

Republic of Kenya, Republic of Uganda, United Republic of Tanzania, Republic of Rwanda,  
Republic of Burundi

FY 2019 Ex-Post Evaluation of Technical Cooperation Project

“Project on Capacity Building for the Customs Administrations of the Eastern African Region  
(Phase 2)”

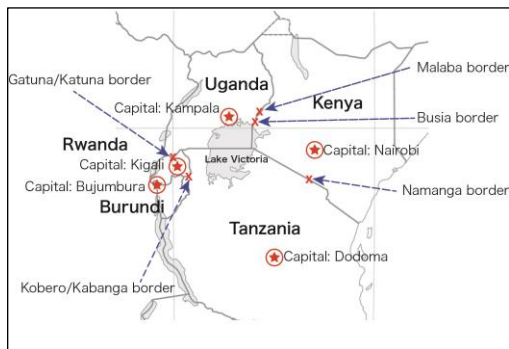
External Evaluator: Takako Haraguchi, International Development Center of Japan Inc.

## **0. Summary**

This project was the second phase of a technical cooperation project to improve the capacity of customs clearance procedures primarily through the assistance on the introduction and operation of one-stop border posts (hereafter, “OSBPs”) at land borders in five countries in the Eastern African region. Based on the experience in the preceding phase on the construction of the OSBP operation model and technology transfer, the project implemented efforts to strengthen customs activities and develop personnel. The relevance of the project was high because its interests in facilitating trade and developing the capacity of the personnel to achieve trade facilitation were consistent with the development plans and development needs in the region and these countries and with Japan’s aid policy. Even though the project mostly accomplished the training of customs officers and customs clearing and forwarding agents (hereafter, “CCFAs”), the operation of OSBPs did not become fully functional due to external conditions (delay in facility construction) and other factors. Thus, the project purpose—the strengthening of customs clearance procedures at the target borders—was only partially achieved. However, regarding the overall goal (further expansion of smooth and efficient customs clearance through proper operation of OSBPs)—even though it encompassed the effects of subsequent phases, which attempted to continue and expand the efforts of this project—this study confirmed the project’s impact, including a shorter customs clearance time and the institutionalization of the outputs of personnel development in the East African Community (EAC). Therefore, the effectiveness and impact were high. The project period was as planned. However, this study was unable to compare the actual project cost against the planned project cost due to the lack of comparable figures. The efficiency is thus rated as fair. While the effect of this project has mostly been established in the EAC’s framework for trade facilitation, the institutional/organizational and financial aspects of the project experienced some problems and had components that were difficult to examine. The sustainability is thus rated as fair.

In light of the above, this project is evaluated to be satisfactory.

## 1. Project Description



Project Locations



Namanga OSBP: Customs windows of Kenya and Tanzania sit next to each other

### 1.1 Background

The Eastern African region was attempting to drive sustainable economic growth by facilitating trade. As one of the strategies, it promoted the introduction of one-stop customs clearance (a measure to facilitate logistics through faster and more efficient customs clearance procedures by switching the export/import procedures from the traditional two-stop processes—one for the exit side and another one for the entry side—to a one-stop process) at land borders. The Japan International Cooperation Agency (JICA) implemented the “Project for Capacity Building for the Customs Administrations of the Eastern African Region” (hereafter, “Phase 1”) between 2007 and 2009 targeting Kenya, Tanzania, and Uganda to build the capacity of the customs (revenue authorities) of these countries to operate their OSBPs. Phase 1 implemented various seminars and a series of pilot projects, including the development of the OSBP operational model toward the establishment and introduction of the OSBP concept in Namanga (a Kenya-Tanzania border) and Malaba (a Kenya-Uganda border), the development of information and communication technology (ICT) equipment, and Joint Border Surveillance (hereafter, “JBS”). Phase 1 achieved outcomes including the acquisition of basic customs work and a greater acceptance of OSBPs.

At the same time, lessons and recommendations were identified through Phase 1, including: 1. In order for Eastern African countries to cooperate in the introduction and operation of OSBPs at border customs, it is necessary to continuously build the capacity of their customs in areas such as techniques and knowledge in risk management and customs classification/valuation. 2. It is necessary to expand the pilot projects on the development of ICT equipment and JBS to other border posts. 3. In order to increase the speed and efficiency of customs clearance procedures, it is necessary to build the capacity not only of the customs but also CCFAs at the same time. In addition, the revenue authorities of the target countries pointed out the need to strengthen the ability to crack down smuggling that was taking place on Lake Victoria to avoid land borders. In response, the idea of introducing Joint Water Surveillance (hereafter, “JWS”) in addition to JBS at land borders was considered. Moreover, Rwanda and Burundi, in addition to the three target

countries of Phase 1, joined the EAC Customs Union in 2007, creating greater needs for region-wide efforts.

## 1.2 Project Outline

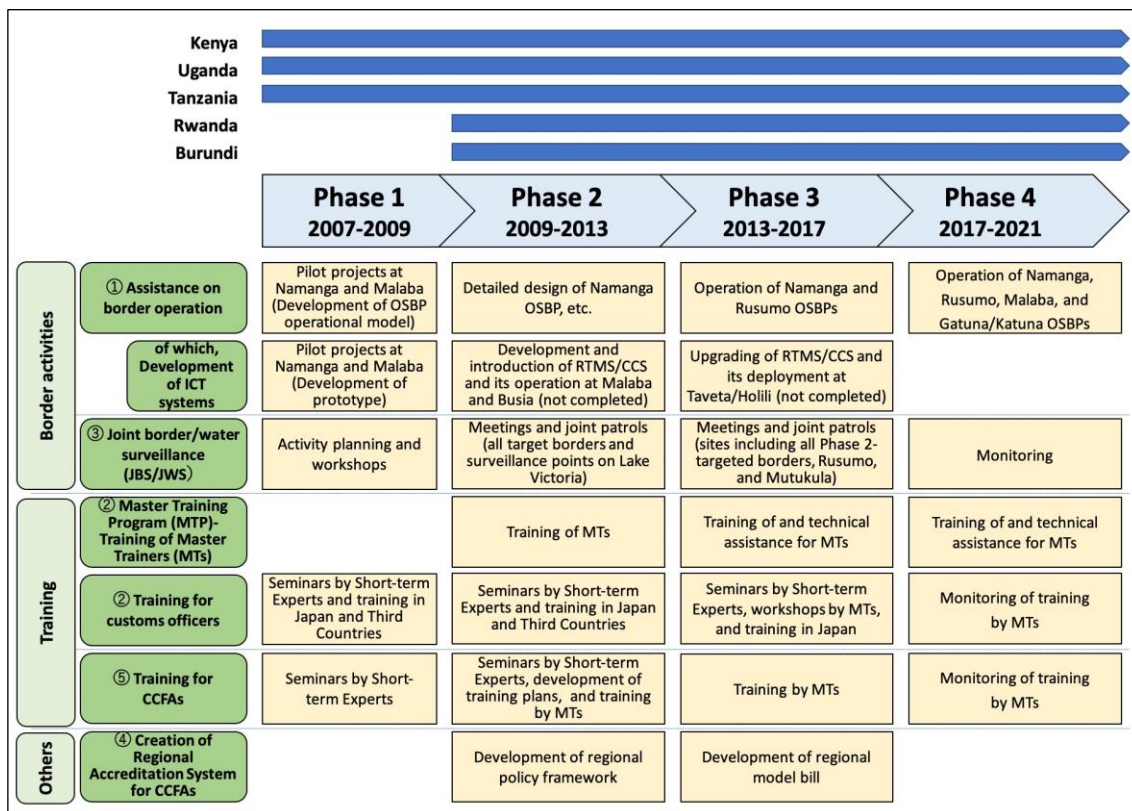
Overall Goal	Smooth and efficient Customs clearance is carried out with support of proper operation of OSBP.	
Project Purpose	Smooth and efficient Customs clearance at borders is strengthened under OSBP Concept with constructive relationship between Customs Administrations and Customs Clearing and Forwarding agents.	
Outputs	Output 1	Capacity of Customs administration is enhanced.
	Output 2	Compliance level and capacity of Customs Clearing and Forwarding agents are enhanced through the strengthened function of Customs Clearing and Forwarding Agents Associations.
Total Cost (Japanese Side)	846 million yen	
Project Period	September 2009-September 2013	
Target Areas	Kenya, Uganda, Tanzania, Rwanda, and Burundi (In particular, Nairobi, Dar es Salaam, Kampala, Kigali, Bujumbura, and the border areas at Namanga (Kenya/Tanzania), Malaba (Kenya/Uganda), Busia (Kenya/Uganda), Gatuna/Katuna (Rwanda/Uganda), Kobero/Kabanga (Burundi/Tanzania), and Lake Victoria (Kenya, Tanzania, Uganda))	
Implementing Agency	<ul style="list-style-type: none"> <li>• Kenya Revenue Authority (hereafter, “KRA”)</li> <li>• Uganda Revenue Authority (hereafter, “URA”)</li> <li>• Tanzania Revenue Authority (hereafter, “TRA”)</li> <li>• Rwanda Revenue Authority (hereafter, “RRA”)</li> <li>• Office Burundais des Recettes (hereafter, “OBR”)</li> </ul>	
Other Relevant Agencies/ Organizations	Cooperation on project implementation: East Africa Business Council (EABC), each country’s Customs Clearing and Forwarding Agent Association (hereafter, “CCFAA”), World Customs Organization (WCO)	
Supporting Agency/Organization in Japan	Customs and Tariff Bureau of the Ministry of Finance	
Related Projects	<p>&lt;Technical Cooperation&gt;</p> <ul style="list-style-type: none"> <li>• Kenya, Tanzania, Uganda, “Project on Capacity Building for the Customs Administrations of the Eastern African Region” (2007-2009) (Phase 1)</li> </ul>	

	<ul style="list-style-type: none"> <li>• Kenya, Tanzania, Uganda, Rwanda, Burundi, “Project on Capacity Development for International Trade Facilitation in the Eastern African Region” (2013-2017) (hereafter, “Phase 3”)</li> <li>• Kenya, Tanzania, Uganda, Rwanda, Burundi, “Project on Capacity Development for Trade Facilitation and Border Control in East Africa” (2017-2021) (hereafter, “Phase 4”)</li> </ul> <p>&lt;ODA Loan&gt;</p> <ul style="list-style-type: none"> <li>• Tanzania, “Arusha-Namanga-Athi River Road Development Project” (March 2007) (construction of Namanga OSBP)</li> </ul> <p>&lt;Grant Aid&gt;</p> <ul style="list-style-type: none"> <li>• Kenya, Tanzania, Uganda, Rwanda, Burundi, “Project for Enhancing Trade Facilitation and Border Control Capacity” (November 2019) (jointly with the United Nations Office for Project Services (UNOPS), providing equipment for JBS/JWS)</li> <li>• Tanzania and Rwanda, “Project for Construction of Rusumo International Bridge and One Stop Border Post Facilities” (March/August 2011 in Tanzania; March/September 2011 in Rwanda) (construction of Rusumo OSBP)</li> </ul> <p>&lt;Others&gt;</p> <ul style="list-style-type: none"> <li>• Various projects by Trademark East Africa (TMEA), the United States Agency for International Development (USAID), the World Bank (WB), and the African Development Bank (AfDB), including OSBP facility construction, the improvement of trade policy through the EAC, and customs officer training by the WCO (jointly with this project and its subsequent phases)</li> </ul>
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The outputs of this project were the capacity development of customs administration (in particular, revenue authority personnel) (Output 1) and the capacity development of CCFAs (Output 2). Project components for these outputs consisted of the following (Items 1-4 correspond to Output 1 and Item 5 corresponds to Output 2): 1. Assistance on OSBP operation (detailed design for the Namanga OSBP, developing ICT systems such as the Real Time Monitoring System/Cargo Control System (hereafter, “RTMS/CCS”) and the accompanying transfer of OSBP operation technologies at each border, etc.); 2. Master Trainers Program (hereafter, “MTP”)/customs officer training; 3. JBS/JWS; 4. Creation of the Regional Accreditation System for CCFAs; and 5. Training for CCFAs. The project purpose was set as the strengthening of customs clearance procedures at borders as a result of achieving these components. It was expected that the continuous and expansive implementation of these components would help

achieve the overall goal—smooth and efficient customs clearance is carried out with support of proper operation of OSBPs—after the project completion.<sup>1</sup>

After the completion of this project (Phase 2), the two subsequent phases mentioned in the table above have been implemented. Phase 4 was underway at the time of ex-post evaluation. Key components of each phase are shown in Figure 1.



Source: Created based on documentation provided by JICA

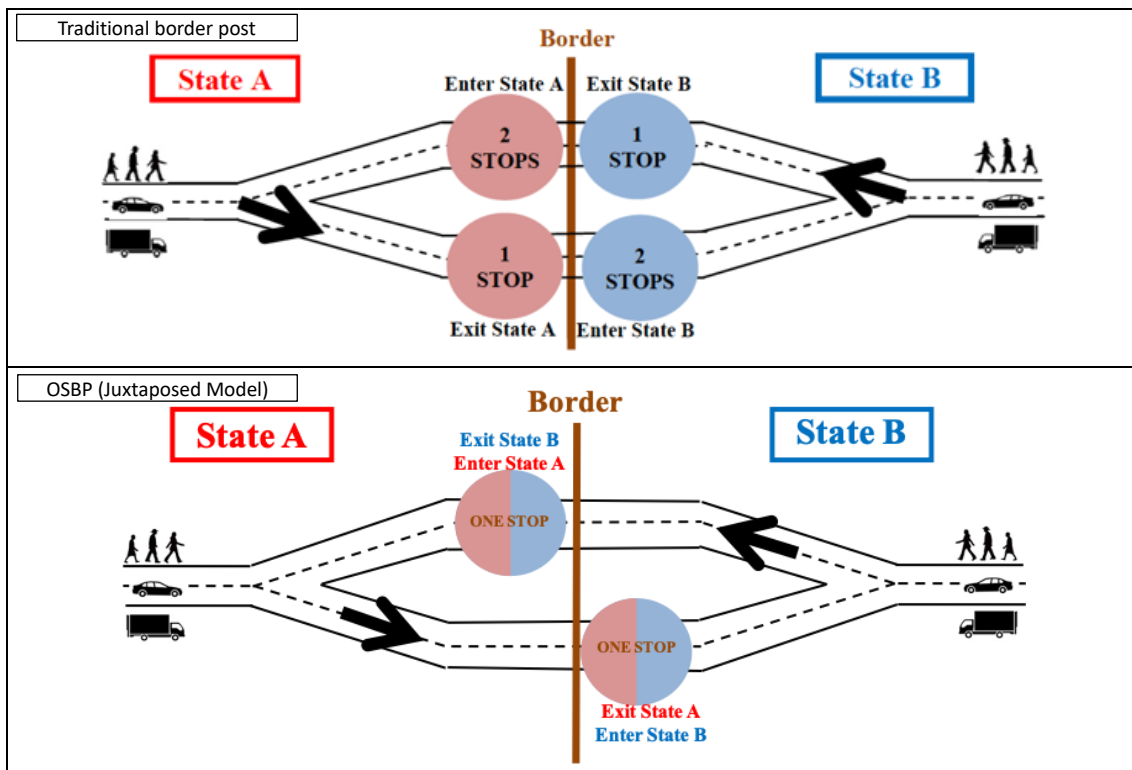
Note: Circled numbers correspond to the classification of components in this report (components were arranged based on the foci of this project).

Figure 1. Description of key components in different phases

The figure below shows the differences in the customs clearance procedures between before and after the introduction of OSBPs. Among the three types of OSBPs defined by the EAC, the figure shows the Juxtaposed Model, whose basic configuration is a single post per country. The administration of the post is provided by the country of entry, but both countries operate in the common control zone. This model has been adopted by all of the target borders of this project.

<sup>1</sup> This ex-post evaluation was conducted based on the logical framework, which was revised during the project period. The “Project Purpose” and “Overall Goal” discussed in this framework sound similar to each other, but, according to the indicators, the former envisions direct effects of the project while the latter envisions long-term effects, such as the expansion to other areas and regular use in training. The summary in this section used this understanding.

(Other models include the “Straddling Model,” which builds a single post on the border, and the “Single Country Model,” which creates a single post in one of the countries.)



Source: NEPAD Agency, One-Stop Border Post Sourcebook, 2nd edition (2016)

Figure 2. Diagrams of the border post and customs clearance procedures before (top) and after (bottom) OSBP

### 1.3 Outline of the Terminal Evaluation

#### 1.3.1 Achievement Status of Project Purpose at the Terminal Evaluation

Indicators related to training, such as MTP, were achieved, but some indicators for Output 1, including the deployment of the RTMS/CCS (an ICT system) at the target borders, were not fully achieved by the end of the project period. Therefore, the evaluation rated the achievement status of the project purpose as fair.

#### 1.3.2 Achievement Status of Overall Goal at the Terminal Evaluation (Including other impacts)

Although the attainability of some of the indicators for the overall goal, such as a shorter customs clearance time after OSBPs become operational, was hard to judge at the time of terminal evaluation, the evaluation assessed that the training for Master Trainers (hereafter, “MTs”) and the development of the RTMS/CCS would likely be utilized in the future as the

outcomes of these components became assets not only of individual countries but also of the customs administration shared by the EAC.<sup>2</sup>

### 1.3.3 Recommendations from the Terminal Evaluation

The following recommendations were made. All of them have been addressed in the subsequent phases.

- To continue to work towards full operation of the RTMS/CCS at the Namanga OSBP. To examine the implementation structure and necessary inputs by anticipating the deployment of the RTMS/CCS in Malaba and Busia.
- To coordinate with relevant agencies and create operation manuals in a timely manner in order to operate OSBPs, while monitoring the progress of the Namanga OSBP construction.
- To examine the continuous utilization of the MTP.
- To promote the implementation of JWS based on the action plans formulated by relevant countries to boost JWS activities.
- To continue to maintain and strengthen the cooperation with the WCO to effectively utilize and develop the capacity of MTs.

## 2. Outline of the Evaluation Study

### 2.1 External Evaluator

Takako Haraguchi, International Development Center of Japan Inc.<sup>3</sup>

### 2.2 Duration of Evaluation Study

This ex-post evaluation study was conducted with the following schedule.

Duration of the Study: July 2019-August 2020

Duration of the Field Study: October 12-November 26, 2019; February 8-February 28, 2020<sup>4</sup>

### 2.3 Constraints during the Evaluation Study

Among the target countries/borders, the field study could not be carried out in Burundi and the Kobero/Kabanga OSBP due to an advice given from a safety management perspective.

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<sup>2</sup> JICA. (2014). A report on the terminal evaluation for the Project on Capacity Building for the Customs Administrations of the Eastern African Region (Phase 2) and the detailed design study for the Project on Capacity Development for International Trade Facilitation in the Eastern African Region. p. x.

<sup>3</sup> Participated as reinforcement from i2i Communication, Ltd.

<sup>4</sup> This period includes the field study period for the ex-post evaluation of the Mombasa Port Development Project. The evaluation for the latter and the present evaluation were carried out at the same time.

Information was collected mainly through email communication from the OBR, the counterpart agency in Burundi. Information concerning this border was also provided by the project team of the ongoing Phase 4.

All of the components of this project continued to be addressed in the subsequent phases. This makes it difficult to identify the effects observed at the time of ex-post evaluation that were attributable only to this project (Phase 2).

### **3. Results of the Evaluation (Overall Rating: B<sup>5</sup>)**

#### 3.1 Relevance (Rating: ③<sup>6</sup>)

##### 3.1.1 Consistency with the Development Plans of the Eastern African Region and the Individual Target Countries (Kenya, Uganda, Tanzania, Rwanda, and Burundi)

The consistency between this project and the development plan of the target region/countries at the time of both ex-ante evaluation and project completion was high.

Regarding the development policy of the Eastern African region, the EAC Customs Union was formed in 2005 between Kenya, Tanzania, and Uganda under the *EAC Common Market Treaty*. Rwanda and Burundi joined the EAC and the Union in 2007, accelerating the standardization and streamlining of national customs policies in the region. From the perspective of promoting efforts of the Customs Union, it was necessary for customs to promote the coordination of the activities of different customs within the region, fair customs valuation, trade facilitation, and the improvement in border processing. Thus, the introduction of OSBPs became broadly recognized as an effective means to facilitate trade. In addition, the *4th EAC Development Strategy (2011-2016)* set forth to strengthen customs administration, trade facilitation, and enhancement of revenue management. Furthermore, the *East African Community One Stop Border Posts Act* was passed by the Legislative Assembly in 2013 (and enacted in 2016; additionally, the *EAC OSBP Regulation* was enacted in 2017 based on the *Act*), specifying the nature of the OSBPs in the region.

Regarding the development policy of individual countries, their respective policy documents including long- and medium-term national development plans, customs modernization programs, and revenue authority's programs at the time of ex-ante evaluation and project completion promoted measures such as the improvement of customs administration and the facilitation of trade in order to achieve economic growth primarily through greater revenues and trade. They often identified ICT and OSBPs as tools for achieving these policy goals.

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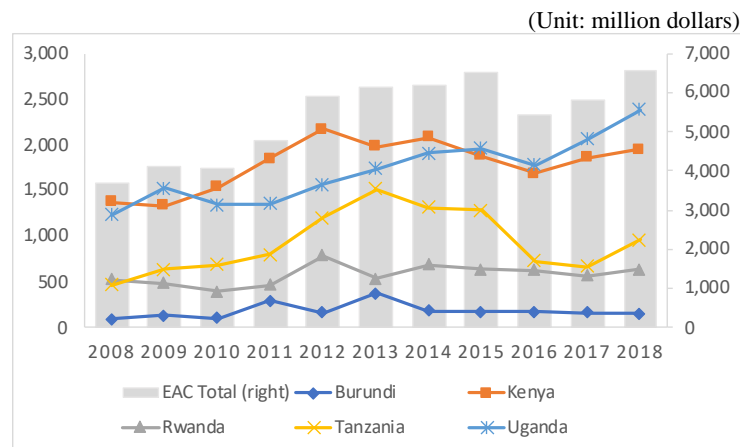
<sup>5</sup> A: Highly satisfactory, B: Satisfactory, C: Partially satisfactory, D: Unsatisfactory

<sup>6</sup> ③: High, ②: Fair, ①: Low



### 3.1.2 Consistency with the Development Needs of the Eastern African Region and the Individual Target Countries (Kenya, Uganda, Tanzania, Rwanda, and Burundi)

The consistency between this project and the development needs (i.e., trade facilitation and the capacity development of the personnel involved in trade) was consistently high from the time of ex-ante evaluation to project completion. In addition to the circumstances explained in “1.1 Background,” the value of intraregional trade—although it was not uniform between countries or between cities—has mostly increased in a long term as shown in Figure 3, suggesting that the need for trade facilitation continuously existed in the region.



Source: Created from the *East African Community Facts and Figures - 2019*

Figure 3. Value of trade within the EAC region among the five target countries (import + export)

### 3.1.3 Consistency with Japan’s ODA Policy

The consistency with Japan’s ODA policy at the time of ex-ante evaluation was high. First, regarding the Eastern African region, the Japanese government expressed commitment to assisting Africa’s OSBPs at the Fourth Tokyo International Conference on African Development (TICAD IV) in May 2008 and at the G8 Finance Ministers Meeting in June of the same year. In addition, regarding aid policy for individual countries, infrastructure development or the assistance on the promotion of trade is mentioned in the *Country Assistance Program for the Republic of Kenya* (2000), *Country Assistance Program* (Tanzania) (2000), the economic cooperation policy dialogue with Uganda in October 2006 (2006), the policy dialogue (2004) and the mid-term meeting for the policy dialogue (2009) with Rwanda, and the economic cooperation policy dialogue (2006) and the second economic cooperation policy dialogue (2008) with Burundi.

In light of above, this project was highly relevant to the development plan and development needs of, as well as Japan’s ODA policy for, the Eastern African region and individual target countries. Therefore, its relevance is high.

### 3.2 Effectiveness and Impact (Rating: ③)<sup>7</sup>

#### 3.2.1 Effectiveness

##### 3.2.1.1 Achievement of Project Purpose

Like the assessment made in the terminal evaluation mentioned above, this study assessed that the project purpose, “Smooth and efficient Customs clearance at borders is strengthened under OSBP Concept with constructive relationship between Customs Administrations and CCFAs,” was achieved at a limited level (thus, the extent of achievement was fair). The indicators for the project purpose had been set up to measure the degree to which the direct outcome of each of the project components: 1. Assistance with OSBP operation; 2. MTP/customs officer training; 3. JBS/JWS; 4. Creation of the Regional Accreditation System for CCFAs; and 5. Training for CCFAs. Of these, Indicators 2 and 5, which are related to training, were mostly achieved.<sup>8</sup> MTs were trained according to the plan, paving the way for implementing satisfactory training. In addition, Indicator 4 regarding the Regional Accreditation System for CCFAs also was mostly achieved since the policy framework draft for the introduction of this system was prepared. However, Indicator 1 regarding the assistance with OSBP operation was not achieved because the delay in one of the external conditions—the construction of OSBPs (to be carried out through a Japanese ODA loan or AfDB)—prevented the RTMS/CCS from becoming fully operational. Furthermore, concerning Indicator 3, while the JBS/JWS activities themselves were implemented to a certain extent, the study was not able to objectively verify whether the local community came to recognize the activities’ deterrent effects against smuggling.

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<sup>7</sup> Sub-rating for Effectiveness is to be put with consideration of Impacts.

<sup>8</sup> Although significant effects were observed as described in Table 1, these are rated as “mostly achieved” because, strictly speaking, the data required for these indicators could not be obtained.

Table 1. Achievement of Project Purpose

Project Purpose	Indicator	Actual
Project Purpose: Smooth and efficient Customs clearance at borders is strengthened under OSBP Concept with constructive relationship between Customs Administrations and CCFAs.	1. Clearance time of cargoes from the time of declaration to issue release order at Namanga, Malaba and Busia is reduced by proper operation of RTMS/CCS.	<p>Not achieved</p> <ul style="list-style-type: none"> <li>The detailed design of the Namanga OSBP was completed as planned. However, the construction of OSBP facilities (ODA loan, AfDB) was not completed in any site in the EAC region, including Namanga, before the project completion due to the delay in land acquisition.</li> <li>For this reason, the development and roll out of the RTMS/CCS, which was being implemented under the premise that it would be run at OSBP facilities, was modified in a way that it could be rolled out and operated without facilities.</li> <li>The customs portion of the RTMS/CCS in Namanga only became operational in February 2013. Its operation did not reach the level, "being used properly."</li> <li>Other border posts did not start to use the RTMS/CCS because it was decided to deploy it by monitoring the operation status in Namanga.</li> <li>Therefore, these border posts did not achieve reduced time through the use of the RTMS/CCS.</li> </ul>
	2. Trainees' satisfaction/ understanding ratings on trainings by Working Group members of MTP exceed 80% as practical to apply for their daily business.	<p>Mostly achieved</p> <ul style="list-style-type: none"> <li>A total of 53 WG members consisting of the revenue authority employees of the five countries completed the MTP in "Customs Valuation," "HS<sup>9</sup> Classification," or "Intelligence Analysis" and were awarded the MT certificate from their country's respective revenue authority and the certificate of participation for the training of trainers (TOT) by the EAC. Of these, four members who were trained in "Customs Valuation" and two members who were trained in "HS Classification" pass the WCO Accredited Experts examination.</li> <li>WG members appointed by national revenue authorities, prepared the <i>MTP Handbook</i> based on the international standards in customs while incorporating the characteristics of the region.</li> <li>Training for customs officers, instructed by WG members (MTs), was provided between August and October 2012. The total number of participants was 80. The evaluation panel made up of experts and training supervisors from Japan, target countries, and the EAC gave evaluation scores between 83% and 93% to the instructors, determining that these trainers acquired knowledge and skills that allowed them to offer a certain level of satisfaction to the trainees. In the survey conducted by WG after the training, the participants reported that the training courses were organized well, informative, and interactive. However, due to lack of information, it could not be verified whether the percentage of the participants who assessed the program this way or whether the level of their satisfaction was 80% or higher.</li> </ul>
	3. Joint Border/Water Surveillance are taken as effective deterrent measure against smuggling and anti-social activities by the local communities at Namanga, Malaba, Busia, Gatuna/Katuna, Kobero/Kabanga and Lake Victoria.	<p>Unable to verify</p> <ul style="list-style-type: none"> <li>Meetings on JBS/JWS between partner countries at each site took place, and joint operation plans and reporting guidelines were formulated and agreed.</li> <li>The implementation of the JBS/JWS activities and reporting were carried out according to these plans and guidelines. However, regarding JWS, bilateral activities that were originally envisioned were undertaken infrequently. Reasons included the difficulty in operating boats (due to the proliferation of common water hyacinth on Lake Victoria and the lack of money for fuel) and the lack of legal backing for bilateral activities.</li> <li>Regarding the change in the awareness in the local community, the terminal evaluation determined that it could not be objectively verified because no baseline values or records that could be used in comparisons were available.</li> <li>It was also difficult to retrospectively measure the change in awareness at the time of ex-post evaluation.</li> </ul>

<sup>9</sup> "HS" stands for Harmonized Commodity Description and Coding System. *The Convention on the Harmonized Commodity Description and Coding System (HS Convention)* administered by the WCO defines the HS Codes (statistical codes for import/export commodities).

Project Purpose	Indicator	Actual
	4. Policy framework on the Regional Accreditation System for CCFAs is developed.	<p>Mostly achieved</p> <ul style="list-style-type: none"> <li>The final draft of the policy framework was completed in June 2013 by a task force consisting of the revenue authorities in the five countries, the EAC, the EABC, the Federation of East African Freight Forwarders Associations (hereafter, "FEAFFA"), and FEAFFA member companies, and was announced at sensitization workshops.</li> <li>Although we might say that the policy framework was indeed "developed" because the draft was prepared, it was never turned into an official policy document (see "3.2.2.1 Achievement of Overall Goal").</li> </ul>
	5. Trainees' satisfactory/ understanding ratings on trainings by Working Group members of MTP to Customs Clearing agents exceed 80% as practical to apply for their daily business.	<p>Achieved</p> <ul style="list-style-type: none"> <li>Training in the "Customs Valuation," "HS Classification," "Compliance," and "Procedures" areas instructed by WG members was administered in each country starting in September 2012. A total of 480 CCFAs received the training. In addition to the training, several seminars were held, in which 388 CCFAA officials and 428 CCFAs participated.</li> <li>In the evaluation results by the participants, more than 90% of them reported that they were satisfied or very satisfied with the content and organization of the training, and 70-90% reported that the knowledge gained in the training was applicable to customs operation.</li> </ul>

Source: JICA. (2014). A report on the terminal evaluation for the Project on Capacity Building for the Customs Administrations of the Eastern African Region (Phase 2) and the detailed design study for the Project on Capacity Development for International Trade Facilitation in the Eastern African Region., documentation provided by JICA

Thus, the project purpose was achieved in the areas of the MTP/training and the introduction of the Regional Accreditation System for CCFAs. However, the utilization of the RTMS/CCS was limited, and this study was not able to verify the change in awareness through JBS/JWS in the local community. Therefore, the project achieved its project purpose at a limited level.

### 3.2.2 Impact

#### 3.2.2.1 Achievement of Overall Goal

The overall goal was "Smooth and efficient Customs clearance is carried out with support of proper operation of OSBP." After the project completion, the construction of OSBP facilities at all target borders except for Gatuna/Katuna<sup>10</sup> was completed under multiple projects by JICA and other donors, and these facilities became operational. Thus, the project mostly achieved Indicator 1—reducing the clearance time of cargoes from the time of declaration to issue of release order to under 4 hours at the Namanga, Malaba, and Busia OSBPs. The MTs trained in this project were utilized in the regular training for the customs officers of respective revenue authorities and the regular training for CCFAs. Thus, the project mostly achieved Indicator 3, which measured whether MTs were involved in annual training programs of the revenue authority. The project mostly achieved Indicator 4, "the concept of JBS/JWS spreads within the region," since the institutionalization of JBS

<sup>10</sup> The construction of the OSBP facility at the Gatuna/Katuna border (by the World Bank, but the Rwanda side was later switched to the funding from the Government of Rwanda) was delayed due to factors such as soft soil, but the Rwanda side (Gatuna OSBP) was completed in February 2020 and agencies moved in. The construction of the Uganda side (Katuna OSBP) is still underway.

within the region and the penetration of the JWS concept were confirmed. Here, “mostly” is used in the assessment because, as will be shown below in the box, “Status of the components of this project at the time of ex-post evaluation,” the actual activities that took place were mostly information exchanges and meetings and included few joint patrol activities with neighboring countries due to several limiting factors. The approval of the policy framework draft for the Regional Accreditation System for CCFAs (Indicator 5) was not achieved in the way the indicator was set up. The focus of the efforts shifted from the policy framework to the legal framework. Thus, the impact was more significant than what was expected in this project.

In contrast, from the perspective envisioned in this project that the target OSBPs of this project would become the model, the diffusion of the OSBP operational model in the region (Indicator 2) was achieved only partially because OSBPs had not been developed using a specific OSBP as a model.

Table 2. Achievement of Overall Goal

Overall Goal	Indicator Target Year: 2019 <sup>Note1</sup>	Actual
Overall Goal: Smooth and efficient Customs clearance is carried out with support of proper operation of OSBP.	1. Clearance time of cargoes from the time of declaration to issue of release order reduce to within 4 hours on average. <sup>Note2</sup>	<p>Mostly achieved</p> <ul style="list-style-type: none"> <li>• As shown in the table below, many studies were conducted. Even though direct comparisons are difficult because the conditions of these studies were not uniform and the customs clearance time significantly varied depending on factors such as the type of cargo, all target borders had measured values that achieved the target—four hours. By also considering the results of the interviews (all of the interviewees from revenue authorities, CCFAs, and the CCFAA reported that customs clearance procedures became more efficient), it is reasonable to say that the customs clearance time has been decreasing overall.</li> <li>• At the Namanga OSBP, the detailed design of the facilities contributed to the reduction of time through the adoption of one-stop customs clearance. The OSBP operation at all target borders became more efficient thanks to the transfer of OSBP operation technologies, the assistance on organizing meetings, and monitoring that took place under this project and the subsequent phases. This contributed to a shorter time. In the subsequent phases, the assistance on the preparation and dissemination of the <i>EAC OSBP Procedures Manual</i> also contributed to the achievement of this indicator. Regarding factors outside this project that were likely to have contributed to the greater efficiency of customs, various reports and interviewees pointed to the introduction of Single Customs Territory (SCT),<sup>11</sup> the promotion of electronic declaration, and the improvement in the operation of the parking space.</li> <li>• Factors preventing a shorter customs clearance time included the shortage of cargo scanners, the time taken for the inspection by other authorities, long stays at the OSBP caused by CCFAs, the extra hours counted for the overnight stay outside the gate when the customs clearance agent arrived just before the closing time at 8 p.m. (as in the case of the Namanga OSBP, which is not operated 24 hours for cargo).</li> </ul>

<sup>11</sup> SCT is an initiative based on the EAC Customs Union to streamline intraregional customs clearance procedures. Formerly, an intraregional cargo with different countries of origin/destination had to be processed for transit in the same country before being processed for import in the importing country. SCT streamlined customs clearance procedures by allowing the Member States of the Customs Union to complete only the import procedure for the importing country without completing the transit procedure.

Overall Goal	Indicator Target Year: 2019 <sup>Note1</sup>	Actual																		
		Average customs clearance time at target border facilities <sup>a</sup> (Unit: hour)																		
		OSBP (1st year in operation)	Before OSBP	After OSBP (2019)																
		Namanga (2017)	Tanzania to Kenya	a) 51 (2009) b) 6 (2014)**	c) 4 b), d) 8** <sup>b</sup>															
			Kenya to Tanzania	b) 12 (2014)**	b) 3** d) 8**															
		Malaba (2016)	Uganda to Kenya	e) 10 (2015)	c) 4															
			Kenya to Uganda	No comparable data available	No comparable data available															
		Busia (2017)	Uganda to Kenya	e) 6 (2015)	c) 4															
			Kenya to Uganda	e) 12 (2015)*	f) 3*															
		Source: (a) TRA, Tanzania Time Release Study, 2009 (Tanzanian side only). (b) JICA, Endline Time Measurement Survey at Namanga Border Crossing, 2019 (median). (c) Survey responses from KRA. (d) Interview with KRA representatives at Namanga OSBP. (e) URA, Uganda Time Release Study, 2015 (Ugandan side only). (f) Interview with URA representatives at Busia OSBP. (g) Survey responses from URA. Note: <sup>a</sup> Values are rounded up if the original data had values smaller than one hour. The clearance time is defined in three ways. No asterisk: Declaration–Release. *: Arriving the gate–Leaving the gate. **: Arriving at the border area–Leaving the gate. <sup>b</sup> This value was measured in February 2019 before a cargo scanner was installed in May of the same year. It is expected that the customs clearance time dropped below this value after the installation.																		
	2. OSBP Operational Model at Namanga, Malaba and Busia spread to other areas in the region as a key model.	Partially achieved	<ul style="list-style-type: none"> <li>Each OSBP was operated according to the framework that was standardized across the EAC (<i>EAC OSBP Act</i> and the <i>EAC OSBP Procedures Manual</i>, which was created with the assistance of Phase 3). As of November 2019, the number of OSBPs in the region was 12, against 19 as planned.</li> <li>Due to reasons including the delay in the completion of these OSBP facilities, the standardized framework above does not necessarily employ these OSBPs as the model.</li> <li>However, the operational status of the Namanga OSBP and that of the Rusumo OSBP, which was added as a target border in Phase 3, were included as cases in the <i>OSBP Sourcebook 2nd Edition</i> (created under the assistance of Phase 3).</li> </ul>																	
	3. Certified Master Trainers are consistently involved in the annual training program of respective Revenue Authorities and EAC.	Mostly achieved	<ul style="list-style-type: none"> <li>MTs were also trained in Phase 3 in the three target areas of this project.</li> <li>In all countries, MTs served as instructors for the training for customs officers and CCFAs by the revenue authority every year (the standard EAC training for customs officers, training and degree programs specific to each revenue authority, the standard EAC training for CCFAs, etc.). However, not all MTs were part of this. According to different revenue authorities, retired MTs and MTs who had been promoted/transferred were also used as needed (see the box, “Status of the components of this project at the time of ex-post evaluation” below for the implementation status of training).</li> </ul> <p>Number of MTs (total for three areas: Customs Valuation, HS Classification, and Intelligence Analysis)</p> <table border="1"> <thead> <tr> <th></th> <th>Number of MTs at project completion (2013)</th> <th>Number of MTs at the time of ex-post evaluation (Enrolled as of Nov 2019)</th> <th>Number of MTs served as training instructors (Oct 2017–Sept 2018)<sup>a</sup></th> </tr> </thead> <tbody> <tr> <td>Kenya</td> <td>12</td> <td>16<sup>b</sup></td> <td>4</td> </tr> <tr> <td>Uganda</td> <td>9</td> <td>18</td> <td>10</td> </tr> <tr> <td>Tanzania</td> <td>11</td> <td>16</td> <td>7</td> </tr> </tbody> </table>			Number of MTs at project completion (2013)	Number of MTs at the time of ex-post evaluation (Enrolled as of Nov 2019)	Number of MTs served as training instructors (Oct 2017–Sept 2018) <sup>a</sup>	Kenya	12	16 <sup>b</sup>	4	Uganda	9	18	10	Tanzania	11	16	7
	Number of MTs at project completion (2013)	Number of MTs at the time of ex-post evaluation (Enrolled as of Nov 2019)	Number of MTs served as training instructors (Oct 2017–Sept 2018) <sup>a</sup>																	
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Tanzania	11	16	7																	

Overall Goal	Indicator Target Year: 2019 <sup>Note1</sup>	Actual			
				Rwanda	12
		Burundi	9	16	5
		Total	53	87	33
		Source: Documentation provided by JICA Note: <sup>a</sup> Although the data for the number of 2019 could not be obtained, it was verified through the interview that MTs in different areas continue to be utilized as instructors in the annual training programs at the revenue authority. <sup>b</sup> Excluding one MT who was loaned to the WCO.			
	4. Concept of Joint Border/Water Surveillance spread to 10 sites in the region.	Mostly achieved <ul style="list-style-type: none"> <li>JBS is explicitly mentioned in the <i>EAC OSBP Procedures Manual</i> as an OSBP function, and this concept has been communicated across the EAC. The concept of JWS also became prevalent among the water surveillance division of the three coastal countries.</li> <li>The following seven borders that were not part of the target borders of this project were reported by respective revenue authorities as engaging in JBS activities (joint patrolling, meetings, or information exchange): Moyale (Kenya/Ethiopia), Mirama Hills/Kagitumba (Uganda/Rwanda), Mtukula (Uganda/Tanzania), Elegu (Uganda/South Sudan), Tunduma/Nakonde (Tanzania/Zambia), Kasumulu/Songwe (Tanzania/Malawi), and Rusumo (Tanzania/Rwanda). However, information exchange appeared to be taking place informally at other borders. The only JWS activity that was undertaken was information exchange.</li> </ul>			
	5. Policy Framework on the Regional Accreditation System for CCFAs is authorized in EAC.	Partially achieved (but its impact materialized in practice) <ul style="list-style-type: none"> <li>The policy framework created in this project itself failed to get approved by the EAC before the efforts shifted to the development of the legal framework. The EAC Sectoral Council expressed the need for a legal framework, and this eliminated the need for approving the policy framework. As a result, the policy framework was fleshed out and formulated in Phase 3 as the <i>Model Customs Agents and Freight Forwarders Management Bill</i>. The EAC Secretariat acknowledged the bill and proposed to the member countries to work on the bill. The FEAFFA and the CCFAA of each country are working on domestication.</li> </ul>			

Source: Documentation provided by JICA; interviews with and documentation provided by the revenue authority of each country; interviews with the EAC Secretariat

Note: (1) The target year was defined as “within two years after the completion of the OSBP facilities at Namanga, Malaba, and Busia.” The year of completion was recorded as 2015 or 2016. However, due to the delay of ancillary facilities, such as roads, and the construction delay in one side of the border, the border post became operational as a one-stop border in 2016 in Malaba and 2017 in Namanga and Busia. For this reason, this table mainly reports the status of achievement as of 2019, two years after 2017. (2) Although the indicator does not specify the target border(s), the Namanga, Malaba, and Busia OSBPs were designated in the definition for the target year as mentioned above. Thus, they are assumed as the target borders.

Each component of this project except for some components was continuing and contributed to the overall goal. In particular, the MTP became the base of customs personnel training in the Eastern African region. The MTP was likely contributing to the improvement in the efficiency and impacts of customs clearance procedures by developing the capacity of customs officers and CCFAs. In the development of OSBPs in East Africa, which receives assistance from many donors, this project and its subsequent phases were the only projects that consistently assisted the training of both customs officers and CCFAs. As such, these projects worked in synergy with the hardware aspect, such as the construction of facilities and the introduction of ICT by JICA and other donors. The EAC, which takes the initiative in the development of OSBPs in the region, and other donors,

such as the TMEA and the World Bank, expressed that “JICA excels in the soft side and personnel development” and gave high marks to the training and other efforts provided in this project and its subsequent phases. In addition, JBS was established as an OSBP function and was being practiced.

However, as indicated by the problems or non-use of the RTMS/CCS and the limited implementation of JWS at Lake Victoria, the continuation and the contribution to the overall goal were limited in some of the components. In addition, some CCFAs pointed out that operation of the Namanga OSBP, for which this project provided the detailed design, had room for improvement.

#### Status of the components of this project at the time of ex-post evaluation

##### (1) OSBP operation and RTMS/CCS

At the Namanga OSBP, the construction of the facilities was completed in accordance with the detailed design formulated in this project. The OSBP was in operation. It was confirmed during the site visit for the ex-post evaluation that the operational condition was in good standing. However, the CCFAs that used this OSBP reported the following. 1. They were subjected to a number of different inspections, which sometimes take a long time. Despite the recommendation to perform inspections jointly with the customs, inspections were sometimes performed individually. 2. There were periodic power outages in the surrounding area. This forced them to go to the town where Internet connections and office equipment were available. The OSBP facility had backup power, but no Internet connections or workspace were available for CCFAs. Regarding the first issue, border agencies regularly held meetings to coordinate their efforts, but the goal of the OSBP—to expedite customs clearance—might not have been thoroughly communicated to non-customs agencies housed at the border post, such as the standards organization. The EAC Secretariat and other donor agencies suggested the same point. Regarding the second issue, the design for the facility assumed that CCFAs would establish their own office near the OSBP. Although this design was compatible with the concept of OSBP, considering the existence of external factors such as power outages, this might have affected the efficiency of customs clearance.

The RTMS/CCS is a software program developed under this project based on the concept formulated in Phase 1 to provide a function for sharing cargo declaration information between border agencies and coordinating joint inspections (RTMS) and a function for controlling the movement of vehicles at the OSBP (CCS). By considering the network connection status and possible overlap with new initiatives undertaken by revenue authorities (those related to SCT and single window), however, the system’s functionality was restricted in the subsequent Phase 3 to the exchange of information concerning temporary vehicle travel permits provided in CCS. The deployment of the system was also limited to certain borders between Kenya, Uganda, and Tanzania. At the time of ex-post evaluation, this system was established in Kenya as a KRA system and was used at the country’s all border customs. However, it was reported that the system had not been maintained since 2018 when the contract with the Kenyan consultant that developed the system expired. In addition, in Uganda and Tanzania, even though the RTMS/CCS was integrated with the respective customs clearance management system of URA and TRA, the system did not appear to be adequately utilized at the time of site visit for this ex-post evaluation.<sup>12</sup> The site visit confirmed that even though the servers and network equipment for the RTMS/CCS provided by this project had reached the end of their service lives at the respective revenue authorities, KRA and TRA continued to use the system as a backup system and other purposes.

It should be noted that this project provided SMS Gateway (an application to send short messages) along with the RTMS/CCS to KRA, URA, and TRA as a tool to improve the efficiency of customs clearance. KRA was still using it for password authentication and other purposes at the time of ex-post evaluation (no information is available for URA and TRA).

##### (2) MTP and Training (customs officers/CCFAs)

The EAC approved the curriculum and teaching material (the *MTP Handbook* and case studies) developed in this project as the standard curriculum/teaching material, which were used in all five countries. The EAC institutionalized common training for customs officers and CCFAs (Indicator 3 in the table above) and provided it

<sup>12</sup> In Uganda and Tanzania, each side at a given border used domestic vehicle traffic management software but used the RTMS/CCS to exchange data. When the Malaba and Busia OSBPs were visited for this study, both Ugandan and Kenyan sides were unable to retrieve vehicle information that was supposed to be registered. In addition, both Tanzanian and Kenyan sides at the Namanga OSBP were also manually entering information about the vehicles arriving from the other country.



through respective revenue authorities. However, of the 53 MTs who had been trained in this project, quite a few MTs were not involved in training tasks due to retirement and promotion/transfer. There was no information indicating the age was considered when selecting MT candidates (i.e., consideration of the impact of retirement).<sup>13</sup>

The subsequent phases implemented the development of new MTs and the monitoring of training activities. The participants' scores on the comprehension test improved after the training.

The Station Manager of the border posts this study visited and the personnel (several individuals) who said that they had taken the training reported that the content of the training was used substantially in their duties. However, they also expressed that more frequent training and training at the border post rather than at the headquarters should be provided because of frequent transfers. In addition, the CCFAs interviewed at the Namanga OSBP (three on the Tanzanian side and two on the Kenyan side) reported that more training was necessary. Some interviewees expressed that they would like to see training on how to deal with changes in regulations.

### (3) JBS/JWS

JBS/JWS continued to be supported and monitored in the subsequent phases. However, the focus shifted from joint patrolling to consultation and information sharing due to the challenges against joint activities (as will be mentioned later). As a result, there was an increasing tendency for each country to conduct physical surveillance activities on its own.

Regarding JBS, among the target borders of this project, the Namanga, Malaba, and Busia OSBPs were holding meetings between relevant agencies from both countries at least quarterly, but the Gatuna/Katuna border posts and the Kobero/Kabanga OSBP did not. According to the explanations by the respective revenue authority, meetings were put on hold at Gatuna/Katuna because of the suspension of the passing of cargo trucks at the border; at Kobero/Kabanga, the legal basis, such as a bilateral agreement, was not adequately developed. Joint patrolling was carried out several times every six months at Namanga, Malaba, and Busia. However, it was suspended at Gatuna/Katuna, and it was not carried out at Kobero/Kabanga. With this stated, it was reported that all borders engage in bilateral information exchanges as necessary. The patrol vehicles provided by this project were used in joint and individual patrolling.

In the JWS on Lake Victoria, bilateral information exchanges take place as needed, but joint patrolling was rarely carried out. The water surveillance teams on the field from Kenya, Uganda, and Tanzania commonly reported that the patrol boats provided by this project were not suitable for long-distance or multi-day patrolling because they were small and their cabin space was not very comfortable considering the substantial size of the target area, and they could be damaged (cracks in the hull) easily because the waves were high and because they needed to land by beaching the boat in places where no piers were available. All six patrol boats provided were once used daily in individual patrolling activities in respective countries. However, one boat in Kenya (used in waters with relatively calm waves) was the only boat that was operating properly at the time of ex-post evaluation. There was one boat in Tanzania that was being repaired for cracks. Other boats were being rarely or never used after sustaining damage. High repair cost was cited as the reason. Considering that their necessity was high, the procurement of larger patrol boats and other equipment was being planned in the Grant Aid project, Project for Enhancing Trade Facilitation and Border Control Capacity (jointly with UNOPS) (2019) at the time of ex-post evaluation.

Regarding the impact of JBS/JWS in deterring smuggling, the respective revenue authorities, OSBP personnel and water surveillance team members who were interviewed, a local government in a border area (Namanga on the Tanzanian side), and a community at Lake Victoria (a Kenyan fishermen group) all reported that they saw its impact. For example, the revenue authority personnel at the Malaba, Busia, and Namanga OSBPs pointed out that "smugglers started to think that they would not be able to escape even if they cross the border because information is shared between two countries." However, there were no data that directly supported this observation. In addition, they reported that because smugglers monitor OSBPs' activities and use routes and methods that would prevent them from being located, joint patrolling (which is performed based on individual tips submitted) in most cases did not directly result in the detection of smuggling.

Furthermore, OSBPs and revenue authorities reported that the synergy created with the sensitization activities for border communities (e.g., informing people about cases in which duties would not be imposed when passing a border post), which were implemented along with JBS, increased their knowledge and attention to compliance, reducing the number of people crossing porous borders.

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<sup>13</sup> At the time of terminal evaluation of this project, the retirement of MTs was identified as a risk factor against the achievement of project effect.



Border community residents passing through Busia OSBP



Ugandan MTs



Kenyan patrol boat

Therefore, the project has mostly achieved the overall goal.

### 3.2.2.2 Other Positive and Negative Impacts

Following positive and negative impacts were observed. These impacts include the effects not only of this project but also of the subsequent phases of this technical cooperation project and other projects by JICA and other donors. No negative impacts on the natural environment were reported, and no resettlement and land acquisition took place.

#### (1) Negative impacts of OSBPs on local economic activities

It was pointed out at the Namanga and Malaba OSBPs that the OSBP reduced the border wait time, reducing local commercial activities. For example, the completion of the Namanga OSBP put some restrictions on the activities of women's groups that used to sell crafts to tourists on the Kenyan side.<sup>14</sup> They were now allowed to sell products inside the OSBP facility only when tourists' buses arrive. But they were no longer able to do their business freely, and they were no longer allowed to sell on the Tanzanian side. In addition, both TRA and URA reported that the sales at hotels and restaurants near the Namanga and Malaba borders somewhat declined (but no data were provided).

#### (2) Positive impacts of OSBPs

The logistics at the target borders was growing.<sup>15</sup> In addition to the greater efficiency of customs clearance through the operation of OSBPs discussed above, it appeared that the greater efficiency of customs clearing helped to respond to the expansion of logistics. Furthermore, OSBP personnel and local people commented that the security in the border

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<sup>14</sup> The *EAC OSBP Procedures Manual* states that activities related only to border clearance should take place in the OSBP facility.

<sup>15</sup> For example, JICA's *Endline Time Measurement Survey at Namanga Border Crossing* (2019) reports that the number of trucks passing through the Namanga OSBP was 131 trucks/day in 2016 (before OSBP service) and 168 trucks/day in 2018 (after OSBP service). The World Bank's *Border Crossing Monitoring along the Northern Corridor* (2013) and TMEA's *Baseline Time and Traffic Survey at Malaba Border Posts* (2016) also report that the number of trucks passing through the Malaba OSBP, which is reported to be the busiest OSBP in the region, was 1,100 trucks/day in 2013 (before OSBP service) and 1,286 trucks/day in 2016 (after OSBP service). Trucks passing in both directions are combined in each of these numbers. See also Figure 3 above for the upward trend of the intraregional trade volume.

area improved.<sup>16</sup> In addition, it was also pointed out by multiple revenue authorities that the joint operation at OSBPs and JBS improved bilateral communication.

### (3) Positive impacts of MTP

Some of the MTs trained in this project stated that they had learned not only technical knowledge in specialized fields but also effective pedagogy and facilitation techniques, which they utilized not only in training tasks but also in the administrative duties they engaged in after receiving their promotions.<sup>17</sup>

In addition, this project impacted other regions in Africa. For example, some of the MTs trained in this project were dispatched to Southern and Western African countries under the assistance of JICA and the WCO to supervise customs officers.

This project mostly achieved the project purpose—strengthening of customs clearance procedures at borders—in terms of the training of customs officers and CCFAs. However, the assistance on the operation of OSBPs was only partially achieved due to external conditions, such as the delay in the construction of facilities. Regarding the overall goal, the project achieved its project effects mostly as planned, such as the reduction in customs clearance time, the utilization of MTs across the Eastern African region, the spread of the concept of JBS/JWS (although some of them are part of the effects of subsequent phases). Furthermore, by also considering the impact elicited by the role this project came to play as the base of customs personnel training in the region, the effectiveness and impact of the project are high.

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<sup>16</sup> Some of the comments included: “The facilities have been modernized within the OSBP premise (common control zone), and now good security is in place.”; “It can be used safely by people and cargoes.”; “Some people used to cross the border at locations where roads were not developed because they were afraid of passing the customs, but they now cross at the OSBP, which is safe.”

<sup>17</sup> Among three interviewees at KRA and two interviewees at URA, this was stated by one KRA interviewee and one URA interviewee.

### 3.3 Efficiency (Rating: ②)

#### 3.3.1 Inputs

Table 3. Inputs

Inputs	Plan	Actual
(1) Experts	4 Long-Term (chief advisor/customs administration, CCFAs tasks, local capacity building, training planning/coordination of tasks) Short-Term	5 Long-Term (Chief Advisor/Customs Administration, Regional Cooperation, Coordination /Human Resource Development) 51 Short-Term (Customs Clearing Agents, MTP, Development of Policy Framework for the Accreditation System, Namanga Detailed Design, etc.) 10 WCO experts
(2) Trainees received	Training in Japan	22 persons in Japan 71 persons in Viet Nam and Malaysia 17 persons dispatched to WCO-approved expert workshops in Nigeria and other places 8 persons dispatched to the server administration training in South Africa
(3) Equipment	ICT equipment, patrol boats, vehicles, etc.	ICT equipment (computers, servers, software, etc.), JBS/JWS equipment (vehicles, night vision cameras, radios, patrol boats, etc.)
(4) Overseas activity cost	Expenses for holding seminars, travel expenses for experts, expenses for video recording at OSBPs, etc.	304 million yen (cost of hiring local consultants, expenses for conducting training, travel expenses for instructors, etc.)
Japanese Side Total Project Cost	409 million yen	806 million yen
Target Countries' Total Project Cost	Unknown (personnel costs for counterparts, travel expenses, etc.)	Unknown (personnel costs for counterparts, expenses for conducting MTP training (to provide venues, lunches, etc.), expenses for JBS/JWS enforcement activities, provision of venues for meetings to support the formulation of the policy framework for the creation of the Regional Accreditation System for CCFAs, arranging vehicles for experts and WG members in the country of destination, supplemental stipends and travel allowance for the customs officers from the five countries related to their travel expenses to participate in the MTP and training (the difference between the standard set by each country and the amount paid by JICA), expenses for the security audit on RTMS/CCS, etc.)

Source: Compiled from documentation provided by JICA

Note: The number of people is the cumulative total. The numeric information under "Plan" includes only that of Kenya, Uganda, and Tanzania, i.e., it does not include that of Rwanda and Burundi, which were added to the target countries after the conduct of ex-ante evaluation.

##### 3.3.1.1 Elements of Inputs

The type, amount, quality, and timing of the inputs helped achieve a broad range of activities and outcomes that were suitable for the existing conditions of the EAC and the five countries. Thus, the inputs as a whole were appropriate for both the Japanese side and the target countries' side. Regarding the dispatch of experts, in particular, the target countries gave high marks at the time of terminal evaluation to the knowledge of the experts, approaches, teaching skills, the capacity for coordination, sustained efforts to move forward in the project, etc. Since trade facilitation was a major development challenge in

the EAC and each target country, various efforts other than this project were directed to this issue. Trade facilitation also required flexible inputs that were consistent with changes in the circumstance, such as external conditions (Example: the change made to the RTMS/CCS design in response to the delay in OSBP construction and the roll-out status of the customs administration system in each country). Existing records suggested that the project team had put an adequate amount of effort to achieve outputs and project purpose. The responses to the interviews at the time of ex-post evaluation confirmed that respective revenue authorities placed a great amount of trust in the experts including the long-term experts who have continuously been dispatched across this project and the ongoing Phase 4.

However, the terminal evaluation pointed out that the inputs concerning the development and operation of the ICT system (RTMS/CCS) (mainly, one local consultant for the development and the provision of equipment) might have been inadequate in order to achieve and sustain mid- and long-term effects. This assessment is likely to be reasonable to a degree considering that, as discussed above, only some of the RTMS/CCS's functions that were developed in this project were utilized at the time of ex-post evaluation. Alternatively, if the RTMS/CCS was a component that required large-scale development and technology transfer through more inputs, it could have been considered to remove it from the scope of this project to turn it into a separate project.

In addition, the low utilization of the patrol boats for JWS was already pointed out at the time of terminal evaluation. As discussed above, although these boats (many of which were damaged) were used by respective countries in their individual patrolling after the project completion, the size of the boats might not have adequately been compatible with the purpose—joint patrols with neighboring countries on Lake Victoria.

#### 3.3.1.2 Project Cost

This study was unable to compare the actual project cost against the planned project cost. The planned amount of the Japanese side assistance (listed on the ex-ante evaluation sheet) that could be obtained was 409 million yen, and the actual amount was 806 million yen. However, the planned amount represented only Kenya, Uganda, and Tanzania and did not include the figures for Rwanda and Burundi, which were added to the target countries after the ex-ante evaluation sheet had been prepared.

#### 3.3.1.3 Project Period

The project period was as planned. The planned and actual project periods were both four years between September 2009 and September 2013.

Thus, the project period was as planned in this project, but the planned and actual project costs could not be compared due to the lack of comparable figures. Therefore, efficiency of the project is fair.

### 3.4 Sustainability (Rating: ②)

#### 3.4.1 Policy and Political Commitment for the Sustainability of Project Effects

At the time of ex-post evaluation, following policies were in place to support the effects of this project, such as faster and more efficient customs clearance procedures at borders, personnel development for the latter purpose, JBS/JWS, etc. First, regarding the policies in the Eastern African region, the facilitation of trade, the improvement in customs administration, and the nature of OSBPs in light of these goals have been established in the *EAC Vision 2050* (2016), the *EAC OSBP Act* (2016), the *EAC OSBP Regulation* (2017), and the *EAC OSBP Procedures Manual* (2018). In addition, the *WCO East and Southern Africa (ESA) Region Strategic Plan* (2018-2021) sees the MTP in this project and its subsequent phases as an important output. Training that utilizes MTs (Phase 3/4 activities) is being implemented as a joint project between JICA and the WCO.

Second, the target countries of this project were seeking to facilitate trade and improve customs procedures through the medium- and long-term development plans at the time of ex-post evaluation, a customs modernization program, revenue authority programs, etc. Although the degree to which different efforts were addressed in the national development plans/customs policy in different countries was not uniform,<sup>18</sup> this study confirmed through interviews with respective revenue authorities as well as in individual program documents that all target countries were in concert in their policy to comply with the EAC's OSBP framework (the law, regulation, and manual mentioned above).

By judging from the fact that trade facilitation was emphasized among the development challenges in the Eastern African region and that the operation of OSBPs, personnel development, and JBS implemented in this project were incorporated into the intraregional policy, it was unlikely for the sustainability to suffer to a significant degree after the completion of the subsequent phases.

Thus, policy/political engagement necessary for the sustainability of the effects were in place.

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<sup>18</sup> For example, among the medium-term national development programs at the time of ex-post evaluation, Uganda's *Second National Development Plan* (2015-2019) and Tanzania's *Tanzania Development Vision 2025* (2016-2020) directly mentioned the development of OSBPs, and Kenya's *Third Medium Term Plan* (2018-2022) set forth customs administration reforms such as the development of ICT systems. In the case of the *Corporate Plan* of different revenue authorities, KRA's plan (2018-2020) and RRA's plan (2018-2022) directly mentioned the development of OSBPs, and URA's plan (2020-2024) and TRA's plan (2017-2021) also mentioned the strengthening of border post procedures. Regarding OBR, the most recent *Corporate Plan* that this study was able to obtain (2013-2017) specified how it intended to develop OSBPs, but this study was not able to obtain newer *Corporate Plans*.

### 3.4.2 Institutional/Organizational Aspects for the Sustainability of Project Effects

Each activity that received assistance in this project was still being carried out, under the EAC framework, by respective revenue authorities (the implementing agency of this project), the Directorate General of Immigration and Emigration (hereafter, “DGIE”) that controls Rwanda’s border facilities, or the FEAFFA and the CCFAA of each country (organizations for CCFAs).

- **OSBP Operation:** In Kenya, Uganda, Tanzania, and Burundi, the revenue authority (the customs and border control department), which was the implementing agency, acted as the lead agency at OSBPs. In Rwanda, the implementing agency of this project was the revenue authority as in other countries, but the lead agency at border facilities was the DGIE (the Border Control and Management Department), which operated OSBPs by working with the revenue authority and other agencies. At each OSBP, the lead agency served as the Station Manager and coordinates other agencies housed in the border post. The lead agencies and other agencies at the borders visited for this study reported that roles were assigned to different agencies according to provisions in the *EAC OSBP Procedures Manual*.
- **Training:** The training for customs officers was conducted by the training agency within respective revenue authorities. The training for CCFAs was conducted by the training agency within respective revenue authorities in collaboration with the FEAFFA and each country’s CCFAA. Training agencies from different countries held meetings annually under the initiative of the EAC and discuss common training programs.
- **JBS/JWS:** The enforcement division of the lead agency at each border post implemented JBS/JWS by coordinating with other agencies.
- **Promotion of the Regional Accreditation System for CCFAs:** The FEAFFA and each country’s CCFAA implemented it by working with respective revenue authorities.

Although only fragmentary data could be obtained about the staff size for each division, this study confirmed that a supervisor and staff had been assigned to each activity at the headquarters. Multiple individuals commented that border posts

Table 4. Staff size: KRA

	Actual 2017/2018	Target 2020/2021
Customs & Border Control Department (operating OSBPs)	1,739	5,708
Investigations & Enforcement Department (JBS/JWS)	185	200
Training institution	115	244
<b>KRA total</b>	<b>6,906</b>	<b>14,555</b>

Source: *KRA 7th Corporate Plan* (2017)

were forced to set up long shifts due to the shortage of customs officers.<sup>19</sup>

Considering that the main outputs of this project (such as the operation of OSBPs, personnel development, JBS, etc. listed under “3.4.1 Policy and Political Commitment for the Sustainability of Project Effects”) were incorporated into the systems in the region and the target countries, it was unlikely for the sustainability to suffer to a significant degree after the completion of the subsequent phases of this project. However, the monitoring and logging concerning these outputs were handled by the project team in the subsequent phases. In particular, at KRA, in which the project office was set up, this study frequently observed instances in which necessary information was referred to JICA experts who had been continuously dispatched since Phase 2. This system is not necessarily problematic at the time of ex-post evaluation since monitoring is part of the activities in the subsequent phases. However, it would be necessary in the future to create a structure that permits the implementation agency, where employees are transferred frequently, to continue to accumulate such knowledge and information on its own after JICA’s assistance is completed.

Thus, the institutional/organizational aspects of the project were established, but they also face challenges.

#### 3.4.3 Technical Aspects for the Sustainability of Project Effects

Given that the subsequent phase of this project is ongoing, it appears that no major issues are currently present. However, a substantial amount of assistance from the subsequent phases and other donors has poured into the training component. It is not clear whether expenditures will be made on the training expenses that have been paid so far by donors, and whether human resources with necessary techniques (like MTs) can be continuously developed and utilized after the completion of these cooperation projects (after 2022).

Thus, the techniques have been established at the implementing agencies, but there is some concern about their future after the completion of external assistance.

#### 3.4.4 Financial Aspects for the Sustainability of Project Effects

This study was able to obtain only fragmentary data, which made it difficult to perform a detailed analysis. Still, the budget was increasing over the years. The qualitative data obtained from respective revenue authorities indicate that each revenue authority attempted to generate the required budget. Despite the reported issues, such as the shortage of operational budgets for facility maintenance and the fuel expenses for traveling, OSBPs continued to operate

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<sup>19</sup> Example 1: At the Namanga OSBP, there were 33 TRA employees (Tanzania side) and 35 KRA employees (Kenya side), and the customs duties for cargo were conducted in one shift at the time of ex-post evaluation (The operation hours of this OSBP were 24 hours for people but, for cargo, 12 hours on the Kenyan side and 10 hours on the Tanzanian side). Example 2: URA commented that it ideally wanted to use three shifts because the customs clearance for cargo at the Busia OSBP was a 24-hour operation, but it used two shifts due to the shortage of employees. Example 3: The water surveillance team at Kenya’s Mbita Customs (Lake Victoria), which is a single team with five members, stands by 24 hours. KRA commented that it ideally wanted to have three shifts.



without interruption. Training activities also continued by receiving funding from donors (but, as mentioned above, the ability to continue training activities after donor funding is over is unknown).

Among the maintenance expenses for the equipment in this project, those for the RTMS/CCS servers seemed to have been spent as part of the maintenance expenses for other ICT equipment of respective revenue authorities. The expenditure on the operation and maintenance of the vehicles and other equipment for JBS was covered by the operating expenses for OSBPs. Some of the patrol boats for JWS were no longer used after sustaining damage due to high repair costs, as described above. However, in Kenya, for example, KRA also used the budget of regional offices to operate and maintain the boats. Tanzania also found the budget for one boat that had been damaged and began the repair at the time of ex-post evaluation.

Table 5. Budget allocation: KRA

(Unit: thousand Kenyan shilling)

	FY 2017/2018	FY 2018/2019	FY 2019/2020
Operational budget for Namanga OSBP	8,910	9,841	10,093

Source: Survey responses from KRA

Table 6. Budget allocation: URA

(Unit: million Ugandan shilling)

	FY 2017/2018	FY 2018/2019	FY 2019/2020
Budget for Customs and Excise Department, URA	8,910	9,841	10,093

Source: Survey responses from URA

Table 7. Planned and allocated budget: RRA

(Unit: million Rwandan franc, %)

	Planned			Allocated (% of planned amount)		
	FY 2016/2017	FY 2017/2018	FY 2018/2019	FY 2016/2017	FY 2017/2018	FY 2018/2019
Total for RRA	34,778	37,999	50,224	100%	94%	97%
Items:						
Customs and Excise Department (including operation of OSBPs)	1,384	519	290	94%	95%	98%
Training Department	510	663	762	98%	97%	99%
Revenue Investigations and Enforcement Department (including JBS/JWS)	168	122	102	95%	96%	85%

Source: Survey responses from RRA

Note: RRA reported that this budget was adequate for the continuation of activities.

To ensure the sustainable facilitation of trade in the region after the termination of donor assistance in the future, the EAC has started to formulate the *EAC Sustainability Strategy*, which focuses on the Northern Corridor (borders along the route include Malaba, Busia, Gatuna/Katuna, etc.) and the Central Corridor (borders along the route include Rusumo, Kobero/Kabanga, etc.), which are primary shipping routes in East Africa. The EAC is specifically examining ways to secure budget for the continuation of activities related to trade

facilitation, the maintenance of the construction standards for OSBP facilities, and the maintenance of completed infrastructure.

Thus, although the financial aspect of the implementing agencies seemed to be mostly sound, there were some aspects that could not be adequately examined due to the fragmentary nature of data.

Some minor problems have been observed in terms of the institutional/organizational and financial aspects. Therefore, sustainability of the project effects is fair.

## **4. Conclusion, Lessons Learned and Recommendations**

### 4.1 Conclusion

This project was the second phase of a technical cooperation project to improve the capacity of customs clearance procedures primarily through the introduction and operation of OSBPs at land borders in five countries in the Eastern African region. Based on the experience in the preceding phase on the construction of the OSBP operation model and technology transfer, the project implemented efforts to strengthen customs activities and develop personnel. The relevance of the project was high because its interests in facilitating trade and developing the capacity of the personnel to achieve trade facilitation were consistent with the development plans and development needs in the region and these countries and with Japan's aid policy. Even though the project mostly accomplished the training of customs officers and CCFAs, the operation of OSBPs did not become fully functional due to external conditions (delay in facility construction) and other factors. Thus, the project purpose—the strengthening of customs clearance procedures at the target borders—was only partially achieved. However, regarding the overall goal (further expansion of smooth and efficient customs clearance through proper operation of OSBPs)—even though it encompassed the effects of subsequent phases, which attempted to continue and expand the efforts of this project—this study confirmed the project's impact, including a shorter customs clearance time and the institutionalization of the outputs of personnel development in the EAC. Therefore, the effectiveness and impact were high. The project period was as planned. However, this study was unable to compare the actual project cost against the planned project cost due to the lack of comparable figures. The efficiency is thus rated as fair. While the effect of this project has mostly been established in the EAC's framework for trade facilitation, the institutional/organizational and financial aspects of the project experienced some problems and had components that were difficult to examine. The sustainability is thus rated as fair.

In light of the above, this project is evaluated to be satisfactory.

## 4.2 Recommendations

### 4.2.1 Recommendations to the Implementing Agency

- (1) The EAC and respective revenue authorities are recommended to carefully examine the sustainability strategy being created at the EAC and roll out, while assistance is still available, measures that can help them prepare for the future when external assistance may not be available. Topics that are currently examined include the securing of budget for the continuation of activities, the maintenance of the construction standards for OSBP facilities, and the maintenance of completed infrastructure. In addition to these, they are also recommended to examine 1) the continuation of field-oriented training, 2) the collection of past experience and information (training outcomes, JBS/JWS implementation reports, etc.) and storage of these sources in a usable manner, and 3) a staff appointment approach that takes into consideration their specialization and career development, so that they can better handle the current situation characterized by frequent transfers of staff members.
- (2) Respective revenue authorities and the DGIE of Rwanda are recommended to make additional efforts to communicate the concept of efficient customs clearance (i.e., reviewing the steps at the OSBP to reduce them to the minimum necessary and ensuring joint cargo inspections) to the customs offices and other agencies (other than the DGIE) at OSBPs to further speed up the procedures.<sup>20</sup>
- (3) KRA and URA are recommended to verify and resolve as soon as possible the issue preventing the retrieval of information from the RTMS/CCS about the vehicles traveling from and to the neighboring country at the Malaba and Busia OSBPs.
- (4) KRA and TRA are recommended to consider the possibility of creating a space in Namanga OSBP where CCFAs can use the Internet and office equipment so that OSBP facilities can be utilized to avoid delays in customs clearance during the periodic power outages in the area.

### 4.2.2 Recommendations to JICA

None.

## 4.3 Lessons Learned

### (1) Consideration of the social aspect of OSBPs

It was reported that the conversion of borders to OSBPs reduced the border wait time for people and trucks, negatively affecting the local business. When designing a new OSBP, it would be effective in boosting the impact by estimating how the surrounding community and economic

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<sup>20</sup> The assistance on OSBP operation in the subsequent projects placed a greater emphasis on the engagement with relevant authorities beyond customs.

activities might change and design measures as necessary (e.g., encouraging the creation of a commercial center nearby).

#### (2) Implementation of sensitization activities in border communities

In JBS/JWS, information exchanges took place but joint patrolling was infrequent. As a result, the effect of JBS/JWS in discouraging smuggling was not maximized in a manner expected in this project. However, sensitization activities in the local community helped people in border communities learn that they would not be taxed, or taxed minimally if any, if the goods they bring in through the OSBP do not exceed a certain amount. As a result, fewer people now crossed porous borders in a risky manner, suggesting that the sensitization efforts were effective in preventing smuggling. Regarding the assistance on the operation of OSBPs, it would be effective for two neighboring countries to collaborate on the sensitization of the local community to communicate correct information about customs to border communities.

#### (3) Procurement of equipment suitable for the purpose of joint water surveillance on Lake Victoria

The patrol boats provided for JWS were damaged due to high waves and landing in areas with no piers. As a result, many boats were not being used at the time of ex-post evaluation. In addition, water surveillance teams on the field explained that the size of the boats provided made it difficult to conduct joint patrolling with a neighboring country (due to the substantial size of the target water and the uncomfortable cabin space). A water surveillance team that was deployed to a relatively calm water and operated using boats that were in a relatively good condition was also conducting single-day patrolling for the same reason. It was explained that small high-speed boats were selected because they needed to be maneuverable. However, this input would be able to trigger greater outputs if we design an equipment procurement plan in which the type and quantity of boats to procure are aligned to the purpose and circumstance of surveillance activities (for example, joint surveillance involving long-distance travel vs. unilateral surveillance in small waters).

#### (4) Careful examination on how to incorporate ICT development components

Some of the functions of the RTMS/CCS, developed in this project and upgraded in Phase 3, were scaled down to in relation to the development of customs clearance management systems in countries outside this project. There also were compatibility issues. As a result, the RTMS/CCS was not used adequately in the target countries except for Kenya. This project was a technical cooperation project with a number of components. Understandably, the project was not able to develop a large-scale ICT system that might apply modifications across the existing customs clearance management system. When planning the development of an ICT system in a technical cooperation project, it is necessary to carefully examine whether expected outputs can be achieved by incorporating it as a project component from the perspectives of the amount of input and the duration/man-hours of development.

#### (5) Good practices for multiphased wide-area projects

Among the wide-area efforts supported by many other donor agencies to convert borders in East Africa to OSBPs, JICA's four-phase technical cooperation project on the trade facilitation in East Africa has received high marks from the EAC and other donors, such as TMEA, particularly in personnel development and soft sides. Below, factors behind this assessment are examined to the extent feasible in this study.

This project (Phase 2) was a full-scale implementation of various activities that had been piloted in Phase 1. It attempted to spread these activities across the region. The project thus broadly deployed a wide variety of components. Regarding the conversion of the borders in the region to OSBPs, many donor assistance projects had already been implemented by the time Phase 2 was commenced. In this context, the project garnered the confidence of counterparts and achieved significant impact through 1) detailed coordinating activities in all target countries that were characterized by field-orientation and a certain level of adaptability to respond to needs and 2) sustained efforts over a long time on assistance that focused on personnel development, which is one of JICA's strong areas. Although many project effects were achieved after Phase 3, Phase 2 addressed and learned from a variety of components. It is likely that this contributed to the improvement of the project design by clearly identifying challenges and external conditions that needed to be focused or monitored in subsequent phases and by organizing the details of project activities. Specifically, even though some effects—such as the idea of using the target OSBPs as the model for the region and the functions the RTMS/CCS originally had—did not materialize because they were not passed on to the subsequent phases, Phase 2, as a JICA assistant project, had comparative advantage within the framework of trade facilitation in the EAC and was able to explore approaches that would help achieve project effects. In this regard, the project managed to fulfill a role in long-term assistance. Furthermore, these phases as a whole have worked closely with the EAC and WCO (e.g., the personnel development for the EAC Secretariat). It is likely that this has led to the institutionalization of the outputs of this project across the region and facilitated cooperation with the assistance provided by other donors.

Attachment: Summary of the achievement status of the indicators for the overall goal, project purpose, and outputs

Goal/Purpose/Output	Indicator	Status <sup>a</sup>
<b>Overall Goal</b> Smooth and efficient Customs clearance is carried out with support of proper operation of OSBP.	1. Clearance time of cargoes from the time of declaration to issue of release order reduce to within 4 hours on average.	Mostly achieved
	2. OSBP Operational Model at Namanga, Malaba and Busia spread to other areas in the region as a key model.	Partially achieved
	3. Certified Master Trainers are consistently involved in the annual training program of respective Revenue Authorities and EAC.	Mostly achieved
	4. Concept of Joint Border/Water Surveillance spread to 10 sites in the region.	Mostly achieved
	5. Policy Framework on the Regional Accreditation System for CCFAs is authorized in EAC.	Partially achieved (no practical issues)
<b>Project Purpose</b> Smooth and efficient Customs clearance at borders is strengthened under OSBP Concept with constructive relationship between Customs Administrations and CCFAs.	1. Clearance time of cargoes from the time of declaration to issue release order at Namanga, Malaba and Busia is reduced by proper operation of RTMS/CCS.	Not achieved
	2. Trainees' satisfaction/understanding ratings on trainings by Working Group members of MTP exceed 80% as practical to apply for their daily business.	Mostly achieved
	3. Joint Border/Water Surveillance are taken as effective deterrent measure against smuggling and anti-social activities by the local communities at Namanga, Malaba, Busia, Gatuna/Katuna, Kobero/Kabanga and Lake Victoria.	Unable to verify
	4. Policy framework on the Regional Accreditation System for CCFAs is developed.	Mostly achieved
	5. Trainees' satisfactory/understanding ratings on trainings by Working Group members of MTP to Customs Clearing agents exceed 80% as practical to apply for their daily business.	Achieved
<b>Output 1</b> Capacity of Customs administration is enhanced.	1. Detailed Design of Namanga OSBP Facility is completed.	Achieved
	2. All the cargo clearance processes by Customs and other stakeholders at Namanga, Malaba and Busia go through RTMS/CCS.	Partially achieved
	3. All Working Group members of MTP are certified as Master Trainers by Revenue Authorities.	Achieved
	4. MTP Handbooks of Customs Valuation, HS Classification and Intelligence Analysis which are produced by WG members are recognized as regional and national training materials by Revenue Authorities, EAC and WCO.	Mostly achieved
	5. SEO, BCC and WCC meetings for JBS/JWS are organized regularly by partner Customs administrations at Namanga, Malaba, Busia, Gatuna/Katuna, Kobero/Kabanga and Lake Victoria.	Mostly achieved
	6. The results of JBS/JWS activities which are carried out jointly by partner Customs administrations at Namanga, Malaba, Busia, Gatuna/Katuna, Kobero/Kabanga and Lake Victoria are regularly reported.	Mostly achieved
	7. Meetings between Customs administrations and Customs Clearing & Forwarding Agents.	Partially achieved
	8. A draft of Policy Framework on the Regional Accreditation System for CCFAs is developed.	Achieved
<b>Output 2</b> Compliance level and capacity of CCFAs are enhanced through the strengthened function of CCFAs Associations.	1. Training plan which meets the expectation of Customs Clearing agents for improving their capacities is jointly developed by Customs administrations and CCFAs Associations.	Achieved

Source: JICA. (2014). A report on the terminal evaluation for the Project on Capacity Building for the Customs Administrations of the Eastern African Region (Phase 2) and the detailed design study for the Project on Capacity Development for International Trade Facilitation in the Eastern African Region., documentation provided by JICA, documentation provided by and interviews with the implementing agencies.

Note: <sup>a</sup> At the time of ex-post evaluation (2019) for Overall Goal; at project completion (2013) for Project Purpose and Outputs.