too ambitious and impractical in many circumstances.</p>
<p><b>Effectiveness:</b></p> <p>The maintained roads were in good condition after rehabilitation which led to an increase in traffic flow but subsequent maintenance neglect has resulted in rapid deterioration. Most road users benefited in the short term due to the improved access to markets, improved driveability, quicker travel times, and improved economic activity. Portable weighbridges supplied under the contract were not used effectively in the project area. Some OVIs were not realised due to the late start of the project components. The project impacts directly on many of the beneficiaries, some of whom were employed on the various projects but the local contracting industry continues to have a poor image. Some district councils have improved the feeder road network and donor agencies have also implemented feeder road projects which have complemented the South Western Uganda Road Maintenance Programme.</p>
<p><b>Impact and sustainability:</b></p> <p>The region is important in terms of agricultural produce and there continues to be increases in cross-border traffic in commodities such as fuel etc. Improvements to the road network have thus mirrored and contributed to the economic growth of the region. Most planned effects were positive, however more regulatory control on issues such as road safety, speeding and vehicle overloading continues to be required. Assumptions were relevant and GoU contributed maintenance funds and salaries etc for its staff although actual GoU expenditure is difficult to ascertain due to complicated accounting procedures. On the job training has been provided (although late delivery of equipment meant that some training could not use the intended equipment) together with equipment and it was expected that the GoU would continue with the road maintenance programme although donor agencies, bilaterals, World Bank and ADB are providing support to different regions. In addition, feeder road schemes have been funded in the project area. A road condition survey has been prepared which forms the basis for the budget requirements of the future (but resources continue to be insufficient for routine maintenance) whilst maintenance of the road network has been decentralised and is the responsibility of the district authorities. However there is a lack of qualified staff, particularly in the workshops and that more comprehensive training is required. Overall SWURMP achieved most of its overall objectives of improving economic development of the region and country although the project made little effort to monitor specific impacts of SWURMP on the sustainable development of the region</p>
<p><b>Efficiency:</b></p> <p>Some programme components were slower to get started than had been anticipated such as the procurement of equipment (most of which arrived after TA contract had finished) and the procurement of works contractors. In addition the original TA Team Leader was ineffective and it took a long time to find a suitable replacement. Many of the project activities started towards the end of the programme and some additional works were identified with the result that a rider was prepared to the financing agreement to increase the project budget by €M4.4 to €M26.4 and the programme timing to 31/12/00. Effective axle load control has still yet to be established and road safety aspects have been given limited attention. Results were achieved later than expected although the quality of the road repair and maintenance was on the whole good resulting in reduced travel times and vehicle operating costs. Capacity building and training programmes have been implemented and private sector participation has been enhanced. Problems were experienced with some of the works contractors which have resulted in unforeseen delays and many works contracts extended beyond the official end date and for which the defects liability period extended until 2002. Delayed payments are caused serious problems particularly to the local contractors. However, overall there was a high rate of resource allocation with some 96% of EDF resources committed. All payments including those in local currency were effected from Brussels thus slowing payments</p>
<p><b>3Cs:</b> N/A</p>
<p><b>EC value added:</b> EC procedures under EDF proved to be value-deducted rather than value-added</p>
<p><b>*Overall Scoring: Satisfactory/poor (especially regarding sustainability)</b></p>
<p><b>4. Other observations</b></p>
<p>Some equipment supplied under this project remains unused in Mbarara depot at the time of writing</p>

<b>Sector: T &amp; C, # 4</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Technical Assistance to the Roads Agency Formation Unit (RAFU) 9ACPUG009
<b>Country(ies):</b> Uganda
<b>EC allocations and disbursements (budget line):</b> €1,999,500 21020 Road Transport
<b>Starting date</b> (planned / actual): 1/04/05-12/04/05 -
<b>End date</b> (planned / likely): 31/12/07-31/12/08
<b>Project objectives</b> (overall and specific): The project purpose (PP) is to effectively support the effective management of EDF funded projects and transfer knowledge and skills to RAFU Ugandan engineers and to thus ensure the future sustainability of UNRWA.
<b>Project activities:</b> The assistance provided by the project was not to be exclusively for EDF funded initiatives and, whilst they should have priority, other actions supervised by RAFU could be supported by the TAs. Originally the TA was to consist of 3 full term experts and 4 visiting specialists. This has now been converted into three full time experts and two medium term inputs who are concentrating on management change or the establishing of a fully functioning UNRA. The project was originally planned to cover a 3 year period but this is being reviewed following the late start up of the project and the engagement of two change management specialists. Because of the shortage of skilled and experienced engineers at RAFU the TAs are assuming an executive role and they work together with the Ugandan engineers to cover the whole road construction cycle.
<b>Institutional framework:</b> National Authorising Officer of Ministry of Finance & Economic Planning
<b>2. Methodology</b>
<b>List of documents analysed:</b> MR-02055.01 – 21/05/07
<b>List of people met:</b> 1. Costas Tsiligianis, 1 <sup>st</sup> Counsellor, Head of Operations, EC Delegation 2. Tomas Vens, Head of Section, Operations 2 – Economics, Trade & Regional Interventions, EC Delegation Uganda 3. Stephen Ajalu. Programme Officer, Royal Danish Embassy 4. Daniel Rutabinga, Investment Officer, African Development Bank 5. Marcus Wattam, Managing Director, Cowi Uganda Limited 6. George MacDonald, Programme Manager, Road Agency Formation Unit
<b>Other sources of information</b> (observation, focus groups, ...): N/A
<b>3. Scoring and explanatory comment</b> (very good, good, satisfactory, poor).
<b>Relevance.</b> A mid term review (MTR) was conducted on this project in October 2006. It is not possible to monitor the TA project without considering the status of RAFU simultaneously, which continues to be seriously understaffed and thereby increasing the relevance of the TA project even further. Addendum 1 to the TA contract signed on the 27 February 2007 introduced design changes which were in line with the recommendations of the MTR. Amendments included giving the TA team the role of assisting and supporting the establishment of the Uganda National Roads Authority (UNRA) (the Executive Director has only very recently been appointed but no other members of UNRA management have yet been appointed) and described its line management role in the day to day functions of RAFU. Staffing of the team was extended to include two specialists to assist the UNRA board and the Ministry of Works and Transport (MoWT) in the establishment of UNRA. These design changes were a welcome pragmatic response to the RAFU staffing difficulties and the excessive delays in establishing UNRA. They have however significantly increased the burden of responsibility on the TA team although in effect introducing a separate role in the provision of expertise to accelerate the moribund plans to create UNRA as a fully functioning entity.
<b>Effectiveness:</b>

<p>Effectiveness of the TA programme has been severely constrained by the delays in presenting the way forward, not only for the institution itself, but the impact on the staff. The MTR provided some relief for staff concerned over their future but morale sunk due to delays. It was assumed that RAFU, introduced as a transitional institution in 1998 for an estimated 2 years, would allow staff to be absorbed into the new UNRA. The Act stipulates however that appointment of staff will be by selection and interview whilst the current WB loan which paid 80% of the salaries expired at the end of 2007. GoU committed to provide a budget to ease the transition stage but UNRA is still not operational although some board members have been appointed. Engineering targets are however being met and the quality of the results are judged satisfactorily.</p>
<p><b>Impact and sustainability.</b> Despite the late arrival of the TA members they are positively contributing towards to implementation of the RAFU programme whilst the arrival of the two specialists to work on the transition phase to UNRA has provided some concrete inputs into that sub sector. It is very clear however that the TA impact has been seriously jeopardised by external factors. Not only will quality supervision impact on the Uganda road sector but also on the region as Uganda is a conduit for goods leaving the port of Mombasa for neighbouring countries. Sustainability has to be examined both at staff and institutional levels. Institutionally the TA contract ends at the end of 03/08 whilst that of the TA Project ends in 12/07. These dates have not yet been rationalised although it is understood that TA contracts will be extended. Without this assistance, especially in a transition phase if it comes about, the future is bleak for the adequate supervision of the Uganda roads programme. The establishment of UNRA following on from RAFU continues to be unclear as it is now nearly 10 years since the original decision to establish a roads authority. 1985 WB had 8n° TAs in RAFU and now there are none. It is reasonable to assume that engineering staff in RAFU are amongst the best qualified in the country. With TA support now and in the past they have developed their skills considerably. It could be that without early action these skills will be lost along with the systems established by RAFU.</p>
<p><b>Efficiency.</b> Early attempts to establish the TA team were little short of disastrous with initial delays on the EC/Government of Uganda (GoU) side in awarding and preparing the contract. Worse was to follow with the inability of the contractor to field an acceptable team, the last member arriving in early 2006. There is no doubt that this affected the efficiency at start up. Nevertheless the MTR concluded that the TA team are now performing satisfactorily and the 2 new additional specialists in change management and road reform arrived on 01/03/07. The staffing of RAFU continues to cause concern. According to a report prepared for the World Bank (WB) in December 2006 the declared establishment was 96 persons with 62 in post. A more detailed analysis shows that of the required number of engineers, 35, only 16 are in position. This situation is aggravated by a turnover of staff and the departure of TA supplied through a WB loan. Nevertheless the TA team together with their RAFU counterparts continue to work effectively particularly where they have to deal with contractual issues. Capacity building, emphasised in the TA contract, is very much a hands on training exercise due to the staff situation and the pressure of work. Since their arrival the change management specialists have produced an inception report proposing a division of the UNRA process into 3 phases; preparation, transition and consolidation whilst the main thrust of the report is to follow up the Act of 2006 establishing UNRA and the Ministerial Statutory Instrument of 12/06. A Reform Implementation Team has been established which will follow through the transition strategy as, unfortunately, the Act of 2006 did not detail how transition should be effected. RAFU management are responsible for regularly monitoring the efficiency and effectiveness of the TA team but they have still not yet assumed this role.</p>
<p><b>3Cs:</b> N/A</p>
<p><b>EC value added:</b></p>
<p><b>*Overall Scoring: Poor</b></p>
<p><b>4. Other observations</b></p>
<p>The TA programme continues as described in the MTR to provide a high level of support to RAFU. Addendum no.1 to the TA contract was an important document as it clarified their role and provided additional assistance. External factors will play a major role in the impact of the team in the near future.</p>



<b>Sector: T &amp; C # 5</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Kampala Northern Bypass 8ACPUG40, 8ACPRPR28
<b>Country(ies):</b> Uganda
<b>EC allocations and disbursements (budget line):</b> €52,500,000; 21020 Road Transport
<b>Starting date</b> (planned / actual): 11/07/03
<b>End date</b> (planned / likely): 31/12/08
<b>Project objectives (overall and specific):</b> Overall Objective (OO): “to improve international and domestic trade and promote regional integration”. The Project Purpose (PP) integrates the intentions to lower transport costs, to decongest the through-traffic, to minimise road deterioration, to facilitate poverty alleviation and economic development, notably in the northern suburbs crossed by the proposed highway.
<b>Project activities:</b> Management of the tender procedure, works and supervision contracts.
<b>Institutional framework:</b> National Authorising Officer of Ministry of Finance & Economic Planning; Ministry of Works, Housing & Communications
<b>2. Methodology</b>
<b>List of documents analysed:</b> MR-01691.02
<b>List of people met:</b> 1. Costas Tsiligiannis, 1 <sup>st</sup> Counsellor, Head of Operations, EC Delegation 2. Tomas Vens, Head of Section, Operations 2 – Economics, Trade & Regional Interventions, EC Delegation Uganda 3. Stephen Ajalu. Programme Officer, Royal Danish Embassy 4. Daniel Rutabinga, Investment Officer, African Development Bank 5. Marcus Wattam, Managing Director, Cowi Uganda Limited 6. George MacDonald, Programme Manager, Road Agency Formation Unit
<b>Other sources of information</b> (observation, focus groups, ...): N/A
<b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b>
<b>Relevance:</b> Kampala is congested by heavy international traffic using the Northern Corridor Route (NCR), which is funnelled through the City Centre, where roads not designed for such traffic get damaged. The 21 km Kampala Northern Bypass (KNB) will be an integral part of the NCR, which links the port of Mombasa to landlocked Rwanda, Burundi, Southern Sudan and Eastern Congo. The Road Agency Formation Unit (RAFU) is responsible for project supervision, on behalf of the Ministry of Works, Housing and Communications (MWHC). The KNB design was completed in 2002, with attention to environmental and social implications of the itinerary. Rider N.1 has been signed by Brussels AIDCO/C1, to commit € 5M from 9th EDF resources, bringing the total to € 52.5M and to extend the final date to 31/12/10. The assumptions include adequate budget for road maintenance by the Government of Uganda (GoU) and enforcement of axle load control neither of which have been fulfilled. The contractual architecture allows low flexibility during implementation whilst altering the design after the tender, which is too propitious to the cheapest offer, easily provokes litigation or cost overruns (which has been the case with complicated claims and time over-runs). Price revisions foreseen in works contracts provide some flexibility but risk for alterations in prices is carried by the client (GoU and ECD). Also, divergent objectives between the public sector (good road network) and the private sector (maximise profits by increasing the quantities and prices) are emphasised. The contractual architecture allocates disproportionate long-term risk to the public sector. On 17/07/06, an Amicable Settlement was reached between the Contractor and the GoU, allocating a 9.5 month extension and additional € 4M budget. The ECD was not involved in the

settlement but subsequent disputes continue unresolved.
<p><b>Effectiveness:</b>          International transport and local traffic will use the bypass, directly reducing through traffic in Kampala, making local traffic flow more fluid. Price escalation of real estate has already been observed - small businesses (restaurants, accommodation, mechanical services) are being established along the route, all conducive to economic development. Exposure to AIDS risks will increase a threat for which the project is not sufficiently raising awareness.</p>
<p><b>Impact and sustainability:</b>          International trade and regional integration will be promoted by the new infrastructure, but the contribution of the KNB relies on connectability and the good quality of the remainder of the NCR, to ensure reliable a transport service for passengers and goods. The contract allowed Liquidated Damages, to be applied from 04/09/07 although subsequent bad-tempered negotiations continue. The phase-out strategy is vague – CHOGM controversy, disputed contractual end date. The flouting of axle load control by transporters indicates a low share of responsibility for the durability of the road. The Contractor continues to work to low levels of environmental awareness. The exploitation of 28 quarries and 15 borrow pits has caused some environmental degradation (erosion) and visual injury (scarred landscape) to densely populated, peri-urban areas. Although the 80 mm asphalt wearing course should be robust adequate service and economic life depends upon quality of construction and adequate maintenance regimes being put in place.</p>
<p><b>Efficiency:</b>          Implementation commenced on 20/05/04 by the Contractor, Salini Costruttori S.P.A. Mobilisation was slow and the quality of the aggregate from the proposed quarry became litigious. The sub-contracting of 100% of the works to local companies has been unsuccessful and is reported to be in violation of the conditions of contract. The contractor did not assign a Senior Roads Engineer to direct the subcontractors and overall worksite until 04/07. Physical completion of works is now reported to be around 80%. Although the original programme foresaw bridgeworks completion by 02/06, the performance has been better than on the road, with most structures completed by the end of 2007. By letter dated 05/04/07, the contractor lists his grievances, including rain, breach of the amicable settlement, breach of the advance repayment, 29 obstructions on site, 4 riots, late instructions from the Supervisor's Representative (SR) BCEOM, the SR's inability to work with site managers, the added expense due to the unwritten commitment to open the road by 17/11/07 for the Commonwealth Head of Government Meeting (CHOGM). By letter of 07/03/07 ECD expressed that the terms "passable" and "substantially complete" are ambiguous and can easily evolve into claims and litigation. The delays, quality problems and contentious strategy of the contractor has induced the SR to retrench strictly to the terms and technical specifications of the contract and to be intransigent on quality. This style of supervision is seen by the contractor as overzealous, and not conducive to the completion of the road. In 04/07, the contractor mobilised a new Manager of Subcontractors and started providing daily programmes to the satisfaction of the SR. The poor relationship between the Contractor and the SR has been highlighted, but this is a symptom, not a cause of the difficulties: if the performance was satisfactory, the relationship would probably not be an issue but undoubtedly this relationship does not help to resolve difficulties. ECD and RAFU are well informed and actively cooperating in solving the problems arising on this worksite, but the instruments at their disposal are inadequate and neither RAFU, nor the SR, nor the ECD count a lawyer among their teams. Diesel shortages have also provoked further delays and threats of additional claims.</p>
<b>3Cs:</b> N/A
<b>EC value added:</b> None noted
<b>*Overall Scoring: Poor</b> (although the delayed impacts of the finished works should be satisfactory)
<b>4. Other observations</b>
This flagship EC project is in serious difficulties. Weak instruments are at the disposal of the responsible institutions making it difficult to manage controlled solutions.



<b>Sector: T &amp; C # 6</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Strengthening of Northern Corridor Road (Jinja – Bugiri) 7 ACP RPR 773, 8 ACP UG 31, 8 ACP ROR 20, 9 ACP UG 18
<b>Country(ies):</b> Uganda
<b>EC allocations and disbursements (budget line):</b> €69,200,000 21020 Road Transport
<b>Starting date</b> (planned / actual): 30/06/02 – 19/02/02
<b>End date</b> (planned / likely): 31/12/05 -31/12/08
<b>Project objectives (overall and specific):</b> Overall Objectives of the project are to improve international and domestic trade and promote regional and sub-regional integration. Project Purpose is to provide a safe and sustainable road network thereby reducing transport costs. Results are: <ul style="list-style-type: none"> <li>▪ 60.1 km of single carriageway rehabilitated, 12.7 km of dual carriageway rehabilitated to a pavement width of 7m with 2m wide shoulders;</li> <li>▪ infrastructure constructed and improved, of the border post with Kenya at Malaba (custom, axle load control facilities)</li> </ul>
<b>Project activities:</b> Management of the tender procedures, works and supervision contracts. The main project activities for the border post were rehabilitation of the border post buildings, improvements in customs and axle load control facilities and construction of an all weather vehicle parking area. The proposed works for the road include 11.85km of dual carriageway in Jinja while the rest will be single carriageway. The other works will include drainage, earthworks, sub base and bituminous surface pavement.
<b>Institutional framework:</b> National Authorising Officer of Ministry of Finance & Economic Planning; Ministry of Works, Housing & Communications
<b>2. Methodology</b>
<b>List of documents analysed:</b> MR-01251.01; MR-01251.02; MR-01251.03
<b>List of people met:</b> <ol style="list-style-type: none"> <li>1. Costas Tsiligiannis, 1<sup>st</sup> Counsellor, Head of Operations, EC Delegation</li> <li>2. Tomas Vens, Head of Section, Operations 2 – Economics, Trade &amp; Regional Interventions, EC Delegation Uganda</li> <li>3. Stephen Ajalu. Programme Officer, Royal Danish Embassy</li> <li>4. Daniel Rutabinga, Investment Officer, African Development Bank</li> <li>5. Marcus Wattam, Managing Director, Cowi Uganda Limited</li> <li>6. George MacDonald, Programme Manager, Road Agency Formation Unit</li> </ol>
<b>Other sources of information</b> (observation, focus groups, ...): N/A
<b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b>
<b>Relevance:</b> Transport is a focal sector of EC co-operation with the Government of Uganda (GoU) and this project is in line with the Road Sector Development Program (RSDP). The road and border post are on the Northern Corridor Route (NCR) from Mombasa, Nairobi, Kampala and leading to south western Uganda servicing Rwanda, Burundi and the Democratic Republic of Congo. This is a major road transport route for haulage of imports and exports of the countries and communities in the region. The 1st Addendum (19/12/05) extended the completion date from 31/12/05 to 31/12/08. The 2nd Addendum (04/08/06) increased the Fund Commitment by € 19M, from 9th EDF resources, to a total of € 69.2M. The weakness of the intervention logic lies in the long-term view, with the assumptions at results level: “efficient road maintenance” and enforcement of axle load

control” which are fully GoU responsibility – a responsibility that continues to be unfulfilled. The contractual architecture - input-based contracts with delegated supervision - is rigid and places the client in a relatively weak position, allocates long-term risks to the public sector, sustains ad hoc management of the road network, strains the relationship between the private and public sectors and splits the natural link between rehabilitation maintenance. The extra allocation of 19M€ from 9th EDF resources to an 8th EDF project indicates weaknesses at design and tendering stages – a reactive rather than proactive approach.

**Effectiveness:**

The new Malaba Border Post is now functional and is providing improved services for customs clearance and axle load controls. The quality of works is generally satisfactory. However there is the need to consider computerising the axle load control of the weighbridge in order to achieve higher efficiency. The main benefits to the community to date are with regards to job opportunities in construction and opportunities in provision of services to the contractor and the contractors’ workforce. This project contributes to the road network and, marginally, to the reduction of transport costs, although this is not quantified but this achievement is jeopardised by other sections of the Northern Corridor which are in need of maintenance or rehabilitation. The affected property and landowners have been compensated but the abandonment of site by the first contractor resulted in negative impacts (dust, terrible road conditions, and bad drainage) for the resident communities. Stiffer laws have been enacted by the Government of Uganda (GoU) to deter overloading of trucks and trailers using the roads under which offenders are fined and charged by courts of law. However fines remain token sums which do not reflect damage caused and enforcement remains weak and easily evaded.

**Impact and sustainability:**

Assumptions were political and economic stability (not fulfilled in Kenya), and implementation of the Kenya-Uganda Transit Agreement (fulfilled). The Malaba border post and Jinja-Bugiri road section are essential links of the Northern Corridor and their upgrade will contribute positively to trade and regional integration, on condition that the other sections of the Northern Corridor are also upgraded and maintained. The main negative impacts are with respect to environmental degradation as a result of damage caused at quarry and borrow pit site and along the project site for the road project although mitigation measures should be implemented. The possible impact the project may have on the community and workers in terms of spread of HIV/AIDS are hoped to be mitigated by the awareness campaigns that are part of the somewhat belated activities of the project from 2004. Otherwise there are several positive impacts the project has had on the community and road and border post users. The new border post is now in use with improved services. Good structural design of the Jinja-Bugiri section is likely to provide a durable service for road users, but does not suspend the need for a maintenance plan. The GoU is overwhelmed by the task of managing the deteriorating road network, and it welcomes the assistance offered by the Donor Community. However, inadequate and at times untimely release of road maintenance funds by the government pose a risk to sustainability. The absence of a Master Plan, coupled with political interference and bureaucratic rigidity are factors which continue to hinder optimum management of the road network.

**Efficiency:**

EC procedures were not reported to have inhibited the efficient implementation of the project and that there were good links between the EC and the NAO in the Ministry of Finance, Planning and Economic Development (MoFPED). However, there were delays of about 18 months to complete the construction works at the Malaba Border Post (which finally opened 19/02/02) and there were cost overruns. The initial bids for the road project were cancelled due to either non-responsiveness or tender sums exceeding the financial budget. Proper procedures were followed in cancelling the initial tender and negotiations undertaken with selected bidders but the negotiated contract sum was about 398,000 Euros more than the annulled bid sum from the contractor that was eventually awarded the contract. There were design and documentation flaws for the road contract that led to time and cost overruns. There were changes to the specifications for the asphalt concrete surface based on failure experiences of the current specifications in nearby Kenya. This had been queried by the bidders at tender stage but was not dealt with then by RAFU. The Jinja-Bugiri road section suffered consecutive contractual problems. The first contract was opened on 29/04/04, the contractor abandoned the site, and the contract was terminated on 22/11/06. Urgent Repairs

contracts were financed in 08/05 and 01/06, to a value of €691,000. The contract was re-tendered in 02/06, awarded in 06/06 and implementation started on 01/07/06. The long standing fuel shortages were a serious problem for the contractor. The fixed end date (sunset clause) may pose an administrative difficulty in 12/08. The Supervisor's Representative (SR), BCEOM, notes a continuing backlog of payments to the contractor. Contracts on the road project are VAT inclusive and both the contractor and consultant which led to further problems.

**3Cs:** N/A

**EC value added:** N/A

**\*Overall Scoring: Satisfactory**

**4. Other observations**

This project has overcome serious contractual hurdles.

<b>Sector: T &amp; C # 7</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Urgent Repairs to Kampala-Malaba Railway Line CA/SXP92/017
<b>Country(ies):</b> Uganda
<b>EC allocations and disbursements (budget line):</b> €10,217,990; 2103 Rail Transport
<b>Starting date</b> (planned / actual) : 15/07/03 – 22/04/03
<b>End date</b> (planned / likely): 15/09/05
<p><b>Project objectives (overall and specific):</b></p> <p>Overall objective of the project is “to increase the volume of Uganda’s import/export traffic carried by rail” by providing a reliable and safe service on the Uganda section of the railway line to Mombasa.</p> <p>Specific purpose is to ensure that this vital transport corridor remains operational anticipating full rehabilitation.</p> <p>Results expected:</p> <ul style="list-style-type: none"> <li>▪ the railway line will remain open;</li> <li>▪ the number of derailments and transit losses will be greatly reduced;</li> <li>▪ several of the temporary speed restrictions will be removed;</li> <li>▪ the railway line capacity will increase significantly making Uganda’s imports/exports less dependent on the road connection.</li> </ul>
<p><b>Project activities:</b></p> <ul style="list-style-type: none"> <li>▪ design review and detailed identification of actions;</li> <li>▪ an EU Project Implementation Unit (PIU) directly reporting to the URC Board of Directors;</li> <li>▪ Annual Work Plans to be implemented by the PIU;</li> <li>▪ works contracts regarding the Nile Bridge rehabilitation and the Naigombwa Culverts replacement;</li> <li>▪ supply contracts for the needed track materials and new stone ballast (30,000 m3);</li> <li>▪ track repairs over 30 km implemented by the PIU in the form of direct labour;</li> <li>▪ a service contract for external quality monitoring of works implemented by the PIU.</li> </ul>
<p><b>Institutional framework:</b></p> <p>National Authorising Officer of Ministry of Finance &amp; Economic Planning;          Uganda Railways Corporation (URC)</p>
<b>2. Methodology</b>
<b>List of documents analysed:</b> MR-01249.01
<p><b>List of people met:</b></p> <ol style="list-style-type: none"> <li>1. Costas Tsiligiannis, 1<sup>st</sup> Counsellor, Head of Operations, EC Delegation</li> <li>2. Tomas Vens, Head of Section, Operations 2 – Economics, Trade &amp; Regional Interventions, EC Delegation Uganda</li> <li>3. Daniel Rutabinga, Investment Officer, African Development Bank</li> </ol>
<b>Other sources of information</b> (observation, focus groups, ...): N/A
<b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b>
<p><b>Relevance.</b> The decision to let the Project Implementation Unit (PIU) carry out the track relaying works has saved time and budget. Assumptions concerning the Uganda Railways Corporation’s (URC’s) contribution were not fulfilled, due to URC’s lack of capacity and resources. The overall budget was insufficient to cover both cost increases on contracts and the additional supply of track repair equipment/tools, not to mention urgent repair needs not included in the CA whilst the design omitted the earthwork for the Naigombwa Culverts replacement works in the Bill of Quantities (BoQ) whilst the contractor claimed an additional amount far exceeding the estimate of the EC Delegation (ECD). An extension of contract period was granted with additional costs</p>
<p><b>Effectiveness.</b> The PP was achieved. The project adapted well to the implementation bottlenecks caused by the URC by providing additional supplies of repair equipment and tools but due to</p>

financial, managerial and technical capacity constraints, the URC was not able to complete the Phase 1 works listed in the CA. The need for timely reinforcement or replacement of the lower parts of the steel girders of the Nile bridge side spans had to be assessed as the design technical audit report of 04/04 did not address this issue. In theory commercial exporters and importers are the final beneficiaries, who will be offered a better choice between road and rail. This modal competition could result in lower transport tariffs and more reliable services but in practice there continues to be a very small percentage of freight carried by rail, road transport carrying the vast majority of freight and passenger traffic

**Impact and sustainability:**

The project delivered a relative improvement of the track conditions for handover to the concessionaire. A significant increase in freight operations was envisaged following a successful concession (although this has not happened). Improved rail freight services would also relieve the pressure on the road infrastructure. However, the eventual impact was dependent upon the URC performance during the intermediate period until a concessionaire takes over, as the project does not offer a fully-fledged rehabilitation and is this stop-gap measure until further investment can take place as several other railway sub-sections and structures, such as culverts not included in the project scope continue to deteriorate. These represent a risk of derailment and blockage of the line if not given adequate attention. The potential sustainability was good but may, in practice, not be realised. The Utility Reform Unit envisaged a 25 -year concession to be established end-2005 or beginning of 2006, and the commercial viability is considered good. The end-date for submission of requests for pre-qualification was 10/04, and concession bids were planned to be due some 6 months later (but were subject to further delays). Formally, there will be a separate concession for Uganda and Kenya, but under one holding company. However, the legal framework proposal continues to be a legislative problem within GoU and the lack of donor focus on the railway sector is a concern. Subsequent NIPs and RIP indicate no follow or interventions. No environmental management plan and specific HIV/AIDS measures were introduced during implementation and perhaps more emphasis could have been placed on reusing existing stone ballast and on repairing used steel sleepers. However, better performance of the railways will reduce road maintenance costs, traffic accidents and the negative environmental impact of heavy lorry traffic. Railway operation revenues are only able to sustain operations and some routine maintenance works only. They are not sufficient to launch major repair works and investments in upgrading, although freight figures in tonnes have slightly increased during 2000-03

**Efficiency.** A range of supply and works contracts were established within a relatively short period following signature of the CA and the design consultant was hired to carry out supervision of the works PIU's performance and works. The project progressed reasonably well despite some delays, results are being achieved to planned standard and quantity, and the PIU performed effectively with development of a manually based and transparent accounting system. The Nile Bridge rehabilitation and Naigombwa Culverts replacement works were completed in 06/04. Despite good management, the provision of URC engines and wagons was often insufficient or late provision and the URC's non-payment of VAT caused several months delay on the 30 km track-relaying programme. The track materials (sleepers and rails) and repair equipment/tools were delivered in 06/04, but the Revenue Authority released the main part of the supplies only three months later i.e. end -09/04. The track relaying commenced end -07/04 but delivery of new stone ballast caused further delays. Overall working relations between the ECD, National Authorising Officer (NAO) and PIU are satisfactory.

**3Cs:** N/A

**EC value added:** N/A

**\*Overall Scoring: Satisfactory**

**4. Other observations**

The project progressed reasonably well despite of delays and solved the most urgent repair needs of the railway infrastructure, in order to sustain freight operations until a concessionaire took over. However, effectiveness of concessioning has been disappointing

<b>Sector: T &amp; C, # 8</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Rehabilitation of Monze-Zimba Road 8ACPRAU2, 8ACPZA016
<b>Country(ies):</b> Zambia
<b>EC allocations and disbursements (budget line):</b> €37,500,00; 21020 Road Transport
<b>Starting date</b> (planned / actual): 01/05/99 – 15/02/00
<b>End date</b> (planned / likely): 31/12/02 – 31/12/03
<b>Project objectives (overall and specific):</b> Overall objective: At regional level the project aims at further improvement of the regional trunk road network of the Southern African region and at National level the project will contribute to the achievement of the goals of Zambia's Road Sector Investment Programme (ROADSIP) 1997-2006. Project purpose: Lower vehicle operating costs and shorter transport and travel times. It will also ensure long-term access for international and national road users. Additionally it will improve road safety in general by adequate road marking and traffic signs, and in particular by improved provisions for cyclists and pedestrians and speed control measures in the built up areas of Monze, Pemba, Choma and Kalomo.
<b>Project activities:</b> A section of 212 km of the Monze-Zimba road will be brought up to standards required for national maintenance as defined in ROADSIP. The improvements to the road construction are designed to extend the technical life span of the road by another 15 to 20 years under the projected traffic load.
<b>Institutional framework:</b> National Authorising Officer of Ministry of Finance; Roads Department, Ministry of Works
<b>2. Methodology</b>
<b>List of documents analysed:</b> MR-00045.01; MR-00045.02; MN-00045.00
<b>List of people met:</b> 1. Raphael Mabenga, Director & CEO, National Road Fund Agency 2. Daniel Mulanga, Principle Engineer, Road Development Agency 3. Jurgen Kettner, 2nd Secretary, Head of Infrastructure
<b>Other sources of information</b> (observation, focus groups, ...): N/A
<b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b>
<b>Relevance:</b> The road is very relevant to the requirements of the region. At the National level the implementation of the project will contribute to the goals of Zambia's Road Sector Investment Programme (ROADSIP) 1997 - 2006, reduce high vehicle operating costs and improve the quality of the driving surface. Improved safety will be achieved by adequate road marking and traffic signs, and by improved provisions for cyclists and pedestrians and speed control measures in the main towns. Far more reconstruction was required than originally envisaged due to the deterioration of the road from completion of design to the date of the launch of the Works Tender and is necessary to ensure that the technical life span of the road will be extended by 15 to 20 years. Further delays during the Works Tender Evaluation exacerbated the situation. In effect, the road had to be redesigned whilst both the Contractor and Consultant were on site and resulted in an increase of 15-20% of the contract amount. The original design envisaged approximately 25% of new construction and 75% of rehabilitation – the new design envisages a reconstruction over 8%, overlay construction over 10% and a composite construction on 82% of the road.
<b>Effectiveness:</b> The project is scheduled for completion in February 2002 and the planned benefits (improved driveability and lower vehicle operating costs, reduced travel time, improved safety and improved economic activity) were thus delayed. The adverse political situation in Zimbabwe appears to have affected the numbers of international road users. On the other hand, the recent completion of new



hotels in Livingstone should lead to an increase in tourist traffic. The overall effectiveness of the programme has been seriously diluted by the delays prior to award of contract and these delays caused serious cost increases.

**Impact and sustainability:**

The impact of the construction activities has been high amongst the local community in Choma (the project headquarters). The implementation of ROADSIP is as originally envisaged but the Highway Management System, (HMS) is of limited effectiveness, and however internal monitoring systems have been set up. Tourism development in Livingstone should increase the benefits of the Monze-Zimba road. Nevertheless the impact of the road would have been much greater had earlier delays been avoided. Impact can also be measured by image and the commission has projected a poor picture during the planning stage.

In the case of the Monze-Zimba road, when the Contractor's obligations are complete, a local 12 month performance contract will be entered into for routine maintenance which was then reviewed on an annual basis. However, maintenance standards continue to be poor. The TA to the NAO has improved the efficiency of implementation of EC projects, however there is little interaction with Government officials. Road operations have opened up the physical and social environment, increase the level of interaction between rural and urban populations and are a means of access to social amenities and markets thus having a socio-cultural role to play. Construction materials were sourced locally wherever possible but local companies (eg the cement supplier) seem to be unable to compete with South African companies who are supplying duty free materials under the terms of the contract - this represents a missed opportunity for development of local industry. Environmental Impact Assessments have been done for quarry and crushing activities and the road reserve, camps and quarries will have to be reinstated to an acceptable level.

**Efficiency:**

There has been a delay of over 2 years (October 1996 to October 1998) from the submission of the initial tender documents and draft financing proposal to the launch of the tenders mainly due to administrative procedures. These comprised comments on the design and a rejection of 3 draft financing proposals. There was a further delay of 10 months (9th February 1999 to 15th December 1999) before the award of the Contract which was mainly due to the non-responsiveness of tenderers and a lack of clarity in the General Regulations regarding the admissibility of tenders requesting payment in US dollars. The works contract (2-year duration) commenced on 15<sup>th</sup> February 2000 and there were then further delays due to delays in mobilisation whilst the impact of the redesign led to a further delays. The Rand portion (70%) of the first interim payment certificate was paid late. In addition, the Contractor has priced the project very keenly, suffered losses due to the delays in the award of the contract, and was thus claims conscious as a result especially as he underperformed having underestimated the logistical requirements of working in Zambia and the severity of the seasonal rains.

The Contractor, Grinaker, then merged with LTA (another large South African company) which led to a welcome increase in resources but some further disruption due to personnel changes. The supervision contractor experienced initial personnel problems (late mobilisation of personnel, substitution, resignation and illness).

**3Cs:** N/A

**EC value added:** N/A

**\*Overall Scoring:** **Poor** (in implementation)/**satisfactory** (longer term effects)

**4. Other observations**

The road was deemed to be substantially complete and the last section was handed over on 15th October 2002. After the Defects Liability Period the road was finally inspected in three sections in June, September and October 2003 and the road was officially opened by President Mwanawasa on 14th October 2002. No major defects have subsequently come to light and stakeholders are pleased with the quality of the road and the improved driveability. Outstanding issues of concern were of a financial nature relating to the final account for the measured work and to the Contractor's claims submission. The final account was submitted in November 2002. The Resident Engineer certified the claim prior to his departure from the country. The Roads Department queried the certification particularly as it contained unexplained increases in quantities and rates. It appears that the



Consultants were at fault however they readily agreed to take responsibility and to reassess this submission. They returned to Zambia to reassess the final account that resulted in a substantially reduced certificate. Grinaker/LTA disputed this corrected figure and a final agreement on the measured work was arrived at in 2003. With regard to the Contractor's claims, the main basis arises from changes in design during the contract that changed from 75% rehabilitation and 25% new construction to 8% new construction, 10% overlay and 82% composite construction with the associated changes to working methods that this entailed. The Administrative Order for the change in work was only given well into the contract and a large portion of the claim was seen to be valid, if over-inflated. The claim related to an extension of time from 02/02/02 to 09/12/02 plus acceleration costs, additional quantities and claims for delays due to the redesign. The claims (in 7 large volumes) were submitted in March 2002. RI employed a claims expert (as an addendum to the contract) to evaluate the claims. Finally the issue was resolved by negotiation leading to an agreed settlement. The FA was been extended to 31/12/03 and the final agreed settlement was covered within the budget. A request from GoZ to consider extending the contract to Livingstone was not agreed and any remaining funds will be returned to the EDF. Axle load control and routine maintenance continue to be ineffective

<b>Sector: T &amp; C, # 9</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Rehabilitation of the Kabwe-Kapiri Mposhi and Chisamba Roads 8ACPZA20
<b>Country(ies):</b> Zambia
<b>EC allocations and disbursements (budget line):</b> €26,000,000 21020 Road Transport
<b>Starting date</b> (planned / actual): 1/09/00
<b>End date</b> (planned / likely): 31/12/04
<b>Project objectives (overall and specific):</b> Overall Objectives (OO) were to provide a contribution to the establishment of a sustainable national roads network and to support economic activities in the areas served by the roads. The defined Project Purpose (PP) was to achieve sustainable conditions for the two roads involved.
<b>Project activities:</b> The project aimed to rehabilitate two roads, both situated in Central province, Zambia. The Kabwe-Kapiri Mposhi road – 62km of which was rehabilitated – is part of the main trunk road North-South in Zambia and is, therefore, of crucial importance not only to local and regional users but also to national and international traffic. The 22km Chisamba road accesses an agriculture area of high potential and is, therefore, of considerable economic and social importance.
<b>Institutional framework:</b> National Authorising Officer of Ministry of Finance; Roads Department, Ministry of Works
<b>2. Methodology</b>
<b>List of documents analysed:</b> MR-00987.01; MR-00987.02
<b>List of people met:</b> 1. Raphael Mabenga, Director & CEO, National Road Fund Agency 2. Daniel Mulanga, Principle Engineer, Road Development Agency 3. Jurgen Kettner, 2nd Secretary, Head of Infrastructure
<b>Other sources of information</b> (observation, focus groups, ...): N/A
<b>3. Scoring and explanatory comment</b> (very good, good, satisfactory, poor).
<b>Relevance:</b> The road comprises 62 km from the previously EC funded Lusaka-Kabwe road to Kapiri Mposhi, which is the main junction of the Great North Road to Tanzania with the Copperbelt. The project also includes 22km of road with a high agricultural potential near Chisamba. The project will contribute to the goals of the Road Sector Investment Programme (ROADSIP) 1997-2006 and the Kabwe-Kapiri Mposhi road is extremely relevant to national policy since it restored the integrity and usability of the North-South main arterial network. Delays were caused by insufficient TOR which led to supplementary surveys in addition to lengthy delays in the design approval and tendering process. Queries raised during the tendering of the Works led to the need for reworking the document and an annulment of the tendering process. The subsequent tender was annulled due to non-compliance and successful negotiations took place with the lowest tenderer. The economic life of the roads was designed to last for 15-20 years but ineffective maintenance and damage due to overloaded trucks is reducing this lifespan. The project had high social and economic implications and fits fully into the development priorities of the Government of Zambia (GRZ) and of the European Union (EU). Infrastructure improvement and rehabilitation are seen as base conditions for growth and development in the National Transport Policy (NTP), the Poverty Reduction Strategy Paper (PRSP) and in the priorities identified between the Delegation of the European Commission (ECD) and GRZ.
<b>Effectiveness:</b> The rehabilitation of the Chisamba road has dramatically improved access to that agricultural region although the grain silos are not in use and the railway line is not used to transport goods. The

<p>Kabwe-Kapiri Mposhi road is part of the main North-South artery in Zambia that feeds both the Copperbelt and further North to Tanzania. The benefits will include improved driveability and access to amenities, improved road safety and lower vehicle operating costs. Information is disseminated through the various road user organisations. Thus, actual beneficiaries are a much larger group than the LFM envisaged, including road users from the region, the Copperbelt, the DRC, the Northern region, Tanzania, the south of the country and the Republic of South Africa (RSA) and road use has increased since the completion of the project in the categories of both light and heavy vehicles. Minor negative effects are being resolved satisfactorily. Unplanned positive effects include, on a micro level, the improvement of off-road drainage, the use of detours as side-roads, an increase in local land and property values and in economically active populations. An important but unplanned macro level effect is a strong incentive to the GRZ and to the donors to continue jointly to address priority infrastructure needs with commitment, collaboration and in an effective institutional mode.</p>
<p><b>Impact and sustainability:</b>          The project contributed in a major way to achieving sustainable road conditions in a network which is of crucial national importance. There is no doubt that the road will contribute to the National Road network and will provide support economically to activities that depend on the road. The project has been a major employer of local labour with the Contractor employing approximately 400 (including 30 expatriate) and the Consultant employing approximately 20 (including 6 expatriate). The RF is a cornerstone of the National Roads Board (NRB) policy for maintaining roads but it has not lived up to expectations in the past whilst the Highway Management System has been of limited effectiveness. The success of the project has contributed to consolidating such donor support for future similar projects.          A Transport Policy has been adopted and laws enacted which clearly state the roles of the various bodies in relation to road policy and GRZ states commitment to the implementation of ROADSIP. It was planned to entrust the running of the weighbridges to the private sector, but this has not occurred to date. Maintenance of the old Kabwe-Kapiri road was very limited. Policies have changed since then but there continues to be a serious lack of resources within GRZ to carry out regular maintenance. AIDS awareness in the roads sector is very limited and should be more pro-active. Overtopping of Mulungushi River bridge occurred in February 2001</p>
<p><b>Efficiency:</b>          Correcting the initial seriously defective technical design caused implementation delays and increased financial costs but final unspent funds amounted to between 7.5 and 8 million Euro since the original costing was inaccurate. The conjunction of two roads (particularly one major and one minor) in the same project is dysfunctional from a contract management point of view. Once the initial problems had been sorted out, the implementation of the project proceeded reasonably smoothly. The Works Contract (€12.29m) commencement date was 01/07/01 and the completion date is 30/06/03 with a 12 month maintenance period to 30/06/04. The Supervision Contract (€1.225m) was signed on 14/05/01. The contractor claimed for additional drainage requirements, problems with borrowing pit materials and landowners, exceptional rain, mode of calculation of price escalation and others. The quality of the finished road was good. A project evaluation was carried out on completion and the project was visited by the EU Court of Auditors in March 2003.</p>
<p><b>3Cs:</b> N/A</p>
<p><b>EC value added:</b> N/A</p>
<p><b>*Overall Scoring:</b> Good</p>
<p><b>4. Other observations</b></p>
<p>The programme was generally well-managed but there is a need to plan for the evaluation of claims (which bedevil EC-supported projects) and there are lessons to be learnt for the design of future projects.</p>

<b>Sector: NRM, # 10</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Implementation of the Fisheries Management Plan for Lake Victoria – 8 ACP ROR 29
<b>Country(ies):</b> Kenya, Tanzania, Uganda (members of EAC)
<b>EC allocations and disbursements :</b> 8 <sup>th</sup> EDF RIP for East Africa region €29.9 million (planned) - € 23.6 (contracted), as per CRIS, September 2007
<b>Starting date</b> (planned / actual) : 1997-2002 (5 years)
<b>End date</b> (planned / likely):
<b>Project objectives</b> (overall and specific): The project's overall objective is to contribute to the sustainable economic growth and development of the Lake Victoria basin.
<b>Project activities:</b> <ul style="list-style-type: none"> <li>▪ The project provided: Technical assistance, equipment, operating expenses for a Project Implementation Unit (PIU) and for operations in each country. Activities covered are: training; stock assessment and resource monitoring; fish quality; added value; studies on the economics of the fishery and the distribution of benefits; database development</li> <li>▪ Equipment including four patrol boats, with communications equipment, and two new research and training vessels to be built locally, ground transport, equipment including computers and supplies;</li> <li>▪ Improved landing facilities and social infrastructure for communities;</li> <li>▪ New LVFO Headquarters</li> </ul>
<b>Institutional framework:</b> RAO; East Africa Community Secretariat (EAC) based in Arusha, Tanzania Responsible EC Delegation: Uganda Implementing agency: Lake Victoria Fisheries Organisation (LVFO) based in Jinja, Uganda Steering Committee : The programme is guided by the organs established by the LVFO Convention, namely: <ul style="list-style-type: none"> <li>▪ LVFO Council of Ministers for decision making;</li> <li>▪ Policy Steering Committee (PSC) composed of Permanent secretaries responsible for fisheries in the countries who review and submit management recommendations to the Council of Ministers;</li> <li>▪ An Executive Committee of Heads of Fisheries Management and Heads of Fisheries Research Institutes who review management and scientific activities, agree on management measures to be implemented and submit them to the PSC;</li> <li>▪ A Fisheries Management Committee of Heads of Fisheries Management institutions who develop management policies and recommend management and conservation measures;</li> <li>▪ A Scientific Committee of Directors of Fisheries Research institutes who identify research requirements, review research methodologies and ensure dissemination of research results.</li> <li>▪ The activities are coordinated by the LFVO secretariat and its Project Implementation unit.</li> </ul>
<b>2 Methodology</b>
<b>List of documents analysed:</b> <ul style="list-style-type: none"> <li>▪ Programme Financing Agreement,</li> <li>▪ Strategic Vision for Lake Victoria (1999-2015),</li> <li>▪ The Convention for the Establishment of the Lake Victoria Fisheries Organisation, 1996</li> <li>▪ Lake Victoria Fisheries Management Plan, 2001</li> <li>▪ LVFO, The institutional structure and programmes of the organisation, 2005</li> <li>▪ The Entebbe Declaration on the Regional stakeholders' conference on the state of the Fisheries resources of lake Victoria and their management, 2005</li> <li>▪ Standard Operating Procedures for collecting biological information from the fishes of lake Victoria,</li> </ul>

2007
<ul style="list-style-type: none"> <li>▪ Standard Operating Procedures for trawl surveys on lake Victoria, 2007</li> </ul>
<p><b>List of people met:</b></p> <ol style="list-style-type: none"> <li>1. Mr Douglas Carpenter, Head of Economic Section, EC Delegation, Tanzania</li> <li>2. Mr Thomas Maembe, Executive Secretary of LVFO</li> <li>3. Mr Ruzika Muheto, Director of Environment planning and Research, National Environment Management Council of Tanzania</li> <li>4. Mr Timothy Wesonga, Senior livestock and fisheries officer, East Africa Community (EAC)</li> </ol>
Other sources of information (observation, focus groups, ...):
<p><b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b></p>
<p><b>Relevance: very good.</b></p> <p>The Lake Victoria is the biggest lake in Africa and one of the major food and economic resource for the 3 bordering countries and for the whole region. Over 30 million people live in the Lake basin and depend directly or indirectly from the lake's resources, mainly fisheries but also water, energy, agro-climatic conditions, biodiversity, transportation and recreational functions. Because of over-fishing and other external factors (introduction of exotic invasive species), the environmental conditions of the lake have altered with consequent threats for the well-being of the populations.</p> <p>These elements make the regional approach particular relevant and the most appropriate for solving the sources of problems and for defining and adopting sustainable solutions.</p> <p>In addition, this programme is coherent with past EC programmes on the Lake Victoria; these were mainly focused on assessing the state of the lake Victoria resources and researching viable solutions leading to the elaboration of the Lake Victoria Fisheries Management Plan.</p>
<p><b>Effectiveness: Very good.</b></p> <p>The programme has successfully achieved the following expected results:</p> <ul style="list-style-type: none"> <li>▪ Effective coordination of the implementation of the Lake Victoria Fisheries Management Plan: through setting-up and guiding working groups on specific technical and scientific issues. Most of the actions defined in LVFMP have been initiated and implemented.</li> <li>▪ Strengthening of the communities' abilities to co-manage the fisheries: the setting-up and strengthening of the Beach management Units was one of the most powerful result, ensuring the participation and empowerment of fishing operators, from small fishers, associations, fish traders and processors.</li> <li>▪ Improvement of fisheries infrastructure guaranteeing improved quality of life in the fisheries communities, and leading to improved quality of the fisheries products: infrastructure and improved equipment were provided on the boats, in landing points and in trading and processing stations, defining and establishing criteria and regulation for appropriate quality control over the value-chain.</li> <li>▪ A Sustainable Monitoring, Control and Surveillance system established: Standard Operating procedures have been elaborated for Collecting biological information from the fishes of LV and for Trawl surveys. The data are collected in cooperation with the fishers and kept in the management database for further processing and decision-making. Quality control and surveillance of fisheries regulations have been transferred to the operators who are now involved and responsible for enforcement. A regional plan of action to prevent, deter and eliminate illegal, unreported and unregulated fishing was prepared (with support of FAO) and is currently implemented as part of the LVFMP.</li> <li>▪ The strengthening of the LVFO Secretariat as a coordinating centre of the Lake Fisheries: They have gained a high profile in the political, technical and communities spheres, becoming a strong focal point for the fisheries and the fishers of LV.</li> </ul>
<p><b>Impact and sustainability: Good</b></p> <p>Important impacts can be recorded and are recognised by stakeholders in terms of sustainable fisheries practices (reduced poaching, improved use of fishing gears), economic benefits (improved quality and compliance for export, enhanced value-chain) and social development (credit schemes, HIV/AIDS prevention in the fishing communities).</p> <p>Most of the achieved results and impacts are empowered in the current institutional and management</p>

structures and management practices, including those directly implemented by the fishing operators. However, weaknesses need to be addressed in terms of financial contribution from LVFO member states (ref. Kenya political stability) as further training and support is needed for BMU and associations to continue their actions. Growing pressure from inland sources (urban development, watershed management) need also be addressed through the LV Basin environmental and development strategy.

**Efficiency:** N/A

**3Cs: Good**

Coordination with other donors has been ensured for fisheries (FAO) and for other environmental (IUCN) and socio-economic activities (SIDA, AMESD).

Coherence with the EU fisheries Policy was guaranteed by providing assistance for strengthening the safety and quality control for the fishery value-chain, especially as an important share of the products are exported to the EU market (ref. to all-ACP project SFP-ACP)

**EC value added: Good**

EC has been supporting the lake Victoria fisheries sector for long time together with FAO and other bilateral donors, stepping from research oriented projects to policy and management support. EC support was fundamental for establishing the LVFO and for widening the approach from the fisheries sector to a broader lake basin integrated management.

This continuity in the approach has allowed other donors, including EU-MC to complement the process with specific interventions in socio-economic development.

In addition the importance of the EU support is justified by the considerable share of fish exports from the lake to the EU. In this regard, the EC support improve the coherence with the EU fishery policy, enhancing the quality and safety of fish products, for the benefit of the EU and of the Lake countries and stakeholders.

**\*Overall Scoring: Good to very good**

**4. Other observations**

N/A

<b>Sector: NRM, # 11</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Programme Régional de Protection des Végétaux dans l'Océan Indien – 8.ACP.RIN.12
<b>Country(ies):</b> Comoros, Madagascar, Mauritius, Seychelles and France/Réunion (members of the Indian Ocean Commission)
<b>EC allocations and disbursements:</b> 4.85 M€ allocated from 8 <sup>th</sup> EDF RIP 3.91 M€ secondary commitment 3.08 M€ disbursed by the EC (source: ROM report 20/09/07) Total Budget of 6.6 M€ with 1.24 M€ from EFRD (Réunion) and 0.51 M€ from the other countries.
<b>Starting date</b> (planned / actual): 01/08/2003 <b>End date</b> (planned / likely): 31/12/07 – 30/09/08
<b>Project objectives (overall and specific):</b> The overall objective is to improve quantity and quality of regional horticulture production and income. Specific objective is to promote and develop operational technical and scientific cooperation among the IOC member states in regards to phytosanitary protection of plants and related value-chains.
<b>Project activities:</b> Five components are contained in project design, namely: <ul style="list-style-type: none"> <li>▪ Establishment of the IOC Plant Protection network;</li> <li>▪ Regional harmonisation of phytosanitary legislations in force in member countries;</li> <li>▪ Quality control of plant material and pesticides;</li> <li>▪ Applied research &amp; testing on pesticides and on alternative control methods;</li> <li>▪ Advisory services and training.</li> </ul>
<b>Institutional framework :</b> <u>RAO:</u> Indian Ocean Commission (IOC) based in Mauritius. <u>Responsible EC Delegation:</u> Mauritius <u>Implementing agency:</u> Regional Coordination Unit (RCU) based in Mauritius on behalf of the IOC. <u>Steering Committee:</u> A Scientific Orientation and Monitoring Committee has been entrusted with a steering and consultative role. During its implementation, the project has strongly relied on National Focal Points and on the following national institutions : <ul style="list-style-type: none"> <li>▪ Comoros: <u>INRAPE</u> (National institute for research in agriculture, fisheries and environment)</li> <li>▪ Madagascar: Plant protection services of the Ministry of agriculture and animal husbandry, the <u>FOFIFA</u> (National centre for applied research for rural development)</li> <li>▪ Mauritius: the <u>phytopathology and the entomology departments</u> of the Ministry of Agro-industry and Fisheries, the <u>AREU</u> (Agricultural Research and Extension Unit), the <u>MSIRI</u> (Mauritius Sugar Industry Research Institute)</li> <li>▪ Réunion: the <u>Service de la Protection des Végétaux</u> of the Department of Agriculture and Forestry (DAF), the <u>CIRAD</u> (International centre for cooperation in agronomic research for development)</li> <li>▪ Seychelles: the <u>Crop Protection service</u> and the Vegetable evaluation services and Research of the Ministry of Environment and Natural Resources.</li> </ul>
<b>2. Methodology</b>
<b>List of documents analysed:</b> <ul style="list-style-type: none"> <li>▪ Financing Agreement, 03/03/03.</li> <li>▪ Mid-term review, 11/2006</li> <li>▪ Monitoring (ROM) report, 20/09/07</li> </ul>
<b>List of people met :</b> <ol style="list-style-type: none"> <li>1. Gina Bonne, Indian Ocean Commission, Programme officer</li> <li>2. Claude Soopramanien, PRPV Regional Coordinator</li> <li>3. Franco Tranquilli, EC Delegation Mauritius, Head of section, Regional cooperation and NRM</li> <li>4. Corinne Paya, EC Delegation Mauritius, project officer, NRM</li> </ol>
<b>Other sources of information</b> (observation, focus groups, ...): Project web site: <a href="http://www.prpv.org">www.prpv.org</a> ;



Focus group in Mauritius with the participation of the PRPV Regional Coordinator.
<b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b>
<p><b>Relevance: very good.</b> The project addresses several complementarity &amp; priority issues for the region:</p> <ul style="list-style-type: none"> <li>▪ Reduction and prevention of risks for crop production (large scale and smallholders) and human health;</li> <li>▪ Compliance with trade and health requirements;</li> <li>▪ Harmonisation of SPS legislation in view of EPA</li> <li>▪ Stabilisation of farmers' income;</li> <li>▪ Development and adoption of environmental-friendly plant protection practices</li> </ul> <p>In addition, it must be noted that the project build on previous experience on plant protection (e.g. fruit fly control project)</p>
<p><b>Effectiveness: Very Good.</b> The regional network is fully operational and act as Early warning System. The monitoring system is empowered and regularly updated by the member countries; Plant pest have been assessed and disseminated through the web site and a regional database; Guidelines for pesticide use and alternative methods are developed and available. Inventories and analysis of plant protection legislation were carried out and disseminated. Approximately 700 people have been trained in the region Directory of professional working on PP in the region is available on project web site Guidelines for compliance to trade requirements by country are available.</p>
<p><b>Impact and sustainability: Good</b> The project has achieved its objectives at the level of intermediate bodies, the regional network and the national institutions dealing with pest control and plant protection. Thanks to the project, all the IOC countries are now compliant with the International Plant Protection Convention (IPPC) The initial and ambitious objective of improving livelihood of horticulture farmers has been reduced mainly due to the weakness of national extension services. Viability of PP services varies in the countries. Mauritius and Reunion have consolidated organisations, good infrastructure and laboratories, qualified HR and sufficient financial resources. The other countries (Comoros, Madagascar and Seychelles) have reached important technical and human achievements compared to pre-project situation, but may lack financial means and "political" back-up after project closure, if not supported by ad hoc inputs.</p>
<p><b>Efficiency: Good</b> Management performance is assessed as being very good (MTR, ROM). International TA (short &amp; long term) was appreciated and effective. The project web site proved to be a useful catalyser for the regional network and the associated HR. Initial weakness in project planning &amp; monitoring was improved by identification and validation of relevant indicators (OVI)</p>
<p><b>3Cs: Good</b> The project is coherent with the EPA and with the objective of promoting intra-regional trade. Complementarity with national actions is good in relation to EFRD mobilisation from France/Réunion, but can be improved through enhanced coordination with national related initiatives funded by multiple donors.</p>
<p><b>EC value added: Good</b> Given the presence of France in the region and the focus of the EC cooperation in the Indian ocean, the EC support ensures both the interests of the EU and the needs of the ACP states, justifying a regional approach to the issue.</p>
<b>*Overall Scoring: Good to very good</b>
<b>4. Other observations</b>
<p>Considering the ambitious initial objectives and the capacity of the project to adjust during implementation, the ongoing final evaluation of the project will probably confirm the positive achievements registered so far, highlighting the gaps and needs for follow-up actions (10<sup>th</sup> EDF national and regional envelopes)</p>

<b>Sector: CPRM, # 12</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Conflict Prevention Programme in the ESA Region 9 ACP RSA 027 RSA/002/05
<b>Country(ies):</b> Angola, Burundi, Comoros, Rep. Dem. Of Congo, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Malawi, Mauritius, Namibia, Rwanda, Seychelles, Somalia, Sudan, Swaziland, Tanzania, Uganda, Zambia and Zimbabwe. As represented by Executive Secretary of IGAD, as RAO, on behalf of IGAD, COMESA, EAC and IOC. (i.e. Indian Ocean countries included in 'eastern and southern africa')
<b>EC allocations and disbursements :</b> A envelope, 9 <sup>th</sup> EDF ESA - Regional Indicative Programme (€10 million)
<b>Starting date</b> (planned / actual): FA signed 10 November 2007; 22 October 2010 starting date at the latest
<b>End date</b> (planned / likely): December 2014
<b>Project objectives</b> (overall and specific): Overall Objectives: To prevent the outbreak and escalation of violent conflicts with regional dimensions and to mitigate the worst effects thereof in the Eastern and Southern Africa region so as to contribute to an enabling environment for economic development and poverty reduction. Purpose: To enhance the capacities of the RIOs of the ESA Region in exercising their CPMR mandates and activities within a consistent and coordinated continental and regional framework focussing on the key regional factors responsible for conflict proliferation. Expected Results: <ul style="list-style-type: none"> <li>▪ Regional capacity to implement CPMR mandates strengthened.</li> <li>▪ Regional capacity to fight arms trafficking and proliferation strengthened</li> <li>▪ Regional capacity to address war economies strengthened</li> </ul>
<b>Project activities:</b> The programme is mostly about knowledge management, training and skills transfer, technical studies, documentation of best practice, information sharing, policy dialogue etc. Therefore, professional competence and expertise are critical. Long term and short professional staff will be recruited for the duration of the programme to coordinate and offer professional expertise on day to day implementation of the programme.
<b>Institutional framework:</b> Executive Secretary of IGAD, on behalf of IGAD, COMESA, EAC and IOC. Project Approach and Contribution Agreement.
<b>2 Methodology</b>
<b>List of documents analysed:</b> <ul style="list-style-type: none"> <li>▪ Assessment of the RIOs.</li> <li>▪ CPMR LogFrame (28 Nov 05).</li> <li>▪ Websites RIOs and programmes contained therein.</li> <li>▪ Financial Agreement (November 2007 and previous versions)</li> </ul>
<b>List of people met:</b> <ol style="list-style-type: none"> <li>1. J. Gonzalez Ducay, EC Delegation Djibouti, Resident Official in charge</li> <li>2. Yves Picaud, EC Delegation Djibouti, Attache Cooperation</li> <li>3. Daniel Yifru, IGAD Secretariat, Director, Peace and Security, Djibouti</li> <li>4. Ahmed Yonis Habane, IGAD Secretariat, Planning and Coordination Manager, Djibouti</li> <li>5. Stefan Bruene, GTZ-HoA and responsible for CPRM and IGAD, Djibouti</li> <li>6. Janet Schulman, Head of USAID, Djibouti</li> <li>7. Brenda Candries, EC Delegation Ethiopia, Conflict Prevention and Institutional Strengthening</li> </ol>

8. V. Auricchio, EC Delegation Ethiopia, Head of Section - Operations - African Union and Regional Cooperation
9. Dietmar Krisser, EC Delegation Ethiopia, Head of Political and Information Section, Political Advisor
10. Irene Mingasson, EC Delegation Ethiopia, Head of Governance Unit
11. Gaby Hagmuller, EU Delegation to African Union, Project Advisor, Peace and Security
12. Julie Chappell, DFID Ehtiopia, Regional Conflict Advisor
13. Deborah Mekonnen, UNDP Ethiopia, Governance programming
14. Elobaid Elobaid, UNDP Ethiopia, Manager Democratic Institutions Programme

**3. Scoring and explanatory comment (very good, good, satisfactory, poor).**

**Relevance: very good.**

**Effectiveness: too early to assess.**

**Impact and sustainability: too early to assess**

**Efficiency: too early to assess**

**3Cs: Poor.**

The field based visits demonstrated low coordination with or awareness of activities carried out by other donors and therefore not clear if activities are complementary or not; low coordination between AU related activities and CPMR related approaches; low communications between HQ and delegations

**EC value added: Good, in relation to the programme document – too early to assess otherwise**

**4. Other observations**

On paper the FA projects many of the right things – need for coordination between the RIOs; need to be part of the implementation of the Horn of Africa strategy; need to incorporate cross cutting issues. But it does not go far enough in setting up real mechanisms/activities to ensure that this actually happens. The “coordinating” role of IGAD seems unlikely to be carried out with any depth (according to IGAD and other donors).

<b>Sector: CPRM # 13</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Institutional Strengthening and Capacity Building for the IGAD Secretariat
<b>Country(ies):</b> ACP Member States of the IGAD region (Djibouti, Ethiopia, Kenya, Somalia, Sudan, Uganda)
<b>EC allocations and disbursements</b> 1 million from 9 <sup>th</sup> ESA RIP (Partial de-commitment of the IRCC project)
<b>Starting date</b> (planned / actual): N/A (final FA signed not available)
<b>End date</b> (planned / likely): N/A (final FA signed not available)
<p><b>Project objectives</b> (overall and specific):</p> <ul style="list-style-type: none"> <li>▪ to achieve adequate internal capacities (management systems, human and financial resources) in IGAD to allow the policy organs and secretariat to operate coherently, and effectively and efficiently, as a service-oriented organisation.</li> <li>▪ A key indicator of this achievement will be the eligibility for IGAD to use contribution agreements as delivery mechanisms under EDF 10.</li> </ul> <p><i>Expected results</i></p> <ol style="list-style-type: none"> <li>1. Administrative and financial management systems in line with international standards and applied by the IGAD Secretariat, particularly on procurement of goods and services, internal financial control and audits</li> <li>2. Result oriented multi-annual programming and budgeting principles operational in IGAD Secretariat, integrating both own and external resources</li> <li>3. Enhanced support from the IGAD Secretariat to the IGAD member states in the area of its mandate</li> <li>4. Enhanced external profile of IGAD including successful cooperation with international partners and donors</li> </ol>
<p><b>Project activities:</b></p> <p><u>Generic activities:</u></p> <ul style="list-style-type: none"> <li>▪ establish and operate programme estimates</li> <li>▪ provide financial and non-financial reporting to IGAD and EC</li> <li>▪ support IGAD management with institutional development and capacity building</li> <li>▪ assistance with IGAD-EC Cooperation, in particular EDF 10</li> </ul> <p><u>Activities leading to Result 1</u></p> <ol style="list-style-type: none"> <li>1.1 Provide support for the preparation of the next IGAD strategy (2009-2013)</li> <li>1.2 Provide support to enhance the effectiveness and efficiency of IGADs interaction with its member states</li> <li>1.3 Provide support to enhancing communication to and from IGAD member states</li> <li>1.4 Review and operationalise monitoring mechanisms for all IGAD organ and committee decisions</li> <li>1.5 Support the design and operationalisation of harmonized mechanisms for monitoring implementation of IGAD sectoral policies</li> </ol> <p><u>Activities leading to Result 2</u></p> <ol style="list-style-type: none"> <li>2.1 support to ensure that IGAD regulations, manuals and management systems continuously reflect internationally accepted standards</li> <li>2.2 Optimise use of programme/project management tools that allow for effective and efficient programming, budgeting, implementation, monitoring and evaluation over both financial and non-financial aspects.</li> <li>2.3 Optimise use of analytical financial reporting in accordance with GAAP (general Applied Accounting Practices) as applied in IGAD</li> <li>2.4 Assist with updating IGAD 2004 financial regulations so it continuously reflects international standards</li> <li>2.5 Assist with updating IGAD procurement procedures continuously reflect international standards (accountability, transparency, competitiveness)</li> </ol>

<p>2.6 Support to IGAD 2004 staff service regulation so that it continuously reflects international standards</p> <p>2.7 Support consist use of management tools (incl. monitoring and reporting mechanism) in IGAD secretariat and decentralized programmes (CEWARN, ICTPA etc)</p> <p><u>Activities leading to Result 3</u></p> <p>3.1 provide short-term expertise to optimise the use of adequate management tools in areas of programming, budgeting administration, procurement, internal control, financial and human resource management</p> <p>3.2 provide formal and on the job training to optimise the use of adequate management tools in areas of programming, budgeting administration, procurement, internal control, financial and human resource management</p> <p>3.3Strengthen the human resource management functions in the IGAD secretariat</p>
<p><b>Institutional framework:</b>          IGAD as RAO</p>
<p><b>2 Methodology</b></p>
<p><b>List of documents analysed:</b></p> <ul style="list-style-type: none"> <li>▪ FIP</li> <li>▪ logframe,</li> <li>▪ assessment of IGAD capacities,</li> <li>▪ budget etc</li> </ul>
<p><b>People met:</b> EC delegation to Ethiopia, EU delegation to AU, IGAD staff, Djibouti delegation, HQ staff, other donors, NGOs</p>
<p>Other sources of information (observation, focus groups, ...): N/A</p>
<p><b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b></p>
<p><b>Relevance: Very good</b></p>
<p><b>Effectiveness: too early to assess</b></p>
<p><b>Impact and sustainability: too early to assess</b></p>
<p><b>Efficiency: too early to assess</b>          The project itself has taken a long time to get going and is not yet in implementation phase</p>
<p><b>3Cs: N/A</b></p>
<p><b>EC value added:</b> The capacity support is basically to improve IGAD financial reporting capacity so that it can qualify for a contribution agreement – so it is EC specific</p>
<p><b>4. Other observations</b></p>
<p>N/A</p>

<b>Sector: CPRM # 14</b>
<b>1. Project Data</b>
<b>Project name &amp; number:</b> Support the implementation of the continental peace and security policy that has been designed by capacity development for AU
<b>Country(ies):</b> African Union Member States
<b>EC allocations and disbursements :</b> € 20 million
<b>Starting date</b> (planned / actual): N/A <b>End date</b> (planned / likely): N/A
<b>Project objectives</b> (overall and specific): <ul style="list-style-type: none"> <li>▪ To support the implementation of the continental peace and security policy that has been designed.</li> <li>▪ To increase the capacity of the AU and sub-regional African organisations in the planning and conduct of Peace Support operations on the continent conducted by African forces.</li> <li>▪ To effectively and efficiently support the conduct of African Peace Support operations for which this contribution agreement will provide part of the finances.</li> </ul>
<b>Project activities:</b> The activities funded focus on: <ul style="list-style-type: none"> <li>▪ The creation of liaison offices of REC with the AU.</li> <li>▪ Further development and consolidation of achievements in early warning capacity.</li> <li>▪ Stocktaking in existing telecommunication.</li> <li>▪ Support to some RECs in financial and administrative management capacity.</li> <li>▪ Funding of working costs for a steering committee</li> <li>▪ Financing of a programme support unit in charge of monitoring and supporting the various activities and sub activities.</li> </ul> For the RECs and ASF activities covered are: (R.E.C.s) <ul style="list-style-type: none"> <li>▪ Staff reinforcement for A.U.C. and R.E.C.</li> <li>▪ Training for A.U.C. and R.E.C.</li> <li>▪ Equipment for A.U. and R.E.C.</li> </ul> (A.S.F.) <ul style="list-style-type: none"> <li>▪ Staff reinforcement for PlanElm</li> <li>▪ Training for PlanElm</li> <li>▪ Equipment for PlanElm</li> <li>▪ Training for peace support operations</li> <li>▪ Programme implementation.</li> <li>▪ Plus provisions for audit, evaluation and contingencies</li> </ul>
<b>Institutional framework:</b> AU Commission /Secretariat (Addis Ababa)
<b>2 Methodology</b>
<b>List of documents analysed:</b> The project documents themselves
<b>List of people met:</b> <ol style="list-style-type: none"> <li>1. Dietmar Krisser (Head of Political and Information Section, Political Advisor, EU delegation to the AU, Addis);</li> <li>2. Gaby Hagmuller (Project Advisor, Peace and Security, EU Delegation to the AU, Addis);</li> <li>3. Valentina Aurecchio (Head of AU and Regional Cooperation Section-EU delegation to the AU, Addis);</li> <li>4. Brenda Candries (AU and Regional Cooperation Section [CPMR etc]- EU delegation to the AU);</li> <li>5. Daniel Yifru (IGAD, Director Peace and Security, Djibouti)</li> <li>6. Jules Chappell (UK DFID regional conflict advisor, Addis);</li> <li>7. Nancy Estes (USAID, supervisory program officer Ethiopia);</li> <li>8. Steven Smith (USAID, democracy and governance chief Ethiopia);</li> </ol>

9. Simone Koepfmuller (GTZ responsible for CPRM, IGAD-AU, Addis).
Other sources of information (observation, focus groups, ...):
<b>3. Scoring and explanatory comment (very good, good, satisfactory, poor).</b>
<b>Relevance: Very good.</b>
<b>Effectiveness:</b> So far it seems good although the weak capacity of the AU administratively, low absorption capacity and lack of qualified staff mean that the EU can only go as quickly as progress within the AU secretariat allows.
<b>Impact and sustainability: too early to assess,</b> Though the RECs (IGAD) seem happy with the AU thus far, and are willing to support it in the future. It appears that impact and sustainability will be good.
<b>Efficiency: too early to assess</b>
<b>3Cs:</b> Other donors did not give EU high marks in terms of donor coordination. In terms of coherence – the project is coherent with the AU-EU partnership and agreements with the AU and intentions for the AU Peace Facility. However, it is not clear how coherent activities at this level are with those at the regional level with the RECs. Although some financing of the RECs capacity building activities is going through the AU, this does not seem to yet translate into regional and pan-African strategies from the EU side that are clearly interconnected
<b>EC value added: Good</b>
<b>4. Other observations</b>
N/A