



TRADE
MARK
EAST AFRICA

Growing Prosperity Through Trade

FINAL DRAFT REPORT

**FOR THE FORMATIVE EVALUATION
ON SINGLE WINDOW INFORMATION
FOR TRADE (SWIFTS) PROJECTS**

CONSOLIDATED (PHASE 1 & 2)

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LIST OF ACRONYMS

COBIT	Control Objectives for Information and Related Technology
CoO	Certificate of Origin
DAC	Development Assistance Committee
EAC	East African Community
ICT	Information Communication Technology
IP	Information Portals
ISO	International Organization for Standardization
ISP	Information Sharing Portal
KNCCI	Kenya National Chamber of Commerce & Industry
MAAIF	Uganda Ministry of Agriculture, Animal Industry and Fisheries
MINAGRI	Rwanda Ministry of Agriculture
MIS	Management Information Systems
MP	Monitoring Plan
NAEB	Rwanda National Agricultural Export Development Board
NDA	National Drug Authority
OECD	Organization for Economic Co-operation and Development
OGDs	Other Government Departments
PAR	Project Appraisal Reports
PHS	Kenya Port Health Services
PPB	Kenya Pharmacy & Poisons Board
RAB	Rwanda Agriculture Board
RALIS	Rwanda Agriculture Livestock Inspection and Certification Services
RDB	Rwanda Development Board
RMOH	Rwanda Ministry of Health
RSB	Rwanda Standards Board
SD	Standard Deviation for the Sample
SW	Single Window
SWIFT	Single Window Information for Trade Projects
TD	Tea Directorate
TFA	Trade Facilitation Agreement
TFDA	Tanzania Food and Drug Authority
TMEA	TradeMark East Africa
ToC	Theory of Change
ToRs	Terms of Reference
UNBS	Uganda National Bureau of Standards
VfM	Value for Money
WTO	World Trade Organization
\bar{x}	Arithmetic mean for the Sample
ZFDA	Zanzibar Food and Drug Agency

EXECUTIVE SUMMARY

1. This formative evaluation assessed the implementation of the TMEA-supported SWIFT projects with the purpose of informing TMEA and its stakeholders on the results, lessons learnt and the required improvements and recommendations for the SWIFT projects. This is a consolidated evaluation report that includes the assessment of six (6) SWIFT projects under Phase1 for the period 2012 to June 2016; and Phase 2 evaluation for eleven (11) SWIFT Projects from 2012 to September 2017. This formative evaluation set out to measure the relevance, effectiveness, efficiency, impact and sustainability of the TMEA-supported SWIFT projects in Kenya, Rwanda, Tanzania and Uganda. The overall aim of this evaluation was to ascertain the results and assess the SWIFT projects’ performance and provide the findings, challenges, conclusions and recommendations with respect to the projects in order to draw lessons for the future design and implementation. This evaluation report further provides case studies.
2. In addition to contribution analysis approach, both qualitative and quantitative techniques were used in the evaluation. The response rate from the sampled population was 77% which was achieved through sampling with replacement. The evaluation team used the OECD-DAC standard evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability to assess the SWIFT projects’ progress. Each criterion was provided with an overall assessment using a sliding scale of 1 (poor), 2 (fair), 3 (good), 4 (very good) and 5 (excellent), for details refer to Annex 2. Confidence levels of low (red), medium (yellow) or high (green) indicating the available level of evidence to support the evaluation team’s assessment is also provided, for further details refer to Annex 3. Table 1 summarizes the evaluation findings and the assessment of the SWIFT projects according to the evaluation criteria.

Table 1: Overall SWIFT projects Assessment against the Evaluation Criteria

#	Criteria	Assessment (1 To 5)	Confidence Levels	Comments
1.	Relevance	4	High	Overall the SWIFT projects relevance was very good and the projects were: <ol style="list-style-type: none"> Aligned to TMEA Theory of Change (ToC) and priorities of reducing transaction time and cost through effective trade systems and procedures. Aligned to the National Governments ICT Strategies and Policies (e-governance) in Rwanda, Kenya, Uganda, Tanzania and the EAC of using ICT to reduce the transaction time and cost of doing business. Responding to the needs and challenges of the supported partner agencies, the import/export traders and the trade environment. Consistent with WTO Trade Facilitation Agreement of simplifying trade procedures.

#	Criteria	Assessment (1 To 5)	Confidence Levels	Comments
2.	Effectiveness	4	High	<p>Overall the effectiveness of the SWIFT projects was very good. From the year 2012 to 2017:</p> <ul style="list-style-type: none"> i) Overall average key trade document processing time after automation reduced from an average of 86 hours (3.6 days) to 10 hours, which was 89% reduction against target of 80%. ii) Cost per transaction reduced from average of US\$58 to US\$8 which was 86% reduction against target of 80%. iii) 374,821 transactions were made through the e-portal. iv) On average 89% of the key trade processes were approved within 1 day. v) SWIFT projects systems design and development were aligned to ISO/IEC 15504 Information Technology Process Assessment Standard. vi) SWIFT projects governance model was appropriate for the effective management and delivery of the projects but needs to be strengthened. vii) The SWIFT projects were based on verifiable results chain however, there is need to review the Results Chain to be more elaborate on the outcomes.
3.	Efficiency	3	High	<p>Overall the SWIFT project efficiency was good.</p> <ul style="list-style-type: none"> i) Project procurements were through competitive tendering based on technical and financial proposals. ii) Procurement processes used were less bureaucratic and fast compared to government procurement process of the respective partner agencies. iii) 189% of the planned budget was used to implement 86% of the activities and realized 65% of the expected outputs. iv) SWIFT Project resources were used for automation to reduce document processing time and cost. v) All the operational SWIFT projects were economically feasible; vi) The net present value was US\$24 million and the net return per dollar invested was US\$13 and the Internal Rate of Return (IRR) was 145% and payback period was 4 years. vii) There was need to itemize the budgets based on activities and spend within the budgets.

#	Criteria	Assessment (1 To 5)	Confidence Levels	Comments
4.	Sustainability	4	High	<p>Overall the SWIFT projects sustainability was very good.</p> <ul style="list-style-type: none"> i) There was technical competency to manage SWIFT systems through training to both internal and external stakeholders. ii) ICT departments/sections hosting the e-portals and their planned activities were budgeted for by the partner agencies in their strategic plans. iii) Implementing partner agencies had incorporated the e-portal activities into their core business operations and plans. iv) Implementing partner agencies had full time staff to manage the systems. v) There was good political-will and commitment of the respective governments and the business community. vi) Implementing partner agencies had the necessary mandates and capacity to sustain the results. vii) Systems built for each trade facilitation organization were scalable and extendable on needs basis.
5.	Impact	4	High	<p>Overall the SWIFT project impact was very good.</p> <ul style="list-style-type: none"> i) Automation contributed to reduction in average trade clearance time by 3 days and cost by US\$50 per transaction along key corridors in the EAC; ii) Contributed to reduced total cost of doing business/savings of US\$9 million by the year 2017. iii) Document processing transactions of key trade processes improved and became transparent, predictable and accountable. iv) 84% of respondents indicated there were improvements in services delivery by the TMEA supported SWIFT partner agencies. v) Reduced operational cost (travel, stationery, storage). vi) Improved document management due to e-storage. vii) Improved effectiveness and efficiency of the trade agencies and increased trust and improved governance in the trade agencies.

3. Table 2 provides the summarized performance of the respective SWIFT Projects against the assessment criteria.

Table 2: Summarized Assessment of the Respective SWIFT Projects

#	SWIFT Project	Criteria	Relevance	Effectiveness	Efficiency	Impact	Sustainability
OPERATIONAL SWIFTS							
1.	KNCCI	Assessment	4	4	4	4	3
		Confidence level	High	High	High	High	High
2.	TD	Assessment	4	4	2	4	4
		Confidence level	High	High	High	High	High
3.	RALIS	Assessment	4	4	3	4	4
		Confidence level	High	High	High	High	High
4.	RDB	Assessment	4	4	2	4	4
		Confidence level	High	High	High	High	High

#	SWIFT Project	Criteria	Relevance	Effectiveness	Efficiency	Impact	Sustainability
5.	TFDA	Assessment	4	4	3	4	4
		Confidence level	High	High	High	High	High
6.	UNBS	Assessment	4	4	3	4	4
		Confidence level	High	High	High	High	High
7.	PHS	Assessment	4	4	4	4	4
		Confidence level	High	High	High	High	High
8.	PPB	Assessment	4	2	2	-	4
		Confidence level	High	Medium	Medium	Medium	High
9.	RSB	Assessment	4	4	3	4	4
		Confidence level	High	High	High	High	High
10.	RMOH	Assessment	4	4	3	4	4
		Confidence level	High	High	High	High	High
11.	NAEB	Assessment	4	4	3	4	4
		Confidence level	High	High	High	High	High
12.	NDA	Assessment	4	4	3	4	4
		Confidence level	High	High	High	High	High
	OVERALL OPERATIONAL SWIFTS	Assessment	4	4	3	4	4
		Confidence level	High	High	High	High	High
SWIFTS NOT YET OPERATIONAL							
13.	RAB	Assessment	4	1	2	-	3
		Confidence level	High	High	High	High	High
14.	MAAIF-CROP	Assessment	4	2	2	-	3
		Confidence level	High	High	High	High	High
15.	MAAIF-LIVESTOCK	Assessment	4	2	2	-	3
		Confidence level	High	High	High	High	High
16.	MAAIF FISHERIES	Assessment	4	2	2	-	3
		Confidence level	High	High	High	High	High
17.	ZFDA	Assessment	4	2	2	-	3
		Confidence level	High	High	High	High	High
	OVERALL SWIFTS NOT OPERATIONAL	Assessment	4	2	2	-	3
		Confidence level	High	High	High	High	High

4. From the findings, the evaluation team recommends the following for project improvement:

#	RECOMMENDATIONS ON IMPROVING SWIFT PROJECTS EFFICIENCY	ACTION POINT
1.	Identify the project scope and plan adequately at inception and budget appropriately based on the activities to avoid overspending beyond the budget.	TMEA
2.	Changes in scope of work that significantly affect the budget should be approved by the appropriate project organs and documented accordingly, e.g. Project Steering Committees.	TMEA

RECOMMENDATIONS ON IMPROVING SWIFT PROJECTS EFFECTIVENESS		
3.	Use reliable service providers to minimize on systems outages: The SWIFT Projects Partner agencies should use reliable internet service providers and other systems service providers to serve their stakeholders without interruptions in services delivery due to systems outages.	Partner Agencies
4.	Continuously improve and update the content of the respective e-portals: The partner agencies should continuously improve and update their e-portals with the latest and relevant information such as changes in laws, regulations, procedures and other relevant information for the system users.	Partner Agencies
5.	Promptly respond to complaints raised by the e-portal users: For the e-portal to be relevant and useful to the beneficiaries and also facilitate both local and international trade, SWIFT projects implementing agencies and TMEA should promptly respond to complaints by the e-portal users to ensure timely implementation of the projects.	TMEA, Partner Agencies
6.	Increase awareness/refresher training to the target stakeholders about the e-portal use and their benefits: TMEA should continue supporting the implementing agencies to carry out awareness activities about the regulatory requirements, e-portal use and their benefits and also provide refresher training to the e-portal users especially the technical staff.	TMEA Partner Agencies
RECOMMENDATIONS ON IMPROVING SWIFT PROJECTS DESIGN, MANAGEMENT AND IMPLEMENTATION		
7.	Strengthen project structures by formalizing Project Steering Committee, Project Coordination committee and Project Implementation Teams.	TMEA
8.	Engage and support new trade facilitation agencies in the region: TMEA should support other trade facilitation agencies by automating their key trade processes in the region to reduce the time and cost of doing business by replicating what has worked well in the SWIFTs already supported by TMEA.	TMEA
9.	Mainstream gender issues in the SWIFT Projects and establish the actual baseline facts about gender especially women before automation to enable the assessment of the impact of the SWIFT projects on women after automation.	TMEA, Partner Agencies
10.	Review the SWIFT Projects Results Chain to be more elaborate on other outcomes that occurred such as reduced cost and time of administering key trade documents; increased trust, transparency and improved governance in the partner agency.	SWIFT Project, Results Team
RECOMMENDATIONS ON IMPROVING SWIFT PROJECTS SUSTAINABILITY		
11.	MoUs should be renewed promptly when they expire so as to keep the implementation agreement up to date and should provide for roadmap to sustain the benefits beyond the projects support.	TMEA, Partner Agencies
12.	TMEA should continue engaging with PPB to ensure that what was accomplished under the SWIFT Projects is not lost. PPB is planning to enhance their e-portal and interface with the EAC Medicines Regulations Harmonization Information Management System (MRH IMS) and therefore there is need for TMEA to continue engaging with the PPB to ensure that PPB SWIFT Project is successfully concluded.	TMEA

1. BACKGROUND

5. TradeMark East Africa (TMEA) programme aims at improving trade competitiveness in East Africa by reducing transport time/costs and improving the trade environment. It targets an increase in trade of 10% (above trend) by 2016, contributing to sustained economic growth and poverty reduction. TMEA was officially launched in February 2011 as a specialist not-for-profit agency to implement a programme to promote trade growth in East Africa.
6. TMEA has been engaging with different partners in the area of trade and transport facilitation to come up with innovative solutions that will enhance the capacity and quality of trade within the East African Community (EAC). TMEA works with key stakeholders such as governments, private sector organizations and civil society organizations to realize the objectives of increased market access, enhanced trade environment and improved business competitiveness.
7. One of the means that TMEA and its partners are using to realize these objectives and in particular, enhanced trade environment is to come up with effective trade systems and processes that are anchored in fully automating/computerizing/digitizing the processes and workflow of trade agencies or organizations within the region. Through embracing Information and Communication Technology (ICT), TMEA and its partners are setting up systems and processes to counter inefficiencies in trade facilitation in the region.
8. The outcome of this endeavour has been the development and implementation of Information Portals (IP) and Management Information Systems (MIS) for import/export agencies and organizations that would ultimately link/interface to the National Electronic Single Windows (NeSW).¹ This Programme known as Single Window Information for Trade (SWIFT) has been working with import/export agencies as well as the private sector to automate their trade facilitation business processes and setting up trading regulations electronic portals (e-portals), thus enabling easier access to information and online forms for the trading community.
9. TMEA applied a bottom-up approach to Single Window by directly supporting the private sector and government agencies to automate their business processes and provide better access to import/export requirements. This reduces the time and cost taken to comply with multiple trade requirements by the trader and improves the efficiency of trade facilitation agencies in processing applications for permits and licenses. It further enables the agencies to interface with national single windows electronically, where they exist.

1.1 The Aims of the SWIFT Intervention

10. The SWIFT interventions aimed at achieving the following specific results:
 - i) Enhancing availability and handling of information;
 - ii) Simplifying and expediting information flows between traders and government;
 - iii) Achieving greater harmonization and better sharing of relevant trade data across governmental systems; and

¹ The Single Window System is a trade facilitation concept whose implementation allows cross border traders to submit regulatory documents such as customs declarations, applications for import and export permits, certificates of origin and trading invoices at a single location.

- iv) Thus bringing meaningful gains to all parties involved in cross-border trade and ultimately resulting in improved efficiency and effectiveness in the administration of regulatory trade documents and reduce costs both for Governments and for traders due to better use of resources.
11. It was against this background that TMEA engaged the services of the consultant (Ayaah Enterprises Ltd) to carry out a formative evaluation of the SWIFT projects to:
- a) Assess the effectiveness of the implementation of the SWIFT thus far;
 - b) Highlight and share successes gained over the period of implementation (including highlighting the key success factors), mutual challenges faced and the problem solving, and
 - c) Utilize the practical lessons learnt and case studies to strengthen program implementation, operational, business and technology models of the SWIFT that are still on course or are soon to be operational.
 - d) Provide the information that will also be used to inform the drafting of the ICT for Trade Strategy II document.

1.2 Evaluation Purpose

12. The purpose of the formative evaluation of the SWIFT Projects were twofold:
- a) To measure the relevance, effectiveness, efficiency, short term and likely long term impacts and sustainability of the SWIFT Projects;
 - b) To inform TMEA and its stakeholders on the lessons learnt and the required improvements and recommendations for the SWIFT projects.

1.3 Specific Objectives of the Evaluation

13. The SWIFT projects formative evaluation was specifically seeking to:
- a) Rigorously examine the effectiveness, efficiency and sustainability of the:
 - i) Design, development, testing, roll out process of the systems (including the change and stakeholder management);
 - ii) Draw out the challenges and lessons learnt;
 - iii) Provide practical recommendations and detailed guidance in order to improve the performance of SWIFT Projects (including trade Portals);
 - b) Establish how the SWIFT increased efficiency for international traders (importers and exporters) through:
 - i) Time savings (direct and indirect); and
 - ii) Cost reduction, in doing business in their dealings with government authorities for submitting and obtaining (including feedback) for relevant clearances and permits to move goods across national or economic borders; i.e. how have SWIFT simplified traders interactions with government agencies;
 - c) Establish whether the agencies (government or Private) in the region that have implemented SWIFT (funded by TMEA) are enjoying a better reputation from traders and their intermediaries for simplifying and improving the efficiency of trade.

1.4 Evaluation Scope

14. The formative evaluation scope was to ascertain the results (output, outcome, and impact) and assess the effectiveness, efficiency, relevance, sustainability, programme management and implementation, coherence, complementarity and coordination of the SWIFT projects. The evaluation also provided the

findings, conclusions and recommendations with respect to the programme in order to draw lessons for future design and implementation. The SWIFT Projects evaluation was carried in two phases. Phase 1 consisted of the 6 SWIFT Projects while Phase 2 comprised of 11 SWIFT Projects. Specifically, the evaluation answered key questions on effectiveness, impact, relevance, sustainability and efficiency of the SWIFT projects implementation to meet the intended objectives.

2. EVALUATION APPROACH AND METHODOLOGY

15. Due to the large number of the TMEA supported SWIFTs (17 SWIFTs) and their different levels of implementation, a phased approach was used to evaluate them. The Phase 1 evaluation involved assessing a total of 6 SWIFT projects whose systems had been deployed and were operational at the time of evaluation. These included: two projects in Kenya (Kenya National Chamber of Commerce and Industry (KNCCI) SWIFT, and the Tea Directorate (TD) SWIFT); two projects in Rwanda (Ministry of Agriculture (RALIS - MinAgri) SWIFT, and the Rwanda Development Board (RDB) SWIFT); one project in Tanzania (Tanzania Food and Drug Authority (TFDA) SWIFT); and one project in Uganda (Uganda National Bureau of Standards (UNBS) SWIFT).
16. The Phase 2 evaluated 11 SWIFT Projects that included the e-portal projects in the Rwanda Standards Board (RSB), the Rwanda Ministry of Health (RMOH), the Zanzibar Food and Drug Agency (ZFDA), the Uganda Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) Crop, Fisheries and Livestock Directorates, the Uganda National Drug Authority (NDA), the Kenya Port Health Services (PHS); and the Kenya Pharmacy & Poisons Board (PPB). Therefore, this report consolidates the evaluation findings in the Phases 1 and 2.
17. The overall approach and methodology used by the evaluation team was based on the five OECD-DAC criteria for evaluating development assistance, specifically the projects' relevance, effectiveness, efficiency, impact and sustainability. Both qualitative and quantitative methods of data collection were used. Primary data was collected through consultative field visits in Kenya, Rwanda, Tanzania and Uganda where key informant interviews and discussions were held with identified key stakeholders (Refer to Table 3, Annex 9 and Annex 18 for details of the stakeholders consulted). Secondary data was collected through desk review of the project documents and other documents relevant to the SWIFT projects and the evaluation (Refer to Annex 19 for details of the list of the documents reviewed). The evaluation team also obtained the actual time transaction data from the operational e-portal systems of the respective SWIFTs. In addition, COBIT-5 (i.e. Control Objectives for Information and Related Technologies) based on ISO/IEC 15504 (an International Standard for IT Process Assessment) was used to assess whether the SWIFT projects IT processes were based on internationally acceptable best practices and standards.
18. The evaluation team used proportionate stratified random sampling technique to obtain a representative sample because the SWIFT projects did not constitute a homogeneous population from which a random sample could be drawn before stratification (Refer Annex 9). After stratification, where possible each population was arranged from the lowest to the highest number of transactions to cater for small, medium and large users and thereafter random samples (respondents) were picked to avoid systemic bias. The evaluation team used systematic sampling to select the random sample from the population of the traders that had transacted using the e-portal taking into consideration the

geographical locations and the product categories where possible. For e-portals with large number of transactions (UNBS, TFDA, KNCCI, PHS, and TD), respondents with at least 10 transactions were systematically selected from the population because they would give a more informed and objective response about the system. The 10 transactions considered were from the time when the electronic systems became operational to the time of the evaluation. For RMOH, NAEB, NDA and RDB where the number of traders/transactions were relatively few, the sample was randomly selected from the whole population. In addition, purposive sampling was used to get respondents from the partner agencies and TMEA SWIFT Projects Staff to provide specific information on the SWIFT projects being evaluated. Table 3 shows the respective SWIFT Projects population, sample size and the number of responses.

Table 3: SWIFT projects populations, sample size and number of responses

A	PHASE 1 SWIFTS PROJECTS	POPULATION	SAMPLE SIZE	NUMBER OF RESPONSES
1.	Kenya National Chamber of Commerce and Industry (KNCCI)	707	85	51
2.	Tea Directorate (TD)	510	56	46
3.	Rwanda Development Board (RDB)	258	31	34
4.	Ministry of Agriculture (Minagri) - RALIS	355	42	43
5.	National Bureau of Standards (UNBS)	561	72	57
6.	Tanzania Food and Drug Authority (TFDA)	365	47	44
SUB-TOTAL		2,756	333	275
B	PHASE 2 SWIFTS PROJECTS (OPERATIONAL E-PORTALS)			
7.	Port Health Services (PHS)	308	98	65
8.	Rwanda Standards Board (RSB)	91	31	26
9.	Ministry of Agriculture (Minagri) - NAEB	32	12	10
10.	Rwanda Ministry of Health (RMOH)	61	24	27
11.	National Drug Authority (NDA)	119	48	24
SUB-TOTAL		611	213	152
12.	Pharmacy and Poisons Board (PPB)* (SWIFTS operational but not fully attributed to TMEA)	780	-	1
SUB-TOTAL		780	-	1
C	PHASE 2 SWIFTS PROJECTS (E-PORTALS NOT YET OPERATIONAL)*			
13.	**Ministry of Agriculture (Minagri) - RAB (Not yet operational- e-portal undergoing testing).	-	-	2
14.	MAAIF – Crop Protection Directorate (Not yet operational - e-portal undergoing piloting).	347	-	3
15.	MAAIF - Fisheries Directorate (Not yet operational - e-portal undergoing piloting).	78	-	5
16.	MAAIF - Livestock Directorate (Not yet operational - e-portal undergoing piloting)	320	-	2
17.	Zanzibar Food and Drug Board – ZFDB- (Not yet operational - e-portal undergoing piloting).	214	-	8
SUB-TOTAL		959	-	20
D	TRADEMARK EAST AFRICA			
18.	TradeMark East Africa (TMEA) SWIFT PROJECT STAFF	10	10	10
GRAND TOTAL		5,116	556	458

*Only internal staff purposively sampled based on their knowledge of the respective e-portal.

** Not Available.

19. The 6 SWIFT projects (namely KNCCI, TD, RDB, RALIS, UNBS, TFDA) evaluated under phase 1 were all operational and had a total population size of 2,756 and a sample size of 333 at confidence level of 95% and 5% margin of error. The number of responses were 275 out of a sample size of 333 which was 83%. The 11 SWIFTs evaluated under Phase 2 were found to be at different stages of implementation; 5 SWIFTs were found operational (namely PHS, RSB, NAEB, RMOH, NDA), 4 SWIFTs (ZFDA, MAAIF Directorates of: Livestock, Crop Protection, Fisheries) were being piloted, 1 SWIFT (RAB) was being tested and 1 SWIFT (PPB) was operational however, the automated system could not be fully attributed to TMEA support because there were disagreements on the PPB systems requirements during project implementation. The population size for Phase 2 evaluation operational SWIFTs was 611 and the sample size was 213 and the number of responses were 152 which was 71%. For PPB and the SWIFTs which were not yet operational, only partner agency staff were purposively sampled and interviewed based on their knowledge of the respective e-portals. The questionnaires were directly administered to the sampled populations in Phase 1 and phase 2. The high response rate was ensured through supervision, directly administering the questionnaires and sampling with replacement. Bias was avoided by selecting the next respondent in the list in case the targeted respondent was not available for interview.
20. The evaluators used questionnaires to collect data from the TMEA supported SWIFT projects staff and beneficiaries during field work. The questions were rated and measured on a Likert Scale point of 1 to 5 as shown in the table 4. In addition, open-ended questions were used to probe and get information from the respondents.

Table 4: Likert Scale and Measurement

#	Measurement	Likert Scale ²				
		1	2	3	4	5
1	Perception measurement (Phase 1)	Insignificantly	Moderately	Significantly	Very Significantly	Exceedingly Significant
2	Perception measurement (Phase 2)	Far below expectations	Below expectations	Within expectations	Above expectations	Far above expectations
3	Time measurement (Phase 1)	More than 5 days (Specify) --	Within 4 to 5 days	Within 2 to 3 days	Within 5 to 8 hours	Within 4 hours
4	Time measurement (Phase 2)	More than 3 days (Specify) --	2 to 3 days	9 to 24 hours.	4 to 8 hours.	Less than 4 hours
5	Cost Measurement (Phase 1)	More than US\$100 (Specify----)	Within US\$61 to US\$100	Within US\$41 to US\$60	Within US\$21 to US\$40	Within US\$1 to US\$20
6	Cost Measurement (Phase 2)	More than US\$60 (Specify----)	Within US\$41 to US\$ 60	Within US\$21 to US\$ 40	Within US\$1 to US\$ 20	Within US\$1

21. The primary data collected from the respondents was analyzed using SPSS for each of the operational SWIFTs and the Pearson Correlation Analysis was used to test the relationship among variables. The relationships between time and cost were found to be significant, Pearson Correlation Coefficient (r) >0 and P-Values <0.05 (refer to Annex 17 for details). The data was validated by cross-verifying with data from other sources. This analysis was used to assess whether the SWIFT projects intervention

² A 5-point Likert scale was used in the questionnaire for the respondents to choose one option that best describes their view or findings about the e-portals.

reduced document processing time and costs, resulting into improved efficiency in service delivery and contributing to the impacts of reduced cost of doing business along the key corridors in East Africa.

22. **Baseline Time and Cost:** The time and cost baselines involved gathering evidence from multiple sources i.e. TMEA baseline survey reports, SWIFT PAR documents, monitoring plans, annual reports, and interviewing the respondents during the evaluation field survey by the consultants. The data was validated through cross verification /triangulation. Where there was consistency in the findings, the TMEA baseline data was used. Where there was inconsistency, the most appropriate data was used as the baseline (Refer to attached Annex 11A for Phase 1 evaluation baseline time before automation; Annex 11B for Phase 2 evaluation baseline time before automation; Annex 13A for Phase 1 evaluation baseline cost before automation; Annex 13B for Phase 2 evaluation baseline cost before automation). The main reason for the differences in some of the baselines data between the field survey and the documents reviewed was mainly due to data sources. Some of the baselines data from the documents reviewed did not take into consideration the time and costs incurred by the traders to move from their premises and wait to submit the applications (indirect time and costs).
23. **Time and Cost after Automation and Intervention benefits:** Time after automation was obtained by gathering data from the traders, e-portals systems and relevant project documents and validated through triangulation. The actual time obtained from the e-portal systems was used as the time after automation and used in the computation of the time reductions; refer to attached Annex 12A for Phase 1 evaluation time after automation and Annex 12B for Phase 2 evaluation time after automation. Cost after automation was obtained by triangulating data from both the field survey interviews and the desk review; refer to attached Annex 14A for Phase 1 evaluation cost after automation and Annex 14B for Phase 2 evaluation cost after automation. The SWIFT intervention benefit was cost and time reductions/savings which were obtained by getting the difference between the respective cost and time after automation from the cost and time before automation.
24. The evaluation team exercised quality assurance throughout the whole evaluation process in accordance with the OECD/DAC criteria and guidelines which also involved internal and external reviews of the report and incorporation of the agreed review comments.
25. The evaluation team used contribution analysis³ to assess the progress made to achieve the TMEA-supported SWIFT projects results and focused specifically to what extent the observed results (whether positive or negative) were as a consequence of the TMEA-supported SWIFT projects and established whether the SWIFT projects made a noticeable contribution to the observed results. The contribution analysis approach used by the evaluation team had six steps:
26. **Step 1: Setting out the SWIFT Projects attribution problem to be addressed:** The core evaluation questions in the ToRs set out the specific questions to be addressed which were reviewed by the evaluation team to determine the specific cause-effect questions to be addressed and other key influencing factors i.e. the extent to which the results can be attributed to SWIFT Projects.
27. **Step 2: Reviewing the SWIFT projects results chain and the TMEA theory of change and the assumptions:** The evaluation team reviewed the SWIFTs projects results chain (Annex 8) and TMEA

³ John Mayne (2008), Contribution Analysis, an Approach to Exploring Cause and Effect, ILAC Brief 16.

theory of change based on the ToRs and the literature reviewed. The SWIFTs projects results chain provided a structured approach to the factors that contributed or were likely to contribute to the projects results, the assumptions and other factors that could influence the results and how it linked to the TMEA theory of change and ultimately to increased trade in the region (refer to figure 1).

28. **Step 3: Gathering the existing evidence on the SWIFT Projects results chain:** The SWIFTs project results chain was used to analyze the design, delivery, results and potential of the SWIFTs projects in a logical way by tracing step-by-step how the TMEA interventions led to or were likely to lead to the desired results by collecting the necessary evidence through interviews, literature review and discussions with the project staff and beneficiaries. Evidence to validate the project results chain was collected on the results, assumptions and the other influencing factors. For details of stakeholders contacted refer to Annex 18 and documents reviewed refer to Annex 19.
29. **Step 4: Assembling and assessing the contribution story:** The contribution story was assembled and assessed critically to identify strong and weak links in the results chain and the credibility of the contribution story. The analysis of the SWIFT projects activities (refer to Table 5 and Annex 4) and the results (refer to Table 6 and Annex 5) revealed to what extent the projects lived up to or were likely to live up to their expectations in terms of quality and quantity of the results produced and time taken to produce these results. Attribution issues were addressed by evaluation team basing on the SWIFT projects indicators and using correlation analysis to test the relationship among variables.
30. **Step 5: Seeking out additional evidence:** From the contribution story, additional evidence was gathered by the evaluation team through desk review, data from the baselines, data from the e-system and primary data to augment the evidence in terms of the results which occurred, the key assumptions and the role of external influences and other contributing factors.
31. **Step 6: Revising and strengthening the contribution story:** The evaluation team used the additional evidence collected to build a more substantive and credible evidence that made the SWIFT projects contribution to the results stronger and more plausible. This therefore, provided an argument with evidence from which the evaluation team reasonably concluded that the SWIFT projects intervention made or were likely to make a contribution to the results of reducing the trade transaction clearance time and cost along the key corridors in the EAC. However, there was need for the results chain to be more elaborate by including other results such as increased trust, transparency, accountability and improved governance in the trade agency.

2.1 The SWIFT projects results chains

32. The evaluation team used the SWIFT project results chain which clearly articulated the linkages between the SWIFT projects inputs and the results; and the lists of the assumptions needed for the projects to contribute to the high level outcome of improved efficiency of administration of key trade processes, enhanced trade environment and increased trade. The key underlying hypotheses for the TMEA-supported SWIFT projects were that:
 - i) Automating availability and handling of information by trade agencies reduces document processing transaction cost and time.

- ii) Simplifying and expediting information flows through automation between traders and trade facilitation agencies increases efficiency for international traders (importers /exporters).
- iii) Achieving greater harmonization and better sharing of relevant trade data across governmental system simplifies trader's interactions with government agencies and also contributes to reduction in the cost of doing business and better use of resources.

2.2 SWIFT Projects Management and Implementation

33. The assessment of management and implementation of the SWIFT Projects was approached by using the Abilities Approach Model⁴, a framework for analyzing and assessing the performance of organizations by examining issues such as: the governance structure, administrative procedures, financial management and stakeholder involvement (refer to Annex 7). Further analysis and assessment of change management and implementation of the SWIFTs projects was approached by taking insights from ADKAR⁵ Change Management Model that were incorporated in the questionnaires that were used for data collection.
34. The international standard ISO/IEC 15504 was used to assess whether the SWIFT projects IT processes were based on internationally acceptable best practices and standards. The evaluation team used questionnaires to collect data on each SWIFT Project IT Processes, management and implementation which was analyzed and used for the IT Processes assessment as indicated in Annex 6. The results were used in assessment criteria under effectiveness in Annex 2.

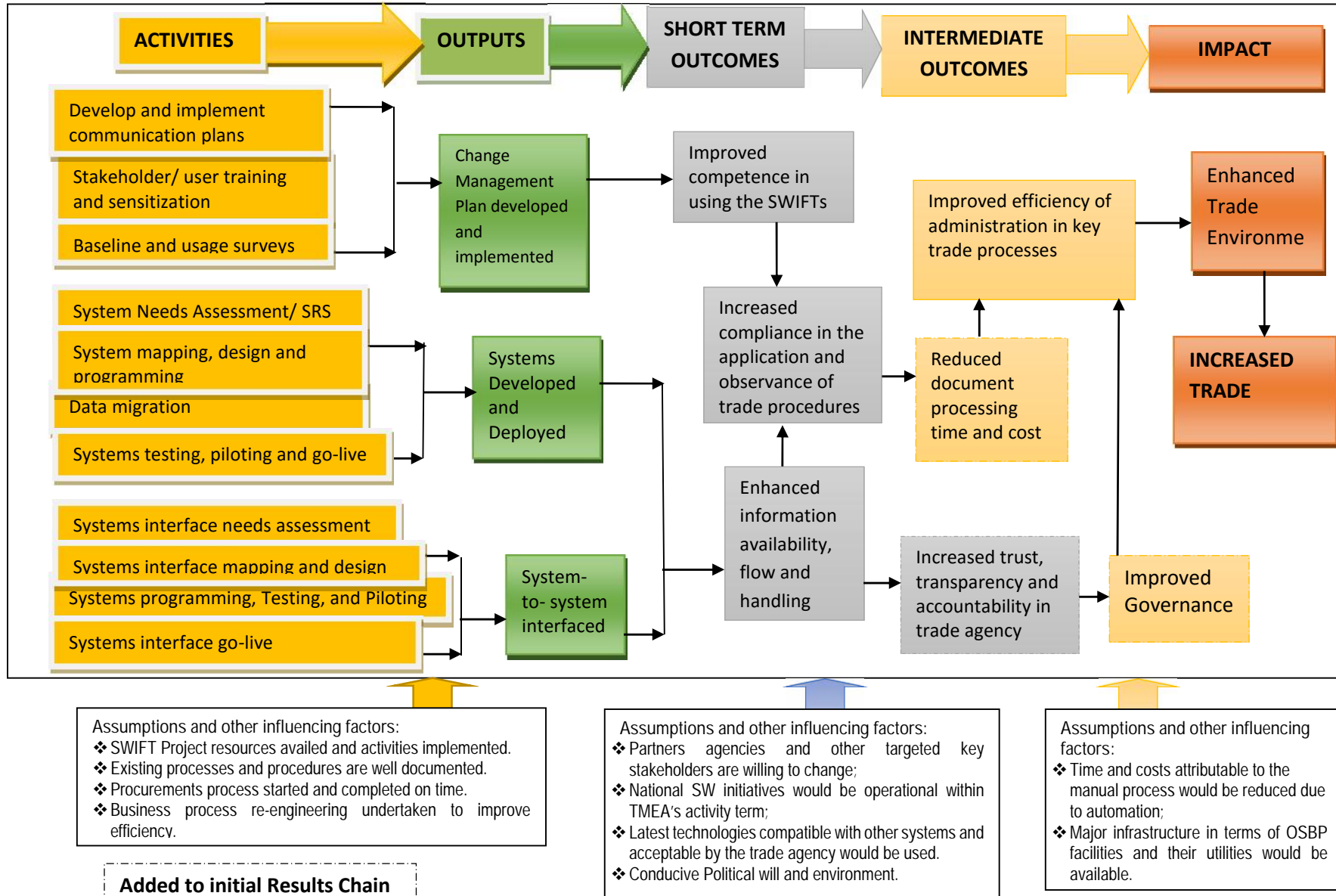
2.3 Evaluation Limitations

35. This evaluation was based on the OECD DAC principles for evaluating development assistance in line with the TORs and it considered 17 SWIFT projects in four different countries which made it fairly complex. This evaluation was not intended to address all the issues concerning the TMEA projects. The evaluation team generally received the necessary co-operation and openness from the SWIFT projects staff, partners and beneficiaries in Kenya, Rwanda, Tanzania and Uganda and we wish to record our appreciation for all the assistance provided. The methodology used proved appropriate for the purpose of the formative evaluation and no significant limitations undermining the reliability, validity or utility of findings was identified.

⁴ Stein-Erik Kruse Oslo (1999), How To Assess NGO Capacity: A Resource Book on Organisational Assessment Norwegian Missionary Council Office for Development Cooperation

⁵ ADKAR model is a change management that guides individual and organizational change and represents five milestones (Awareness, Desire, Knowledge, Ability and Reinforcement) that must be achieved for change to be successful.

Figure 1: Linkage of SWIFT Projects Results Chain to the TMEA Theory of Change



3. EVALUATION FINDINGS

36. This section provides the evaluation findings at the time of the formative evaluation based on the evidence from the review of the available SWIFT projects documents and other relevant literature and extensive interviews with project staff, key stakeholders and the beneficiaries. The evaluation team organized the findings according to the 5 OECD-DAC criteria for evaluating development assistance and also in line with the evaluation requirements in the ToRs.
37. The Single Window System is a trade facilitation concept whose implementation allows cross border traders to submit regulatory documents such as customs declarations, applications for import and export permits, certificates of origin and trading invoices at a single location. TMEA through the SWIFT Projects supported some agencies by building databases of procedures, rules, and regulations for trade facilitation agencies to be used by both their staff and the trading community. The evaluation findings from the project documents reviewed indicated that the set of activities in the respective partner agencies consisted of:
- i) Mapping the database on existing rules, regulations and procedures for import/export;
 - ii) Development and deployment of an online web portal for the export/import procedures, including providing for interfaces and linkage with the NeSW initiatives.
 - iii) Development and implementation of change management plans and methods of dissemination of the documentation using online/offline methods.
38. In each of the SWIFT projects the set of activities resulted into three defined outputs namely:
- i) **The System Development and Deployment** which comprised of the development of the e-portals and deployment of the related network infrastructure to ensure operationalization of the systems and e-portals. It resulted from implementation of the activities that included identifying and assessing the systems’ needs; mapping, designing and programming the system; systems testing, piloting, data migration and go-live.
 - ii) **System Interface Development and Deployment** which involved the implementation of system interfaces to enable information sharing between the e-portals and systems operated by other agencies and stakeholders – e.g. integration to the National electronic Single Windows to enable direct information sharing between the respective agencies and their stakeholders. To achieve this output, the activities implemented included identifying and assessing the systems interface needs, interface mapping, designing, programming, testing, and piloting and go-live.
 - iii) **Change Management** which included the formulation and implementation of change management plan that constituted developing and implementing communication plans by training on use of the system at both technical and business operations levels, sensitization and awareness creation about the project amongst the agencies’ internal and external stakeholders.

3.1 Relevance

Relevance is the extent to which a development intervention conforms to the needs and priorities of the target groups, the policies of the recipient countries, donors and TMEA’s strategy.

The evaluation team assessed and established whether the SWIFT Projects were:

- a) Aligned to the TMEA Theory of Change (ToC) and priorities.
- b) Aligned to the National Governments ICT Strategies and Policies (e-governance) in Rwanda, Kenya, Uganda, Tanzania and the EAC.
- c) Responding to the needs and challenges of the target groups and the trade environment.

The relevance section of this report assessed the extent to which the SWIFT projects were aligned to the TMEA strategy, ICT policies of the recipient countries and conforming to the needs and priorities of the supported agencies.

39. **Alignment to TMEA Theory of Change (ToC) and Priorities:** The evaluation findings from the documents reviewed indicated that the SWIFT projects were designed and structured to respond to specific needs of all parties, in the private and public sectors of automating the key trade processes in the partner agencies to reduce the cost and time related to the use of the manual processes⁶. The findings further indicated that the SWIFT Projects specifically of automating documents processing aimed at improving trade systems and making them effective which was critical to the success of TMEA's outcomes of having Effective Trade Systems and Processes that would result into Efficient Trade Facilitation and thus contributing to Enhanced Trade Environment⁷. The SWIFT intervention was structured within a framework which reduces trade barriers to the private sector by automating documentation processes which results into enhanced transparency, accountability and savings in terms of cost and time while transacting business.
40. **Response to the needs and challenges of the target groups and the trade environment:** The National Electronic Single Window (NeSW) is a system which facilitates trade by allowing for the submission of a single declaration containing all information required by the various agencies responsible for controlling trade into and out of the country and enables these agencies to inform traders and their representatives of the progress of the release process. The evaluation findings from the documents reviewed and interviews with the stakeholders indicated that in the EAC region, Kenya, Tanzania, Rwanda and Uganda were having National Electronic Single Window (NeSW) initiatives driven by the key stakeholders in trade facilitation such as revenue and port authorities, which had huge capacity and resources to implement SW efficiently. TMEA realized that the NeSW initiatives left significant gaps in addressing the capacity and resource requirements for Other Government Department (OGDs) or agencies involved in trade facilitation to join SW initiatives efficiently and therefore by addressing these gaps, the TMEA-supported SWIFT projects approach responded to the needs and the challenges the OGDs/agencies were confronted with in executing their trade facilitation mandates.
41. Further evaluation findings indicated that TMEA empowered the OGDs with e-portals that managed their processes and could be used to share information to the NeSW systems. As NeSW initiatives progress in each country, these automation systems could be enhanced to efficiently participate in their respective national SW systems more efficiently. This approach by TMEA would contribute to the successful implementation of national SW schemes as well as provide the most value to the trading OGDs and the business community. The evaluation findings indicated that the SWIFT projects e-portal had significantly simplified the work of the business community as indicated by 86% of the persons interviewed in both Phase 1 and Phase 2 (67% very significantly, 10% significantly and 9% exceedingly significant, $\bar{x}=3.57$, $SD=0.75$). In addition, the e-portal had contributed to improved service delivery of the partner agencies as observed by 81% of the business community respondents interviewed who indicated that the services provided by the government agencies had significantly improved since the e-portal was put in place (67% very significantly, 8% significantly and 6% exceedingly significant, $\bar{x}=3.64$, $SD 0.715$)

⁶ SWIFT Project Appraisal Report (PAR 9)

⁷ TMEA Theory of Change

42. **Alignment to the National Governments ICT Strategies and Policies (e-governance):** The evaluation findings from the documents reviewed and stakeholders consulted indicated that the TMEA Single Window / Information Sharing Portals (SW/ISP) interventions were in line with the National Electronic Single Window (NeSW) initiatives and the respective National ICT Strategies in Kenya, Rwanda, Tanzania and Uganda.
43. **Kenya** – The evaluation findings from the documents reviewed showed that the SWIFT projects interventions in Kenya were in line with the Kenya National ICT Policy⁸ strategies of using e-Government as a tool to reduce transaction costs for the Government, citizens and the private sector through the provision of products and services electronically to improve:
- Internal efficiency, quality of public service delivery, transparency and accountability;
 - Collaboration between Government agencies and enhance efficiency and effectiveness of resource utilization;
 - Kenya’s competitiveness by providing timely information and delivery of Government services.
44. The evaluation findings further indicated that the TMEA supported SWIFT intervention conforms to the Kenya National Electronic Single Window System (KNeSWS) initiative under the Kenya Trade Network Agency (KENTRADE), an autonomous Agency responsible for establishing and managing the National Electronic Single Window System (Kenya TradeNet System) to facilitate trade⁹. The Kenya TradeNet System was an initiative of the Kenya Vision 2030 to facilitate trade, customs clearance, competitiveness and to reduce the cost of doing business. The system aims at providing the trading community and all stakeholders a single access point for all external trade related services and to meet the legal requirements of the trade. The KNeSWS key stakeholders were Kenya Revenue Authority (KRA), Kenya Port Authority (KPA), Port Health Services (PHS) and Kenya Bureau of Standards (KEBS) among others.
45. **Rwanda** – The evaluation findings from the documents reviewed indicated that in Rwanda the TMEA-supported SWIFT projects intervention was in line with the Rwanda National ICT Strategies¹⁰ of improving government operational efficiency and service delivery using ICT. Further evaluation findings showed that the SWIFT intervention conformed to the Rwanda’s SW initiative, referred to as the “Rwanda Electronic Single Window” (ReSW), which was spearheaded by the Rwanda Revenue Authority (RRA) and the major stakeholders were the Rwanda Development Board (RDB) and Rwanda Standards Board (RSB).
46. **Tanzania** – The evaluation findings from the documents reviewed showed that the TMEA supported SWIFT projects intervention conformed to the Tanzania Electronic Single Window Systems (TeSWS) initiative, spearheaded by the TRA with a steering committee comprising various trade facilitation organizations. In addition, the documents review indicated that the SWIFT Intervention was in line with Tanzania ICT Policy¹¹ objective of promoting effective use of ICT for increased productivity.
47. **Uganda** – The evaluation findings from the documents reviewed indicated that the TMEA SWIFT projects intervention conformed to the Uganda National ICT Policy¹² strategic objective of digitizing public domain information and make it available through Internet web sites and other appropriate dissemination

⁸ National Information & Communications Technology (ICT) Policy, Ministry of Information & Communications (2006)

⁹ <https://www.kentrade.go.ke/index.php/homepage-kentrade/262-kenya-the-first-regional-economy-to-comply-with-wto-trade-facilitation-agreement>.

¹⁰ Rwanda ICT Strategic and Action Plan (NICI III – 2015).

¹¹ National Information and Communications Technology Policy, Tanzania Ministry of Works, Transport and Communication (2016).

¹² National Information and Communication Technology Policy, Uganda Ministry of Works, Housing and Communications (2003).

media. In addition the SWIFT projects intervention in Uganda were in line with the Uganda Electronic Single Window System (UeSW) initiative that would link government, agencies, clearing agents and local traders to ease and speed up international trade to decrease the time the process usually took and complement other national and regional trade facilitation initiatives such as Integrated Border Management (IBM) and One-Stop- Border Posts (OSBP).

48. **EAC Region** – The evaluation findings further revealed that the TMEA SW/ISP systems was in line with EAC Model ICT Policy Framework¹³ objectives of Member States digitizing Government processes and Services to reduce transaction cost, time and ensure efficient and quality public service delivery.
49. **Relevancy to WTO Trade Facilitation Agreement (TFA):** The evaluation team found that the SWIFT projects were in line with the WTO TFA which contains provisions for expediting the movement, release and clearance of goods, including goods in transit. The agreement also set out measures for effective cooperation between customs and other appropriate authorities on trade facilitation and customs compliance issues. The evaluation team further noted that the WTO TFA also emphasized that simplifying trade procedures could lead to greater involvement by small and medium-sized enterprises in international trade. The shorter delivery times and greater predictability of deliveries enables poor countries to increase their participation in global value chains. The agreement further emphasized that by reducing delays at the border, TFA implementation would increase the volume of goods passing through customs and reduce the incidence of corruption, both of which should help developing country governments collect more revenues¹⁴.
50. Overall the evaluation findings revealed that the SWIFT projects were very relevant because they responded to the needs and challenges of the stakeholders; aligned to the TMEA Theory of Change (ToC) and priorities; and conformed to the National Governments ICT Strategies and Policies (e-governance) in Rwanda, Kenya, Uganda, Tanzania and the EAC.

BOX 1: SUMMARY OF SWIFT PROJECTS FINDINGS ON RELEVANCE

- i) The SWIFT Projects were aligned to the TMEA Theory of Change (ToC) and priorities of reducing transaction time and cost through effective trade systems and procedures.
- ii) The SWIFT Projects were aligned to the National ICT Strategies and Policies (e-governance) in the EAC of using ICT to reduce the transaction time and cost of doing business.
- iii) The SWIFT Projects responded to the needs and challenges of: the supported partner agencies of linking to the National Electronic Single Windows; the import/export traders high cost of doing business; and the need to enhance the trade environment.
- iv) The SWIFT Projects intervention were consistent with WTO Trade Facilitation Agreement of simplifying trade procedures through the use of ICT.

¹³ EAC Model ICT Policy Framework, EACO (2015).

¹⁴ https://www.wto.org/english/tratop_e/tradfa_e/tradfa_e.htm.

3.2 Effectiveness

Effectiveness is the extent to which the development intervention has achieved or likely to achieve its objectives taking their relative importance into account.

The evaluation team assessed and ascertained to what extent:

- a) The SWIFTs Projects design, Management and implementation methodologies (systems design, acquisition development, testing and rollout) adopted were aligned to ISO/IEC 15504 Information Technology Process Assessment Standard.
- b) The SWIFTs projects governance model was comprehensive, clear and appropriate for the effective management and delivery of the projects.
- c) The time and costs related to trade document processing had reduced or was likely to reduce due to SWIFTs.

The effectiveness section of this report assessed the extent to which the SWIFT projects had achieved or were likely to achieve their objectives.

51. **Contribution and Attribution of the SWIFT Projects:** The evaluation team used contribution analysis to explore attribution through assessing the contribution the SWIFT projects made to the observed results by verifying the results chain/theory of change behind the SWIFT project, taking into consideration the assumptions and other influencing factors. The assessment of the extent to which the SWIFT project caused the project outcomes were based on the following evidence:
 - i) The project was based on a theory of change and the assumptions behind the SWIFT projects to work were sound, reasonable, and were agreed upon by TMEA, the donors and the partner agencies (refer to Figure 1 for details). The theory of change showed how the projects inputs brought about the desired results (the outputs, outcomes and the impact).
 - ii) The planned activities of the programme were implemented.
 - iii) The theory of change was verified by evidence and the chain of results occurred.
 - iv) The assumptions and other factors influencing the programme were assessed and shown to have made a contribution.
52. **Review of the SWIFT Projects Theory of Change:** The evaluation evidence indicated that the SWIFT Projects were implemented based on a Theory of Change which informed the SWIFT projects activities, work plans and the project monitoring plans. This was a good approach in project implementation as only planned activities were carried out and results produced recorded to keep track on project progress. In addition, this enabled the theory of change to be verified by evidence in the chain of the results.
53. Whereas the SWIFT Results Chain was verifiable by evidence that the results occurred in form of improved efficiency in document processing, the results chain was not explicit on other results that occurred which need to be included. Thus, there is need for the SWIFT Projects Implementation Team and the Results Team in TMEA to revise the SWIFT Projects Results Chain to be more elaborate on the results to include other outcomes such as reduced cost and time of administering key trade documents; increased trust, transparency and accountability in the trade agency; and improved governance and their respective key performance indicators.
54. The evaluation team observed that TMEA's ICT for Trade and Transport Facilitation department worked with government agencies and private sector to develop Management Information Systems (MIS) by providing financial and technical support which the evaluation team found to be appropriate. Evaluation

evidence from the documents reviewed indicated that TMEA formulated the SWIFT projects to address the urgent needs of reducing the time and cost of doing business along the East African two main corridors the (Northern and Central Corridors) that link the countries of the East African Community. Evaluation evidence further indicated that the TMEA SWIFT projects of automating key trade processes resulted into reduction in transaction time and cost for traders and trade agencies in the region.

55. The evaluation findings from documents reviewed and field surveys also revealed that out of the 17 SWIFT systems evaluated, 11 had been deployed and were operational and the stakeholders were migrated from manual to electronic document processing operations. 1 SWIFT (PPB) was operational but not fully attributed to TMEA due to disagreement between TMEA and PPB at the testing phase of the e-portal. The remaining 5 SWIFTs were not yet fully operational for the stakeholders to use. The business community that used the e-portals interviewed revealed that the SWIFT projects e-portals had simplified their business by working online and eliminated time used in manual record keeping, reporting and day to day operations and thus contributed to their operational efficiency and business competitiveness through reduced turnaround time and cost reductions.
56. **SWIFT Projects Design, Management, Implementation and Governance:** The evaluation findings indicated that TMEA worked with the partner agencies, by providing financial support and technical assistance to conduct the mapping exercise and build the IT infrastructure to host the portals. The evaluation findings further indicated that the SWIFT projects were being managed at the regional TMEA head offices in Nairobi and each project had a Project Leader who was responsible for the day-to-day issues. In addition, each project had a team of technical experts that provided technical guidance and quality assurance. However, there is need to strengthen project structures by formalizing project steering committee, Project Coordination Committee and Project Implementation Teams.
57. The evaluation findings further revealed that the SWIFT projects implementation involved stakeholders ranging from public to private sector with different needs and requirements and that a systematic approach was adopted from the outset by TMEA and its implementing partners by signing of agreements in forms of Memorandum of Understanding (MoU) or Financing Arrangements or Aide Memoires with all the respective partner agencies. This was a good approach because it provided the project decision-makers with good implementation directions for each partner agency. These agreements between TMEA and the partner agencies of the SWIFT projects clearly stipulated the project scope/description, the parties and their obligations, project budgets, duration, termination, procurement arrangements, governance, dispute resolution and jurisdiction which was a good practice and very commendable for the project implementation of this nature. However, the agreements between the parties could be improved by having clear exit strategy, clear criteria for measuring project success, and agreed project review and feedback mechanism to provide ongoing monitoring and the project process and to deal with any changes in the implementation that may be required including updating and renewing the agreements appropriately.
58. The evaluation team found that all the SWIFT projects had Systems Requirements Specifications (SRS) and the SWIFT automated systems were developed using different methods ranging from 100% outsourcing to partial outsourcing/hybrid methods. Although the projects had Systems Requirements Specifications, they did not take into consideration the needs and requirements of all the stakeholders thus resulting into scope creeps, misunderstanding and termination of certain contracts during project

implementation. Further evaluation evidence indicated that initial vendor contracts, for RALIS and UNBS for e-portal enhancements, were terminated as a result of poor performance because the vendors could not deliver to the expected required standards. The RDB and TD initial vendor contracts were executed to completion but could not be given additional assignments on systems enhancements due to performance challenges. This indicated that sufficient due diligence was not done in phase 1 projects while procuring these vendors to get vendors that could deliver to the expectations, however this was rectified in phase 2 projects. The TFDA initial vendor contract was extended to include additional project scope requested by the partner agency. Some partner agencies had additional requests for scope of work to enable their systems work better due to ongoing initiatives such as the NeSW which could not be identified during the projects inception stages to enable TMEA plan and budget appropriately. The additional requests in scope by the partner agencies and developments in the ICT sector such as the National Electronic Single Window and National Payment Gateways that did not exist when the business requirements were collected greatly contributed to the increased cost of the projects implementation.

59. The evaluation team further found that the SWIFT projects activities were planned according to the defined project life cycle that included conducting projects needs assessments, systems mapping and designing, systems programming, systems testing, systems piloting, systems go-live and interfacing with other systems which was a good practice. For the SWIFTS that were operational, evaluation findings indicated that at the pilot phase systems went through rigorous testing procedure to guarantee their ability to successfully interface with the other systems and to also serve their purpose.
60. The evaluation findings indicated that the implementation approach of using mandated trade facilitation agencies and governance model of using suitable structures within the SWIFT projects were adequate, appropriate and effective for management and delivery of the projects because during implementation, only the relevant trade facilitation agencies and institutions that had the right mandate/legal backing, financial, human and technical resources for SWIFT projects implementation partnered with TMEA, however there was need to formalize the structures. The SWIFT projects implemented change management plans that were found effective because there was no major resistance from both the internal and external stakeholders during transition from the old manual systems to the new digital and automated trade facilitation systems. The resistance for the fear of the unknown such as loss of employment and other benefits which would be eliminated by the electronic system; but these minor resistances were effectively addressed through trainings and sensitization of the stakeholders and did not negatively affect the project implementation significantly. Further evaluation findings indicated that each project had monitoring plans that were used to track and monitor project progress and to inform decision making.
61. **SWIFT Project Risk Management and Mitigation:** The evaluation findings indicated that the SWIFTS Projects had risks management plans and mitigation strategies in place. The risks were analyzed and reviewed periodically to identify possible threats to the projects which was a good practice.
62. Despite the implementation model being appropriate, there was need to improve on the involvement of the respective partner agencies at the design and implementations of the projects because the implementing partners deal with the systems and stakeholders on a daily basis. Evaluation findings further indicated that the implementing partners need to put in place functional help desks to collect

data on feedback and information on areas of difficulty and bottlenecks in the system for continuous improvement and sustainability of the systems.

63. Overall, there was very significant evidence that the assessed processes implemented by the SWIFT projects and methodologies adopted were aligned to and followed international standards such as (ISO/IEC 15504)¹⁵ and the DFID Recommended Principles¹⁶ for Digital Development; and that they achieved their purpose (for further details refer to annex 6).
64. **SWIFT Projects Activity Implementation Assessment:** The evaluation team found from the documents reviewed and the field interviews that TMEA supported a number of SWIFT projects activities that were relevant and sufficient to achieve specific expected outputs and outcomes in Kenya, Rwanda, Tanzania and Uganda and the activities were supported through specific institutions/agencies that were mandated to provide trade facilitation services in these countries. The evaluation findings indicated that the overall SWIFT project input and implementation was through the provision of information management systems, software, hardware and financial assistance. The activities that were supported by TMEA in the respective institutions/agencies included: developing and implementing change management plans, mapping the database on existing rules, regulations and procedures for import/export; development of an online web portal for the above export/import procedures, including providing for interfaces and linkage with the National Electronic Single Window (NeSW) systems initiatives, financial institutions, revenue authorities and Internet Service Providers (ISP); and developing methods of dissemination of the information using online methods. The activities were found to be sufficient to sustain the results generated, however there was need to make the phase-out strategy more resilient through re-training and training of trainers of especially the technical staff.
65. The number of SWIFT projects activities evaluated varied from each SWIFT because activities were broken further depending on the SWIFT Projects Plans and requirements. Evidence collected by the evaluation team revealed that the activities supported by TMEA were relevant in enhancing the availability and handling of information, expediting and simplifying information flows between traders and the trade facilitation agencies.
66. During the evaluation, the team found that out of the 17 TMEA supported SWIFTS, 11 were fully operational, 5 were not operational and 1 (PPB) was operational but could not be fully attributed to TMEA. The 11 fully operational SWIFTS were being used for document processing by both the internal and external stakeholders. Evidence gathered by the evaluation team from the desk review and stakeholders' consultations indicated that for the 11 fully operational SWIFTS, 255 activities were planned, of which 241 (95%) had been completed and only 14 (5%) were still in progress and chances were high that they would be implemented to completion. All the operational e-portals evaluated were being used by the relevant stakeholders and any pending activities were additional works that had been requested by partner agencies and had no material impact on the operations of the e-portals.
67. For the SWIFTS that were not yet operational, 94 activities were planned, of which 54 (57%) had been completed and 40 (43%) were still in progress and chances were high that they would be implemented

¹⁵ ISO/IEC 15504: Software Process Improvement and Capability Determination.

¹⁶ The DIFID Principles for Digital Development are: 1: Design with the User; 2: Understand the Ecosystem; 3: Design for Scale; 4: Build for Sustainability; 5: Be Data Driven; 6: Use Open Standards, Open Source, Open Data, and Open Innovation; 7: Reuse and Improve; 8: Address Privacy and Security; 9: Be Collaborative

to completion since PAR 9 was extended up to beyond 2017. All the non-operational e-portals evaluated were not being used by the relevant stakeholders because the pending activities had substantial impact on the operations of the e-portals.

68. The summary of the activities assessment of each of the SWIFT projects is shown in table 5 and for details of the activities and their status at the time of the evaluation refer to annex 4. Some activities in the project work plans were indicated as cancelled and yet findings from the interviews with the partner agencies indicated that the activities were implemented or their implementation was in progress, which indicated that the work plans were not being updated on time in phase 1 however, in phase 2 this was improved and the work plans and monitoring plans were being updated. It should also be noted that effective accomplishment of all planned activities would further contribute to the realization of the expected SWIFT projects results.

Table 5: SWIFT Projects Activity Implementation Status

#	SWIFT Projects/ Period	Agreed Activities ¹⁷	Completed Activities	Incomplete Activities	% completion	Assessment (1-Poor and 5- Excellent)	Confidence level (low-red, medium -yellow and High-green)
SWIFTS THAT WERE FULLY OPERATIONAL							
1.	KNCCI SWIFT (1/9/2014 – 30/06/2017)	20	19	01	95%	4	High
2.	TD SWIFT (1/1/2011 – 31/12/2016)	19	16	03	84%	4	High
3.	RALIS SWIFT (1/2/2011 – 30/06/2017)	39	39	00	100%	4	High
4.	RDB SWIFT (1/2/2011– 31/12/2016)	25	25	00	100%	4	High
5.	TFDA SWIFT (1/1/2012 – 30/11/2017)	21	21	00	100%	4	High
6.	UNBS SWIFT (1/1/2012 – 31/12/2016)	25	24	01	96%	4	High
7.	PHS (01/01/2015 – 30/06/2017)	17	16	01	94%	4	High
8.	RSB (21/03/2012 – 30/06/2017)	22	18	04	81%	4	High
9.	RMOH (01/02/2011 – 31/12/2017)	26	26	00	100%	4	High
10.	NAEB (01/02/2011 – 30/06/2017)	21	21	00	100%	4	High
11.	NDA (01/08/2012 – 31/12/2017)	20	16	04	80%	4	High
SUB-TOTAL		255	241	14	95%	4	High
PERCENTAGES		100%	95%	5%			
SWIFTS THAT WERE OPERATIONAL BUT NOT FULLY ATTRIBUTED TO TMEA							
1.	PPB (01/01/2011 – 30/06/2017)	35	34	01	97%	4	High
PERCENTAGES		100%	97%	3%	97%		

¹⁷ These were the activities in the work plan.

#	SWIFT Projects/ Period	Agreed Activities ¹⁷	Completed Activities	Incomplete Activities	% completion	Assessment (1-Poor and 5- Excellent)	Confidence level (low-red, medium -yellow and High-green)
SWIFTS THAT WERE NOT YET FULLY OPERATIONAL							
1.	ZFDA (01/04/2015 – 31/12/2017)	15	9	06	60%	3	High
2.	MAAIF - Crop (01/01/2012 – 31/12/2017)	16	11	05	69%	3	High
3.	MAAIF - Fisheries (01/01/2012 – 31/12/2017)	20	12	08	60%	3	High
4.	MAAIF - Livestock (01/01/2012 – 31/12/2017)	22	13	09	59%	2	High
5.	RAB (01/02/2011 – 30/06/2017)	21	09	12	43%	1	High
SUB-TOTAL		94	54	40	57%	2	High
PERCENTAGES		100%	57%	43%			
OVERALL TOTAL		384	329	55			
OVERALL PERCENTAGES		100%	86%	14%			

Source: SWIFT Project Work Plans, Annual reports, Monitoring plans and data from the field interviews of the partner agencies

69. **Assessment of SWIFT Projects Outputs and Short Term Outcomes:** The evaluation findings indicated that the activities were undertaken as planned¹⁸ and the 3 targeted outputs (system deployment, system to systems interfacing and change management) were the same as those set out in the Projects Result Chain¹⁹ and were sufficient and realized the expected results. Table 6 shows the summary of the output realization assessment and the progress towards achieving the outcomes for the respective SWIFT projects, for details refer to annex 5²⁰.

Table 6: SWIFT Projects Outputs and Outcome Realization as at September 2017

#	SWIFT Projects/ Period	Targeted outputs	Realized outputs	Outputs not realized	Assessment (1-Poor and 5- Excellent)	Progress towards outcomes	Confidence level (low-red, medium - yellow and High-green)
SWIFTS THAT ARE FULLY OPERATIONAL							
1.	KNCCI SWIFT (1/9/2014 – 30/06/2017)	3	3	0	4	KNCCI e-portal launched in April 2016; 200 trained stakeholders able to transact on e-portal; average time for obtaining CoO processed reduced from 48 hours to 2 hours (target <1 hour); average cost reduced from US\$88 to US\$10 (target <US\$40); 22,374 transactions were processed through the e-portal.	High
2.	TD SWIFT (1/1/2011 – 31/12/2016)	3	3	0	3	TD e-portal launched in 2013 but use started in January 2015; 181 trained stakeholders able to transact on e-portal; average time for export registration processing	High

¹⁸ Annex 4: SWIFT Project Activity Assessment

¹⁹ Annex 8: Results Chain for the SWIFT Projects

²⁰ Annex 5: SWIFT Projects Results Assessment

#	SWIFT Projects/ Period	Targeted outputs	Realized outputs	Outputs not realized	Assessment (1-Poor and 5- Excellent)	Progress towards outcomes	Confidence level (low-red, medium - yellow and High-green)
						reduced from 120 hours to 4 hours (target <12 hours); average cost reduced from US\$60 to US\$10 (target <US\$15); 29,509 transactions were processed through e-portal.	
3.	RALIS SWIFT (1/2/2011 – 30/06/2017)	3	3	0	4	RALIS e-portal launched in August 2016; 100 trained stakeholders able to transact on e-portal; average time for phytosanitary certificate and import permit processing reduced from 24 hours to 2 hours (target <6 hours); average cost reduced from US\$60 to US\$10 (target <US\$10); 3,720 transactions processed through e-portal.	High
4.	RDB SWIFT (1/2/2011– 31/12/2016)	3	3	0	4	RDB e-portal launched October 2015; 85 trained stakeholders able to transact on e-portal; average time for exemptions processing reduced from 96 hours to 2 hours; average cost reduced from US\$60 to US\$10; 551 transactions done through e-portal.	High
5.	TFDA SWIFT (1/1/2012 – 30/11/2017)	3	3	0	4	TFDA e-portal launched October 2015; 103 trained stakeholders able to transact on e-portal; average import clearance processing time reduced from 120 hours to 2 hours (target <24 hours); average cost from US\$80 to US\$10 (target <US\$30); 89,123 transactions through e-portal.	High
6.	UNBS SWIFT (1/1/2012 – 31/12/2016)	3	3	0	4	UNBS e-portal launched in May 2015; 168 trained stakeholders able to transact on e-portal; average import clearance time reduced from 48 hours to 2 hours (target <1 hour); average cost reduced from US\$80 to US\$10 (target <US\$75); 70,565 transactions through e-portal.	High
7.	RSB (21/03/2012 – 30/06/2017)	3	3	0	4	RSB e-portal launched in May 2015; average import clearance time reduced from 32 hours to 2 hours (target <2 hours); average cost reduced from US\$40 to US\$1; 145,130 transactions through e-portal.	High
8.	RMOH (01/02/2011 – 31/12/2017)	3	3	0	4	RMOH e-portal launched in March 2017; 132 trained stakeholders able to transact on e-portal; average time for import clearance reduced from 184 hours to 16 hours (target <12 hours); average cost reduced from US\$20 to US\$1 (target	High

#	SWIFT Projects/ Period	Targeted outputs	Realized outputs	Outputs not realized	Assessment (1-Poor and 5- Excellent)	Progress towards outcomes	Confidence level (low-red, medium - yellow and High-green)
						=<US\$50); 1,062 transaction had been approved.	
9.	NAEB (01/02/2011 – 30/06/2017)	3	3	0	4	Average time for import/export clearance reduced from 12 hours to 2 hours (target =<8 hours); average cost reduced from US\$30 to US\$6; 138 trained stakeholders able to transact on e-portal; 3,906 transactions through e-portal.	High
10	PHS (01/01/2015 – 30/06/2017)	3	3	0	4	PHS e-portal launched in April 2017; 80 trained stakeholders able to transact on e-portal; average time for import/export clearance reduced 76 hours (3.2 days) to 12 hours (target <24 hours); average cost reduced from US\$60 to US\$10 (target =<\$15); 4,229 transactions through e-portal.	High
11	NDA (01/08/2012 – 31/12/2017)	3	2	1	4	505 trained stakeholders able to transact on e-portal; average time for import/export clearance reduced 184 hours to 60 hours (target <12 hours); average cost reduced from US\$ 60 to US\$ 10 (target <US\$20); 4,607 transactions through e-portal.	High
SUB-TOTAL		33	32	1	4	There was very good progress towards realization of the outcomes	HIGH
%		100%	97%	03%			
SWIFTS THAT ARE OPERATIONAL BUT NOT FULLY ATTRIBUTED TO TMEA							
1.	PPB (01/01/2011 – 30/06/2017)	3	1	2	3	The TMEA supported e-portal (version 1) was upgraded in-house in PPB to create version 2 which was found to be operational	High
%		100%	67%	33%	3		
SWIFTS THAT ARE NOT YET FULLY OPERATIONAL							
1.	RAB (01/02/2011 – 30/06/2017)	3	0	3	1	RAB e-portal was being tested.	High
2.	ZFDA (1/04/2015 – 31/12/2017)	3	0	3	1	ZFDA e-portal was still being piloted.	High
3.	MAAIF - Crop (01/01/2012 – 31/12/2017)	3	0	3	1	MAAIF - Crop e-portal was still being piloted.	High
4.	MAAIF - Fisheries (01/01/2012 – 31/12/2017)	3	0	3	1	MAAIF - Fisheries e-portal was still being piloted.	High
5.	MAAIF - Livestock (01/01/2012 – 31/12/2017)	3	0	3	1	MAAIF - Livestock e-portal was still being piloted.	High

#	SWIFT Projects/ Period	Targeted outputs	Realized outputs	Outputs not realized	Assessment (1-Poor and 5- Excellent)	Progress towards outcomes	Confidence level (low-red, medium - yellow and High-green)
SUB-TOTAL		15	0	15	1	There was likelihood of achieving the outcomes when the outputs are realized though it will be beyond the initial project time frame.	High
%		100%	0%	100%			
OVERALL TOTAL		51	33	18	3	Overall there was good progress towards realization of the outcomes for operational SWIFTS.	High
%		100%	65%	35%			

Source: Baseline Reports, SWIFT Project Monitoring Plans, Annual Reports, Field Surveys and e-portal systems clearance time

70. Evaluation findings showed that for the 11 operational SWIFTS, 33 outputs were targeted and 32 had been realized (97%) and 1 output was not yet realized which was 3%. The unrealized output were 95% complete and was expected to be achieved by April 2018 because most of the core activities had been accomplished. In addition, despite the output not being realized, there were some few activities that were incomplete but their implementation was in progress and could not stop the results from being realized. For PPB, TMEA supported change management and development of the e-portal but the system was not deployed due to disagreement between PPB and TMEA on the deadline for the system deployment during testing. Therefore, PPB hired their own programmers to enhance the existing system. In addition, for the 5 SWIFTS that were not yet fully operational, 15 outputs were targeted and all had not been realized because the key activities required for output realization were incomplete.

71. The evaluation evidence indicated that before automation, it would take the traders a lot of time to prepare, travel and wait to submit manual physical trade documents (indirect time)²¹ to the trade agency. In addition, the trade agency would receive the physical trade documents and manually process them before providing feedback (direct time)²² to the traders; furthermore, the traders needed to physically move to the agency and check progress of the application processing and also receive feedback. However, as a result of the TMEA supported SWIFT projects, the document processing was automated and the traders prepared and submitted the documents online (without physical movements) and the trade agency also processed the documents online and provided feedback online which improved efficiency especially by eliminating physical documents and thus the document processing time drastically reduced. With the elimination of physical movements by the traders to the trade agency and ability to check application status and get feedback online due to automation, the indirect cost²³ was also eliminated and the direct cost²⁴ drastically reduced because physical movements and human interactions were minimized. The reductions in time and cost were because the traders no longer needed to travel to the trade agency offices to apply and follow up their applications status physically but were instead handling the transactions online using the TMEA supported e-portal.

72. The evaluation findings from the imports/exports traders interviewed, 90% of them revealed that the average document processing time had reduced (64% very significantly, 18% significantly and 8%

²¹ Indirect Time is the average time taken to prepare, travel and wait to submit an application to the trade agency.

²² Direct Time is the average time taken for the trade agency to process application and provide feedback.

²³ Indirect Cost is the average cost for traveling, printing and waiting expenses to submit an application to the trade agency.

²⁴ Direct Cost is the average cost for traveling, printing and waiting to receive feedback from the trade agency after submission of the application.

exceedingly significant, $\bar{x}=3.65$, SD 0.847) as result of using the TMEA supported e-portals. This was found to be consistent with the data from the e-portal that indicated that most of the documents were processed within 1 day as shown in Table 7. Those transactions taking more than 1 day to be approved by the trade agencies were due to non-compliance by the traders in meeting the regulatory requirements as was found during the field survey. The partner agencies need to sensitize the traders about the regulatory requirements in order to appreciate the benefits of the e-portals.

Table 7: Percentage Number of Transactions Processed through the e-portal within a day

#	SWIFT Project	% Transactions processed within 1 day	% Transactions processed in more than 1 day
1.	KNCCI – CoO Approval	83%	17%
2.	TD – Tea Export Registration Approval	89%	11%
3.	TFDA – Import Clearance Approval	85%	15%
4.	UNBS – Import Clearance Approval	89%	11%
5.	PHS – Import Clearance Approval	90%	10%
6.	RSB – Import Clearance Approval	95%	5%
7.	RMOH – Import Clearance Approval	90%	10%
8.	NAEB– Export Clearance Approval	94%	6%
9.	Average	89%	11%

Source: Respective SWIFT Projects e-portals

73. Similarly 82% of the traders interviewed observed that the average document processing cost had reduced (54% very significantly, 18 significantly and 10% exceedingly significant, $\bar{x}=3.66$, SD 0.812) as result of using the e-portals. For further details about how the traders rated the e-portals refer to Annex 10. The evaluation findings indicated that overall the SWIFT Projects that were operational had to a great extent achieved very good progress towards realization of the outputs, outcomes and the intervention objectives within the SWIFT projects time frame. Further evaluation findings indicated that for the SWIFTS that were not yet fully operational, chances were high that when all the expected activities were completed, they were likely to achieve the expected results.

3.2.1 SWIFTS that were Fully Operational

The following SWIFTS have been deployed and are fully in use by the respective stakeholders.

74. **Kenya National Chamber of Commerce & Industry (KNCCI) e-portal:** The evaluation findings indicated that the TMEA supported SWIFT Projects intervention in KNCCI involved implementation of an automated process of issuance of Certificate of Origin (CoO) which included online application of CoO by exporters, automated verification and invoicing, online payment for stakeholders, processing (Approval and Rejection) and issuance of CoO. The other component involved Business Development Process that entailed automation of membership profile management which included online registration for stakeholders, automated verification and processing of registration, online payment for registration and automated issuance of registration (membership certificate). The evaluation team found that the KNCCI SWIFT project commenced in September 2014 and ended in June 2017. The evaluation evidence indicated that the average document processing time for issuance of CoO before automation was 48 hours (1 day indirect time and 1 day direct time) in 2014 but as a result of the automated process of issuance of CoO, the average document processing time reduced to 2 hours in 2016 against a target of less than 1 hours and the average document processing cost reduced from US\$88 to US\$10 against target of less than US\$40. The reductions in time and cost were because the traders no longer needed to travel to KNCCI offices to apply and follow up their applications physically but were handling the transactions

online using the TMEA supported e-portal. The KNCCI e-portal was launched in April 2016 and the number of transactions processed through the KNCCI e-portal was 22,374 as at September 2017 from zero before the launch.

75. Findings from the evaluation indicated that 200 users were trained against a target of 75. The evaluation findings further indicated that all the 4 targeted processes (Membership application processing, Certificate of Origin application processing, customer relationship management (CRM) and reporting had been automated and the system deployed. The evaluation team found that the KNCCI e-portal was interfaced with Equity Bank for all channels including mobile and the payment interface was live however, integration to KeSW was still on hold pending discussions with KENTRADE.
76. **Tea Directorate (TD) e-portal:** The evaluation team found that the Tea Directorate e-portal was launched in 2013 and that the project targeted tea which was one of the key sectors in Kenya and it was to serve the interest of tea exporters, buyers, packers, manufactures and warehousemen. Through the e-portal, stakeholders apply for operational licenses, renew existing operational licenses, make monthly and annual statistical returns, and register tea exports and imports online without travelling to TD offices. The evaluation evidence showed that the average document processing time and cost had significantly reduced due to automation as shown in Table 8. The Reduction was because the traders no longer travel to the TD offices but transact the business online using the TMEA supported e-portal. Also the TD was examining and communicating with the traders on the status of the application online. For instance, Tea export registration average document processing time reduced from 120 hours (indirect time 1 day and direct time 4 days) to average of only 4 hours due to improved efficiency as a result of the TMEA supported e-portal.

Table 8: TD Average Document Processing Time and Cost Reductions due to Automation (e-Portal)

#	TD Process	Before e-portal		After e-portal		% Reduction	
		Average Time (Hours)	Average Cost (US\$)	Average Time (Hours)	Average Cost (US\$)	Time	Cost
1.	Export Registration	120	60	4	10	98%	85%
2.	Manufacturers Returns	2,160 (3 months)	100	552 (23 days)	10	74%	90%
3.	Brokers Licence	2,160 (3 months)	80	528 (22 days)	10	76%	88%
4.	Packers Licence	2,160 (3 months)	60	456 (19 days)	10	79%	83%
5.	Warehouse Licence	2,160 (3 months)	40	600 (25 days)	10	72%	75%
6.	Export/ Import Licence	2,160 (3 months)	60	552 (23 days)	10	74%	83%

Source: Baseline Reports, field interviews, SWIFT Projects e-portal system

77. Further evaluation evidence indicated that due to the system development and enhancements the number of transactions processed online was 29,509 as at September 2017 compared to zero before January 2015. The integration to KeSW, financial institution and AFA system was completed. Evidence from the training attendance register indicated that 241 users were trained and sensitized.

78. **Rwanda Development Board (RDB) e-portal:** Evaluation evidence indicated that the RDB e-portal was launched in 2015, and the system developed targeted individuals and firms that were seeking to invest in various sectors of the Rwandan economy such as infrastructure, ICT, mining, agriculture, manufacturing, finance and real estate. At the time of the evaluation, the evidence gathered revealed that the number of transactions done on the RDB system from October 2015 to June 2016 were 551 from zero before automation. Evaluation evidence further revealed that when the One Stop Centre Processes of RDB were automated through the TMEA supported SWIFT projects by providing the online services that included: Investment Certificate Registration, Environmental Compliance application and processing, Issuance of Environmental Impact Assessment (EIA) Certificate, and Processing of exemptions on imported goods. The average document processing time and cost reduced as shown in Table 9. The time reductions in Investments Certificates and Environmental Impact Assessments Certificates are minimal because of the need for physical inspections of the project sites and report documentations before the approval is given. However, the cost reduced because the applications are done online including checking on their status. It was also found that after approval and issuance of the EIA and investment certificates, the exemptions processing of investor imports reduced from 96 hours before automation to only 2 hours after automation as result of improved efficiency.

Table 9: RDB Average Document Processing Time and Cost Reductions due to Automation (e-Portal)

#	RDB Process	Before e-portal		After e-portal		% Reduction	
		Average Time (Hours)	Average Cost (US\$)	Average Time (Hours)	Average Cost (US\$)	Time	Cost
1.	Import Exemptions	96	60	2	10	98%	83%
2.	Investment Certificates	144	40	108	10	25%	75%
3.	Environmental Impact Assessment Certificates	1,440 (60 Days)	60	1,440 (60 days)	10	0%	83%

Source: Baseline Reports, field interviews, e-portal system

79. The evaluation findings indicated that the RDB system had been interfaced with Rwanda Electronic Single Window (ReSW), Rwanda Revenue Authority (RRA), Land Centre and Online Business Registration. Evaluation findings further indicated that RDB was interfaced with financial institution through Rwanda online e-Payment gateway (also known as Irempo). The evaluation team found that RDB had carried out system user and technical trainings which increased the total number of trained stakeholders able to complete a transaction on the RDB system to 85.

80. **Ministry of Agriculture Rwanda (RALIS) e-portal:** Evaluation evidence showed that the Rwanda Agriculture Livestock Inspection and Certification Services (RALIS) SWIFT project targeted exporters and importers of plants, plant materials, animal and animal products. Before the e-portal was put in place in RALIS, the procedures for the importation and exportation was done in a manual process that posed many challenges that increased the time and cost of doing business. The aim of the SWIFT project in RALIS was to eliminate the need for applicants to visit the MINAGRI offices for various applications by empowering importers and exporters to initiate and make their phytosanitary certificates and import permits applications online for further online processing by RALIS.

81. The evaluation team findings indicated that when the RALIS system was manual, the average document processing time was 24 hours but when the system was automated with support from the SWIFT Project (e-RALIS) the average document processing time reduced to 2 hours in 2016 against a target of less than

6 hours and the average document processing cost reduced from US\$60 to US\$10 against a target of less than US\$10. This was because the time and cost of travelling to RALIS offices and waiting for the documents to be processed were eliminated because the traders were transacting online, however there was need to use reliable service providers to minimize on the e-RALIS systems outages. Further evaluation findings indicated that the RALIS system was interfaced with the ReSW and a total of 5 processes were automated that included: Inspection, Pest risk analysis, quarantine, testing and certification. Evaluation evidence further indicated that the number of transactions done on the e-RALIS from August 2016 to March 2017 was 3,720 and the total number of trained stakeholders were 105 and were all able to complete transactions on the system.

82. **Tanzania Food and Drug Authority (TFDA) e-portal:** The evaluation findings indicated that the TFDA e-portal was launched in October 2015 in Dar es Salaam and that the system targeted importers and exporters of drugs, foods, medical devices and cosmetics in Tanzania. The system aimed at providing a one-stop location for all information required by traders to do their business especially in relation to these products within Tanzania and the East African region. In addition, the e-portal also provided reports on the application and management of licenses, certificates and permits and all processes related to the import and export of food, drugs, cosmetics, medical devices and premises registration.
83. Evidence from the evaluation indicated that before the e-portal was put in place, the average document processing time for issuing Import/Export Permit was 120 hours (indirect time 60 hours and direct time 60 hours) but when the TFDA system was automated through the SWIFT project, the average time reduced to 2 hours against a target of less than 24 hours and the average document processing cost for issuing an Import/Export Permit reduced from US\$80 to US\$10 against a target of less than US\$30 as shown in table 10. Despite the expected targets being met due to improved efficiency in document processing, the evaluation findings revealed that payment was not yet interfaced to the systems and there were also legal requirements to present hard copies of the pro-forma invoices to TFDA. The number of approved transactions done on the e-portal was 89,123 as at September 2017 from zero before the launch of the system in October 2015.

Table 10: TFDA Average Document Processing Time and Cost Reductions due to Automation (e-Portal)

#	TFDA Process	Before e-portal		After Automation		% Reduction	
		Average Time (Hours)	Average Cost (US\$)	Average Time (Hours)	Average Cost (US\$)	Time	Cost
1.	Drugs and medical devices importation	168	100	2	10	99	90
2.	Food importation	120	80	2	10	98	88
3.	Cosmetics importation	120	80	2	10	98	88

Source: Baseline Reports, field interviews, e-portal system

84. The evaluation evidence further indicated that the TFDA e-portal was interfaced with Laboratory Information Management System (LIMS) and Celcom and transactions were done through the interface. The number of processes automated, were 4 which included Products, Premises, GMP and Import/Export modules. However, integration of the TFDA system to financial institutions and TeSW was not implemented because of some policy issues in Tanzania. The evidence also indicated that 103 users had

been trained against a target of 75 and were able to complete a transaction on the TFDA system with 99% approval rates.

85. **Uganda National Bureau of Standards (UNBS) e-portal:** The evaluation team found that UNBS e-portal targeted importers of various products ranging from food stuff, building materials, electrical equipment, among other items into Uganda other than medicines/drugs. The TMEA SWIFT Project supported development of an online database on existing rules, procedures, legislation and regulations governing the import/export business in Uganda and a workflow system to facilitate the application and management of import / export licenses and permits. This database also provided an important reference point for import/export traders as they prepared to engage in trading activities both locally and internationally. The database was also a useful online tool for sensitizing the traders on import/export requirements including licensing requirements hence making them better informed of the import/export procedures. Evaluation findings indicated that the UNBS e-portal was launched in May 2015 and supported mainly import inspection. The system was enhanced to interface with the URA's e-payment and TIN platforms.
86. The evaluation team further found that the number of approved transactions done on the UNBS e-portal was 70,565 as at September 2017 from May 2015. Further evaluation evidence revealed that when the system was manual the average document processing time for inspection permits was 48 hours (indirect time was 1 day and direct time was 1 day) but this reduced to 2 hours in 2016 against a target of less than 1 hour and the average document processing cost reduced from US\$80 to US\$10 against a target of less than US\$75 due to improved efficiency resulting from automation. Entry processing after actual inspection took about 15 minutes. This was because the traders were applying online and had their inspection permits processed online and did not need to travel to the UNBS offices to get the clearance permits. The evaluation evidence showed that the number of trained stakeholders able to complete transactions online were 168.
87. **Kenya Port Health Services (PHS) e-portal:** The evaluation team found that the PHS was a Department under the Kenya Ministry of Health and was responsible for the control of the importation and exportation of all food stuffs, medical devices, medical products, psychotropic and narcotic substances for human and animal use by issuing Export Health Certificates as well as Import Certificates under the Foods, Drugs and Chemical Substances Act. Port Health Services were offered at all points of entry (POEs) in the country. The Ports of Entries (POEs) included airports, sea ports and ground crossings. These services were implemented within the auspices of the International Health Regulations (IHR). The evaluation team found that this TMEA supported PHS e-portal was launched in April 2017 and that the system was providing an online electronic document processing of applications for export and import health certificates. The evaluation team further found that the portal was integrated to the Kenya National Electronic Single Window and was helping PHS officers and the traders to share information on the movement of goods throughout the country. Evaluation findings also indicated that the PHS e-portal was operational and being used by both internal and external stakeholders. Evidence from the evaluation indicated that the average document processing time had reduced from 76 hours (Indirect time was 16 hours and direct time was 60 hours) to 12 hours against a set target of less than 24 hours which was 84% time reduction due to improved efficiency in processing the documents. The average document processing cost reduced from US\$ 60 to US\$ 10 against a target of =<US\$ 15 which was 83% reduction. In addition, the system had helped traders dealing in perishable goods process their applications in a

shorter time hence saving them from storage charges and losses of their products. Evaluation findings showed that 4,229 applications were received, 3,946 approved and 283 were rejected in the period October 2015 to September 2017 and 80 users were trained.

88. **Rwanda Standards Board e-portal:** The evaluation team found that the Rwanda Standards Board (RSB) was mandated to develop, publish national standards and also carry out conformity assessment related activities such as testing, inspections, certification and metrology. The evaluation team further noted that with TMEA support, the RSB automated system was launched in March 2015 and that the system had an internal Management Information System for internal processes and an external system that importers and exporters were interacting with. The evaluation findings indicated that the system was operational and being used by both internal and external stakeholders and that the services offered to the importers and exporters included: application for certification marks, feedback and complaints handling, the standards catalogue and quality testing. Findings from the evaluation indicated that as a result of automation, the average import document processing time had reduced from 32 hours (indirect time was 16 hours and direct time was 16 hours) to 2 hours against a target of 2 hours which was a 94% reduction. Also, the average document processing cost reduced from US\$40 to US\$1 which was a 98% reduction due improved efficiency in document processing resulting from automation. Evaluation findings further indicated that the system had improved operational efficiency and there was easier access to information and services for the business community and the general public. This in turn had helped RSB overcome challenges related to document processing for its stakeholders and also contributed to efficiency in inspection and quality assurance of goods coming into and leaving Rwanda for the international market. The RSB e-portal was integrated to the ReSW and in the period July 2015 to September 2017, the evaluation findings indicated that 145,130 import inspection transactions were conducted through the system and only 142 were rejected.
89. **Rwanda Ministry of Health e-portal:** The evaluation findings indicated that the Rwanda Ministry of Health (RMOH) Pharmacy Taskforce controls and oversees the pharmaceutical sector in Rwanda through the documentation requirements imposed for registration of medicines and through the licensing and inspection of pharmaceutical products and establishments. In addition, RMOH also ensures the quality, safety and efficacy of medicines. The evaluation findings further indicated with TMEA support, RMOH was able to automate a system that was deployed and being used by both internal and external users (importers and exporters) of drugs in Rwanda. The evaluation team also found that the RMOH system had four (4) modules that were automated that included: Pharmacy Profession development and Practice regulation module, Pharmaceutical Products Regulation module, Pharmacy Trading Facilitation module and the Enforcement module. The evaluation team further found that this system was facilitating the use of existing rules, procedures and regulations governing the import/export business in Rwanda; reducing excessive and unnecessary paper flow and simplifying the application processes. Evaluation evidence indicated that the automated system improved efficiency and had reduced the average document processing time from about 184 hours (indirect time was 16 hours and direct time was 168 hours) to 16 hours (1 day) against a target of less than 12 hours which was a 91% reduction. The average document processing cost reduced from about US\$20 to US\$1 against a target of =<US\$50 which was a 95% reduction. In addition, the system was also helping to accurately track the progress of applications made to RMOH. The evaluation evidence further indicated that in the period March 2017 to September

2017, the number of transactions processed through the automated system –Pharmaceutical Regulatory Information Management System (PRIMS) were 1,062 and 132 people had been trained.

90. **Rwanda National Agricultural Export Development Board e-portal:** The evaluation findings indicated that the National Agricultural Export Development Board (NAEB) was responsible for the development and promotion of agricultural exports in Rwanda. The evaluation findings further indicated that the main export related documents issued were the Certificate of Quality and Certificate of Origin. In addition, the evaluation team found that the NAEB system had automated the procedures for exports of agricultural products and issuances of the certificates of origin and quality which have helped reduce the time of processing of export permits. Evaluation findings revealed that the automated system improved efficiency and had reduced the average document processing time from 12 hours (indirect time was 6 hours and direct time was 6 hours) to 2 hours against a set target of ≤ 8 hours which was 83% reduction. The average document processing cost reduced from US\$30 to US\$6 which was a 80% reduction. This automation was contributing to improved service delivery by NAEB because its stakeholders did not need to go physically to the institution for the certificates of origin and Certificates of Quality and most of the business was being done online. With TMEA support, the evaluation team further found that the NAEB portal was integrated with the ReSW which allowed information sharing between Rwanda Revenue Authority (RRA) and the Rwanda Ministry of Agriculture. The system was also integrated with the national payment gateway and banking systems (Irembo) which was contributing to reduction in transaction and administrative costs of the stakeholders. The evaluation team found that in the period September 2015 to September 2017, the number of transaction through the system were 3,906 and 138 users were trained.
91. **Uganda National Drug Authority e-portal:** The evaluation findings revealed that the National Drug Authority (NDA) mainly dealt with the regulation of the pharmacies and drugs, control of the quality of drugs, importation, and exportation and also promoted and controlled local production of essential drugs. The evaluation findings further indicated that TMEA supported NDA to automate six (6) business processing module that included: Premise module, Import /export module, Product Module, GMP module, inspection module and Finance module. Out of these six (6) modules, it is only 2 (two) modules: the product module and GMP module that were not yet ready for use. Evaluation evidence indicated that the automation of these processes had contributed to reduction in the average document processing time from 184 hours (indirect time was 16 hours and direct time was 168 hours) to 60 hours (2.5 days) in 2017 against a target of less than 12 hour which was 67% reduction. In addition, the automated system reduced the average document processing cost from US\$60 to US\$10 against a target of US\$20 which was 83% reduction and 505 users were trained. The evaluation evidence further indicated that in the period September 2017 to November 2017, transaction done through the system were 4,607.
92. **Kenya Pharmacy and Poisons Board e-portal:** The evaluation team noted that the Pharmacy and Poisons Board (PPB) is the Drug Regulatory Agency in Kenya. It regulates the Practice of Pharmacy and the Manufacture and Trade in drugs and poisons. The evaluation team further noted that PPB offered services to the public that included: drug registration, GMP inspection, import/export certification, food registration and medical devices registration. Evaluation findings indicated that TMEA developed the PPB e-portal which was launched in 2013 (version1) and 841 users were trained. The portal aimed at enabling the pharmaceutical industry stakeholders to access trade and also ease access to services provided by

PPB online. Evaluation findings further indicated that the PPB e-Portal, was expected to have four (4) modules that included: pharmacy profession development and practice regulation module; pharmaceutical products regulation module; pharmacy trading facilitation module and enforcement module. The system also aimed at enabling stakeholders apply for operational licenses, renew existing operational licenses, make e-payments and register drug exports and imports.

93. However, in 2014 there was an on-going initiative by EAC for Medicines Regulation Harmonization and in late 2015 the first prototype of the EAC IMS system to be adopted across the region was released and PPB based on their assessment requested the same to be quickly customized by TMEA to their institution since they were having challenges with their existing system (version 1). Evaluation findings indicated that this was not possible because the external stakeholders had just started getting used to using the PPB system (version 1) and therefore subjecting them to a new change before adequately validating the upgraded system would undermine acceptance. In addition, the EAC system development had not been fully completed in NDA which was to act as a pilot for other EAC Drug Regulatory Authorities. This shortcoming led to PPB hiring their own programmers to enhance the existing PPB system which resulted into another version of the system (version 2) which was further to be enhanced in preparation for interface with other Drug Regulatory Agencies in the EAC. Evaluation findings further indicated the version 2 system had processed 10,080 transactions and had contributed to reduction in average document processing time from about 14 days to 2 days and revenue collected by PPB from the services increased from US\$0.3 million to US\$3 million due to improved accountability and transparency.

3.2.2 SWIFTS that were not Yet Deployed and Not in Use

The following TMEA supported SWIFTS have not yet been deployed and were not in use by the respective stakeholders at the time of the evaluation.

94. **Rwanda Agriculture Board (RAB) e-portal:** The evaluation team noted that all the agricultural products subject to RAB inspection have to be authorized by RAB staff that are deployed at different border and inland Customs offices before they are released by Customs Services Department. The key document issued by RAB was the export Permit and was required when a person needed to move animals or animal products around the country or export them. The evaluation team also found that RAB was testing e-portal to facilitate inspecting the agriculture products imported to Rwanda. The evaluation team further noted that although efforts were being put in place to automate the business operation at RAB like the process of issuing import/export Permit, the system was being tested and not yet deployed for use by the stakeholders and yet the project implementation period was expected to end on 30/6/2017. The evaluation evidence shows that despite the system being behind the scheduled implementation time, 40 stakeholders were trained and there was a high likelihood that the document transaction time and cost would reduce once the system becomes operational.
95. **Zanzibar Food and Drug Agency e-portal:** Evaluation findings revealed that the Zanzibar Food and Drug Agency (ZFDA) is mandated to ensure the safety and quality of food, drugs, cosmetics, medical devices and related products in Zanzibar. This was being achieved through products inspection, registration and quality control and public awareness on the safety and quality of the regulated products. The evaluation findings further indicated that TMEA SWIFT Project supported ZFDA to have an automated system which was being piloted for use and the SWIFT project was expected to be operational by 31/12/2017 when the project was scheduled to end. When the system is ready for use, it will have five (5) modules that will

include: Premises module, Product module, GMP registration module, Import and Export application modules all of which will enable the ZFDA stakeholders to access services online.

96. The evaluation team also found that the system had undergone validation, trainings and user acceptance testing by internal users and process owners in ZFDA. From the stakeholders consulted, this was contributing to good ownership and willingness of the internal users to prepare them to use the automated system. The evaluation team further found that despite the ZFDA system not being fully operational, 23 stakeholders had been trained. In addition, the ZFDA was planning to interface their system with the Tanzania Revenue Authority (TRA) and TFDA. The evaluation findings also revealed that since the system was designed and developed based on ISO/IEC 15504 Information Technology Process Assessment Standard, modules were automated and stakeholders trained, there was a high likelihood that once the system is deployed for use, the document processing transaction time and cost will reduce.
97. **Ministry of Agriculture, Animal Industry and Fisheries (MAAIF)** – There were 3 e-portals for three Directorates under MAAIF and these are MAAIF Crop Protection Directorate e-portal, MAAIF Livestock Directorate e-portal and MAAIF Fisheries Directorate e-portal. All these e-portals were being piloted at the time of the evaluation and there was need to sensitize more stakeholders, improve on internet connectivity and electricity outages to ensure the project success. The MAAIF projects implementation period was scheduled to end on 31/12/2017.
98. **MAAIF Crop Protection Directorate e-portal:** The evaluation findings indicated that the MAAIF - Crop directorate is in charge of all matters related to plant health that include: enforcing regulations on registration and the use of pesticides and other agrochemicals, issuance of import and export phytosanitary certificates for live plant material as well as for plant pest prevention or eradication programmes. Evaluation findings further indicated that TMEA supported MAAIF - Crop Protection Directorate to automate its business processes to enable traders importing and exporting plant and plant materials by acquiring import and export phytosanitary certificates online which would contribute to reduced time and cost of transacting business with the Directorate. In addition, the team found that this system was interfaced with the Uganda Electronic Single Window and that 55 stakeholders had been trained. The evaluation team noted that this automated system was expected to generate Import permit /phytosanitary certificate, pest risk analysis, online payment, messaging and data exchange through SMS and email. However, the MAAIF - Crop directorate e-portal was still under piloting and there was a high likelihood of the system contributing to reduction in document processing time and cost once fully operational.
99. **MAAIF Fisheries – Directorate e-portal:** The evaluation finding revealed that MAAIF fisheries directorate mainly formulates, reviews and enforces fisheries legislation, carries out licensing, issues permits and controls all fishing vessels and gears in all public water bodies including entry points. In addition, MAAIF Fisheries staff inspect and certify fish and fisheries products for exports, imports and for local markets as well as vessels and vehicles used for transportation of fish and fisheries products. The evaluation findings further revealed that with the support from TMEA, the MAAIF Fisheries directorate had trained 55 stakeholders and also the system was integrated to the Uganda Electronic Single Window. The system is expected to automate the core business operations that included Import/export permit processing, online payment, messaging and data exchange through SMS and email. Evaluation findings indicated that the system was being piloted and also given the level of activity implementation in this SWIFT, there was

a high likelihood for the system to reduce the document processing time and cost to the benefits of both the external and internal stakeholders.

100. **MAAIF Livestock Directorate e-portal:** The evaluation team noted that the MAAIF Livestock directorate supports sustainable animal disease and vector control, market oriented animal production, food quality and safety for improved food security and household incomes. The evaluation team further noted that the main transaction document used by the MAAIF Livestock Directorate for trade across borders is the Sanitary Certificate and that the system was being piloted. However, 55 stakeholders had been trained and also the system was interfaced with the Uganda Electronic Single Window. Evaluation findings also showed that with the support from TMEA, the system was expected to automate operations that included Import/export permit processing, online payment, messaging and data exchange through SMS and email. The system was being piloted with a good level of activity implementation and evaluation findings indicated that there was a high likelihood for the system to reduce the document processing time and cost for both the external and internal stakeholders when it becomes operational.
101. **Gender Issues:** The evaluation evidence indicated that gender issues concerning women were not specifically considered in the projects because the systems were designed in such a way to serve all stakeholders using the systems that included both the males and the females equally. When the evaluation team followed up this matter with the TMEA supported SWIFT partner agencies, they indicated that the e-portal projects were being implemented in line with respective national gender policies that provides for non-discrimination based on gender. From the sampled population of the 444 e-portal users interviewed, the findings indicated that 27% were women (refer to Table 11) indicating that women were to a great extent also using the e-portal and this was being achieved by having representations of women during training and sensitization meetings. Analysis of the data collected indicated no limitations and differences in usage results by gender in all the SWIFTs.

Table 11: Gender of respondents of both internal and external users of the SWIFTS

#	Gender	PHASE 1		PHASE 2		TOTAL	
		Frequency	Percent	Frequency	Percent	Frequency	Percent
1	Male	200	71%	122	75%	322	73%
2	Female	81	29%	41	25%	122	27%
3	Total	281	100%	163	100%	444	100%

102. It should be noted that to use the e-portal and realize the benefits that come with it, computer literacy is required. But findings indicated that the female to male literate rates (Gender Parity Index (GPI))²⁵ in Sub-Saharan African were 0.75 and that women were 45% less likely than men to be online (due to illiteracy, poverty, less empowerment with appropriate technology, skills and knowledge). In addition, findings indicated that about 50% of SMEs were owned by women²⁶ but their businesses tended to be smaller, were less likely to grow, and had less capital investment than male-owned firms, thus unable to afford the ICT infrastructure needed to benefit from the e-portal services. Therefore, less female compared to their male counterparts were likely to take advantage of the benefits the e-portals

²⁵ UNESCO Institute for Statistics, Data Centre

²⁶ Government of Kenya 1999 cited in Ellis, A, et al., (2007), 'Gender and Economic Growth in Kenya: Unleashing the Power of Women,' The World Bank, Washington D.C.

provided. In future, it is recommended that TMEA should mainstream gender issues in the SWIFT Projects by identifying the likely effects of the SWIFT Projects (social, economic, etc) on women and establish the actual baseline facts about women that are involved in transacting business under the manual systems to enable the assessment of the impact of the SWIFT projects on women after automation.

103. The evaluation findings from the review of the SWIFT projects results chain and the projects monitoring plans and field survey revealed that for the operational SWIFT Projects, the implementation of the SWIFT Project activities led to the project outputs, short term outcomes and contributed to the enhanced trade environment. Evaluation evidence also indicated that the assumptions and other influencing factors to the theory of change were valid and contributed to the results.

BOX 2: SUMMARY OF SWIFT PROJECTS FINDINGS ON EFFECTIVENESS

- i) The project was based on a theory of change/results chain and the assumptions to it were sound and reasonable.
- ii) Results chained showed how the projects inputs brought about the desired results. The outputs and intermediate outcomes were attributed to the implementation of the SWIFT Project activities which contributed to the enhanced trade environment.
- iii) The implemented planned programme activities were based on the theory of change.
- iv) The theory of change was verified by evidence and the chain of results occurred.
- v) However, the SWIFT Projects Results Chain should be reviewed to be more elaborate on other outcomes that occurred such as reduced cost and time of administering key trade documents; increased trust, transparency and improved governance in the partner agency.
- vi) 86% of the activities were implemented and 65% of the outputs were realized.
- vii) The assumptions and other factors influencing the programme made a contribution.
- viii) The automation of key trade processes through the SWIFT Project reduced the document processing time from average of 86 hours (3.6 days) before automation to average of 10 hours after automation, which was 89% reduction against target of 80%.
- ix) Cost per transaction reduced from average of US\$58 to US\$8 which was 86% reduction (target 80%).
- x) 374,821 transactions were made through the e-portal.
- xi) On average 89% of the key trade processes were approved within 1 day.

3.3 Efficiency

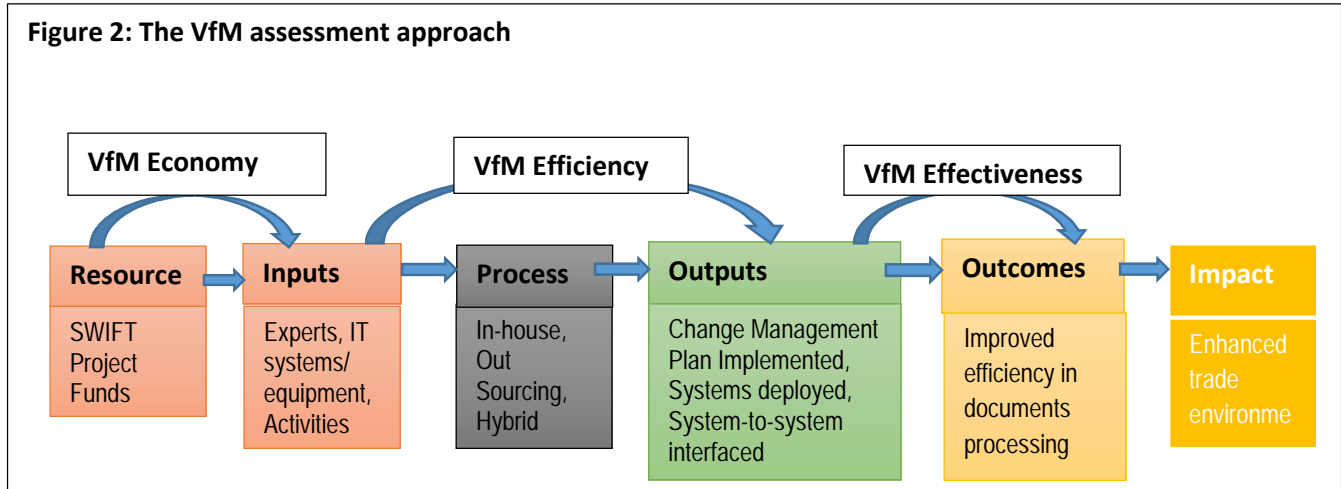
Efficiency is the extent to which the costs of a development intervention can be justified or likely to be justified by its results, taking alternatives into account.

The evaluation team analyzed and ascertained:

- a) The extent to which the SWIFT projects had achieved good Value for Money (VfM).
- b) The estimated and equivalent monetized value of the benefits and costs to fund the project (Cost Benefit Analysis).

104. The efficiency section of the report assessed the extent to which the SWIFT projects resources/inputs were converted into results Economically, Efficiently and Effectively (3Es). In addition, Cost Benefit Analysis was carried out for the SWIFT Projects that were operational at the time of the evaluation to determine their viability.

105. **Value for Money (VfM) Assessment:** The evaluation team assessed Value for Money (VfM) of the SWIFT Projects based on VfM Economy, VfM Efficiency and VfM Effectiveness. VfM Economy was examined by assessing whether the SWIFT Projects inputs such as deployed systems, equipment and consultants were procured at the right price and were of the appropriate quality; VfM Efficiency was examined by assessing how the SWIFT Projects converted inputs into outputs while maintaining quality and quantity; and VfM Effectiveness was examined by assessing how well the SWIFT projects outputs were achieving the intended outcomes. The VfM assessment approach is illustrated in the figure 2 below.²⁷



106. The evaluation evidence indicated that the funding for the activities was entirely from TMEA’s ICT4T team’s budget in terms of cash expenditure. TMEA managed the project funds directly and carried out the procurement of goods and services and the general management of the funds. However, there were “in kind” counterpart contributions from the partner agencies in form of office space and availing staff members to work full time in the project and other related utilities such as internet services among others for the use by the project implementation team. TMEA directly contracted the consultants to develop the automation systems and collect data required to automate the trade facilitation processes in the partner agencies. Funding was also used for sensitization and training of the stakeholders during the project implementation as a change management strategy. TMEA also funded the procurement of software and hardware (servers and network equipment).

107. **Assessment of the VfM Economy:** The SWIFT Projects economy was assessed by examining the extent to which the projects were able to achieve the best cost of inputs to realize the results while maintaining quality. Under VfM economy, the evaluation team assessed whether TMEA was utilizing the funds to procure appropriate quality inputs at the right price - including the ICT service providers and consultants used to produce the projects outputs. The evaluation findings from the interviews with the ICT4T Staff and documents reviewed revealed that the SWIFT Projects VfM economy was being achieved through competitive tendering based on technical and financial proposals by the vendors and using the less bureaucratic and fast TMEA internal procedures compared to government procurement processes of the partner agencies. The comparative analysis of the budget and expenditure data indicated that only 1

²⁷ Adapted from DFID’s Approach to Value for Money (VfM), 2011

SWIFT Project (PHS) out of the 13 SWIFT projects had spent within the project budgets, as at September 2017, as shown in Table 12.

Table 12: Budget and Actual Expenditure of the SWIFT Projects (US\$) as at September 2017

#	Project Name	SYSTEMS OUTPUTS EXPENDITURE				Total SWIFT Project Budget (US\$)	% Expenditure	% Project Activity Completion	Remarks
		Development & Deployment (US\$)	Interfaces Deployment (US\$)	Change Management (US\$)	Total SWIFT Project (US\$)				
1.	MAAIF*	197,250	5,000	36,683	238,933	161,000	148%	62%	Competitive
2.	NDA	92,991	5,000	55,050	153,041	120,000	128%	80%	Hybrid ²⁸
3.	PPB	111,337	-	6,600	117,937	30,000	393%	97%	Hybrid.
4.	PHS	14,598	-	63,446	78,044	85,000	92%	94%	Hybrid.
5.	RSB	215,007	-	22,903	237,910	41,000	580%	81%	Hybrid.
6.	ZFDB	89,690	-	18,953	108,643	100,000	109%	60%	Hybrid.
7.	MOHRw	85,159	-	22,342	107,501	64,000	168%	100%	Hybrid.
8.	MinAgri Rw*	194,358	7,000	41,761	243,119	109,000	223%	81%	Hybrid.
9.	KNCCI	44,517	-	112,033	156,550	120,000	130%	95%	Hybrid.
10.	TD	163,173	-	34,357	197,530	30,000	658%	84%	100% outsourced ²⁹ .
11.	RDB	105,335	-	25,002	130,337	36,000	362%	88%	100% outsourced.
12.	UNBS	94,769	-	39,957	134,727	91,000	148%	88%	100% outsourced.
13.	TFDA	174,935	37,600	77,202	289,737	175,000	166%	95%	100% outsourced.
14.	TOTAL	1,583,119	54,600	556,289	2,194,008	1,162,000	189%	86%	
15.	% of Total Expenditure	72%	3%	25%	100%	189%			
16.	% of Total Budget	136%	5%	48%	189%	100%			
17.	% Realized outputs	65%	65%	65%	65%				

Source: SWIFT Project Budget, Expenditure Sheet and Activities Expenditure Sheets, field surveys

*These budgets and expenditures were for 3 SWIFTs

108. As at September 2017, evaluation evidence from the documents reviewed and field survey indicated that 189% of the initial budget was used to implement 86% of the activities. The interviews with ICT4T staff revealed that spending beyond the budget was due to scope of work that changed (scope creeps) during the implementation to enhance the systems to serve the stakeholders better based on new areas of development identified such as linkage to the National Electronic Single Window (NeSW) and the National Payment Gateways (NPG). In addition there was automation of more entities within some Ministries (e.g. in MINAGRI instead of automating one agency, 3 agencies (RALIS, NAEB and RAB) were being automated and in MAAIF, 3 directorates (MAAIF crop, livestock and fisheries) were being automated instead of one. This indicated that the respective projects scope were initially not adequately identified and defined to bring about the required results. Further evaluation findings indicated that there were no detailed project activity based costing that would enable more accurate budgeting for the projects. Activity based costing would further provide clearly identifiable linkages between cost and

²⁸ Hybrid model is where the system is analyzed and designed internally but vendors used to develop it.

²⁹ Outsourced model is where the entire system is analyzed, designed and developed by the vendors.

activities and provide opportunities to monitor and control the budget which was not possible under the method where the project funds were disbursed from the pool based on subjective budgets which resulted in spending beyond the budgets. Thus it is recommended that the SWIFT project should adopt Activity Based costing methods to budget more accurately and monitor by linking the activity budgets and expenditures. The evaluation team also noted that, where additional scope was identified, there was no evidence for the approval of the adjustments to the budget and therefore it is recommended that appropriate adjustments for budgets and respective expenditures be approved by the relevant authorities.

109. The Projects that spent far beyond the budget indicated that there was poor VfM economy because the appropriate inputs were achieved at higher than anticipated prices and these included PPB, RSB, RMOH, TD, RDB, TFDA. The evaluation team also noted that there were misunderstandings between the vendors and the TFDA in terms of the end products to be delivered, which indicated that the partner agency was not adequately engaged in the procurement to define the scope of work. The evaluation team noted that despite there being a quality assurance mechanism that enabled identification of the short-comings and their rectification by hiring new vendors that delivered to the expectations in TFDA, which was a good practice, it is recommended that TMEA should adequately define the scope of work at project inception stages to enable them plan and budget appropriately for the activities and to minimize termination of contracts due to disagreements during project implementation.
110. **Assessment of VfM Efficiency:** The SWIFT projects efficiency was assessed by the evaluation team examining how well the projects activities converted inputs into outputs cost efficiently. Evaluation evidence showed that whereas consultants/vendors were engaged during the SWIFT project implementation that ensured efficiency through use of experienced experts and producing expected results within the SWIFTs project timeframe, the projects analyzed and designed in-house and implementation outsourced by using resident Technical Assistants (hybrid) e.g. PHS SWIFT and KNCCI SWIFT converted the project activities into the expected results within a short timeframe more cost efficiently (within 2years). Overall the evaluation findings indicated that publically available data on similar projects was not readily available which made comparisons of the implementation cost of the programme very limited. However, analysis of the 17 SWIFT Projects indicated that the average implementation cost for each SWIFT was about US\$ 129,000 but this cost may vary depending on the scope of work, different environment and capacities and needs of the partner agencies being supported.
111. **Assessment of VfM Effectiveness:** The evaluation team examined effectiveness as an aspect of VfM by assessing how well the SWIFT projects resources were successfully utilized in achieving the desired outcomes of reducing document processing time and cost from the outputs. The rate of disbursement of funds for project activities was good however, analysis of the projects work plans, monitoring plans, the budget, expenditure reports and interviews with the SWIFT project staff showed that 189% of the budget was used to implement 86% of the activities that realized 65% of the expected outputs. The expenditure beyond the budget was due to additional scope requests by the partner agencies to enhance the functionality of the e-portals in addition to the budgets being subjective since they were not activity based. Despite spending beyond the budgets, the automation of the key trade processes in the partner agencies through the TMEA support resulted into the reduction of the average document processing

time by 89% against a target of 80% and the average document processing cost reduced by 86% which indicated a very good VfM effectiveness.

112. Cost Benefit Analysis (CBA): The evaluation used the CBA to determine the economic feasibility of the SWIFT Projects. The CBA results were based on SWIFT projects’ average cost reduction as a result of automating trade related documents processing in the institutions that were supported by TMEA. The cost reductions culminated into savings/benefits by the business community and the trade agencies. The key assumptions common to all the operational SWIFT projects evaluated were as follows:

- i) All the SWIFT projects trade facilitation processes that were automated had clear objectives based on the respective mandates of the partner agencies and thus the key trade processes were of the same importance and therefore not weighted.
- ii) The benefits were the average savings per key trade transaction (import/export)³⁰ as a result of automation of the document processing in the trade facilitation agency.
- iii) The forecast total benefits were based on the actual number of transactions in 2016 for Phase 1 evaluation and September 2017 for Phase 2 evaluation.
- iv) A 10% discount rate to costs and benefits was applied.
- v) A 10 year lifecycle of the SWIFT project benefits– that is, the SWIFT project benefits would continue for 10 years of effectiveness from the time the intervention started.
- vi) Systems maintenance cost (which include user trainings, systems enhancements, systems support and technology upgrades) during the 10 year period was estimated on annual basis at 6% of the initial investment cost for SWIFT Projects whose cost was up to \$150,000 and 10% for projects with costs greater than \$150,000 but less than \$300,000.
- vii) On average, annual trade growth was assumed to be 1% throughout the forecast period – this was less than the export growth and import growth forecast of 3% and 4% respectively by the World Bank across the Sub-Saharan Africa for the next 10 years.

113. The findings from the computations of the cost and benefits indicated that the SWIFTs project had net benefits and were economically feasible as evidenced by the relatively high Net Present Value (NPV), a net Return On Investment (ROI) and Internal Rate of Return (IRR) as shown in table 13 (for details refer to Annex 15).

Table 13: Cost Benefit Summary

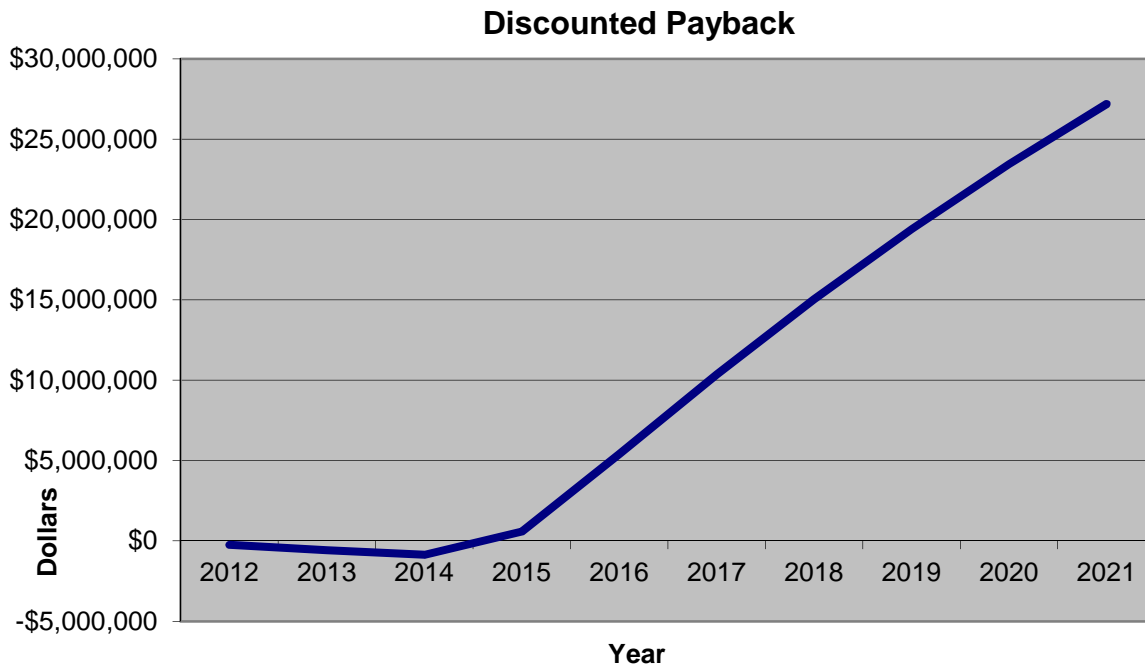
N#	Partner Agency	SWIFT Project Start Period	Discounted Cost (US\$), A	Discounted SWIFT Project Induced Benefits (US\$), B	SWIFT Project Net Present Value (US\$), (B-A)	Net Benefit to Cost Ratio (Net Return on Investment)	Internal Rate of Return (IRR)	Pay Back Period
1.	KNCCI	2015	223,471	2,366,599	2,143,128	10	542%	2 years (2016)
2.	TD	2012	259,547	1,949,312	1,689,765	7	82%	5 years (2016)
3.	RALIS	2012	122,676	758,577	635,901	5	71%	5 years (2016)
4.	RDB	2013	149,257	498,710	349,453	2	55%	5 years (2017)
5.	TFDA	2012	393,804	3,563,533	3,169,729	8	107%	5 years (2016)
6.	UNBS	2012	141,761	9,291,575	9,149,814	65	248%	4 years (2015)
7.	PHS	2015	98,525	1,685,941	1,587,416	16	187%	3 Years (2017)
8.	RSB	2012	273,913	8,956,640	8,682,727	32	197%	4 Years (2015)

³⁰ The number of transactions used in the cost benefit analysis were import/export transactions. It excluded periodic transactions such as licenses, returns, membership subscriptions, among others.

N#	Partner Agency	SWIFT Project Start Period	Discounted Cost (US\$), A	Discounted SWIFT Project Induced Benefits (US\$), B	SWIFT Project Net Present Value (US\$), (B-A)	Net Benefit to Cost Ratio (Net Return on Investment)	Internal Rate of Return (IRR)	Pay Back Period
9.	RMOH	2016	133,898	212,787	78,889	1	29%	6 years (2021)
10.	NAEB	2014	109,029	233,047	124,018	1	36%	5 Years (2018)
11.	NDA	2014	178,114	484,136	306,022	2	53%	6 Years (2019)
	Overall	2012	1,850,096	26,304,837	24,454,741	13	145%	4 years (2015)

114. Overall the SWIFT projects had aggregated Net Present Value (NPV) about US\$24.5 million (after deducting cost), and Internal Rate of Return (IRR) of 145% and net return on investment (net return per US\$ invested) of US\$13 and the payback period was 4 years which indicated that overall, the SWIFT projects were economically viable and profitable. The analysis of the results indicated that the overall the SWIFT Project started in 2012 and the break-even point was in the year 2015 as shown in graph 1.

Graph 1: Overall Break Even and Pay Back of the SWIFT Projects



115. The cost benefit analysis revealed that the higher the number of transactions through the e-portal, the higher the benefits as can be illustrated by the benefits in the KNCCI, TD, TFDA, RSB and UNBS because they handled so many trade related transactions on general goods compared to RDB that handled mainly investors’ related transactions, RMOH and NDA that handled only pharmaceutical and NAEB that facilitated agricultural exports, that were few.

116. The Cost Benefit Analysis indicated that overall the SWIFT projects intervention of automating document processing were achieving the expected results at a good benefit to cost ratio as shown in table 13. Whereas the overall efficiency assessment was good, it is recommended that the SWIFTS project management improves on the VfM economy and VfM efficiency by adopting activity budgeting and ensuring that inputs are procured at competitive prices while ensuring quality to meet the expected project objectives.

117. The evaluation findings showed that projects that used the hybrid model (designing the system internally and using the resident TAs to implement) achieved higher VfM. All the SWIFT projects utilised the resources to automate document processing that reduced the document processing related time and cost hence achieving high VfM effectiveness. Benefit to cost analysis indicated that all the SWIFT projects that were operational were economically feasible and overall the SWIFT Projects efficiency based on 3Es and CBA was good.
118. The evaluation findings indicated that the hybrid model had the following benefits/advantages over the 100% outsourcing:
- Hybrid model minimized on scope creeps because the systems analysis and design were done internally by people who knew the system and the key stakeholders and thus did enough consultations to have a clear scope of the project including the stakeholder needs. This further provided cost certainty and proper budgeting at initial planning stages as indicated by the PHS SWIFT Project.
 - Hybrid model was cost efficient because the project results were realised ahead of expected time as shown by the KNCCI and PHS
 - Hybrid model saved time because once the systems had been analysed and designed internally by TMEA in collaboration with the partner agencies, the systems could be developed simultaneously by different vendors at the same time in the different partner agencies, thus saving on time.
 - Hybrid model provided adequate quality control and effective monitoring because the internal staff was involved in the systems analysis and design and therefore familiar with the expectations which further enhances transparency during project implementation.
 - Hybrid model ensured continuity and minimised the high risk of relying on external vendors to do all the work from analysis, design up to development and roll out which would be costly in case of unforeseen challenges such as vendor contract termination.
 - The hybrid model allowed TMEA to analyse and design the system internally and then use external experts to develop it which gives TMEA staff more time to concentrate on their core activities.
119. However, to achieve high benefits of implementation of the hybrid, there should be effective contract management by the project managers to realise the expected project results and to minimise the risk of loss of sensitive data and confidentiality.
120. Despite the Hybrid Model having benefits over other models, in order to be more efficient and effective, TMEA should assess the projects complexity using the *Project Complexity and Risk Assessment Tool*³¹ to rate the level of risk and complexity of individual projects (across three levels: insignificantly complex, significantly complex and very significantly complex) as indicated in Table 14. This can be done by evaluating criteria in each of the following project knowledge areas: Project characteristics, Strategic management risks, Procurement risks, Human resources risks, Business risks, Project management integration risks, and Project requirements risks and based on the score determine which implementation model to apply.

³¹ Adapted from the Standard for Project Complexity and Risk, Treasury Board of Canada.

Table 14: Rating the Complexity and Risk Levels of Projects and the Implementation Models

#	Complexity and Risk Level	Description	Project Percentage Score	Recommended Implementation Model
1	Insignificant	The project scope is operational in nature, require limited capabilities and outcomes; and does not consume significant % of resources.	Less than 20%	In-house
2	Significant	Projects require extensive capabilities, impacts on many organizations, and risks have serious consequences.	Equal to or more than 20% but less than 80%	Hybrid
3	Very significant	Projects scope require very extensive capabilities, impacts on several organizations with very serious risk consequences.	Equal to or more than 80%	Outsource

121. The assessment of the 17 SWIFT projects using the Project Complexity and Risk Assessment Tool indicated that all the 17 SWIFT projects were significantly complex (Refer to Table 15 and for details refer to Annex 15) and therefore their implementation should have been based on the Hybrid Model.

Table 15: SWIFT Project Complexity and Risk Assessment

SWIFT PROJECTS COMPLEXITY SCORE																			
#	PROJECT EVALUATION CRITERIA	MAXI MUM SCORE	KNCCI	TD	RALIS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS
1.	Project Characteristics (18 Questions)	90	44	52	51	52	52	52	52	51	51	52	52	52	51	51	51	52	49
2.	Strategic Management Risks (6 Questions)	30	10	10	10	10	10	10	10	10	10	10	10	10	11	11	11	10	10
3.	Procurement Risks (9 Questions)	45	20	24	24	20	24	20	20	20	22	20	20	20	22	22	22	20	20
4.	Human Resources Risks (5 Questions)	25	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13
5.	Business Risks (5 Questions)	25	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14
6.	Project Management Integration Risks (6 Questions)	30	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9
7.	Project Requirements Risks (15 Questions)	75	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47
8.	Total Project Complexity and Risk Score:	320	157	169	168	165	169	165	165	164	166	165	165	165	167	167	167	165	162

SWIFT PROJECTS COMPLEXITY SCORE																			
#	PROJECT EVALUATION CRITERIA	MAXI MUM SCORE	KNCCI	TD	RALIS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS
9.	% Project Complexity and Risk Score:	100	50	53	53	52	53	52	52	51	52	52	52	52	52	52	52	52	51
Recommended Project Implementation Model:																			
If Total Project Complexity and Risk Score: < 20%, recommended Implementation model is in-house;																			
If Total Project Complexity and Risk Score: >= 20% <80%, recommended Implementation model is Hybrid;																			
If Total Project Complexity and Risk Score: >= 80%, recommended Implementation model is outsource;																			

BOX 3: SUMMARY OF SWIFT PROJECTS FINDINGS ON EFFICIENCY

- i) The SWIFT Project expenditure was US\$2,194,008 against a budget of US\$1,162,000 which was 89% above budget.
- ii) 189% of the planned budget was used to implement 86% of the activities and realized 65% of the expected outputs.
- iii) Project procurements were through competitive tendering based on technical and financial proposals.
- iv) Project resources were used to automate key trade processes that reduced the document processing time and cost.
- v) All the operational SWIFT projects achieved results within project timeframe and were economically feasible.
- vi) The SWIFT Programme net present value was US\$24 million and the net return per dollar invested was US\$13 and the Internal Rate of Return (IRR) was 145% and payback period was 4 years.
- vii) There was need to itemize the budgets based on activities and spend within the budgets.

3.4. Impact

The impacts are the tangible long-term outcomes to which the project contributed or likely to contribute, positive and negative, intended and unintended.

The evaluation team assessed and ascertained to what extent :

- a) The SWIFTS projects intervention of reducing transaction cost and time had contributed or was likely to contribute to reduction in costs of doing business, enhanced export competitiveness and increased trade.
- b) The SWIFTS projects contributed or were likely to contribute to change in behaviour of the business operations/practices of private sector.
- c) The SWIFTS projects contributed or were likely to contribute to the transformation of the government trade administrative processes.
- d) The SWIFTS projects contributed or were likely to contribute to the improved livelihoods of the people especially women.
- e) The SWIFTS intervention were consistent/complementary to other projects within and outside the TMEA Programme.

122. The impact section of this evaluation report assessed the extent to which the SWIFT projects contributed or were likely to contribute to tangible long-term outcomes whether positive, negative, intended and unintended. The Pearson correlation coefficient (r) was used to test the relationship among SWIFT Projects variables (training, time, cost, service delivery) and to indicate whether the SWIFT

projects made direct contribution to the impacts of reduced clearance time and costs of doing business in the EAC.

- 123. Time and Cost Reduction and Service Delivery Improvement:** Time reduction was observed to be significantly positively related to reduction in cost ($r=0.599$, $p<0.05$). In addition, time reduction was observed to be significantly positively related to the improved service delivery ($r=0.580$, $p<0.05$). Further findings indicated that cost reduction was significantly positively related to the improvement of service delivery by the trade agency. Thus as the time and cost to transact business with the trade agency reduced due to the implementation of the e-portal, the services delivered by the trade agency also improved.
124. TMEA SWIFT projects supported partner agencies to develop electronic portals that enabled traders to gather information, submit forms and receive trade licenses or feedback online. Before the e-portal was put in place, the systems were manual and the traders had to travel to the trade agencies to submit applications and wait for feedback which took a lot of time and was costly. But with the e-portal in place the manual system has been minimized or completely eliminated in some partner agencies thus minimizing physical movements and reducing the transaction time and costs. The SWIFT project e-portals were also enhancing the availability and handling of information, simplifying and expediting information flows between traders and government agencies thus resulting into improved efficiency.
125. To a greater extent the evaluation evidence indicated that the SWIFT projects developed efficient trade system and process in the respective partner agencies that facilitated trade and contributed to an enhanced trade environment and increased trade as a result of the increased number of transactions.
- 126. The SWIFT projects reduction in document processing cost and time contributing to reduced transport and related costs along key corridors in East Africa:** The evaluation evidence showed that the SWIFT projects e-portals were to a great extent simplifying and facilitating the process of providing and sharing the necessary information to fulfil trade-related regulatory requirements for both the traders and the trade facilitation authorities where the systems were deployed. The SWIFT projects were contributing to an average reduction in time by 3 days and reduction in average cost by US\$50 per transaction, in terms of picking application forms, submitting them to the agency and follow ups. This ultimately resulted in the average reduction in the total cost of doing business/ savings of about US\$9 million by September 2017 due to the reduction in the document processing time and cost of the consignments. This was evidenced by 90% of the business respondents who indicated that time had significantly reduced, $\bar{x}=3.65$, SD 0.847. Similarly, 82% of the traders interviewed indicated that cost had significantly reduced, $\bar{x}=3.66$, SD 0.812.
- 127. Reduction in Cost and Time by the Partner Agencies contributing to improving their efficiency:** The evaluation findings from the interviews with the partner agencies showed that the implementation of the e-portal had significantly contributed to the reduction in document processing costs through: reduced printing costs (paper, photocopying, toner, cartridges) and document storage costs due to e-storage (filing cabinets reduced and space) because most documentation was done online. In addition, cost related to visitors (provision of tea, water, waiting space, etc.) to the partner agencies had also reduced and the resources were put in better use. Additionally, the evaluation findings showed that document management systems (document archiving and retrieval systems) had improved because the documents were electronically kept (e-storage) and would easily be retrieved for review. Similarly, the

time taken to process documents had significantly reduced as a result of the establishment of the e-portals and thus the partner agencies were more efficient in handling their stakeholders as observed by 84% of the business respondents interviewed who indicated that the services provided by the government agency have significantly improved (58% very significantly, 18% significantly and 8% exceedingly significant, $\bar{x}=3.64$, SD 0.715).

128. **Reduction in Cost and Time by the Import/Export Traders contributing to improving their competitiveness:** The evaluation findings from the data collected also revealed that the SWIFT projects automation of the key trade processes decreased the trade transaction costs and time because the transactions were done online and traders minimised physical movements to the trade agencies. In addition, the online availability of trade information on the requirements improved trader compliance through more accurate and timely data submission for the government institutions that were supported by the TMEA SWIFT projects. The evaluation evidence also indicated that the business community was getting cost savings in terms of reduced use of stationery, printing, physical movement between the traders' premises and the trade agency and becoming more efficient through the use of the automated systems due to the elimination of the manual system and thus contributing to import/export competitiveness through reduced cost and turnaround time and predictability of the transactions.
129. **The SWIFT projects automation of key trade processes contributing to change in behaviour of the business operations/practices of private sector:** Evaluation findings indicated that the electronic documents processing of key trade processes had made the business transactions transparent, predictable and accountable which resulted in increased trust and improved governance in the trade agencies. The evaluation findings further indicated that the SWIFT projects e-portals were increasingly being used which was reflected by the number of the transactions through the e-portals which were 374,821 as at September 2017.
130. The evaluation findings indicated that training and sensitization under the change management component were one of the major factors that contributed to behavioral change of the stakeholders using the e-portal. The findings further indicated that the training on how to use the SWIFT e-portal was observed to be significantly positively related to the e-portal simplifying the work and improved information flow ($r=0.309$, $p<0.05$). Training was further observed to be significantly positively related to reduction in time ($r=0.294$, $p<0.05$) and the cost ($r=0.364$, $p<0.05$) to transact business between the traders and the trade agency. Training was in addition found to be significantly positively related to the improved service delivery by the trade agency ($r=0.348$, $p<0.05$). Thus as stakeholders and users were trained on how to use the e-portal, they became more effective and efficient in their use which resulted into simplifying their work and speeded information flow between them (traders) and the trade facilitation agency; this further resulted into reduction in time and cost to transact business by the traders and the trade agency and improved the service delivery by the trade agency.
131. **The SWIFT projects contribution to the transformation of the government trade administrative processes and improved service delivery:** The evaluation findings indicated that the SWIFT projects contributed to improvements of the existing governmental systems and processes, while at the same time promoting a more open and facilitative approach to the way in which government agencies operated and communicated with the traders. The evaluation team noted that the traders were able to submit all the required information and documents online through the e-portal that was more effective

and faster, validated and accurate with information sharing mechanism. This resulted in better co-ordination and co-operation between the governmental authorities involved in trade-related activities and also more efficient and effective border management and controls and trade statistics for the government institutions that were supported by TMEA. The evaluation evidence indicates that 84% of the stakeholders interviewed revealed that the TMEA supported e-portals contributed to the improvements of the services provided by the trade facilitation agencies that had e-portals.

132. **The SWIFT projects contribution to the improved livelihoods:** The evaluation findings indicated that the SWIFT projects had reduced the document processing time and cost which was contributing to the reduced cost of doing business. The field survey indicated that both men and women were using the system to transact business. The cost savings as a result of automation of trade processes may be used to improve the livelihood of the people.
133. **Unintended Impact:** The evaluation team noted some unintended impact due to the automation of the key trade processes which included: elimination of ICT illiterate traders; reduced business for middle men, courier companies and stationery dealers, because the automation minimised physical movements of documents and paper work. However, Customs authorities required the clearance of goods either by the importer (self-clearance) or by authorised customs agents to get involved in the clearing process of products at customs and thus the challenge by the illiterate importers was mitigated by use of customs agents. In addition, opportunity was available for the traders to improve their ICT competency to use the e-portal and minimize the cost of hiring customs agents.
134. **Assessment of results attributed to the projects:** the evaluation findings showed that the results that can be attributed to the TMEA SWIFT projects are summarised in Table 16.

Table 16: TMEA Supported SWIFT Projects Attribution

#	Results Attributed to the TMEA Supported SWIFT Projects	
1.	Automation of Processes	The evaluation team found that TMEA supported 17 SWIFT projects to change from manual system to online systems that reduced the time and cost of trade document processing that contributed to the improved efficiency of both the import/export traders and the partner agencies.
2.	Training Stakeholders	The evaluation findings indicated that the SWIFT projects were able to train a total of 2,651 stakeholders that included internal and external stakeholders that were able to complete transactions on the e-portals. The trainings built the confidence and capacity of the external stakeholders/business and they were able to complete transactions online. 76 % of the traders interviewed indicated that they were able to use the e- portal due to the training (21% significantly, 47% very significantly and 8% exceedingly significant $\bar{x}=3.54$, SD 0.804). The internal stakeholders of the supported institutions/agencies indicated that use of the e-portal significantly resulted in the reduced cost and time of the document processing that contributed to the improved the efficiency in the way they did their work.
3.	Online Submission/	Findings from the evaluation revealed that the total number of transactions completed and processed online through the deployed system supported by TMEA

Applicant and Approval of Transactions	was 374,821 in the period January 2015 to September 2017. Increase in the number of processed transactions online as a result of simplified trade processes, reduced cost and time of doing business. Thus the SWIFT Projects contributed to the Enhanced Trade Environment through improving the efficiency of the processing key trade documents. The table below shows that number of online transactions by the respective Partner Agency as at September 2017.											
	SWIFT Project	KNCCI	TD	RALIS	RDB	TFDA	UNBS	PHS	NAEB	RSB	RMOH	NDA
Online Transactions	22,374	29,509	3,720	551 (June 2016)	89,168	70,565	4,229	3,906	145,130	1,062	4,607	374,821

Complementarity with other initiatives contributing towards trade facilitation:

135. The evaluation team noted that there were other initiatives that were complimentary to the SWIFT interventions of reducing the time and costing of clearance through automation of key trade process and contributing to trade facilitation by simplification, modernization and harmonization of export and import processes in the trade facilitation system and these included:
136. **The National Electronic Single Window (NeSW):** The single window system is a trade facilitation initiative whose implementation allows traders to simultaneously submit information requirements for trade regulatory documents, such as: customs declarations, applications for import and export permits, certificates of origin and trading invoices, through a single online portal/window. Like the SWIFT projects, the aim of the NESW project is to reduce transaction costs and time associated with processing documentation for selected imports and exports at key trade regulatory agencies.
137. **One Stop Border Posts (OSBPs):** TMEA and the EAC Partner States introduced OSBPs programme across the region that increased physical access to markets for both formal and informal traders. The OSBP like the SWIFT projects played key roles that included: reducing transit times for traders and transporters leading to more effective use of available resources and assets at a lower cost; improving competitiveness for goods in the region due to reduced document processing time at the borders; enhancing the reliability of the supply chain through streamlined and harmonised procedures resulting in predictable movements of cargo and also better operational controls through shared and improved exchange of information among agencies.
138. **Elimination of Non-Tariff Barriers (NTBs) to trade in the East African Community (EAC):** Elimination of the Non-Tariff Barriers (NTBs) initiative is contributing to reduction in transport costs and time along key corridors in East Africa Region.
139. **Single Customs Territory (SCT):** The SCT has contributed to trade facilitation in the EAC through the free circulation of goods with minimum internal customs border controls and enhance trade facilitation by eliminating trade barriers and reduce cost of doing business and promoting intra-EAC trade and investments.
140. **Standards Harmonization and Conformity Testing Programme:** This programme supported by TMEA promotes standards harmonization, improves the technical capacities and quality infrastructure of the NSBs in the EAC Partner States with the purpose of facilitating trade by reducing the cost and time of clearing consignments at the customs borders. In turn, this programme was contributing to improved market access and competitiveness of the products exported/imported because they can be tested locally at lower cost and the average clearance time and cost reduced.

141. **Authorized Economic Operators (AEO) Scheme:** AEO is defined as an individual, a business entity or a company that is involved in international trade and is duly authorized by the Commissioner for Customs to transact business with Customs under special arrangements. Establishment of AEO was meant to enhance trade facilitation and promote partnership between Customs and business as per World Customs Organization's SAFE Framework of standards. The AEO project was an initiative that was supported by TMEA that sought to enhance trade by reducing the cost of doing business through simplifying customs procedures and reducing clearance time. AEO promotes faster clearance of goods through Customs within the region and compliant traders were benefiting from the special treatment at the regional level throughout the cargo clearance process.
142. **Electronic Cargo Tracking System (ECT):** ECTS enables electronic monitoring of cargo in transit and was designed to ensure that cargo was not diverted. It consists of an electronic seal, which is monitored by cargo owners, transporters and customs agents and can be accessed online and allows cargo owners and customs agents get real time information on the location of the cargo. The benefit made by ECT was the use of advance information by clearing and forwarding agencies that start processing customs entries prior to arrival of transit trucks at border posts. When trucks arrive they are cleared immediately since document formalities were completed. This system has contributed to the reduction in clearance time and cost of cargo clearance at borders.
143. From the evaluation findings based on document review and stakeholder consultations, it is concluded that the SWIFT project contributed to the impacts of reduced clearance time and costs thus contributing to improved service delivery and reduced cost of doing business along key corridors in East Africa.

BOX 4: SUMMARY OF SWIFT PROJECTS FINDINGS ON IMPACT

- i) The SWIFT Projects contributed to reduction in average trade clearance time by 3 days and cost by US\$50 per transaction along key corridors in the EAC;
- ii) The SWIFT Projects contributed to the reduced total cost of doing business/savings by about US\$9 million by the year 2017.
- iii) The SWIFT Projects contributed to improved trade environment by making document processing transactions of key trade processes more transparent, predictable and accountable that resulted into increased trust and improved governance in the trade agency.
- iv) The SWIFT Projects intervention improved effectiveness and efficiency of the trade agencies as revealed by 84% of respondents interviewed indicating that there were improvements in services delivery by the TMEA supported SWIFT partner agencies.
- v) The SWIFT Projects intervention reduced operational cost through minimising travel to the trade agency to submit documents and checking their approval status and obtaining feedback, reduced stationery and printing costs and Improved document management through e-storage.

3.5 Sustainability

The sustainability is the continuation of benefits from a development intervention after cessation of the development assistance.

The evaluation team assessed and ascertained whether:

-) The SWIFT partners planned for resource allocations to support the SWIFT post-TMEA support.
-) The cost outlays for supporting the SWIFT by the partner agencies were within their means.
-) There were concrete actions that had been taken by the partners to show uptake of support and maintenance of the SWIFT.
-) The sustainability models were realistic and implementable by the SWIFT partners.
-) Existence of competent personnel and structures to sustain the results achieved.
-) There were prospects/probability that SWIFT partner agencies will sustain the SWIFT and its accrued benefits.

144. Evaluation findings indicated that the Ports Authorities and Revenue Authorities ICT/operational aspects were comparatively better equipped and competent and were well placed to integrate with national SW systems with minimal external assistance. The TMEA assistance in operationalizing and integration of partner agencies automation systems was crucial in the success of SW / ISP systems and TMEA intervention was addressing the systems' sustainability by using dynamic strategies, which involve partnering with the agencies and developing systems with low cost maintenance. Evaluation findings further indicated that TMEA was building simple but scalable cost effective sustainable automation systems for SW /ISP stakeholders to address the immediate requirement of the partner agencies to participate in the national SW initiatives.

145. **Technical Sustainability:** The evaluation findings showed that the training was a very important element in implementing the SWIFT projects, since the systems developed for trade facilitation were mainly about changing partner trade facilitation agencies' practices and behaviours. The evaluation further indicated that to ensure sustainability of the trade facilitation systems, both internal and external stakeholders were trained on how the trade systems developed, operated and also on ways of complying with the trade facilitation formalities and operations, however there was need for refresher trainings to enhance the technical competence of the users of the e-portals. Evaluation evidence indicated that the IT stakeholders that were trained had the technical competency and this was enhanced by having resident Technical Assistants (TAs) in the Partner Agencies to ensure knowledge transfer to the key stakeholders to manage the SWIFT systems without TMEA interventions in the future. In addition, the evaluation findings indicated that the technologies being used to implement the SWIFT projects were the latest and were projected to be up to date for years to come and any upgrades and changes to them would not affect the upgrading or enhancements of the system.

146. **Financial Sustainability:** The evaluation findings indicated that the partner agencies/institutions where the SWIFT projects were hosted had a realistic and sustainable funding mechanism to implement the TMEA SWIFT projects initiative beyond the project. The evaluation evidence further indicated that the supported agencies/institution had ICT departments/sections that hosted the SWIFT projects and that the ICT activities were being budgeted for by the partner agencies in their annual and strategic plans.

147. **Structural Sustainability:** Evaluation evidence showed that the partner agencies/institutions that were implementing the SWIFT projects had incorporated the project activities into their core business

operations and plans. The SWIFT projects were hosted in the departments/sections that were part of the partner agencies with established governance and management structures. Further evaluation evidence indicated that all the partner agencies/institutions, except in the KNCCI that had a consultant/TA, where the SWIFTs were being implemented had full time technical staff that were implementing and managing the trade facilitation systems that was developed by TMEA and therefore should be able to sustain the SWIFT results achieved.

148. **Social-Political Sustainability:** The evaluation team found that the SWIFT projects had good political-will and commitment of the government/ relevant governmental authorities and the support and participation of the business community that supported the successful implementation of the projects in the respective countries where they operated which would go a long way in ensuring the sustainability of the SWIFT trade facilitation initiative. The evaluation team further found that this political goodwill contributed to the cooperation and coordination between ministries and border management agencies and both the public and private sector stakeholders.
149. **Strong Partner Trade Facilitation Agency/Institutions:** The evaluation team found that the TMEA SWIFT projects were implemented and managed in partnership with the relevant and appropriate trade agency/institutions an element that was very critical for the sustainability of the initiatives and results achieved. The evaluation team further found that all the partner agencies/institutions that hosted the TMEA SWIFT projects had the necessary mandates and therefore had the capacity to sustain the results.
150. **Scalability of Automated Systems Developed:** Evaluation evidence indicated that the TMEA's modular/ phased approach to building and implementing SW/ISP systems meant that each system built for each trade facilitation organization was scalable and extendable and thus the systems could be implemented even at high or low traffic ports and border posts and then extended on a needs basis to other locations thus making it sustainable even when transaction traffic increases.

BOX 5: SUMMARY OF SWIFT PROJECTS FINDINGS ON SUSTAINABILITY

- i) There was Technical sustainability in form of competent staff to manage SWIFT systems which was achieved through training of both internal and external stakeholders.
- ii) The financial sustainability was being achieved through the ICT departments/sections hosting the e-portals and their planned activities being budgeted for by the partner agencies in their strategic plans.
- iii) Implementing partner agencies had incorporated the e-portal activities into their core business operations and plans by having them within their structures.
- iv) Implementing partner agencies had full time staff to manage the systems.
- v) There was good political-will and commitment of the respective governments and the business community.
- vi) Implementing partner agencies had the necessary mandates and capacity to sustain the results.
- vii) Systems built for each trade facilitation organization were scalable and extendable on needs basis.

4. CONCLUSION

4.1 Relevance

151. The evaluation findings revealed that the SWIFT projects intervention and implementation was based on both local and international requirements of trade facilitation platforms and was overall very relevant because it conformed to the needs and priorities of the supported partner agencies. Further evidence

indicated that overall the SWIFT project objectives and interventions were well aligned to the TMEA Theory of Change (ToC) and priorities. The projects were to a great extent aligned to the National ICT Strategies and Policies (e-governance) in Rwanda, Kenya, Uganda, Tanzania and the EAC and were responding to the needs and challenges of the target groups and the trade environment which indicated that project relevance was overall very good.

4.2 Effectiveness

152. The evaluation evidence indicated that the SWIFT Projects systems design and implementation was well aligned to international standards and the projects governance model was appropriate for the effective management and delivery of the project results. Further evidence showed that very good progress had been made in reducing the transaction costs and time related to trade document processing through automation. Reduction in time and cost had significantly contributed to the improved efficiency and effectiveness of the supported trade facilitation agencies and enhanced trade environment and which was overall very good.

4.3 Efficiency

153. The evaluation team noted that the SWIFT projects used less bureaucratic procurement process which was faster compared to the partner agencies however, proper due diligence needs to be done to procure inputs at competitive prices and to avoid losing money on work that was never delivered to the required expectations which contributed to spending beyond the planned budget. This to some extent negatively affected the efficiency of the projects. Evidence collected by the evaluation team showed that the non-performance by the vendors was identified in time and new ones engaged that enabled the expected results of reducing the documentation processing time and cost to be achieved. The projects were economically feasible and had high benefits to cost ratio and overall the SWIFT project efficiency was good.

4.4 Impact

154. Evidence collected by the evaluation team showed that TMEA SWIFT projects initiatives contributed to reduction in the cost and time along the key corridors of the EAC which resulted into improved efficiency of the document processing in the respective trade facilitation agencies. Further evaluation findings indicated that the automation of the document processing also contributed to the transformation of the trade administrative processes that resulted into increased transparency, accountability and predictability of the transactions, and this would not have happened by the time of the evaluation without the TMEA support, which was overall very good. Chances are high that once the SWIFTS that were not yet deployed became operational, they would reduce the document processing time and cost.

4.5 Sustainability

155. The evaluation findings indicated that the SWIFT projects developed an effective and efficient trading system with good political-will, financial support and trained stakeholders structured within the partner agencies and the import/export traders to use the system which was vital for the sustainability of the SWIFT projects initiatives and the results produced. Overall the sustainability of the project initiatives and the results so far produced was very good and the evidence from the evaluation showed that the projects initiative would be sustainable.

5. CHALLENGES

156. The evaluation team noted the following challenges during the SWIFT projects implementation:

- a) **Inadequate IT infrastructure** such as computers by the partner agencies, e.g. UNBS.
- b) **System outages** due to unreliable internet connectivity and service providers to support the automated systems and the users; e.g. RALIS.
- c) **Partner agencies not promptly responding to complaints/queries /issues** raised by the traders which increases the cost and time of doing business, e.g. TFDA.
- d) **Inadequate system enhancements** such as alert systems, pop up messages and email notifications on some e-portals to notify the users of the system, e.g. TFDA
- e) **Some systems had no provision for making corrections** in case an error was made during the document submission process.
- f) **ICT4T not promptly responding to complaints/queries /issues** raised by the partner agencies resulting in frustration e.g. PPB and the agencies whose SWIFTs were not yet operational.
- g) **Some systems data bases were not being routinely updated** to include relevant information that was not originally captured in the systems for example some products were not included in some data bases, e.g. TFDA.
- h) **Inadequate participation of partner agencies in project** planning, implementation and monitoring.

6. LESSONS LEARNED

157. From the evaluation, the following lessons learned were identified:

- i) **Effective engagement with partner agencies throughout the project management cycle (PMC) minimizes misunderstanding** between the vendors and the implementing partner agencies in terms of the scope and results to be delivered. The lesson learned was that effective engagement of the partner agencies enhances project ownership and minimizes misunderstanding.
- ii) **Inadequate project planning increases the implementation cost resulting from scope creeps.** The lesson learnt is that proper identification of the project scope at initial planning stages to produce the required results is prerequisite in ensuring proper budgeting for project activities implementation and minimizes project scope creeps.
- iii) **Adequate due diligence during procurement is key to achieving good value for money:** During project implementation some projects carried out proper due diligence before awarding contracts for the systems design and development which enabled TMEA hire competent and experienced consultants that delivered to the expected standards. The lesson learned was that carrying out proper due diligence and also working with reputable and experienced contractors achieves good value for money.
- iv) **Strong political-will and commitment on the part of both government and traders is an important element to successful implementation of trade facilitation initiatives.** Good political-will and support from the governments and the business community in the respective partner agencies/ institutions where the SWIFT projects operated created a favorable ground for the project implementation. The lesson learned was that good political-will is a prerequisite for the successful implementation of trade facilitation initiatives of this kind.
- v) **Hybrid Model of Implementing SWIFT Projects achieved higher value for money:** SWIFT implementation model that allows the systems design to be done internally and then outsourcing the systems development by having resident TAs achieved better value for money than outsourcing 100% of the project implementation.
- vi) **Systems user friendliness and accessibility enhances acceptability by the stakeholders:** The SWIFT projects partner agencies put in place initiatives like systems operating instructions, guidelines,

including training during the implementation of the project that made the systems user friendly and acceptable by the stakeholders. The lesson learned was that user friendly and accessible systems are more acceptable to the stakeholders.

- vii) **Adequate change management plan implementation is vital for project success and building stakeholder trust:** Effective communication, especially with the project affected persons, is the most important component of change management because change can make people feel uneasy, suspicious and sometimes resist it. Change management implementation reinforced the reasons behind the change from the old manual systems of document processing to the new automated systems and the benefits it would come along with. The lesson learned was that effective implementation of proper change management plan supported by all the stakeholders is a prerequisite for the project success.
- viii) **The higher the number of transactions done through e-portal the better the project benefits:** Trade facilitation agencies with higher number of transactions achieved higher benefits since the cost savings were per transaction done through the e-portal.
- ix) **Capturing reflections and lessons learnt during project implementation in the periodic reports and taking appropriate actions on them improves on project success.**

7. RECOMMENDATIONS

158. In order to maximize and improve on the performance of the SWIFT Projects and the benefits they offer to their stakeholders, the evaluation recommended the following:

#	RECOMMENDATIONS ON IMPROVING SWIFT PROJECTS EFFICIENCY	ACTION POINT
1.	Plan adequately, identify the project scope at inception and budget appropriately based on the activities to ensure realistic budgets and to avoid overspending beyond the budget.	TMEA
2.	Changes in the activities that significantly affect the budget should be approved by the appropriate project organs, e.g. Project Steering Committees and documented accordingly.	TMEA
	RECOMMENDATIONS ON IMPROVING SWIFT PROJECTS EFFECTIVENESS	ACTION POINT
3.	Use reliable service providers to minimize on systems outages: The SWIFT Projects Partner agencies should use reliable internet service providers and other systems service providers to serve their stakeholders without interruptions in services delivery due to systems outages.	SWIFT Projects Partner Agencies
4.	Continuously improve and update the content of the respective e-portals: The partner agencies should continuously improve and update their e-portals with the latest and relevant information such as changes in laws, regulations, procedures and other relevant information for the system users.	SWIFT Projects Partner Agencies
5.	Promptly respond to complaints raised by the e-portal users: For the e-portal to be relevant and useful to the beneficiaries and also facilitate both local and international trade, SWIFT projects implementing agencies and TMEA should promptly respond to complaints by the e-portal users to ensure timely implementation of the projects.	TMEA SWIFT Projects Partner Agencies
6.	Increase awareness/refresher training to the target stakeholders about the e-portal use and their benefits: TMEA should continue supporting the implementing agencies to carry out awareness activities about the regulatory requirements, e-portal use and their benefits and also provide refresher training to the e-portal users especially the technical staff.	TMEA and SWIFT Projects Partner Agencies

	RECOMMENDATIONS ON IMPROVING SWIFT PROJECTS DESIGN, MANAGEMENT AND IMPLEMENTATION	ACTION POINT
7.	Strengthen project structures by formalizing project steering committee(s), Project Coordination committee and Project Implementation Teams.	TMEA
8.	Engage and support new trade facilitation agencies in the region: TMEA should support other trade facilitation agencies by automating their key trade processes in the region to reduce the time and cost of doing business by replicating what has worked well in other SWIFTs already supported by TMEA.	TMEA
9.	Mainstream gender issues in the SWIFT Projects by identifying possible effects of the project on gender especially women and establish the actual baseline facts about women that are involved in transacting business under the manual systems to enable the assessment of the impact of the SWIFT projects on women after automation.	TMEA Partner Agencies
10.	Review the SWIFT Projects Results Chain to be more elaborate on other outcomes that occurred such as reduced cost and time of administering key trade documents; increased trust, transparency and improved governance in the partner agency.	TMEA, SWIFT Project, Results Team
	RECOMMENDATIONS ON IMPROVING SWIFT PROJECTS SUSTAINABILITY	ACTION POINT
11.	The MoUs should be renewed promptly when they expire so as to keep the implementation agreement up to date and they should provide for sustainability of the benefits beyond TMEA support by ensuring that there are competent technical staff and financial support to sustain the project.	TMEA Partner Agencies
12.	TMEA should continue engaging with PPB to ensure that what was accomplished under the SWIFT Projects is not lost. PPB is planning to enhance their e-portal and interface with the EAC Medicines Regulations Harmonization Information Management System (MRH IMS) and therefore there is need for TMEA to continue engaging with the PPB to ensure that PPB SWIFT Project is successfully concluded.	TMEA

ANNEXES:

ANNEX 1: CASE STUDIES

CASE STUDY 1: KNCCI

EXPEDITING THE PROCESSING OF CERTIFICATES OF ORIGIN THROUGH AN AUTOMATED SYSTEM

1. BACKGROUND

This case study highlights how Kenya National Chamber of Commerce and Industry (KNCCI) a membership based trade support institution has benefited from the TMEA SWIFT projects initiatives. The Kenya National Chamber of Commerce and Industry is registered as a not-for-profit private company limited by guarantee under the Companies Act Chapter 486 of the laws of Kenya with a National Office and County Chamber's offices in all the 47 counties in Kenya. The core purpose of KNCCI is to promote, protect and develop commercial, industrial and investments interests of its members and the entire business community both locally and internationally. The KNCCI SWIFT project was implemented at an average budget of US\$ 156,550 and the project started in 2014 and was expected to be ending in 2017 with the main implementing partner being TMEA. The project targeted beneficiary members of KNCCI who constitute of the small, micro enterprises (MSEs), medium and large enterprises and the expected outcomes of this initiative were to provide support in implementation of an automated system focusing on Trade Facilitation Process and Business Development Process. Molo Greens Limited located in Molo Town in Kenya was identified as one of the companies using the KNCCI automated system in this case study.

2. THE ISSUE

The KNCCI stakeholders highlighted that they were facing challenges in accessing manual certificates of origin which was also causing unnecessary delays and also increasing the cost of doing business. The companies that were involved in exporting had to regularly prepare and submit volumes of manual information and documents to KNCCI so as to get certificates of origin. These requirements by KNCCI, together with their associated compliance costs, were causing a serious burden to both KNCCI and the business community which was also a barrier to the development of international trade. Because of KNCCI operating a manual systems, there was relatively slow information flows between the business community and KNCCI which also greatly affected their efficiency and effectiveness.

3. THE RESPONSE AND APPROACH

Over a period of almost four years, TMEA has been engaging with different partners in the area of trade and transport facilitation to come up with innovative solutions that will enhance the capacity and quality of trade within the East African Community (EAC). One of the means that TMEA and its partners were using to realize these objectives and in particular, enhanced trade environment was to come up with effective trade systems and processes that were anchored in fully automating/computerizing/digitizing the processes and workflow of trade agencies or organizations within the region. The outcomes of this endeavour were the development and implementation of Information Portals (IP) and Management Information Systems (MIS) for smaller agencies and organizations that would ultimately link/interface to the National Electronic Single Windows. This programme known as Single Window Information for Trade (SWIFT) was working with import/export agencies as well as the private sector to automate their trade facilitation business processes and set up trading regulations information portals, thus enabling easier access to information and online forms for the trading community.

3.1 PROJECT GOALS

The TMEA SWIFT projects interventions aimed at achieving the following:

- a) Enhancing availability and handling of information.
- b) Simplifying and expediting information flows between traders and government.
- c) Achieving greater harmonization and better sharing of relevant trade data across governmental systems.
- d) Bringing meaningful gains to all parties involved in cross-border trade and ultimately resulting in improved efficiency and effectiveness in the administration of regulatory trade documents and reduce costs both for Governments and for traders due to better use of resources.

3.2 INNOVATIONS IN THE PROJECT

In an endeavor to assist KNCCI achieve its vision, TMEA came up with an innovative ideal of providing support in developing and implementing an automated system which focused on Trade Facilitation and Business Development Processes.

The Trade Facilitation Process involved implementation of an automated process of issuance of Certificates of Origin (CoO), online application of CoO by stakeholders, automated verification and invoicing, online payments by stakeholders, processing (Approval and Rejection) and issuance of CoO.

The Business Development Process involved automation of membership profile management which can be broken down into online registration for stakeholders, automated verification and processing of registration, online payment for registration and automated issuance of registration (membership certificate). The business development process also focused on promoting business interests through advocacy and holding trade and exhibitions.

3.3 STAKEHOLDERS

The envisioned stakeholders for this initiative were: KNCCI and its stakeholders/beneficiaries of the system, TMEA team and the software developers of the automated system.

3.4 RESULTS ACHIEVED

The TMEA supported automated systems enabled the KNCCI stakeholders apply for certificates of origin, relevant trade information was readily accessible, applications for and renewal of membership and submission of payments were all done online. The automated system further provided online registration, automated verification and processing of registration, online payment for registration and automated issuance of registration. Specifically the TMEA support towards KNCCI produced the following results:

- a) Issuance of Certificate of Origin by KNCCI for exports of goods was automated in Kenya.
- b) The average document processing time for Key trade processes in KNCCI reduced from 48 hours in 2014 to 2 hours in 2017 which was a 96% reduction.
- c) The average document processing cost for key trade process reduced from US\$ 88 in 2014 to US\$ 10 in 2017, which was a 89% reduction.

- d) The four (4) targeted processes (Membership application processing, Certificate of origin application processing, Customer Relationship Management (CRM) and Reporting) had been automated and system deployed.
- e) The KNCCI system was integration to Equity Bank for all channels including mobile and the payment interface.
- f) 200 stakeholders were trained.
- g) There were 22,374 approved transactions through the e-portal as at September 2017.
- h) The cost benefit analysis carried out indicated that the return on every dollar invested was US\$10 and the payback period would be 2016.

4. OPPORTUNITIES

The TMEA SWIFT project at KNCCI of an automated systems was part of the Kenyan government digitization process, and was also integrated with other government agencies including Kenya Bureau of Standards (KEBS), Kenya Revenue Authority (KRA) via an interface with the Kenya National Single Window. This integration will make the project initiatives, results and skills sustainable beyond the projects life span. The KNCCI stakeholders should position themselves to enjoy the benefits and services offered by the automated system. The ultimate success of the KNCCI automated system will depend critically on the involvement and commitment of the stakeholders in ensuring that the system becomes a regular feature of their business process.

4.1 CHALLENGES

Despite the systems having been put in place to facilitate and ease trade by reducing the time and cost of doing business, KNCCI was not offering the services to its stakeholders on weekends and past official working hours an issue that the business community wanted to be addressed. The system also had small icons on the portal that needed to be made bigger for the system to be more visible and user friendly.

4.2 LESSONS LEARNED

- a) Implementing this trade facilitation project in close collaboration with the appropriate institution i.e KNCCI to lead the establishment and operation of the automated systems in issuing certificates of origin was very vital for successful project implementation.
- b) Commitment and participation by all stakeholders both government and the private sector in the project implementation enabled the project to be manageable and acceptable.
- c) Timeliness and predictability of delivery times are critical to the successful management of global value chains as well as to trade in perishable agricultural goods which is one of the key issues that the automated systems addressed.

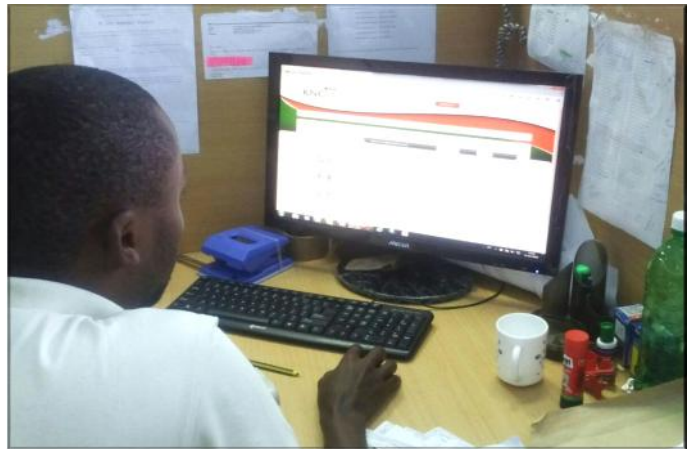
5. BENEFICIARY PROFILE

One of the beneficiaries of the TMEA supported automated systems at KNCCI featured in this case study is Molo Greens Ltd Farms who grow and export flowers are located in Molo Constituency, approximately 17km from Molo town, in Kenya's scenic Rift Valley. The farms have been in existence for more than 40 years and were managed by 200 industry experienced staff who maintain the highest standards of quality and customer

satisfaction. Molo Greens Ltd Farms produces flowers in green houses to protect them from rain, wind and extreme temperatures. The mature flowers are then harvested, export documentation processed at KNCCI and then transported to the airport in well insulated refrigerated trucks for export.

Prior to the TMEA SWIFT project intervention, Molo Greens Ltd Farms said that they were operating manually with KNCCI when applying for certificates of origin for exporting their flowers. Molo Greens further said that on average it would take 48 hours to submit and process the certificates of Origin and the cost incurred during the processing of the documentation was on average US\$ 150. Besides incurring extra costs and also spending time, Molo Greens says that the application process involved a lot of paper work that needed verification and signatures. Molo Greens thus said that operating a manual systems was increasing the cost of doing business and was also reducing their competitiveness on international market because of the costs that were being incurred and also the waiting time. Molo Greens added that being a company that deals in export of fresh flowers, supplying and exporting their flowers in the expected time is very critical for their successes and competitiveness in business.

With the TMEA SWIFT projects intervention of automating the key trade processes at KNCCI, the process of issuing certificates of origin more specifically became easier and faster. Greens Ltd Farms said that they appreciated the TMEA initiative at KNCCI because their transport cost to KNCCI for document processing had dropped to almost zero in 2016 from an average of US\$60 in 2014 and the time had also reduced on average of 2 days to one (1) hour and also the volumes of paper work involved reduced. This initiative has enabled Molo Greens get certificates of origin in time and also be able to export in time meeting their customers expected time and also making their products competitive.



Despite the ease of doing business without time delays and no additional costs, Molo Greens says that KNCCI needs to enhance the automated system so that stakeholders can continue getting services even outside normal working hours, public holidays and weekends.

CASE STUDY 2: RALIS

COST REDUCTION IN THE PROCESSING OF SPS EXPORTS CERTIFICATES BY USING AN AUTOMATED SYSTEM

1. BACKGROUND

Rwanda Agricultural Livestock Inspection and Certification Services (RALIS) a directorate under the Ministry of Agriculture and Animal Resources (MINAGRI) is a public institution responsible for the overall coordination of: the enforcement of the Rwanda plant health law and regulations for phytosanitary measures necessary for trade, Plant pest/disease monitoring, surveillance and diagnosis, conducting Pest Risk Analysis, and conducting inspection and certification. RALIS also delivers animal products certification services including enforcement of sanitary laws, monitoring and surveillance of animal diseases, and animal inspection and certification.

This case study shows how the TMEA support to RALIS has been used to automate the systems and processes used to regulate and facilitate businesses in Rwanda by reducing the time and cost spent when acquiring import and export permits. The RALIS SWIFT project was implemented at an estimated budget of US\$ 124,000 and the project started in 2011 and is expected to be ending in 2017 with the main implementing partner being TMEA. The e-portal targeted importers and exporters of plant, plant materials, animal and animal products, and agrichemicals in Rwanda.

2. THE ISSUE

Before the automation of the systems and process at RALIS, the old system was bureaucratic and not effective and efficient in serving the stakeholders and the general public because it was relatively slow in the process of applications and giving feedback, a lot of signatures were required and too much paper work was involved. All this in the long run were contributing to increasing the cost and time of doing business and also hindering the smooth movement of goods which was affecting the business community negatively.

3. THE RESPONSE AND APPROACH

Over a period of almost four years, TMEA has been engaging with different partners in the area of trade and transport facilitation to come up with innovative solutions that will enhance the capacity and quality of trade within the East African Community (EAC). One of the means that TMEA and its partners were using to realize these objectives and in particular, enhanced trade environment was to come up with effective trade systems and processes that were anchored in fully automating/computerizing/digitizing the processes and workflow of trade agencies or organizations within the region. The outcomes of this endeavour were the development and implementation of Information Portals (IP) and Management Information Systems (MIS) for smaller agencies and organizations that would ultimately link/interface to the National Electronic Single Windows. This programme known as Single Window Information for Trade (SWIFT) was working with import/export agencies as well as the private sector to automate their trade facilitation business processes and set up trading regulations information portals, thus enabling easier access to information and online forms for the trading community.

3.1 PROJECT GOALS

The TMEA SWIFT projects intervention, aimed at achieving the following:

- a) Enhancing availability and handling of information.
- b) Simplifying and expediting information flows between traders and government.

- c) Achieving greater harmonization and better sharing of relevant trade data across governmental systems
- d) Bringing meaningful gains to all parties involved in cross-border trade and ultimately resulting in improved efficiency and effectiveness in the administration of regulatory trade documents and reduce costs both for Governments and for traders due to better use of resources.

3.2 INNOVATIONS IN THE PROJECT

With the business transaction (import and export) related issues and challenges at RALIS, TMEA came up with innovative solutions to address these issues through the SWIFT project that was being implemented at RALIS. The SWIFT project involved the development of the trade portal that offered services to the stakeholders that included: accessing information on Sanitary and Phytosanitary (SPS) requirements, international and Rwanda trade regulations, request for services and also making applications as well as receive import and export permits. The TMEA support also enabled RALIS to integrate their system with the financial systems such as the national payment gateway and banking systems and also the Rwanda Electronic Single Window to enable information sharing between Rwanda Revenue Authority (RRA) and RALIS.

3.3 STAKEHOLDERS

The Intended stakeholders for this initiative were: Ministry of Agriculture and Animal Resources, RALIS and its stakeholders/beneficiaries of the system that include importers and exporters of plant, plant materials, animal and animal products, and agrichemicals

3.4 RESULTS ACHIEVED

With support from TMEA, RALIS produced the following results:

- a) Average document processing time for key trade processes reduced from 24 hours in 2011 to 2 hours in 2017 which was a 92% reduction.
- b) The average document processing cost reduced by 83% from US\$ 60 in 2011 to US\$ 10 in 2017.
- c) There was a total of 5 processes automated that included: Inspection, Pest risk analysis, quarantine and testing and certification.
- d) 100 stakeholders were trained and able to complete transactions through the portal.
- e) There were 3,720 approved transactions through the e-portal.
- f) The cost benefit analysis carried out indicated that the return on every dollar invested was US\$5 and the payback period would be 2016.

4. OPPORTUNITIES

With the RALIS system being integrated with financial systems such as the national payment gateway and banking systems, there are opportunities for further reducing transaction and administrative costs. In addition, the linkages within the RALIS system also creates an opportunity to enhance inter-government agency coordination which will improve on service delivery and good governance in Rwanda. The RALIS systems supported by TMEA being well aligned to the Rwanda Government vision of making Rwanda a paperless economy through automating all government services to the public and the private sector provides a great opportunity of making the project initiatives, results and skills very sustainable. However, the project

implementation at RALIS was good and this created a conducive and smooth environment for the business community.

4.2 LESSONS LEARNED

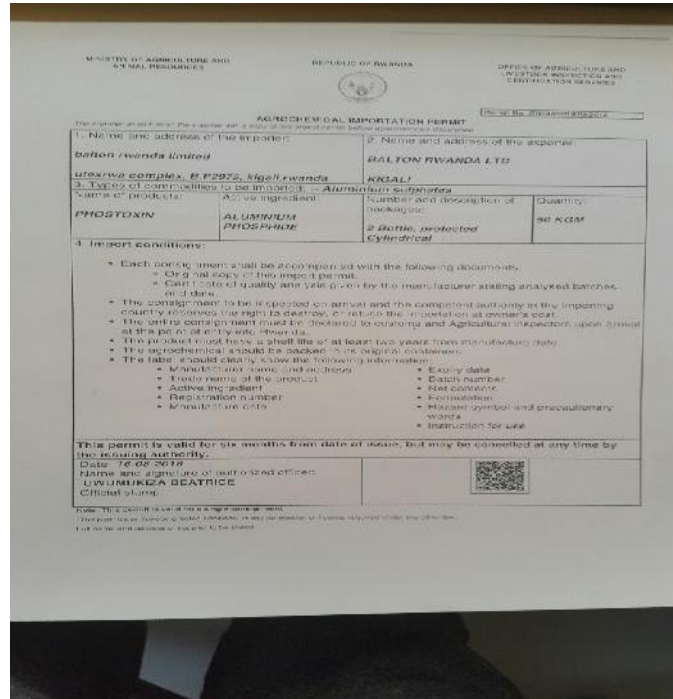
- a) Investment in modern technology (ICT) was vital for trade facilitation in Rwanda.
- b) The RALIS trade e-portal has been able to work efficiently and also addressed the issues of stakeholders in Rwanda because the portal development and implementation was based on the requirements and needs of the RALIS end-users which was a critical success factor.
- c) Strong political-will and commitment from the government of Rwanda was an important success factor of the SWIFT project.

5. BENEFICIARY PROFILE

Balton Rwanda is a privately owned company that started in 2007 with one of its main focus being agriculture and is located in Kigala Rwanda. Balton Rwanda has been at the forefront of the ever-developing agriculture sector in Rwanda through the importation and introduction of modern agriculture related technologies such as drip irrigation, greenhouses and soluble fertilizers and other equipment used in the agricultural production. Balton Rwanda is one of the many stakeholders using the electronic portal at RALIS to get import permits and is also enjoying the benefits that came with TMEA supporting the modern technology to facilitate trade in Rwanda.

During the use of the manual RALIS systems which was before the TMEA-supported project intervention, Balton said that applying for an import permit used to involve taking hard copies and then waiting to pick the import permit from RALIS. Balton further said that the old systems at RALIS was wasting a lot of time and there was bureaucracy which involved looking for signatures before submitting and collection of the documents. Balton further narrated that the manual old systems involved burdensome trade procedures which involved a lot of paper printing, financing the staff involved in the application process which was an obstacle to their business competitiveness.

Balton stated that with the implementation of the automated systems at RALIS, the transaction and administrative time and costs associated with issuance of import permits had significantly reduced. This helped them reduce on the time, money and other resources like paper spent during their transactions with RALIS and this move also kept them competitive. Balton further stressed that with this automated system they would be able to track and monitor the progress of their applications a thing they said was good because the systems was predictable and effective and there was general improvement in service delivery.



Balton reported that there was also a significant reduction in the bureaucracy of getting signatures and that the systems was more efficient and secure with Quick Response (QR) code making the documents management process transparent and also avoiding counterfeit import permit. As a frequent user of the RALIS system, Balton suggested that the systems should be continuously improved and enhanced to serve the RALIS stakeholders better and faster.

CASE STUDY 3: TFDA

CONTRIBUTING TO AN ENHANCED TRADE ENVIRONMENT THROUGH AUTOMATION OF KEY TRADE PROCESSES

1. BACKGROUND

TFDA began its operations as a regulatory body on 1st July 2003 and is mandated to regulate the quality, safety and efficacy of food, medicines, cosmetics and medical devices which is provided for under the Tanzania Food, Drugs and Cosmetics Act, Cap 219. Since its inception, TFDA has attained notable achievements in regulating the quality, safety and efficacy of food, medicines, cosmetics and medical devices. Amongst its achievements, TFDA has developed robust systems and put in place guidelines for registration of products, inspection and surveillance as well as laboratory analysis of product samples prior to market authorization.

This case study focuses on the improvements that Tanzania Food and Drug Authority (TFDA) has made in enhancing trade in Tanzania through the automation of their key trade process with support from TMEA. The TMEA support towards automation of key trade process at TFDA began in 2012 at US\$ 285,000 and was expected to end in 2017. The automated system at TFDA serves its stakeholders in registration, regulation and monitoring of food, medicines, cosmetics, medical devices and premises in Tanzania. The expected outcome of the TMEA intervention at TFDA was to increase efficiency through time and cost saving for TFDA and its stakeholders as the portal eliminates the need for physical presence of customers at TFDA offices, promotes transparency and accountability by TFDA and its customers which in the long run enhances and promotes trade.

2. THE ISSUE

The method of services delivered by TFDA to its stakeholders needed to be improved so as to meet the expectations and needs of their stakeholders in terms of reducing the import and export transaction time and cost which would help speed up the processes for registration, importing and exporting which was affecting trade. In addition, there was a need to increase the levels of transparency, accountability and regulatory compliance to the requirements of TFDA regarding services offered.

3. THE RESPONSE AND APPROACH

Over a period of almost four years, TMEA has been engaging with different partners in the area of trade and transport facilitation to come up with innovative solutions that will enhance the capacity and quality of trade within the East African Community (EAC). One of the means that TMEA and its partners were using to realize these objectives and in particular, enhanced trade environment was to come up with effective trade systems and processes that were anchored in fully automating/computerizing/digitizing the processes and workflow of trade agencies or organizations within the region. The outcomes of this endeavour were the development and implementation of Information Portals (IP) and Management Information Systems (MIS) for smaller agencies and organizations that would ultimately link/interface to the National Electronic Single Windows. This programme known as Single Window Information for Trade (SWIFT) was working with import/export agencies as well as the private sector to automate their trade facilitation business processes and set up trading regulations information portals, thus enabling easier access to information and online forms for the trading community.

3.1 PROJECT GOALS

The TMEA SWIFT projects interventions aimed at achieving the following:

- a) Enhancing availability and handling of information.
- b) Simplifying and expediting information flows between traders and government.
- c) Achieving greater harmonization and better sharing of relevant trade data across governmental systems.
- d) Bringing meaningful gains to all parties involved in cross-border trade and ultimately resulting in improved efficiency and effectiveness in the administration of regulatory trade documents and reduce costs both for Governments and for traders due to better use of resources.

3.2 INNOVATIONS IN THE PROJECT

With support from TMEA, TFDA was able to develop a content management system consisting of an integrated database of existing rules, procedures, legislation and regulations governing the import/export of food, drugs, medical devices and cosmetics in Tanzania. This database was envisioned to be an important reference point for import/export traders as they prepared to engage in trading activities both domestically and internationally. The database helped in sensitizing traders on import/export requirements including licensing requirements hence making them better informed of the import/export procedures.

The system formed a critical component of the Single Window concept within the region by providing a one-stop location for all information required by traders to do their business especially in relation to food, medical devices, cosmetics and drugs with Tanzania and within the East African region. With the same support from TMEA a workflow based management information system (MIS) to manage and report on the application and management of licenses, certificates and permits and all processes related to delivery of the same including and not limited to food, drugs, cosmetics, medical devices and premises registration was developed.

3.3 STAKEHOLDERS

The Intended stakeholders for this initiative were: TFDA, importers and exporters of food, drugs, medical devices and cosmetics in Tanzania, TMEA team and the software developers of the automated system.

3.4 RESULTS ACHIEVED

The results so far achieved by the TFDA automated systems were:

- a) The developed system involved trade portal, Management Information System (MIS) and Laboratory Integrated Management Information System (LIMS).
- b) The average document processing time for issuing Import/Export Permit reduced by 99% from 120 hours in 2012 to 2 hours in 2017
- c) The average document processing cost for issuing an Import/Export Permit reduced by 88% from US\$ 80 in 2012 to US\$ 10 in 2017.
- d) The LIMS integration deployed and live and the number of Processes automated were 4 which include Product, Premise, GMP and Import Export modules.
- e) 103 stakeholders had been trained.

- f) There were 89,123 approved transactions through the e-portal.
- g) The cost benefit analysis carried out indicated that the return on every dollar invested was US\$8 and the payback period was 2016.

4. OPPORTUNITIES AND CHALLENGES

Having an automated system has created an opportunity for the TFDA to be able to increase compliance to regulatory requirements, transparency and accountability by stakeholders regarding services offered by TFDA. This has improved on the efficiency in decision making, supported the work flow management and also reduced time and cost of processing the import and export permits which is also creating opportunities for the importers and exporters to trade in more products.

4.1 LESSONS LEARNED

- a) Before full implementation of the SWIFT project at TFDA, the ground was well prepared, stakeholders brought on board and internal TFDA capacity built through training activities which provided for sufficient preparation time and project acceptability.
- b) Strong political will at the highest levels and commitment to the process of automating the trade process at TFDA was one of the most important success factors of the project.

4.2 CHALLENGES

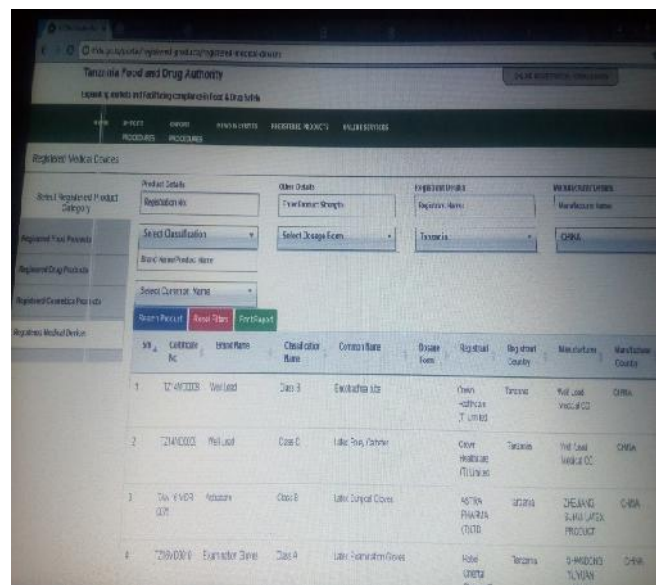
The beneficiaries using the TFDA automated system raised the following challenges:

- a) The e-portal was only in use during official working hours and yet private sector business goes on even beyond official working hours.
- b) Some product imported and exported were not included in the systems data base.
- c) There was no option to preview before submission of documents and there was no notification once submission of documents was done.

5. BENEFICIARY PROFILE

This case study focused on MacNaughton Limited as one of the stakeholders that frequently use the automated system at TFDA. The MacNaughton Limited management team is made up of experienced and dedicated individuals who share a common interest in making quality and affordable pharmaceuticals and hospital consumables available in Tanzania. The company’s strengths lie in its reputation for meeting commitments, the caliber of its field staff, team work and good customer relations. This company has the vision of becoming a major player in the pharmaceutical industry in the East African Community.

MacNaughton revealed that being a big company that deals in pharmaceuticals and hospital consumables, they serve a big market in Tanzania and any delays in the clearance of their goods affects



their business. They further said that before the automation of the system they were incurring a lot of transaction expenses in terms of movement from their offices to TFDA. They added that these movements were time consuming and in the long run were affecting their business. When information reached them, that the system at TFDA was being automated and would be processing and issuing Import/Export Permit electronically, they were happy with the innovation at TFDA. They revealed that the document processing time at TFDA had reduced from about two days to within one day and the cost had reduced from about US\$100 to US\$27.

This initiative was one of the long awaited innovations that MacNaughton said added value to their business operation. The automated system (e-portal) helped them reduce the time for going to TFDA for the purpose of products registration because it was being done online, however they still needed to go there for the purpose of payment issues. MacNaughton further narrated that it was now easier to access information and documents through e-portal. They also appreciated the work and efficiency at TFDA and said that the system has helped to speed up the process of registration, importing and exporting of different products and all this is contributing to enhanced trade. MacNaughton also stressed that they would have loved to see the TFDA automated system operate even past official working hours and that TFDA should continue improving and enhancing the systems so as to serve them and the general public better.

CASE STUDY 4 UNBS:

FACILITATION OF IMPORT CLEARANCE THROUGH THE USE OF THE ELECTRONIC PORTAL

1. BACKGROUND

This case study gives an insight on how the TMEA supported electronic portal (SWIFT) at the Uganda National Bureau of Standards (UNBS) has enabled the institution to support the business community in Uganda through easing of the import clearance process. UNBS is a statutory body under the Ministry of Trade, Industry and Co-operatives established by the UNBS Act Cap 327 and became operational in 1989. UNBS is mandated to formulate, enforce and promote the use of standards in the interest of protection of public health and safety and promoting trade. The UNBS Imports Inspection Department carries out product inspection of goods imported into the country to ensure compliance with standards and regulations so that only quality products are sold to consumers. The import inspection and clearance is carried out to ensure that imports meet requirements of the approved standards in Uganda.

The implementation of the TMEA supported SWIFT project at UNBS began in 2012 and was launched for official use in 2015. UNBS partnered with TMEA to develop the portal in response to challenges it faced with its manual clearance. The SWIFT project at UNBS was expected to develop and deploy an online portal that automates imports inspection and clearance. The portal which cost a total of \$US 100,000 was to enable traders access UNBS services from any geographical location without physical visits to UNBS offices. This would save them time and money by providing an easy access to information, quicker lodging and approval of applications and import clearance certificates, easy access to various standards permits, and ease in monitoring business transactions and receive timely email notifications. The Online portal was expected to reduce the document processing time by 20% and cost by 15%.

2. THE ISSUE

The UNBS portal was developed in response to challenges that were being faced by the institution and the business community arising from using a manual import clearance process. The traders had to travel to the UNBS offices to lodge applications and fill other documents required to clear the goods which would cause loss of time and money incurred during the communications and travelling. In addition, due to the use of a manual import clearance process, the institution faced challenges with low levels of transparency and importer compliance and streamlining the importation processes.

3. THE RESPONSE AND APPROACH

Over a period of almost four years, TMEA has been engaging with different partners in the area of trade and transport facilitation to come up with innovative solutions that will enhance the capacity and quality of trade within the East African Community (EAC). One of the means that TMEA and its partners were using to realize these objectives and in particular, enhanced trade environment was to come up with effective trade systems and processes that were anchored in fully automating/computerizing/digitizing the processes and workflow of trade agencies or organizations within the region. The outcomes of this endeavour were the development and implementation of Information Portals (IP) and Management Information Systems (MIS) for smaller agencies and organizations that would ultimately link/interface to the National Electronic Single Windows. This programme known as Single Window Information for Trade (SWIFT) was working with import/export agencies as well as the private sector to automate their trade facilitation business processes and set up

trading regulations information portals, thus enabling easier access to information and online forms for the trading community.

3.1 PROJECT GOALS

The TMEA SWIFT projects interventions aimed at achieving the following:

- e) Enhancing availability and handling of information.
- f) Simplifying and expediting information flows between traders and government.
- g) Achieving greater harmonization and better sharing of relevant trade data across governmental systems;
- h) Bringing meaningful gains to all parties involved in cross-border trade and ultimately resulting in improved efficiency and effectiveness in the administration of regulatory trade documents and reduce costs both for Governments and for traders due to better use of resources.

3.2 INNOVATIONS IN THE PROJECT

The TMEA SWIFT Project supported development of an online database on existing rules, procedures, legislation and regulations governing the import/export business in Uganda and a workflow system to facilitate the application and management of import / export licenses and permits. This database also provided an important reference point for import/export traders as they prepared to engage in trading activities both locally and internationally. The database was also a useful online tool for sensitizing the traders on import/export requirements including licensing requirements hence making them better informed of the import/export procedures. The system was enhanced to interface with the URA's e-payment and TIN platforms.

3.3 STAKEHOLDERS

The UNBS e-portal targeted importers of various products ranging from food stuff, building materials, electrical equipment, among other items into Uganda other than medicines/drugs.

3.4 RESULTS ACHIEVED

UNBS has been able to achieve the following results with TMEA support:

- a) The number of approved transactions done on the UNBS e-portal were 70,565 as at September 2017.
- b) The average document processing time for inspection permits reduced from 48 hours to 2 hours in 2017.
- c) The average document processing cost reduced from US\$80 to US\$10 in 2017.
- d) The number of trained stakeholders able to complete transactions online were 168.
- e) The number of trade processes automated as of September 2017 were 7 and include: Electronic single Window (eSW) declarations for Motor vehicle and General Goods, Release under seal, Sampling, Re-works, Re-Bagging, Re-export and Seizures.
- f) Total number of interfaces with the UNBS e-portal deployed as of September 2017 were 4 and included: Payment Interface, TIN Validation Interface, eSW Declarations Interface and Inspection Results Interface
- g) The cost benefit analysis carried out indicated that the return on every dollar invested was US\$65 and the payback period would be 2015.

4. OPPORTUNITIES

UNBS having a fully operational automated process (e-portal) presents them with opportunities that include: ability to generate more revenue as a result of increased importer compliance levels, streamlined processes, improved transparency and increased volumes of imported goods as a result of reduced delays. In addition, with support from TMEA, UNBS will be able to greatly transform their business processes and also integrate with other government agencies whose mandates involve imports through an interface with the Uganda National Electronic Single Window.

4.1 LESSONS LEARNED

- c) Automation of trade processes and systems is one of the critical success factors to a robust National Electronic Single Window.
- d) Strong political and stakeholder commitment to the process of automating the trade process at UNBS was one of the most important success factors of the project.
- e) Automation of the business process improves on transparency and accountability on both the business community and regulators.

4.2 CHALLENGES

The stakeholders interacted with, revealed that despite the automated system reducing on their import document processing time and cost, they highlighted that sometimes the network that runs the system was slow.

5. BENEFICIARY PROFILE

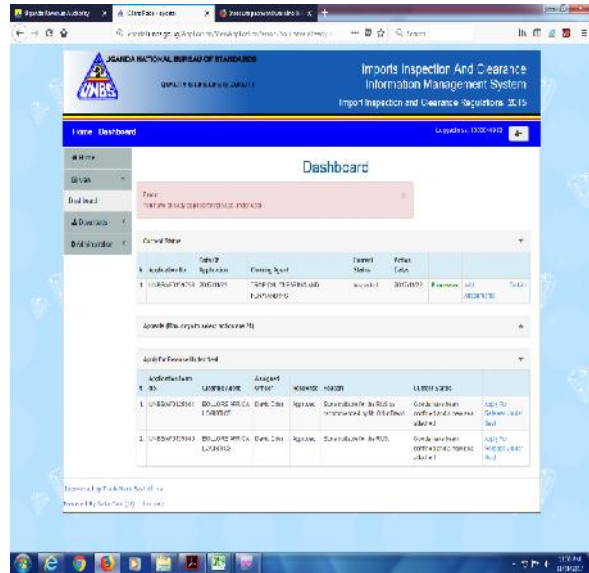
Bolloré Africa Logistics Uganda Limited founded in 1968 is a company that provides professional, efficient and comprehensive logistics services to clients and is the company that was chosen for this case study. The services offered by Bolloré include: ports and airport clearance operations, freight forwarding, container depots, customs brokerage and warehousing and transport, supply chain support, purchase order management and equipment provision. Bolloré is a company that enables many local and international operators doing business to transport their merchandise to the seaboard via the many corridors that they have developed.

Despite the fact that Uganda is a landlocked country and the logistics environment in Uganda being strategic, there were some challenges being faced by Bolloré that included moving physically to UNBS offices to process the import documentation for verification which made the cost of processing the import documents high. The company indicated that the cost was high because of the time lost while waiting for the document processing at UNBS and also the costs incurred travelling to and from the offices. In addition, these delays would also affect the quality and timely delivery of services to the clients served. Bolloré said “since our business is to ensure that our clients’ goods are delivered on time and at an affordable cost from one place to another, we needed an easy and accessible mechanism of serving our clients better without delays”.

He further said that these challenges were addressed by UNBS with support from TMEA where by an online system was developed and UNBS import services would be assessed online without travelling to their office physically. Bolloré Africa Logistics Uganda Limited being a company whose core values are integrity, loyalty, transparent and full respect for regulations, the company has good compliance to the UNBS set standards and requirements. In close collaboration with UNBS, TMEA provided some of the Bolloré Africa Logistics

Uganda Limited staff technical training on how to use the online system and this has enabled Bolloré learn how to use the online system and in turn the company has also received recognition by UNBS as one of the biggest stakeholders using the developed system to the benefit of the clients they serve.

Bolloré Africa Logistics Uganda Limited is one of the many private logistics companies who have benefited from the UNBS automated system supported by TMEA. In their company, the system has contributed to the average reduction in the import document processing time at UNBS from 48 hours to 2 hours and the average cost from US\$80 to US\$10. Bolloré further stated that this automation has also contributed to increase in the volume of cargo cleared through UNBS, which has also boosted their ability to respond to customer demands and satisfy high quality standards in services that are provided. The automated system has also helped in ensuring that they provide an integrated and proficient logistics service in a competitive marketplace.



Bolloré appreciates the good measures taken by the UNBS to improve the ease of doing business in Uganda. Bolloré further narrates that the logistics business activities are a key driver in supporting Uganda’s economic growth which is what UNBS is doing with support from TMEA in regard to supporting the logistics industry in Uganda through automation.

Bolloré was grateful to UNBS and TMEA for the IT innovations brought to the logistics industry and the efforts put to ease business transactions especially the import document processing at UNBS. They were also appreciative for the support and trust from their stakeholders. They said that with the automated system at UNBS, they will continue to be the leading Logistics Company in the country and serve the current and future clients better.

ANNEX 2: ASSESSMENT CRITERIA

This is the assessment criteria that was used by the evaluation team.

#	OECD/ DAC CRITERIA	ASSESSMENT CRITERIA	CRITERIA FOR RATING				
			Excellent (5)	Very good (4)	Good (3)	Fair (2)	Poor(1)
1.	Relevancy	<p>Assessing and establishing whether the SWIFT projects were:</p> <ul style="list-style-type: none"> ❖ Aligned to the National Governments ICT Strategies and Policies (e-governance) in Rwanda, Kenya, Uganda, Tanzania and the EAC. ❖ Aligned to TMEA Theory of Change (ToC) and priorities. ❖ Responding to the needs and challenges of the target groups and the trade environment. 	Consistent and exceeds all the assessment criteria for relevancy.	Consistent with all the assessment criteria for relevancy.	Consistent with most of the assessment criteria for relevancy.	Partially consistent with the assessment criteria for relevancy.	Serious problem and not consistent with all the assessment criteria for relevancy.
2.	Effectiveness	Assess and ascertain the extent to which the SWIFT projects activities were performed and outputs produced/achieved or were likely to be achieved as planned.	100% of all planned activities performed and output targets realized or likely to be realized in time.	75% to 99% of all planned activities were performed and output targets realized or likely to be realized in time.	60% to 74% of all planned activities were performed and output targets realized or likely to be realized in time.	45% to 59% of all planned activities were performed and output targets realized or likely to be realized in time.	Less than 45% of all planned activities were performed and output targets not realized or likely not to be realized in time.
		Assess and ascertain the extent to which SWIFT projects IT processes implemented by the TMEA supported institutions followed or likely to follow ISO/IEC 15504 Information Technology Process Assessment Standard and achieved their purpose.	100% of the assessed SWIFT IT processes implemented by the TMEA supported institutions followed or likely to follow best practices and achieved their purpose.	86% to 99% of the assessed SWIFT IT processes implemented by the TMEA supported institutions followed or likely to follow best practices and achieved their purpose.	51% to 85% of the assessed SWIFT IT processes implemented by the TMEA supported institutions followed or likely to follow best practices and achieved their purpose.	16% to 50% of the assessed SWIFT IT processes implemented by the TMEA supported institutions followed or likely to follow best practices and achieved their purpose.	0% to 15% of the assessed SWIFT IT processes implemented by the TMEA supported institutions followed or likely to follow best practices and achieved their purpose.

#	OECD/ DAC CRITERIA	ASSESSMENT CRITERIA	CRITERIA FOR RATING				
			Excellent (5)	Very good (4)	Good (3)	Fair (2)	Poor(1)
		Assess and ascertain the extent of the SWIFT projects' Abilities to manage and implement the SWIFTs to achieve the objectives or the expected objectives in time.	Have 100% of the Abilities to manage and implement the SWIFTs to achieve the objectives or the expected objectives in time.	Have 75% to 99% of the Abilities to manage and implement the SWIFTs to achieve the objectives or the expected objectives in time.	Have 74% to 60% of the Abilities to manage and implement the SWIFTs to achieve the objectives or the expected objectives in time.	Have 45% to 59% of the Abilities to manage and implement the SWIFTs to achieve the objectives or the expected objectives in time.	Have less than 45% of the Abilities to manage and implement the SWIFTs to achieve the objectives or expected objectives in time.
3.	Efficiency	Analyses the SWIFT projects budgets, planned activities and realized results and establish the extent to which the SWIFT projects was or likely to be economical, efficient and effective in achieving good Value for Money (VfM).	100% of all planned activities performed and output targets /benefits realized or likely to be realized within time and planned budget.	75% to 99% of all planned activities were performed and output targets /benefits realized or likely to be realized within time and planned budget.	60% to 74% of all planned activities were performed and output targets/benefits realized or likely to be realized within time and planned budget.	45% to 59% of all planned activities were performed and output targets /benefits realized or likely to be realized within time and planned budget.	Less than 45% of all planned activities were performed and output targets/benefits not realized or likely to realized within time and planned budget.

#	OECD/ DAC CRITERIA	ASSESSMENT CRITERIA	CRITERIA FOR RATING				
			Excellent (5)	Very good (4)	Good (3)	Fair (2)	Poor(1)
4.	Impact	<p>Assess and establish to what extent the SWIFT Projects intervention:</p> <ul style="list-style-type: none"> ❖ Of reducing the transaction cost and time have contributed or likely to contribute to reduced cost of doing business, enhanced export competitiveness and increased trade. ❖ Contributed or likely to contribute to changes in behaviour of business operations /practices of private sector. ❖ Contributed or likely to contribute to transforming government trade administrative processes. ❖ Contributed or likely to contribute to improved livelihoods of the people especially women. 	<p>Exceedingly contributed or likely to contribute to: reduced cost of doing business, enhanced export competitiveness and increased trade; changes in behaviour of business operations /practices of private sector; transforming government trade administrative processes; improved livelihoods of the people especially women.</p>	<p>Very significantly contributed or likely to contribute to: reduced cost of doing business, enhanced export competitiveness and increased trade; changes in behaviour of business operations /practices of private sector; transforming government trade administrative processes; improved livelihoods of the people especially women.</p>	<p>Significantly contributed or likely to contribute to: reduced cost of doing business, enhanced export competitiveness and increased trade; changes in behaviour of business operations /practices of private sector; transforming government trade administrative processes; improved livelihoods of the people especially women.</p>	<p>Partially contributed or likely to contribute to: reduced cost of doing business, enhanced export competitiveness and increased trade; changes in behaviour of business operations /practices of private sector; transforming government trade administrative processes; improved livelihoods of the people especially women.</p>	<p>No contribution or likely to contribute to: reduced cost of doing business, enhanced export competitiveness and increased trade; changes in behaviour of business operations /practices of private sector; transforming government trade administrative processes; improved livelihoods of the people especially women.</p>


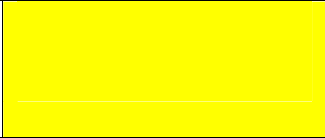

#	OECD/ DAC CRITERIA	ASSESSMENT CRITERIA	CRITERIA FOR RATING				
			Excellent (5)	Very good (4)	Good (3)	Fair (2)	Poor(1)
5.	Sustainability	<p>Assess and establish whether the:</p> <ul style="list-style-type: none"> ❖ The SWIFT partners planned for resource allocations to support the SWIFTs post TMEA support. ❖ The cost outlays for supporting the SWIFTs by the partners are within their means. ❖ There are concrete actions that have been taken by the partners so far to show uptake of support and maintenance of SWIFTs. ❖ The sustainability models are realistic and implementable by the SWIFT partners. ❖ There are prospects/probability that a SWIFT partner is likely to sustain the SWIFTs and its accrued benefits. ❖ Existence or likely existence of competent personnel and structures to sustain the results achieved. 	Exceedingly sustainable social and financial benefits, resources, institutional management, competent personnel and realistic implementable models to take up SWIFT projects work and results forward after cessation of the SWIFT projects assistance exists or likely to exist.	Very sustainable social and financial benefits, resources, institutional management, competent personnel and realistic implementable models to take up SWIFT projects work and results forward after cessation of the SWIFT projects assistance exists or likely to exist.	Sustainable social and financial benefits, resources, institutional management, competent personnel and realistic implementable models to take SWIFT projects work and results forward after cessation of the SWIFT projects assistance exists or likely to exist.	Partially sustainable social and financial benefits, resources, institutional management, competent personnel and realistic implementable models to take SWIFT projects work and results forward after cessation of the SWIFT projects assistance exists or likely to exist.	Social and financial benefits, resources, institutional management, competent personnel and realistic implementable models to take SWIFT projects work and results forward after cessation of the SWIFT projects assistance do not exist or likely not to exist.

Note:

Excellent : >4.49 =<5.0	Very good : >3.49 =<4.49	Good : >2.49 =<3.49	Fair : >1.49 =<2.49	Poor: >0 =<1.49
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ANNEX 3: CONFIDENCE LEVELS

These are the confidence levels that were used to determine the extent of the available level of evidence to support the evaluation team’s assessment

#	CONFIDENCE LEVEL	CRITERIA	COLOUR	
1.	High	All the evidence needed to support the evaluation team’s assessment was available.	Green	
2.	Medium	Most of the evidence needed to support the evaluation team’s assessment was available.	Yellow	
3.	Low	Partial evidence needed to support the evaluation team’s assessment was available.	Red	

ANNEX 4: SWIFT PROJECTS ACTIVITY ASSESSMENT

Annex 4 gives the assessment using a scale of 1(poor), 2(fair), 3(good), 4(very good) and 5(excellent). Confidence levels low (Red), medium (Yellow) or high (Green) indicate the available level of evidence to support the evaluation team's assessment.

AGREED OUTPUT/ACTIVITIES		ACTIVITY STATUS AS AT SEPTEMBER 2017	ASSESSMENT	CONFIDENCE LEVEL
KENYA NATIONAL CHAMBER OF COMMERCE & INDUSTRY (KNCCI) SWIFT				
SWIFT Deployed				
1.	SWIFT Assessment conducted	Completed	4	
2.	System Mapping and Designing	Completed	4	
3.	System Programming	Completed	4	
4.	Data Migration	Completed	4	
5.	System Testing	Completed	4	
6.	System Piloting	Completed	4	
7.	System go live	Completed	4	
Monitoring and Evaluation				
8.	Monitoring plan developed	Completed	4	
9.	Internal operations baselines complete	Completed	2	
10.	Submission of the quarterly M & E reports	Completed	3	
System to Systems Interfacing				
11.	Needs Assessment conducted	Completed	4	
12.	System Interface designed	Completed	4	
13.	System Interface Programming	Completed	4	
14.	System Interface testing	Completed	4	
15.	System piloting	Completed	4	
16.	System go live	Completed	4	
Change Management Plan Developed and Implemented				
17.	Baseline Survey conducted	Completed	4	
18.	Sensitization Conducted	Continuous	4	
19.	Training of Users and Launch	Completed	4	
20.	System usage surveys	Done quarterly	3	
Overall activity assessment for KNCCI			4	
TEA DIRECTORATE OF KENYA SWIFT				
System to Systems Interfaces Deployed				

1.	Interface TD with the Kenya National Electronic Single Window	Ongoing	4	
SWIFT Deployed				
2.	Needs Assessment conducted	Completed	4	
3.	System mapping and design	Completed	4	
4.	System programming	Completed	4	
5.	System testing and modification	Completed	4	
6.	Data migration	Completed	4	
7.	System Piloting	Completed	4	
8.	System Go-Live	Completed	4	
9.	Technical Assistant submit statistical reports	Completed	4	
10.	Technical Assistant Work Plans Approved	Completed	4	
11.	Submission and approval of the Inception Report	Completed	4	
12.	Nature of new modules defined and implemented	Completed	4	
Monitoring and Evaluation				
13.	Monitoring plan developed	Completed	4	
14.	Internal operations baselines complete	Completed	2	
15.	Submission of the quarterly M & E reports	Completed	3	
Change Management Plan developed and implemented				
16.	Conduct Baseline Study	Completed	4	
17.	Training and sensitization workshops for Internal and external Stakeholders	Ongoing	4	
18.	System Usage Surveys	Done quarterly	3	
19.	Training of Users & Admin	Ongoing	4	
Overall activity assessment for Tea Directorate			4	
KENYA PORT HEALTH SERVICES (PHS) SWIFT				
System to System Interfacing				
1.	Needs Assessment conducted	Completed	4	
2.	Interface mapping and designing	Completed	4	
3.	Interface programming	Completed	4	
4.	System testing	Completed	4	
5.	System go live	Completed	4	
6.	System piloting	Completed	4	

Change Management Plan developed and Implemented				
7.	Baseline survey conducted	Completed	4	
8.	Training of users conducted	Completed	3	
9.	Sensitisation and launch	Completed	3	
10.	System usage surveys	In progress	2	
SWIFT Deployed				
11.	SWIFT Assessment conducted	Completed	4	
12.	System mapping and designing	Completed	3	
13.	System programming	Completed	4	
14.	System testing	Completed	4	
15.	Data migration	Completed	4	
16.	System piloting	Completed	4	
17.	System go live	Completed	4	
Overall activity assessment for PHS			4	
KENYA PHARMACY AND POISONS BOARD (PPB) SWIFT			4	
System Deployed				
1.	Conducting Needs Assessment Interviews	Completed	4	
2.	Needs Assessment Report Submitted	Completed	4	
3.	Needs Assessment Report Review and Approval	Completed	4	
4.	Procurement of Software Developer	Completed	4	
5.	Inception Report Received and Approved	Completed	4	
6.	User Requirement Specification and System Requirement Specification Reports Finalized	Completed	4	
7.	Database and Web Interface Designed	Completed	4	
8.	Application Development Complete	Completed	4	
9.	System Testing and Modification	Completed	4	
10.	Interfacing PPB with the Kenya National Electronic Single Window	Completed	4	
11.	The Launch of the E-portal	Completed	4	
12.	Interfacing the Portal with other Drug Agencies in the EAC	Ongoing	3	
System Interfacing				
13.	Needs Assessment conducted	Completed	4	
14.	System Interface design	Completed	4	
15.	System Interface Programming	Completed	4	

16.	System Interface testing	Completed	4	
17.	System piloting	Completed	4	
18.	System go live	Completed	4	
Change Management Plan Developed and Implemented				
19.	Hiring of Change Management Consultant	Completed	4	
20.	Unit Interviews Conducted	Completed	4	
21.	Finalizing Training Materials	Completed	4	
22.	Sensitization Workshops for External Stakeholders	Completed	4	
23.	Training of Internal Stakeholders	Completed	4	
24.	Training of External Stakeholders Managers & System Administrators	Completed	4	
Monitoring and Evaluation				
25.	Monitoring Plan Developed	Completed	4	
26.	Internal Operations Baselines Complete	Completed	4	
27.	Internal Operations Survey Conducted	Completed	4	
28.	Submission of Quarterly M&E Reports	Completed	4	
29.	External Stakeholders Survey Conducted	Completed	4	
30.	External Stakeholder Baseline Survey Complete	Completed	4	
System Upgrade - Enhancement				
31.	System Design	Completed	4	
32.	System Development	Completed	4	
33.	System Testing	Completed	4	
34.	System Piloting & Go Live	Completed	4	
35.	System Data Migration	Completed	4	
Overall activity assessment for PPB			4	
RWANDA MINISTRY OF AGRICULTURE (RALIS) SWIFT				
System to Systems Interfacing				
1.	Needs Assessment conducted	Completed	4	
2.	Interface mapping and design	Completed	4	
3.	Interface programming	Completed	4	
4.	System testing	Completed	4	
5.	System piloting	Completed	4	
6.	System go live	Completed	4	

Change Management Plan developed and implemented				
7.	Training of Users conducted	Completed	4	
8.	Baseline Survey conducted	Completed	4	
9.	Training of external stakeholders	Completed	4	
10.	Change plan implemented	Completed	4	
11.	Sensitization	Completed	4	
12.	System usage surveys	Completed	4	
13.	e-portal launch	Completed	4	
SWIFT Deployed				
14.	Service provider selected and contracted	Completed	3	
15.	Inception Report developed and submitted	Completed	3	
16.	SWIFT Assessment conducted	Completed	4	
17.	Prepare Software Requirements Specification (SRS)	Completed	4	
18.	Submit Software Requirements Specification (SRS)	Completed	4	
19.	SRS Review & Sign Off	Completed	4	
20.	Presentation/ Demo 1	Completed	4	
21.	Management of Defects from Demo 1	Completed	4	
22.	Presentation/ Demo 2	Completed	4	
23.	System Testing	Completed	4	
24.	Data Migration	Completed	4	
25.	System Mapping and Designing	Completed	4	
26.	System Programming	Completed	4	
27.	Review of major changes on MinAgri Rwanda E-Portal	Completed	4	
28.	System redesign and restructuring	Completed	4	
29.	SRS alterations and amendments	Completed	4	
30.	Submission and discussion of SRS changes	Completed	4	
31.	Integration with ReSWS with MinAgri Rwanda Discussions	Completed	4	
32.	Development	Completed	4	
33.	Systems Testing	Completed	4	
34.	System Piloting	Completed	4	
35.	System go live	completed	4	
36.	MIS Launch	completed	4	
Monitoring and Evaluation				
37.	Monitoring plan developed	Completed	4	

38	Internal operations baselines complete	Completed	3	
39	Submission of the quarterly M & E reports	Completed	3	
	Overall activity assessment for RALIS		4	
RWANDA DEVELOPMENT BOARD (RDB) SWIFT				
System to Systems Interfacing				
1.	Conduct Assessment	Completed	4	
2.	System Mapping and Design	Completed	4	
3.	System Programming	Completed	4	
4.	Interface Testing	Completed	4	
5.	System Piloting	Completed	4	
6.	System Go Live	Completed	4	
7.	Integration to National Bank of Kigali	Completed	4	
SWIFT Deployed				
8.	Inception Report Prepared and Approved	Completed	4	
9.	Conduct Assessment	Completed	4	
10.	System Mapping and Designing	Completed	4	
11.	System Programming	Completed	4	
12.	System Testing	Completed	4	
13.	System Piloting	Completed	4	
14.	System Data Migration	Completed	4	
15.	System Go live	Completed	4	
16.	e-portal Launch	Completed	4	
17.	e-Portal Enhancements	Completed	4	
Change Management Plan developed and implemented				
18.	Conduct Baseline Survey	Completed	4	
19.	Training of Users and Admin	Completed	4	
20.	Sensitization of Users	Completed	4	
21.	System Usage Surveys	Done quarterly	4	
22.	Advanced System Administrator Training	Completed	4	
Monitoring and Evaluation				
23.	Monitoring plan developed	Completed	4	
24.	Internal operations baselines complete	Partly done	2	
25.	Submission of the quarterly M & E reports	Completed	3	
26.	Overall activity assessment for RDB		4	

RWANDA STANDARDS BOARD (RSB) SWIFT				
SWIFT Deployed				
1.	Conduct Assessment	Completed	4	
2.	System Mapping and Design	Completed	4	
3.	System Programming	Completed	4	
4.	System Testing	Completed	4	
5.	System Piloting	Completed	4	
6.	System Data Migration	Completed	4	
7.	System go live	Completed	4	
Change Management Plan developed and implemented				
8.	Conduct Baseline Survey	Completed	4	
9.	Sensitization of Users	Completed	4	
10.	Training of users and administrators	Completed	4	
11.	System Usage Surveys	Completed	4	
System to System Integration - ePayment				
12.	Conduct Needs	Completed	4	
13.	System Mapping and Designing	Ongoing	-	
14.	System Programming	Ongoing	-	
15.	Interface Testing	Ongoing	-	
16.	System Piloting	Ongoing	-	
System to System Interface Deployed				
17.	Conduct Assessment	Completed	4	
18.	System Mapping and Designing	Completed	4	
19.	System Programming	Completed	4	
20.	Interface Testing	Completed	4	
21.	System Piloting	Completed	4	
22.	System go live	Completed	4	
Overall activity assessment for RSB			4	
RWANDA MINISTRY OF HEALTH (RMOH) SWIFT				
System Interfacing				
1.	Needs Assessment conducted	Completed	4	
2.	System Interface Design	Completed	4	
3.	System Interface Programming	Completed	4	
4.	System Interface Testing	Completed	4	

5.	System Interface Go Live	Completed	4	
6.	System Interface Piloting	Completed	4	
Change Management Plan developed and implemented				
7.	Baseline Survey conducted	Completed	4	
8.	Training of Users Conducted	Completed	4	
9.	System usage surveys	Completed	4	
10.	Sensitization and Launch	Completed	4	
System Deployed				
11.	MoU between TMEA and MINISANTE is prepared and signed	Completed	4	
12.	Needs Assessment Interviews	Completed	4	
13.	Needs Assessment Report Review & Approval	Completed	4	
14.	TORs developed and approved	Completed	4	
15.	Tender out for submission of EOIs	Completed	4	
16.	Submission and evaluation of service providers' EOIs	Completed	4	
17.	Submission and evaluation of service providers' full proposals	Completed	4	
18.	Procurement for portal design firm	Completed	4	
19.	Service provider is selected and contracted	Completed	4	
20.	Inception Report Received and Approved	Completed	4	
21.	Database and Web Interface Design	Completed	4	
22.	System Testing	Completed	4	
23.	System Programming	Completed	4	
24.	Data Migration	Completed	4	
25.	System Piloting	Completed	4	
26.	System go Live	Completed	4	
Overall activity assessment for RMOH			4	
RWANDA NATIONAL AGRICULTURAL EXPORT DEVELOPMENT BOARD (NAEB) SWIFT				
NAEB - Change Management Plan Developed and Implemented				
1.	M & E : Baseline Surveys	Completed	4	
2.	M & E : Surveys and Reporting	Completed	4	
3.	Stakeholder Sensitization	Completed	4	
4.	Technical training	Completed	4	
5.	User Training	Completed	4	
6.	System Launch	Completed	4	
7.	Monitoring & Evaluation	Completed	4	

NAEB - System Deployed				
8.	Needs and Functional Analysis Conducted	Completed	4	
9.	System Mapping and Design Validation	Completed	4	
10.	System Programming	Completed	4	
11.	Data cleaning and migration	Completed	4	
12.	System testing	Completed	4	
13.	System piloting	Completed	4	
14.	System go-live	Completed	4	
15.	System enhancements	Completed	4	
NAEB - System-to-System Interfacing				
16.	Needs and Functional Analysis	Completed	4	
17.	System Interface Mapping and Design validation	Completed	4	
18.	System Interface programming	Completed	4	
19.	System Interface testing	Completed	4	
20.	System Interface piloting	Completed	4	
21.	System go-live	Completed	4	
Overall activity assessment for NAEB			4	
RWANDA AGRICULTURE BOARD (RAB) SWIFT				
RAB - Change Management Plan Developed and Implemented				
1.	M & E: Surveys and Reporting	Completed	2	
2.	Stakeholder Sensitization	Completed	2	
3.	M & E: Baseline Survey	Completed	2	
4.	User training	Ongoing	1	
5.	System Launch	Ongoing	1	
6.	M&E: Evaluation	Ongoing	1	
RAB - System-to-System Interfacing				
7.	Needs and Functional Analysis	Completed	2	
8.	System Interface Mapping and Design validation	Completed	2	
9.	System Interface programming	Completed	1	
10.	System Interface testing	Ongoing	1	
11.	System Interface piloting	Ongoing	1	
12.	System go-live	Ongoing	1	
13.	System enhancements	Ongoing	1	

RAB - System Deployed				
14.	Needs and Functional Analysis	Completed	3	
15.	System Mapping and Design validation	Completed	3	
16.	System programming	Completed	2	
17.	Data cleaning and migration	Ongoing	1	
18.	System testing	Ongoing	1	
19.	System piloting	Ongoing	1	
20.	System go-live	Ongoing	1	
21.	System enhancements	Ongoing	1	
Overall activity assessment for RAB			1	
TANZANIA FOOD AND DRUG AUTHORITY SWIFT PORTAL				
System Deployed				
1.	Conduct Assessment	Completed	4	
2.	System Mapping and Designing	Completed	4	
3.	System Programming	Completed	4	
4.	System testing	Completed	4	
5.	System Piloting	Completed	4	
6.	System Data Migration	Completed	4	
7.	E-Portal formally launched	Completed	4	
8.	System go live	Completed	4	
System to Systems Interface Deployed				
9.	Conduct Assessment	Completed	4	
10.	System Mapping and Designing	Completed	4	
11.	System Programming	Completed	4	
12.	Interface Testing	Completed	4	
13.	System Piloting	Completed	4	
14.	System go Live	Completed	4	
Change Management Plan Developed and Implemented				
15.	Conducting baseline surveys	Completed	4	
16.	Training of users and administrators	Completed	4	
17.	Sensitization of users	Continuous	4	
18.	System Usage Surveys	Done Quarterly	4	
Monitoring and Evaluation				
19.	Monitoring plan developed	Completed	4	

20.	Internal operations baselines complete	Completed	2	
21.	Submission of the quarterly M & E reports	Completed	3	
Overall activity assessment for TFDA			4	
ZANZIBAR FOOD AND DRUG BOARD (ZFDA) SWIFT				
ZFDA Change Management Plan developed and Implemented				
1.	Conduct Baseline Surveys	Completed	1	
2.	Sensitization of Users	Completed	3	
3.	Training of Users	Ongoing	3	
4.	System Usage survey conducted	Ongoing	3	
ZFDA System Interfaces Deployed				
5.	Needs Assessment Conducted	Completed	4	
6.	System Mapping and Design	Completed	4	
7.	System Programming	Completed	3	
8.	System Testing	Ongoing	3	
ZFDA System Deployed				
9.	Needs Assessments	Completed	4	
10.	System Mapping and Designing	Completed	3	
11.	System Programming	Completed	3	
12.	System Testing	Completed	3	
13.	Data Migration	Ongoing	3	
14.	System Go Live	Ongoing	3	
15.	System Piloting	Ongoing	3	
Overall activity assessment for ZFDA			3	
MINISTRY OF AGRICULTURE, ANIMAL INDUSTRY AND FISHERIES (MAAIF) CROP PROTECTION DIRECTORATE SWIFT				
Crop Protection Directorate - System Deployed				
1.	System Programming	Completed	4	
2.	System mapping and Designing	Completed	4	
3.	System Testing	Completed	3	
4.	Data Migration	Completed	3	
5.	System Assessment conducted	Completed	3	
6.	System Piloting	Ongoing	3	
7.	System go live	Ongoing	2	

Crop Protection Directorate - Change Management Plan Developed and Implemented				
8.	Baseline Survey Conducted	Completed	4	
9.	Training of Users Conducted	Completed	3	
10.	System Usage surveys	In progress	2	
Crop Protection Directorate - System to systems Interfacing				
11.	Needs Assessment Conducted	Completed	4	
12.	Interface mapping and design	Completed	4	
13.	Interface programming	Completed	3	
14.	System testing	Completed	3	
15.	System piloting	In progress	3	
16.	System go live	In progress	2	
Overall activity assessment for MAAIF Crop			3	
MINISTRY OF AGRICULTURE, ANIMAL INDUSTRY AND FISHERIES (MAAIF) LIVESTOCK DIRECTORATE SWIFT				
Livestock Directorate - System-to-Systems Interfacing				
1.	Needs and Functional Analysis	Completed	4	
2.	System Interface Mapping and Design validation	Completed	4	
3.	System Interface programming	Completed	3	
4.	System Interface testing	Completed	3	
5.	System Interface piloting	In progress	2	
6.	System go-live	In progress	2	
7.	System enhancements	In progress	2	
Livestock Directorate - Change Management Plan Developed and Implemented				
8.	M & E: Baseline Survey	Completed	4	
9.	Stakeholder sensitization	Completed	4	
10.	User Training	Completed	3	
11.	Technical training	Completed	3	
12.	M&E: Evaluation	In progress	3	
13.	System Launch	In progress	3	
14.	M & E: Surveys and Reporting	In progress	2	
Livestock Directorate - System Deployed				
15.	Needs and Functional Analysis	Completed	4	
16.	System mapping and Design validation	Completed	4	

17.	System programming	Completed	3	
18.	System testing	Completed	3	
19.	Data cleaning and migration	Completed	3	
20.	System piloting	In progress	2	
21.	System go-live	In progress	2	
22.	System enhancements	In progress	2	
Overall activity assessment for MAAIF Livestock			3	
MINISTRY OF AGRICULTURE, ANIMAL INDUSTRY AND FISHERIES (MAAIF) FISHERIES DIRECTORATE SWIFT				
Fisheries - Change Management Plan Developed and Implemented				
1.	M & E: Baseline Survey	Completed	4	
2.	Stakeholder sensitization	Completed	4	
3.	Technical training	Completed	3	
4.	M & E: Surveys and Reporting	In progress	2	
5.	System Launch	In progress	2	
Fisheries Directorate - System Deployed				
6.	Needs and Functional Analysis	Completed	4	
7.	System mapping and Design validation	Completed	4	
8.	System programming	Completed	3	
9.	System testing	Completed	3	
10.	Data cleaning and migration	Completed	3	
11.	System piloting	In progress	3	
12.	System go-live	In progress	2	
13.	System enhancements	In progress	2	
Fisheries Directorate - System-to-Systems Interfacing				
14.	Needs and Functional Analysis	Completed	4	
15.	System Interface Mapping and Design validation	Completed	4	
16.	System Interface programming	Completed	4	
17.	System Interface testing	Completed	3	
18.	System Interface piloting	Completed	3	
19.	System go-live	In progress	2	
20.	System enhancements	In progress	2	
Overall activity assessment for MAAIF Fisheries			3	

UGANDA NATIONAL DRUG AUTHORITY (NDA) SWIFT			
System Interfacing			
1.	Needs Assessment Conducted	Completed	4
2.	System Interface Design	Completed	4
3.	System Interface Programming	Completed	4
4.	System Interface Testing	Completed	4
5.	System Interface Piloting	Completed	4
6.	System Interface Go Live	In progress	3
Change Management Plan Developed and Implemented			
7.	Baseline Survey Conducted	Completed	4
8.	Training of Users Conducted	Completed	2
9.	Sensitization and Launch	In progress	2
10.	System Usage Surveys	In progress	2
System Deployed			
11.	Needs assessment interviews	Completed	4
12.	Needs Assessment report review and approval	Completed	4
13.	Needs Assessment report review and approval	Completed	4
14.	System Architecture and Design	Completed	4
15.	Contracting of a Team of Developers	Completed	4
16.	System Programming	Completed	4
17.	System Testing	Completed	4
18.	Data Migration	Completed	4
19.	System Piloting	Completed	3
20.	System go live	In progress	3
Overall activity assessment for NDA			4
UGANDA NATIONAL BUREAU OF STANDARDS SWIFT PORTAL			
System Deployed			
1.	Conduct Assessments	Completed	4
2.	System Mapping and Designing	Completed	4
3.	System Programming	Completed	4
4.	System Testing	Completed	4
5.	System Piloting	Completed	4
6.	System go live	Completed	4
7.	E-portal launch	Completed	4

8.	Needs Analysis for Additional Requirements	Completed	4	
9.	Design and Development	Completed	4	
10.	Coding	Completed	4	
11.	Testing	Completed	4	
12.	Pilot	Completed	4	
13.	Launch of Additional Processes	Planned		
Change Management Plan Developed and Implemented				
14.	Conduct Baseline Surveys	Completed	4	
15.	Training of users and administrators	Completed	4	
16.	Sensitization of Users	Completed	4	
17.	System Usage Surveys	Done quarterly	4	
Monitoring and Evaluation				
18.	Monitoring plan developed	Completed	4	
19.	Baseline assessment completed	Completed	2	
20.	Quarterly monitoring reports submitted	Completed	3	
System to Systems Interface Deployed				
21.	Conducted Assessment	Completed	4	
22.	System Mapping and Design	Completed	4	
23.	System Programming	Completed	4	
24.	Interface Testing	Completed	4	
25.	System Piloting	Completed	4	
26.	System go live	Completed	4	
Overall activity assessment for UNBS			4	

ANNEX 5: SWIFT PROJECTS RESULTS ASSESSMENT

Annex 5 gives the assessment using a scale of 1(poor), 2(fair), 3(good), 4(very good) and 5(excellent). Confidence levels: low (Red), medium (yellow) or high (Green) to indicate the available level of evidence to support the evaluation team’s assessment.

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator’s Comments
			Start	End						
KENYA NATIONAL CHAMBER OF COMMERCE AND INDUSTRY (KNCCI) SWIFT PROJECT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes.		01/09/2014	30/06/2017						There is very good progress towards realization of these outcomes
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	% reduction in the average document processing Time (in Hours) for Key Trade Process	31/10/2014	30/06/2016	0	>80%	96%	4		
		% reduction in the average document processing cost (USD) for key trade process	30/10/2014	30/09/2016	0	>50%	89%	4		
		Increase in process throughput for key trade process	31/10/2014	30/06/2016	0	>150	239	4		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators increase compliance in the application and	% increase in total number of approved transactions	31/10/2014	30/06/2016	0	>50	80%	3		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	observance of trade procedures									
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators improve competency in using the SWIFT	% increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/10/2014	30/06/2016	0	>100%	525%	5		
5.	Output 1: SWIFT Deployed	Number of processes automated	31/10/2014	30/06/2016	0	>4	4	4		Output realized
		Number of transactions done on the SWIFT	1/05/2016	30/9/2017	0	>=1	22,374	4		
6.	Output 2: System to Systems Interfacing	Number of interfaces deployed	31/10/2014	30/06/2016	0	>2	2	4		Output realized
		Number of transactions done through the interface	31/10/2014	30/09/2017	0	>1	22,335	4		
7.	Output 3: Change Management Plan Developed and Implemented	Number of users trained (disaggregated by gender and type of stakeholder)	31/10/2014	30/06/2016	0	>75	200	4		Output partly realized
		% implementation of communication plan	31/10/2014	30/06/2016	0	>99	100	3		
		Number of usage surveys completed	31/10/2014	30/06/2016	0	>1	4	3		
8.	Overall assessment of results at the KNCCI							4		Very Good
KENYA PORT HEALTH SERVICES (PHS) SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in									There is very good progress towards realization

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	administration of key trade processes.									of these outcomes
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in the average document processing Time (in Hours) for Key Trade Process	01/03/2015	30/09/2017	120	<24	6.5	4		
		Reduction in the average document processing cost (USD) for key trade process	31/03/2015	30/06/2017	80	<=15	10	4		
		Increase in process throughput for key trade process	31/03/2015	30/06/2017	50	>500	789	4		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators improve competency in using the SWIFT	% increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/03/2015	30/06/2017	0	>=75	80	4		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators increase compliance in the application and observance of	% increase in total number of approved transactions	31/03/2015	30/06/2017	0	>50	93%	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	trade procedures									
5.	Output 1: Change Management Plan developed & Implemented	Number of users trained (disaggregated by gender and type of stakeholder)	31/03/2015	30/06/2017	0	>35	80	4		Output realized
		% implementation of communication plan	31/03/2015	30/06/2017	0	>=90	95%	3		
		Number of usage surveys completed	31/03/2015	30/06/2017	0	>1	2	2		
6.	Output 2: Swift Deployed	Number of processes automated	31/03/2015	30/06/2017	0	>3	3	4		Output realized
		Number of transactions done on the SWIFT	31/03/2015	30/09/2017	0	>1	4,229	4		
7.	Output 3: System to system interfacing	Number of interfaces deployed	31/03/2015	30/06/2017	0	>1	2	3		Output realized
		Number of transaction done on interfaces	31/03/2015	30/06/2017	0	>1	4,229	4		
Overall assessment of results at the PHS								4		Very Good
KENYA PHARMACY AND POISONS BOARD (PPB) SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes.							-		There is very good progress towards realization of these outcomes.
2.	Immediate Outcomes 1: Economic Operators and Trade agencies	Reduction in the average document processing Time (in Hours) for Key Trade Process	30/06/2015	30/06/2017	24	>=24		-		
		Reduction in the average document processing cost (USD) for key trade process	30/06/2015	30/06/2017	75	>75		-		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	improve efficiency in execution of key trade processes	Increase in process throughput for key trade process	30/06/2015	30/06/2017	0	>80	280 per month	4		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures	% increase in total number of approved transactions	31/05/2015	30/06/2017	0	>95	300	4		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/03/2016	30/06/2017	0	=100	841	-		
5.	Output 1: System Deployed	Number of processes automated	15/09/2012	30/06/2017	0	>4	30	3		Output realized
		Number of transactions done on the SWIFT	31/05/2015	30/06/2017	0	=1	10,080	4		
6.	Output 2: Monitoring	Time Set to Develop the Monitoring Plan (in Months)	15/07/2013	30/06/2017	0	<=2	25	1		Output realized

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	and Evaluation	Time Set for Undertaking the Baseline Assessments (in Months)	15/09/2013	30/06/2017	0	<=3	3	2		
7.	Output 3: System Interfacing	Number of interfaces deployed	30/06/2015	30/06/2017	0	=3	1	1		Output realized
		Number of transactions done through the interface	31/07/2015	30/06/2017	0	=1	10,080	4		
8.	Output 4: System Upgrade - Enhancement	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/03/2016	30/06/2017	0	=100	841	4		Output realized
9.	Output 5: Change Management Plan Developed and Implemented	Number of users trained (disaggregated by gender and type of stakeholder)	13/09/2013	30/06/2017	0	>=80	841	4		Output realized
		% implementation of communication plan	26/09/2013	30/06/2017	0	>=80	100	4		
		Number of usage surveys completed	31/03/2015	30/06/2017	0	=1	0	1		
Overall assessment of results at the PPB								3		Good
RWANDA MINISTRY OF AGRICULTURE (RALIS) SWIFT PROJECT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes.		01/2/2011	31/6/2017						There is very good progress towards realization of these outcomes
2.	Immediate Outcomes 1: Economic Operators and Trade agencies	Reduction in the average document processing Time (in Hours) for Key Trade Process	31/10/2014	30/06/2016	24	<8	2	4		
		Reduction in the average document processing cost (USD) for key trade process	31/10/2014	30/06/2016	60	<60	10	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	improve efficiency in execution of key trade processes.	Increase in process throughput for key trade process	31/10/2014	30/06/2016	0	>=170	190	4		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/10/2014	30/06/2016	0	>90	100	4		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures	Increase in total number of approved transactions	31/10/2014	30/09/2017	0	>100	3,720	4		
5.	Output 1: SWIFT Deployed	Number of processes automated	31/10/2014	30/06/2016	0	>3	5	5		Output realized
		Number of transactions done on the SWIFT	31/3/2016	30/09/2017	0	>=200	3,720	5		
6.	Output 2: Change Management	Number of users trained (disaggregated by gender and type of stakeholder)	31/10/2014	30/06/2016	0	>=100	125	4		Output realized

#	Outcome / Output	Output /outcome Indicators		Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
				Start	End						
	Plan developed and implemented	% implementation of communication plan		31/10/2014	30/06/2016	0	>=99	90	2		
		Number of usage surveys completed		31/10/2014	30/06/2016	0	>1	4	3		
7.	Output 3: System to systems interfacing	Number of interfaces deployed		31/10/2014	30/06/2016	0	>=2	2	2		Output realized
		Number of transactions done through the interface		31/12/2014	30/09/2017	0	>=200	2,352	4		
Overall assessment of results at the RALIS									4		Very Good
RWANDA DEVELOPMENT BOARD SWIFT PROJECT											
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes.			01/2/2011	31/12/2016						There is very good progress towards realization of these outcomes
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in the average document processing time (in hour) for key trade process	Exemptions	31/03/2015	30/06/2016	96		2			
			Investment Certificates	31/03/2015	30/06/2016	144	<48	108			
			Environmental Impact Assessment Certificates	31/03/2015	30/06/2016	1,440 (60 Days)	<480	1,440 (60 days)	2		
		Reduction in the average document processing cost (USD) for key trade process	31/03/2015	30/06/2016	160	<=100	30	4			
		Increase in process throughput for key trade process		31/03/2015	30/06/2016	0	>200	235	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures.	Increase in total number of approved transactions through e-portal	31/03/2015	30/06/2016	0	>=13	26	4		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in total number of trained stakeholders able to complete a transaction on the SWIFT	1/07/2015	30/06/2016	0	60	80	4		
5.	Output 1: SWIFT Deployed	Number of processes automated	31/03/2015	30/06/2016	0	>1	2	3		Output realized Target surpassed.
		Number of processes re-engineered	31/03/2015	30/06/2016	0	>=13	28	4		
		Number of transactions done on the SWIFT	23/10/2015	30/06/2016	0	>=200	551	4		
6.	Output 2: System to System Interface	Number of interfaces deployed	31/03/2015	30/06/2016	0	>1	4	4		Output realized
		Number of transactions done through the interface	31/03/2015	30/06/2016	0	>30	48	4		
7.	Output 3: Change Management Plan	Number of users trained	31/03/2015	30/10/2016	0	>=60	85	4		Output realized
		% implementation of communication plan	31/03/2015	30/06/2016	0	>=95	96	3		
		Number of usage surveys completed	30/07/2015	30/6/2016	0	4	4	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Developed and Implemented									
Overall assessment of results at the RDB								4		Very Good
RWANDA STANDARDS BOARD (RSB) SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes									There is very good progress towards realization of these outcomes
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in the average document processing time (in hours) for key trade processes	31/03/2015	30/09/2017	32	<1	2	4		
		Reduction in the average document processing cost (USD) for key trade processes	31/03/2015	30/09/2017	40	<=0	1	4		
		Increase in process throughput for key trade processes	31/03/2015	30/09/2017	0	>40	200	4		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators increase compliance in the application and	Increase in total number of approved transactions	31/03/2015	30/09/2017	0	=20	6,038	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	observance of trade procedures									
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to complete a transaction on RSB MIS	31/03/2015	30/09/2017	0	>75	- Done by ReSW initiative	3		
5.	Output 1: SWIFT Deployed	Number of Processes Automated	31/03/2015	30/06/2017	0	>=8	8	4		Output realized
		Number of Processes Reengineered	31/03/2015	30/06/2017	0	>2	8	4		
		Number of Transactions Done on the SWIFT	31/03/2015	30/06/2017	0	>=50	452	4		
6.	Output 2: System to System Interface Deployed	Number of Interfaces Deployed	31/03/2015	30/06/2017	0	=2	1	3		Output realized
		Number of Transactions done through Interfaces	31/03/2015	30/06/2017	0	>20	6,186	4		
7.	Output 3: Change Management Plan developed and implemented	Number of Usage Surveys Conducted	31/03/2015	30/06/2017	0	>=50	30	4		Output realized
		% of Communication Plan Implemented	31/03/2015	30/06/2017	0	>=25	100%	4		
		Number of users trained	31/03/2015	30/06/2017	0	>50	-	Done under ReSW by RRA		
Overall assessment of results at the RSB								4		Very Good
RWANDA MINISTRY OF HEALTH (RMOH) SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve									There is very good progress towards realization

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	efficiency in administration of key trade processes.									of these outcomes
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in the average document processing time (in hours) for key trade processes	31/03/2015	30/09/2017	184	12	16	3		
		Reduction in the average document processing cost (USD) for key trade processes	31/03/2016	30/09/2017	20	<=1	1	3		
		Increase in process throughput for key trade processes	31/08/2014	30/06/2017	0	>50	300	4		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures	% increase in total number of approved transactions	31/03/2016	30/06/2017	0	>50	97%	4		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators improve	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/03/2016	30/06/2017	0	>75	132	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	competency in using the SWIFT									
5.	Output 1: System Deployed	Number of processes automated	31/12/2015	30/06/2017	0	=4	4	4		Output realized
		Number of transactions done on the SWIFT	14/01/2013	30/06/2017	0	=11	1,062	4		
6.	Output 2: System Interfacing	Number of processes automated	31/12/2015	30/06/2017	-----	=1	1	4		Output realized
		Number of transactions done through the interface(s)	31/01/2016	30/06/2017	-----	=1	1,062	4		
7.	Output 3: Change Management Plan developed and implemented	% implementation of communication plan	31/12/2015	30/06/2017	0	>100	90	4		Output realized
		Number of users trained (disaggregated by gender and type of stakeholder)	31/03/2015	30/06/2017	0	>100	132	4		
		Number of usage surveys completed	31/03/2016	30/06/2017	0	>1	1	2		
Overall assessment of results at the RMOH								4		Very Good
RWANDA NATIONAL AGRICULTURAL EXPORT DEVELOPMENT BOARD (NAEB) SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes									There is very good progress towards realization of these outcomes
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of	Reduction in the average document processing time (in hours) for key trade processes	31/10/2014	30/09/2017	12	<6	2			
		Reduction in the average document processing cost (USD) for key trade processes	31/10/2014	30/09/2017	30	<10	6	4		
		Increase in process throughput for key trade processes	31/10/2014	30/09/2017	0	>=300	186	3		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	key trade processes									
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators improve competency in using the SWIFT	NAEB-increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/10/2014	30/06/2017	0	>10	138	4		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures	NAEB-% increase in total number of approved transactions	31/10/2014	30/06/2017	0	>5	43%	4		
5.	Output 1: NAEB - Change Management Plan Developed and Implemented	Number of users trained (disaggregated by gender and type of stakeholder)	31/10/2014	30/06/2017	0	>=60	138	4		Output realized
		% implementation of communication plan	31/10/2014	30/06/2017	-----	>=80	90	4		
		Number of usage surveys completed	31/10/2014	30/06/2017	0	>3	0	2		
6.		Number of Processes automated	31/10/2014	30/06/2017	0	>5	4	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Output 2: NAEB - System Deployed	Number of transactions done on the SWIFT	31/10/2014	30/06/2017	0	>=300	3,906	4		Output realized
7.	Output 3: NAEB - System-to-System Interfacing	Number of interfaces deployed	31/10/2014	30/06/2017	0	>=2	1	4		Output realized
		Number of transactions done through the interface	31/10/2014	30/06/2017	0	>=300	3,906	4		
Overall assessment of results at the NAEB								4		Very Good
RWANDA AGRICULTURE BOARD (RAB) SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes									The system is not yet operational.
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in the average document processing time (in hours) for key trade processes	31/10/2014	30/06/2017	8	<=5	-	1		
		Reduction in the average document processing cost (USD) for key trade processes	31/10/2014	30/06/2017	37	<=10	-	1		
		Increase in process throughput for key trade processes	31/10/2014	30/06/2017	0	>=50	0	1		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators	RAB - increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/10/2014	30/06/2017	0	>=10	40	3		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	improve competency in using the SWIFT									
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures	RAB - % increase in total number of approved transactions	31/10/2014	30/06/2017	0	>=20	0	1		
5.	Output 1: RAB - Change Management Plan Developed and Implemented	Number of users trained (disaggregated by gender and type of stakeholder)	31/10/2014	30/06/2017	0	>=50	40	2		Output not yet realized
		% implementation of communication plan	31/10/2014	30/06/2017	0	>=50	55	2		
		Number of usage surveys completed	31/10/2014	30/06/2017	0	>1	0	1		
6.	Output 2: RAB - System Deployed	Number of processes automated	31/10/2014	30/06/2017	0	>5	5	2		Output not yet realized
		Number of transactions done on the SWIFT	31/10/2014	30/06/2017	0	>50	0	1		
7.	Output 3: RAB - System-to-System Interfacing	Number of interfaces deployed	31/10/2014	30/06/2017	0	>2	1	1		Output not yet realized
		Number of transactions done through the interface	31/10/2014	30/06/2017	0	>50	0	1		
Overall assessment of results at the RAB									1	Poor
ZANZIBAR FOOD AND DRUG BOARD (ZFDA) SWIFT										
1.	Intermediate Outcomes:		01/05/2015	30/06/2017						

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Trade Agencies improve efficiency in administration of key trade processes									The system is under piloting.
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in the average document processing Time (in Hours) for Key Trade Process	01/05/2015	30/06/2017	48	>75	-	1		
		Reduction in the average document processing cost (USD) for key trade process	01/05/2015	30/06/2017	150	<=100	-	1		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to compete a transaction on the SWIFT	01/05/2015	30/06/2017	0	>95	23	1		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators increase compliance in	Increase in total number of approved transactions	01/05/2015	30/06/2017	0	>50	0	1		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	the application and observance of trade procedures									
5.	Output 1: ZFDA System Interfaces Deployed	Number of interfaces deployed Number of transactions done through interfaces	30/06/2016 30/06/2016	30/06/2017 30/06/2017	0 0	>3 >150	1 0	1 1		Output not yet realized
6.	Output 2: ZFDA Change Management Plan developed and Implemented	Targeted users trained Number of usage surveys completed % implementation of communication plan	31/05/2015 30/06/2016 31/05/2015	30/06/2017 30/06/2017 30/06/2017	0 0 0	>90 >2 >100	23 0 60	1 1 2		Output not yet realized
7.	Output 3: ZFDA System Deployed	Number of processes automated Number of transactions done through the SWIFT	30/06/2016 30/06/2016	30/06/2017 30/06/2017	0 0	>=5 >150	5 0	3 1		Output not yet realized
Overall assessment of results at the ZFDA								1		Poor
TEA DIRECTORATE OF KENYA SWIFT PROJECT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes.		01/1/2011	31/12/2016						There is very good progress towards realization of these outcomes
2.	Immediate Outcomes 1: Economic	Reduction in the average document processing time (in hours) for key trade processes	31/03/2015	30/06/2016	120	<12	4	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in average document processing cost (USD) for key trade processes	31/03/2015	30/06/2016	60	<15	10	4		
		Increase in process throughput for key trade processes	1/01/2015	30/06/2016	0	>2,000	6,217	4		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures	Total number of approved transactions	31/03/2015	31/09/2017	0	=75	29,509	3		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT (disaggregated by stakeholder type, gender)	25/05/2015	30/06/2016	0	>4	181	4		
5.	Output 1: SWIFT Deployed	Number of processes automated	25/05/2015	30/06/2016	0	>3	3	3		Output realized
		Number of processes re-engineered	25/05/2015	30/06/2016	0	>1	3	4		
		Number of transactions done on the SWIFT	25/05/2015	30/09/2017	0	>3,000	29,509	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments	
			Start	End							
6.	Output 2: System to systems interfaces deployed	Number of Interfaces Deployed	30/06/2015	30/06/2016	0	>=50	1	2	Green	Output not realized	
		# of Transactions done through Interface	25/05/2015	30/06/2016	0	>130	29,509	4			
7.	Output 3: Change Management Plan developed and implemented	# of Users Trained	25/05/2015	30/06/2016	0	>50	241	4	Green	Output realized	
		% implementation of communications plan	25/05/2015	30/06/2016	0	90	95	3			Yellow
		Number of Usage Surveys Completed	25/05/2015	31/06/2016	0	>1	4	4			Green
Overall assessment of results at the TD								3	Green	Good	
UGANDA NATIONAL BUREAU OF STANDARDS SWIFT PROJECT											
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes.		01/01/2012	31/12/2016						There is very good progress towards realization of these outcomes	
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in the average document processing time (in hours) for key trade processes	31/03/2015	31/03/2016	48	<1	2	4	Green		
		Reduction in the average document processing cost (USD) for key trade processes	31/03/2015	30/06/2016	80	0	10	4			
		Increase in process throughput for key trade processes (per month)	31/03/2015	30/06/2016	0	>=75	18,613	4			
3.	Immediate Outcomes 2:	Total number of approved transactions	31/03/2015	30/09/2017	0	>=100	70,565	4	Yellow		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures									
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT (disaggregated by stakeholder type, gender)	30/06/2015	30/06/2016	0.	>100	103	4		
5.	Output 1: System Deployed	Number of Processes Automated	06/06/2015	30/06/2016	0	>1	1	2		Output realized
		Number of Processes Re-engineered	16/06/2015	30/06/2016	0	>2	11	4		
		Number of Transactions done on the SWIFT	01/04/2015	30/9/2017	0	>2	70,565	4		
6.	Output 2: System to System Interface Deployed	Number of Interfaces deployed	06/06/2015	30/06/2015	0	>2	2	2		Output realized
7.	Output 3: Change Management Plan developed	Number of Users Trained	06/06/2015	30/06/2016	0	>50	103	5		Output realized
		% implementation of communications plan	30/06/2014	31/03/2016	0	100	90	3		
		Number of Usage Surveys Completed	30/06/2015	30/06/2016	0	4	4	5		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	and implemented									
Overall assessment of results at the UNBS								4		Very Good
MINISTRY OF AGRICULTURE, ANIMAL INDUSTRY AND FISHERIES (MAAIF) CROP PROTECTION DIRECTORATE SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes.		31/10/2014	30/06/2017						The system is under piloting.
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	CROP - reduction in the average document processing Time (in Hours) for Key Trade Process	31/10/2014	30/06/2017	24	<=24	-	1		
		CROP - reduction in the average document processing cost (USD) for key trade process	31/10/2014	30/06/2017	25	<=25	-	1		
		CROP - increase in process throughput for key trade process	31/10/2014	30/06/2017	50	>150	0	1		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/10/2014	30/06/2017	0	>80	50%	2		
4.	Immediate Outcomes 3:	CROP - Increase in total number of approved transactions	31/10/2014	30/06/2017	0	>100	50	2		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures									
5.	Output 1: Crop Protection Directorate - Change Management Plan Developed and Implemented	Number of users trained (disaggregated by gender and type of stakeholder)	31/10/2014	30/06/2017	0	>80	50	1		
		% implementation of communication plan	31/10/2014	30/06/2017	0	>=60	50	1		Output not yet realized
		Number of usage surveys completed	31/10/2014	30/06/2017	0	>1	0	1		
6.	Output 2: Crop Protection Directorate - System Deployed	Number of processes automated	31/10/2014	30/06/2017	0	>4	4	2		Output not yet realized
		Number of transactions done on the SWIFT	31/10/2014	30/06/2017	0	>1	349	2		
7.	Output 3: Crop Protection Directorate - System to systems Interfacing	Number of interfaces deployed	31/10/2014	30/06/2017	0	>1	1	1		Output not yet realized
		Number of transactions done through the interface	31/10/2014	30/06/2017	0	>1	349	2		
Overall assessment of results at the MAAIF Crop								1		Poor

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
MINISTRY OF AGRICULTURE, ANIMAL INDUSTRY AND FISHERIES (MAAIF) LIVESTOCK DIRECTORATE SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes		31/10/2014	30/06/2017						The system is under piloting.
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	LIVESTOCK - reduction in the average document processing Time (in Hours) for Key Trade Process	31/10/2014	30/06/2017	40	<=8	-	1		
		LIVESTOCK - reduction in the average document processing cost (USD) for key trade process	31/10/2014	30/06/2017	25	<=10	-	1		
		LIVESTOCK - increase in process throughput for key trade process	31/10/2014	30/06/2017	0	>=50	-	1		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators improve competency in using the SWIFT	Livestock - Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/10/2014	30/06/2017	0	>=50	-	1		
4.	Immediate Outcomes 3: Trade Agencies and Economic	LIVESTOCK - Increase in total number of approved transactions	31/10/2014	30/06/2017	0	>=50	-	1		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Operators increase compliance in the application and observance of trade procedures									
5.	Output 1: Livestock Directorate - System Deployed	Number of Processes automated	31/10/2014	30/06/2017	0	>=4	4	2		Output not yet realized
		Number of transactions done on the SWIFT	31/10/2014	30/06/2017	0	>=50	0	1		
6.	Output 2: Livestock Directorate - Change Management Plan Developed and Implemented	Number of users trained (disaggregated by gender and type of stakeholder)	31/10/2014	30/06/2017	0	>=50	55	3		Output not yet realized
		% implementation of communication plan	31/10/2014	30/06/2017	-----	>=50	50%	2		
		Number of usage surveys completed	31/10/2014	30/06/2017	0	>=1	0	1		
7.	Output 3: Livestock Directorate - System-to-Systems Interfacing	Number of interfaces deployed	31/10/2014	30/06/2017	0	>1	1	2		Output not yet realized
		Number of transactions done through the interface	31/10/2014	30/06/2017	0	>=50	0	1		
Overall assessment of results at the MAAIF Livestock								1		Poor
MINISTRY OF AGRICULTURE, ANIMAL INDUSTRY AND FISHERIES (MAAIF) FISHERIES DIRECTORATE SWIFT										
1.	Intermediate Outcomes: Trade Agencies improve		31/10/2015	30/06/2017						The system is under piloting.

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	efficiency in administration of key trade processes									
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes	FISHERIES-reduction in the average document processing Time (in Hours) for Key Trade Process	31/10/2015	30/06/2017	40	<=8	-	1		
		FISHERIES-reduction in the average document processing cost (USD) for key trade process	31/10/2015	30/06/2017	25	<=10	-	1		
		FISHERIES-increase in process throughput for key trade process	31/10/2015	30/06/2017	0	>=50	-	1		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators improve competency in using the SWIFT	Fisheries-increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/10/2014	30/06/2017	0	>=50	55	2		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators increase compliance in the application and	FISHERIES- Increase in total number of approved transactions	31/10/2014	30/06/2017	0	>=50	5	1		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	observance of trade procedures									
5.	Output 1: Fisheries Directorate - System Deployed	Number of Processes automated	31/10/2015	30/06/2017	0	>=4	4	2		Output not yet realized
		Number of transactions done on the SWIFT	31/10/2015	30/06/2017	0	>=50	5	1		
6.	Output 2: Fisheries - Change Management Plan Developed and Implemented	Number of users trained (disaggregated by gender and type of stakeholder)	31/10/2015	30/06/2017	0	>=50	55	2		Output not yet realized
		% implementation of communication plan	31/10/2015	30/06/2017	-	>=50	55%	2		
		Number of usage surveys completed	31/10/2015	30/06/2017	0	=1	0	1		
7.	Output 3: Fisheries Directorate - System-to-Systems Interfacing	Number of interfaces deployed	31/10/2015	30/06/2017	0	>1	1	2		Output not yet realized
		Number of transactions done through the interface	31/10/2015	30/06/2017	0	>=50	0	1		
Overall assessment of results at the MAAIF Fisheries								1		Poor
NATIONAL DRUG AUTHORITY (NDA) SWIFT PROJECT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes		31/03/2015	30/06/2017						There is very good progress towards realization of these outcomes
2.	Immediate Outcomes 1: Economic	Reduction in the average document processing Time (in Hours) for Key Trade Process	31/03/2015	30/06/2017	184	<1	60	3		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Operators and Trade agencies improve efficiency in execution of key trade processes	Reduction in the average document processing cost (USD) for key trade process	31/03/2015	30/06/2017	60	<10	10	3		
		% increase in process throughput for key trade process	31/03/2015	30/09/2017	0	>90	900	4		
3.	Immediate Outcomes 2: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT	31/03/2015	30/06/2017	0	>95	505	4		
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators increase compliance in the application and observance of trade procedures	Increase in total number of approved transactions	31/03/2015	30/06/2017	0	>100	2,729	4		
5.	Output 1: System Deployed	Number of processes automated	01/01/2014	30/06/2017	0	=4	6	4		Output realized
		Number of transactions done on the system	01/01/2014	30/09/2017	0	=1	4,607	4		
6.		Number of interfaces deployed	31/03/2016	30/06/2017	0	=2	1	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Output 2: System Interfacing	Number of transactions done through the interface	31/12/2015	30/06/2017	0	>1	310	4		Output realized
7.	Output 3: Change Management Plan Developed and Implemented	% implementation of communication plan	30/06/2015	30/06/2017	-0	>100	75%	4		Output not yet fully realized
		Number of users trained (disaggregated by gender and type of stakeholder)	31/03/2016	30/06/2017	0	>100	505	4		
		Number of usage surveys completed	31/03/2016	30/06/2017	0	>1	0	2		
Overall assessment of results at the NDA								4		
TANZANIA FOOD AND DRUG AUTHORITY SWIFT PROJECT										
1.	Intermediate Outcomes: Trade Agencies improve efficiency in administration of key trade processes.		01/11/2012	30/11/2017						There is very good progress towards realization of these outcomes
2.	Immediate Outcomes 1: Economic Operators and Trade agencies improve efficiency in execution of key trade processes.	Reduction in the average document processing Time (in Hours) for issuing Import/Export Permit	01/09/2015	31/12/2016	120	<24	2	4		
		Increase in process throughput for issuing Import/Export Permit	1/10/2015	30/06/2016	0	>15	778	5		
		Reduction in the average document processing cost (USD) for issuing an Import/Export Permit	30/06/2015	31/12/2016	80	<30	10	4		
3.	Immediate Outcomes 2: Trade Agencies and	% total number of approved transactions	31/03/2015	30/06/2016	0	>80	88	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	Economic Operators increase compliance in the application and observance of trade procedures.									
4.	Immediate Outcomes 3: Trade Agencies and Economic Operators improve competency in using the SWIFT	Increase in the total number of trained stakeholders able to complete a transaction on the SWIFT.	30/06/2015	30/06/2016	0	>75	103	4		
5.	Output 1: System Deployed	Number of Processes automated	06/06/2015	30/06/2016	0	4	4	4		Output realized
		Number of Processes re-engineered	16/06/2015	30/06/2016	0	>2	4	4		
		Number of Transactions done on the SWIFT	30/09/2015	30/09/2019	0	>1	89,123	5		
6.	Output 2: System to Systems Interface Deployed	Number of interfaces deployed	30/06/2016	30/06/2016	0	>3	2	2		Output realized
		Number of transactions done through interfaces	30/06/2016	30/06/2016	0	>1	500	5		
7.	Output 3: Change Management Plan Developed	% implementation of communications plan	08/01/2014	31/03/2016	0	>95	98	4		Output realized
		Number of usage surveys completed	01/07/2015	30/06/2016	0	>1	4	4		

#	Outcome / Output	Output /outcome Indicators	Timing		Baseline Data	Targets	Evaluation Results	Assessment	Confidence Levels	Evaluator's Comments
			Start	End						
	and Implemented									
Overall assessment of results at the TFDA								4		Very Good

ANNEX 6: ASSESSMENT OF THE SWIFT PROJECTS IT PROCESSES

This annex gives the assessment made by the evaluation team on the SWIFT projects IT processes in conformance to international best practices based on COBIT 5 principles and ISO/IEC 15504.

#	International Best Practices Process Group	Total Number of Best Practices Assessed	SCORES OF EACH SWIFT PROJECT ASSESSED																
			TD	KNCC	RDB	RALIS	TFDA	UNBS	PHS	PPB	RSB	RMOH	NAEB	RAB	ZFDA	NDA	MAAIF-CROP	MAAIF - LIVESTOCK	MAAIF - FISHERIES
COBIT 5 PRINCIPLES 1: MEETING STAKEHOLDER NEEDS																			
1.	Technical Requirements	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
2.	Project Requirements	7	7	6	7	7	7	7	7	6	6	7	7	7	7	7	7	7	7
Total Score		11	11	10	11	11	11	11	11	10	10	11	11	11	11	11	11	11	11
COBIT 5 PRINCIPLES 2: COVERING THE ENTERPRISE END-TO-END																			
3.	Documentation Management	5	1	5	5	5	5	4	5	5	5	5	5	5	5	5	4	4	4
4.	Configuration Management	5	5	4	5	5	5	5	5	5	4	5	5	5	5	5	5	5	5
5.	Problem Resolution Management	1	0	0	1	1	1	1	1	1	1	1	1	1	0	0	0	0	0
6.	Change Management	7	7	7	7	7	7	7	7	7	7	6	7	7	6	6	7	7	7
Total Score		18	13	16	18	18	18	17	18	18	17	17	18	18	16	16	16	16	16
COBIT 5 PRINCIPLES 3: APPLYING A SINGLE INTEGRATED FRAMEWORK																			
7.	System Requirements Analysis	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
8.	System Architectural Design	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
9.	Software Requirements Analysis	4	4	4	4	4	4	3	4	4	4	4	4	4	4	4	4	4	4
10.	Software Design	15	15	14	15	15	15	15	15	14	14	15	15	15	15	15	15	15	15
11.	Software Construction	4	4	4	4	4	4	4	4	3	4	4	4	4	4	4	4	4	4
12.	Systems Testing and Implementation	8	8	6	8	8	8	8	7	5	8	6	8	8	6	6	7	7	7
Total Score		43	43	40	43	43	43	42	42	38	42	41	43	43	41	41	42	42	42
COBIT 5 PRINCIPLES 4: ENABLING A HOLISTIC APPROACH																			
13.	Request for Proposals	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
14.	Supplier Qualification	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
15.	Contract Agreements	13	12	13	12	12	12	12	12	11	13	13	12	12	12	12	13	13	13
16.	Supplier Monitoring	6	4	3	6	4	4	4	6	4	6	4	6	4	4	4	6	6	6
17.	Risk Management	5	4	4	3	5	4	4	5	5	5	5	3	5	5	5	5	5	5
18.	Legal and Administrative Requirements	4	4	4	4	4	4	2	4	4	4	4	4	4	4	2	4	4	4
Total Score		34	30	30	31	31	30	28	33	30	34	32	31	31	31	29	34	34	34

#	International Best Practices Process Group	Total Number of Best Practices Assessed	SCORES OF EACH SWIFT PROJECT ASSESSED																
			TD	KNCC	RDB	RALIS	TFDA	UNBS	PHS	PPB	RSB	RMOH	NAEB	RAB	ZFDA	NDA	MAAIF-CROP	MAAIF-LIVESTOCK	MAAIF-FISHERIES
COBIT 5 PRINCIPLES 5: SEPARATING GOVERNANCE FROM MANAGEMENT																			
19	Project Management	10	10	8	10	10	10	10	10	6	10	10	10	10	9	10	10	10	10
20	Measurement	7	4	5	7	7	4	4	7	7	7	7	7	7	7	7	7	7	7
21	Requirement Elicitation	7	5	4	5	7	4	7	7	7	7	7	5	7	7	7	7	7	7
22	Quality Assurance	8	8	8	8	8	8	8	8	7	7	7	8	8	7	6	7	7	7
23	Verification	4	4	4	4	4	4	4	4	3	4	4	4	4	4	3	3	3	3
24	Joint Review	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
Total Score		42	37	35	40	42	36	39	42	36	41	41	40	42	40	39	40	40	40
OVERALL TOTAL SCORE:		148	134	131	143	145	138	137	146	132	144	142	143	145	139	136	143	143	143
OVERALL PERCENTAGE SCORE		100%	91%	89%	97%	98%	93%	93%	99%	89%	97%	96%	97%	98%	94%	92%	97%	97%	97%

ASSESSMENT CRITERIA OF THE SWIFT PROJECTS IT PROCESSES

#	SWIFT PROJECTS IT PROCESSES PERCENTAGE RATING	SWIFT PROJECTS PROCESSES PERFORMANCE ASSESSMENT CRITERIA
1.	100%	There is full and complete evidence that the assessed IT processes implemented by the SWIFT projects follow best practices and that they achieve their purpose.
2.	>85% to 99%	There is very significant evidence that the assessed IT processes implemented by the SWIFTS project follow best practices and that they achieve their purpose.
3.	>50% to 85%	There is significant evidence that the assessed IT processes implemented by the SWIFT projects follow best practices and that they achieve their purpose.
4.	>15% to 50%	There is partial evidence that the assessed IT processes implemented by the SWIFT projects follow best practices and that they achieve their purpose.
5.	0% to 15%	There is little or no evidence that the assessed IT processes implemented by the SWIFT projects follow best practices and that they achieve their purpose.

ANNEX 7: SWIFT PROJECTS IMPLEMENTATION AND MANAGEMENT ASSESSMENT

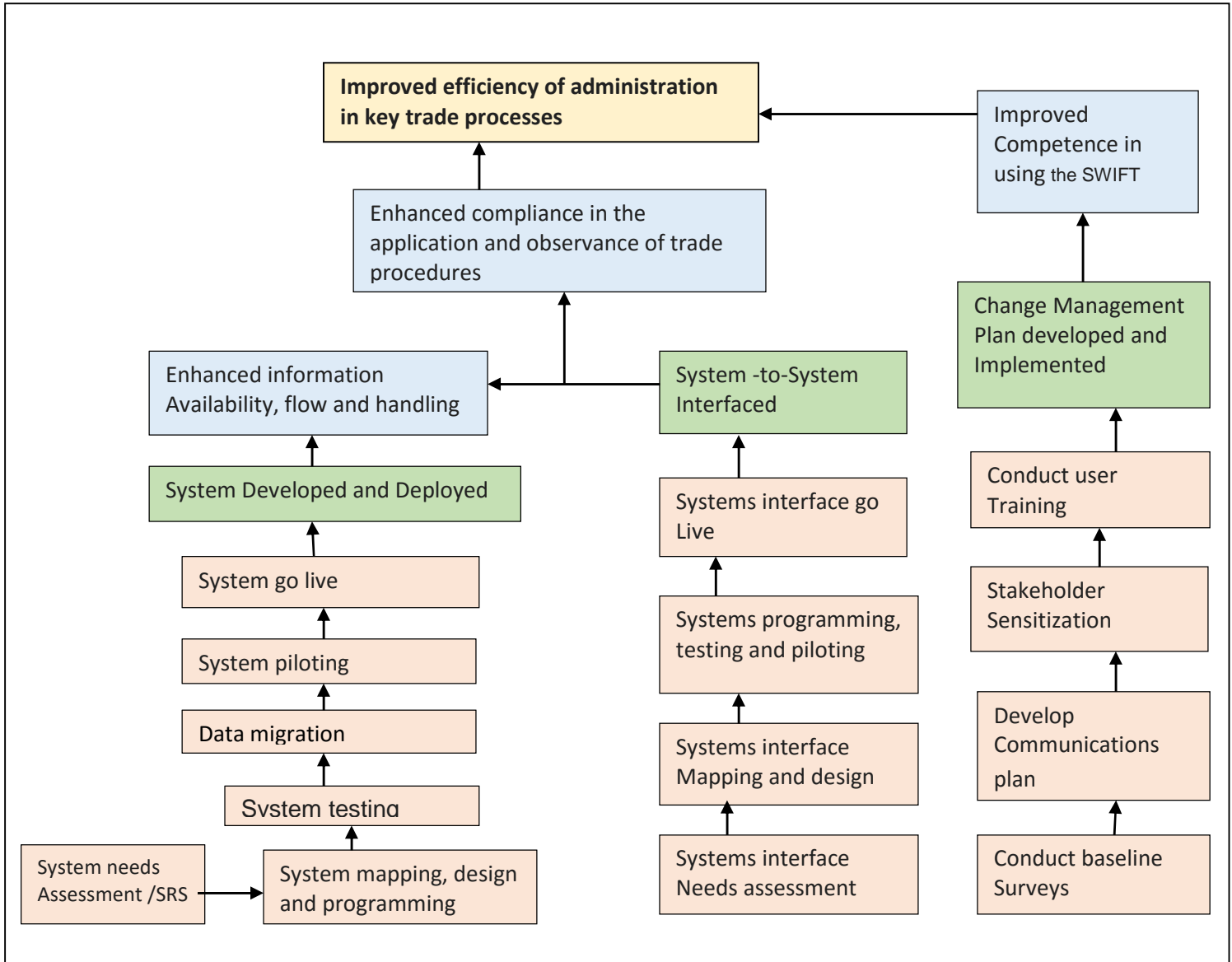
#	ABILITIES	ELEMENTS	DEFINITIONS	ELEMENTS SCORE	ABILITIES % SCORE	ABILITIES RATING
1.	ABILITY TO BE (Identity)	Governance	a. The role and functions of the SWIFT top management. b. The legal basis, MoUs or implementation agreements. c. The level of stakeholder ownership.	18	74%	Good
		Leadership	The abilities and qualities of the leadership (more than the Head).	14		
		Identity (Purpose, values, strategy)	a. Purpose or long term vision – what the SWIFTs wants to achieve. b. Values – what drives the stakeholders and TMEA. c. Strategy – the distinctive profile or individual identity of the TMEA.	27		
2.	ABILITY TO ORGANISE (Capacity)	Human resources	The capability to recruit, train, compensate and keep people with good technical and managerial skills.	23	71%	Good
		Systems and procedures	The capability to plan, implement/ manage and evaluate SWIFT projects.	14		
		Material and financial resources	The ability to secure sufficient financial support and material infrastructure.	16		
3.	ABILITY TO RELATE (Linkages)	Legitimacy and trust	The extent to which external stakeholders respect and have confidence in the SWIFT projects.	16	78%	Very Good
		Alliances and connections	The quality and effectiveness of links with national/ international partners.	19		
		Responsiveness	The level and type of response to external demands and pressures.	27		
4.	ABILITY TO DO (Performance)	Relevance & outcome	To what extent activities are perceived as relevant.	4	63%	Good
		Effectiveness	To what extent the SWIFT projects meets its short and long-term targets and objectives.	9		
		Sustainability	To what extent the SWIFT projects is able to sustain its activities without external technical and financial support.	12		
OVERALL ABILITIES RATING				199	72%	Good

ABILITIES RATINGS

Less than 45%	45%-59%	60%-74%	75%-99%	100%
Poor	Fair	Good	Very Good	Excellent

ANNEX 8: GENERIC RESULTS CHAINS FOR THE SWIFT PROJECTS

This was the results chain that was used to assess the sequence of planned project activities, results and the way they feed into the TMEA theory of Change.



KEY

	ACTIVITY
	OUTPUT
	SHORT TERM OUTCOME
	INTERMEDIATE OUTCOME

ANNEX 9: SWIFT PROJECTS POPULATION, SAMPLE SIZE AND RESPONSE RATES

This annex provided the population, sample size and number of respondents of the evaluation.

A	PHASE 1 SWIFTS PROJECTS	POPULATION	SAMPLE SIZE	NUMBER OF RESPONDENTS	
				INTERNAL	EXTERNAL
1.	Kenya National Chamber of Commerce and Industry (KNCCI)	707	85	4	47
2.	Tea Directorate (TD)	510	56	6	40
3.	Rwanda Development Board (RDB)	258	31	6	28
4.	Ministry of Agriculture (Minagri) - RALIS	355	42	6	37
5.	National Bureau of Standards (UNBS)	561	72	8	49
6.	Tanzania Food and Drug Authority (TFDA)	365	47	6	38
SUB-TOTAL		2,756	333	36	239
B	PHASE 2 SWIFTS PROJECTS (OPERATIONAL E-PORTALS)				
7.	Port Health Services (PHS)	308	98	18	47
8.	Rwanda Standards Board (RSB)	91	31	6	20
9.	Ministry of Agriculture (Minagri) - NAEB	32	12	4	6
10.	Rwanda Ministry of Health (RMOH)	61	24	6	21
11.	National Drug Authority (NDA).	119	48	7	17
SUB-TOTAL		611	213	41	111
12.	Pharmacy and Poisons Board (PPB)* (SWIFTS operational but not fully attributed to TMEA)	780	-	1	-
SUB-TOTAL		780	-	1	-
C	PHASE 2 SWIFTS PROJECTS (E-PORTALS NOT YET OPERATIONAL)*				
13.	**Ministry of Agriculture (Minagri) - RAB (Not yet operational- e-portal undergoing testing).	-	-	2	-
14.	Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) – Crop (Not yet operational - e-portal undergoing piloting).	347	-	1	2
15.	Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) - Fisheries (Not yet operational - e-portal undergoing piloting).	78	-	2	3
16.	Ministry of Agriculture, Animal Industry and Fisheries (MAAIF)- Livestock (Not yet operational - e-portal undergoing piloting)	320	-	2	-
17.	Zanzibar Food and Drug Board – ZFDB- (Not yet operational - e-portal undergoing piloting).	214	-	8	-
SUB-TOTAL		959	-	15	5
D	TRADEMARK EAST AFRICA				
18.	TradeMark East Africa (TMEA) SWIFT PROJECT STAFF	10	10	10	-
GRAND TOTAL		5,122	562	103	355

ANNEX 10: OVERALL ANALYSIS AND RESPONSES OF IMPORT/EXPORT TRADERS INTERVIEWED

Scale Ranking: 1-Far below expectations, 2-Below expectations, 3-Within expectations, 4-Above expectations and 5-Far above expectations

#	DESCRIPTIVE QUESTIONS	SCALE RANKING						OVERALL TOTAL RESPONSE	
		1	2	3	4	5	0		
1.	Extent to which training enabled use of e-portal	Number of responses	15	18	76	168	29	49	355
		% Responses	4%	5%	21%	47%	8%	14%	100%
2.	Extent E-portal simplified the work	Number of responses	23	12	83	200	35	2	355
		% Responses	6%	3%	23%	56%	10%	1%	100%
3.	E-portal contributed to reduction in the time to transact business	Number of responses	12	15	65	228	29	6	355
		% Responses	3%	4%	18%	64%	8%	2%	100%
4.	E-portal contributed to improvement of services provided by trade agency	Number of responses	20	27	63	206	28	11	355
		% Responses	6%	8%	18%	58%	8%	3%	100%
5.	E-portal contributed to reduction in the cost of doing your business	Number of responses	13	18	63	193	35	33	355
		% Responses	4%	5%	18%	54%	10%	9%	100%

ANNEX 11: COMPARISON OF STATISTICS FROM THE FIELD SURVEY AND BASELINES ON DOCUMENT PROCESSING TIME BEFORE THE SWIFT INTERVENTION

ANNEX 11A: PHASE 1 EVALUATION COMPARISON OF THE FIELD SURVEY BASELINES AND DOCUMENTS REVIEWED BASELINES ON DOCUMENT PROCESSING TIME BEFORE THE SWIFT INTERVENTION

Phase 1 Likert scale (LS) : 5 = within 4 hours; 4 = within 5 to 8 hours; 3 = within 2 to 3 days; 2 = within 4 to 5 days; 1 = more than 5 days

#	SWIFT	Data Source & Time	Number of respondents (N)	% N indicated document processing time within 4 hours (LS=5)	% N indicated document processing time within 5 to 8 hours (LS=4)	% N indicated document processing time within 2 to 3 days (LS=3)	% N indicated document processing time within 4 to 5 days (LS=2)	% N indicated document processing time was more than 5 days (LS=1)	Average Likert Scale Point Calculated using SPSS	Average time computed from the field survey using SPSS (Hours)	Average Time from Case Study (Hours)	Average Baseline data from documents reviewed (Hours)	Average baseline time used in the report (Hours)
1.	KNCCI- Coo	Traders -direct	43	23%	33%	28%	9%	7%	4	6.5	48	60 (AR) 48 (PAR) 24 (MP)	48
		Traders -Indirect	44	18%	41%	36%	5%	0%	4	6.5			
		KNCCI Staff	3	0%	0%	67%	0%	33%		60			
2.	TD- export registration	Traders- Direct	13	8%	31%	23%	0%	38%	2	108		192 (AR) 120 (BR) N/A (MP)	120
		Traders- Indirect	13	15%	46%	8%	15%	15%	4	6.5			
		TD Staff	6	0%	17%	17%	17%	49%		108			
3.	UNBS- import clearance	Traders- Direct	46	41%	41%	4%	11%	2%	4	6.5	48	48 (BR) 8 (AR)	48
		Traders- Indirect	45	44%	38%	2%	16%	0%	4	6.5			
		UNBS Staff	8	29%	42%	29%	0%	0%		6.5			
4.	TFDA- import clearance	Traders- Direct	38	3%	21%	29%	39%	8%	3	60	48	135 (BR- Drugs only) 186 (AR)	120
		Indirect	38	11%	37%	18%	29%	5%	3	60			
		TFDA Staff	7	0%	0%	57%	43%	0%		60			
5.	RDB - Investment Certificates	Traders- Direct	6	0%	0%	17%	33%	50%	1	144		26 (MP) 96 (AR, BR) 96 (AR) 480 (AR)	Tax Exemptions processing after issuance of Investment certificate & EIA: 96
		Traders- Indirect	6	33%	67%	0%	0%	0%	4	6.5			
		RDB Staff	5	0%	20%	0%	20%	60%		144			
		Traders- Direct	23	0%	0%	0%	35%	65%	1	1,440			
		Traders- Indirect	21	24%	29%	14%	14%	19%	3	60			
6.	RALIS- import and phytosanitary certificates	Traders- Direct	36	14%	31%	19%	17%	19%	3	60		24 (MP) 24 (BR)	24
		Traders- Indirect	36	19%	51%	8%	8%	14%	4	6.5			
		RALIS Staff	4	20%	80%	0%	0%	0%		6.5			
Overall average time before Intervention												76 hours (3.2 Days)	

ANNEX 11B: PHASE 2 EVALUATION COMPARISON OF THE FIELD SURVEY BASELINES AND DOCUMENTS REVIEWED BASELINES ON DOCUMENT PROCESSING TIME BEFORE THE SWIFT INTERVENTION

Phase 2 Likert scale (LS): 5 = less than 4 hours; 4 = within 4 to 8 hours; 3 = within 9 to 24 hours; 2 = within 2 to 3 days; 1 = was more than 3 days

No	SWIFT	Source of Data & Time	Number of respondents (N)	% N indicated document processing time less than 4 hours (LS=5)	% N indicated document processing time within 4 to 8 hours (LS=4)	% N indicated document processing time within 9 to 24 hours (LS=3)	% N indicated document processing time within 2 to 3 days (LS=2)	% N indicated document processing time was more than 3 days (LS=1)	Average Likert Scale Point Calculated using SPSS	Average time computed from the field survey (Hours)	Average baseline data from documents reviewed (Hours)	Average baseline time used in the report (Hours)
1.	PHS	Traders-Direct	47	0%	4%	7%	63%	26%	2	60	24 (MP& PAR)	76
		Traders-Indirect	47	0%	9%	53%	15%	23%	3	16.5		
		PHS Staff	18	0%	5%	21%	27%	47%		60		
2.	NDA	Traders-Direct	16	6%	0%	13%	25%	56%	1	168	24 (MP) 124 (BR)	184
		Indirect	16	31%	19%	6%	19%	25%	3	16.5		
		Traders-NDA Staff	7	29%	28%	0%	0%	43%		480		
3.	RSB	Traders-Direct	21	5%	19%	38%	19%	19%	3	16.5	32 (MP)	32
		Traders-Indirect	29	5%	14%	29%	14%	38%	3	16.5		
		RSB Staff	6	0%	0%	25%	75%	0%		60		
4.	NAEB	Traders-Direct	6	17%	49%	17%	0%	17%	4	6	8 (MP)	12
		Traders-Indirect	6	17%	66%	0%	17%	0%	4	6		
		NAEB Staff	4	0%	75%	25%	0%	0%		0%		
5.	RMOH	Traders-Direct	21	0%	5%	0%	14%	81%	1	168	72 (MP)	184
		Traders-Indirect	21	0%	57%	19%	10%	14%	3	16.5		
		RMOH Staff	6	0%	0%	0%	100%	0%		60		
Overall average time before Intervention											97.6 hours (4 days)	

ANNEX 12: COMPARISON OF E- PORTAL STATISTICS WITH RESULTS OF THE FIELD SURVEY ON DOCUMENT PROCESSING TIME AFTER THE SWIFT INTERVENTION

ANNEX 12A: PHASE 1 EVALUATION COMPARISON OF ACTUAL E- PORTAL DATA WITH DATA FROM FIELD SURVEY ON DOCUMENT PROCESSING TIME AFTER THE SWIFT INTERVENTION

Phase 1 Likert scale (LS): 5 = within 1 to 4 hours; 4 = within 5 to 8 hours; 3 = within 2 to 3 days; 2 = within 4 to 5 days; 1 = was more than 5 days

#	SWIFT	Source of Data & Time	Number of respondents (N)	% N indicated document processing time 1 to 4 hours (LS=5)	% N indicated document processing time within 5 to 8 hours (LS=4)	% N indicated document processing time within 2 to 3 days (LS=3)	% N indicated document processing time within 4 to 5 days (LS=2)	% N indicated document processing time was > 5 days (LS=1)	Average Likert Scale Point Calculated using SPSS	Average time computed (Hours)	Average Time from Case Study (Hours)	Time from Documents Reviewed (Hours)	Set time target from documents reviewed (Hours)	Average time used in the report (Hours)
1.	KNCCI- certificate of origin	e-portal	Transactions = 5,361	72%	3%	8%	15%	2%		2 hours		3 (AR)	<1 (MP & PAR) < 12 (AR)	2
		Field Survey	N = 42	65%	26%	5%	2%	2%	5	2.5 hours	1			
2.	TD- export registration	e-portal	Transactions = 13,570	45%	11%	33%	7%	4%		4 hours		18 (MP)	<12 (MP)	4
		Field Survey	N = 12	58%	33%	9%	0%	0%	5	2.5 hours				
3.	UNBS- import clearance	e-portal	Transactions = 39,683	78%	1%	10%	3%	8%		2 hours		0.75 (MP) 1 (AR)	<1 (MP)	2
		Field Survey	N = 44	93%	7%	0%	0%	0%	5	2.5 hours	2			
4.	TFDA- import clearance	e-portal	Transactions = 2,242	72%	2%	11%	12%	3%		2 hours	<8	2 (MP)	<24 (MP)	2
		Field Survey	N = 42	55%	21%	24%	0%	0%	5	2.5 hours				
5.	RDB -Investment Certificates	e-portal	Transactions = 63	0%	2%	32%	30%	36%		108	6 (MP &AR)	<48 (AR) < 24 (MP)	Tax Exemptions processing after issuance of Investment certificate and EIA: = 2 hours	
		Field Survey	N = 6	17%	17%	50%	0%	16%	3	60				
	RDB - EIA Certificates	e-portal	Transactions = 240	0%	0%	0%	0%	100%		1,440				
		Field Survey	N = 21	47%	19%	19%	5%	10%	4	6.5				
6.	RALIS- import and phytosanitary certificates	e-portal	Transactions = 3,720	55%	30%	10%	5%	0%		2	<5 (MP)	<6 (MP)	2	
		Field Survey	N = 36	47%	33%	9%	11%	0%	5	2.5				
Overall average time after Intervention													2.3 Hours	

Note: Automation of the key trade processes eliminated physical movements and related time spent travelling to and from the trade agencies and waiting to submit physical documents and also waiting for responses hence making the indirect time negligible.

ANNEX 12B: PHASE 2 EVALUATION COMPARISON OF E- PORTAL STATISTICS WITH RESULTS OF THE FIELD SURVEY ON DOCUMENT PROCESSING TIME AFTER THE SWIFT INTERVENTION

Phase 2 Likert scale (LS): 5 = less than 4 hours; 4 = within 4 to 8 hours; 3 = within 9 to 24 hours; 2 = within 2 to 3 days; 1 = was more than 3 days

No	SWIFT	Source of Data & Time	Number of respondents (N)	% N indicated document processing time less than 4 hours (LS=5)	% N indicated document processing time within 4 to 8 hours (LS=4)	% N indicated document processing time within 9 to 24 hours (LS=3)	% N indicated document processing time within 2 to 3 days (LS=2)	% N indicated document processing time was more than 3 days (LS=1)	Average Likert Scale Calculated using SPSS	Average time computed from the field survey (Hours)	Time from documents reviewed (Hours)	Set time targets from documents reviewed (Hours)	Average time used in the report (Hours)
1.	PHS	e-portal	Transactions = 4,229	0%	31%	59%	10%	0%		12	12 (MP)	<24 (MP &PAR)	12
		Field Survey	Respondents = 47	47%	32%	13%	8%	0%	4	6			
2.	NDA	e-portal	Transactions = 4,607	0%	0%	0%	90%	10%		60	N/A (MP)	<12 (MP) < 2 (MP)	60
		Field Survey	Respondents= 17	13%	18%	18%	38%	13%	2	60			
3.	RSB	e-portal	Transactions = 160,138	90%	6%	4%	0%	0%		2	2 (MP)	<2 (MP)	2
		Field Survey	Respondents = 20	67%	19%	9%	5%	0%	5	2			
4.	NAEB	e-portal	Transactions = 3,906	71%	15%	8%	5%	1%		2	6 (MP)	<=8 (MP)	2
		Field Survey	Respondents = 6	50%	50%	0%	0%	0%	4.5	4			
5.	RMOH	e-portal	Transactions = 1,062	0%	0%	90%	7%	3%		16	2 (MP)	<12 (MP)	16
		Field Survey	Respondents = 21	14%	0%	29%	57%	0%	3	16.5			
Overall average time after Intervention												18.4 hours	

Note: Automation of the key trade processes eliminated physical movements and related time spent travelling to and from the trade agencies and waiting to submit physical documents and also waiting for responses hence making the indirect time negligible.

ANNEX 13: COMPARISON OF THE STATISTICS FROM THE FIELD SURVEY AND BASELINES ON DOCUMENT PROCESSING COST BEFORE THE SWIFT INTERVENTION

ANNEX 13A: PHASE 1 EVALUATION COMPARISON OF THE FIELD SURVEY BASELINES AND DOCUMENTS REVIEWED BASELINES ON DOCUMENT PROCESSING COST BEFORE THE SWIFT INTERVENTION

Likert scale (LS) used in phase 1: 5 = within US\$1 to US\$20; 4 = within US\$21 to US\$40; 3 = within US\$41 to US\$60; 2 = within US\$61 to US\$100; 1 = > US\$100

#	SWIFT	Data Source & Cost	Number of respondents (N)	% N indicated document processing cost within US\$1 to US\$20 (LS=5)	% N indicated document processing cost within US\$21 to US\$40 (LS=4)	% N indicated document processing cost within US\$41 to US\$60 (LS=3)	% N indicated document processing cost within US\$61 to US\$100 (LS=2)	% N indicated document processing cost was > US\$100 (LS=1)	Average Likert Scale Calculated using SPSS	Average cost computed from the field survey (US\$)	Average Cost from Case Study (US\$)	Baseline data from documents reviewed (US\$)	Average baseline cost used in the report (US\$)
1.	KNCCI- CoO	Trader- Direct	43	51%	37%	12%	0%	0%	4	US\$ 30	60	150 (AR) 100 (MP) 75 to 100 (PAR)	88
		Trader- Indirect	43	49%	44%	7%	0%	0%	4	US\$ 30			
2.	TD- export registration on	Trader- Direct	13	46%	38%	0%	8%	8%	4	US\$ 30	60	58 (BR) 20 (AR)	60
		Trader- Indirect	13	53%	24%	15%	8%	0%	4	US\$ 30			
3.	UNBS- import clearance	Trader- Direct	48	42%	44%	14%	0%	0%	4	US\$ 30	80	80 (BR) 200 (AR)	80
		Trader- Indirect	32	69%	19%	6%	3%	3%	4	US\$ 30			
4.	TFDA- import clearance	Trader- Direct	38	24%	37%	13%	21%	5%	4	US\$ 30	100	80 (BR) 375 (MP)	80
		Trader- Indirect	38	24%	32%	13%	26%	5%	3	US\$ 50			
5.	RDB - Investment Certificates	Trader- Direct	6	50%	33%	17%	0%	0%	4	US\$ 30	60	25 (MP)	60
		Trader- Indirect	6	83%	17%	0%	0%	0%	5	US\$ 10			
		Trader- Direct	22	54%	14%	14%	9%	9%	4	US\$ 30			
		Trader- Indirect	23	30%	39%	13%	13%	4%	4	US\$ 30			
6.	RALIS- import and phytosanitary certificates	Trader- Direct	35	54%	23%	14%	0%	9%	4	US\$30	60	20 (MP)	60
		Trader- Indirect	36	58%	22%	14%	0%	6%	4	US\$ 30			
Overall average cost before Intervention											US\$ 71.3		

ANNEX 13B: PHASE 2 EVALUATION COMPARISON OF THE FIELD SURVEY BASELINES AND DOCUMENTS REVIEWED BASELINES ON DOCUMENT PROCESSING COST BEFORE THE SWIFT INTERVENTION

Likert scale (LS) used in phase 2: 5 = less than US\$1; 4 = within US\$1 to US\$20; 3 = within US\$21 to US\$40; 2 = within US\$41 to US\$60; 1 = > US\$60

No	SWIFT	Data Source & Cost	Number of respondents (N)	% N indicated document processing cost less than US\$1 (LS=5)	% N indicated document processing cost within US\$1 to US\$20 (LS=4)	% N indicated document processing cost within US\$21 to US\$40 (LS=3)	% N indicated document processing cost within US\$41 to US\$60 (LS=2)	% Number of respondents that indicated document processing cost was > US\$60 (LS=1)	Average Likert Scale Point Calculated using SPSS	Average cost computed from the field survey (US\$)	Baseline data from documents reviewed (US\$)	Average baseline cost used in the report (US\$)
1.	PHS	Trader-Direct	47	0%	22%	36%	19%	23%	3	US\$ 30	5.5 (PAR) 15 (MP)	60
		Trader-Indirect	47	2%	21%	33%	23%	21%	3	US\$ 30		
2.	NDA	Trader-Direct	16	0%	50%	44%	0%	6%	3	US\$ 30	200 (BR)	60
		Trader-Indirect	16	6%	50%	31%	0%	13%	3	US\$ 30		
3.	RSB	Trader-Direct	21	0%	57%	33%	5%	5%	3	US\$ 30	N/A	40
		Trader-Indirect	21	0%	66%	29%	0%	5%	4	US\$ 10		
4.	NAEB	Trader-Direct	6	0%	50%	50%	0%	0%	3.5	US\$ 20	N/A	30
		Trader-Indirect	6	0%	83%	17%	0%	0%	4	US\$ 10		
5.	RMOH	Trader-Direct	21	0%	85%	10%	0%	5%	4	US\$ 10	140 (MP & AR)	20
		Trader-Indirect	21	5%	71%	19%	5%	0%	4	US\$ 10		
Overall average cost before Intervention											US\$42	

ANNEX 14: COMPARISON OF E-PORTAL STATISTICS WITH FIELD SURVEY RESULTS ON DOCUMENT PROCESSING COST AFTER THE SWIFT INTERVENTION

ANNEX 14A: PHASE 1 EVALUATION COMPARISON OF FIELD SURVEY RESULTS AND DOCUMENTS REVIEWED ON DOCUMENT PROCESSING COST AFTER THE SWIFT INTERVENTION

Likert scale (LS) used in phase 1: 5 = within US\$1 to US\$20; 4 = within US\$21 to US\$40; 3 = within US\$41 to US\$60; 2 = within US\$61 to US\$100; 1 = > US\$100

No.	SWIFT	Number of respondents (N)	% N indicated document processing cost within US\$1 to US\$20 (LS=5)	% N indicated document processing cost within US\$21 to US\$40 (LS=4)	% N indicated document processing cost within US\$41 to US\$60 (LS=3)	% N indicated document processing cost within US\$61 to US\$100 (LS=2)	% Number of respondents that indicated document processing cost was > US\$100 (LS=1)	Average Likert Scale Point Calculated using SPSS	Average cost computed from the field survey (US\$)	Average Cost from Case Study (US\$)	Cost from the documents reviewed	Set cost targets in documents reviewed (US\$)	Average cost used in the report (US\$)
1.	KNCCI- certificate of origin	44	86%	11%	3%	0%	0%	5	US\$ 10	Almost 0	20 (AR)	<75 (AR) <10 (MP) <10 (PAR)	US\$ 10
2.	TD- export registration	36	85%	3%	6%	6%	0%	5	US\$ 10	N/A	N/A	< 15 (AR)	US\$ 10
3.	UNBS- import clearance	42	98%	2%	0%	0%	0%	5	US\$ 10	10	0 (AR)	<75 (AR)	US\$ 10
4.	TFDA- import clearance	38	76%	13%	3%	3%	5%	5	US\$ 10	27	20 (MP)	<30 (MP)	US\$ 10
5.	RDB -Investment Certificates	6	83%	17%	0%	0%	0%	5	US\$ 10	N/A	N/A (MP)	<100 (AR)	US\$ 10
	RDB – EIA Certificates	23	74%	26%	0%	0%	0%	5					
6.	RALIS- import and phytosanitary certificates	35	91%	3%	0%	0%	6%	5	US\$ 10	N/A	3 (MP)	<10 (MP)	US\$ 10
											Overall average Cost After Intervention	US\$ 10	

Note: Automation of the key trade processes eliminated physical movements and related cost spent travelling to and from the trade agencies, waiting to submit physical documents and pick physical copies of the responses hence making the indirect cost negligible.

ANNEX 14B: PHASE 2 EVALUATION COMPARISON OF FIELD SURVEY RESULTS AND DOCUMENTS REVIEWED ON DOCUMENT PROCESSING COST AFTER THE SWIFT INTERVENTION

Likert scale (LS) used in phase 2: 5 = less than US\$1; 4 = within US\$1 to US\$20; 3 = within US\$21 to US\$40; 2 = within US\$41 to US\$60; 1 = > US\$60

No.	SWIFT	Number of respondents (N)	% N indicated processing cost less than US\$1 (LS=5)	% N indicated document processing cost within US\$1 to US\$20 (LS=4)	% N indicated document processing cost within US\$21 to US\$40 (LS=3)	% N indicated document processing cost within US\$41 to US\$60 (LS=2)	% Number of respondents that indicated document processing cost was > US\$60 (LS=1)	Average Likert Scale Point Calculated using SPSS	Average cost computed from the field survey (US\$)	Cost from documents reviewed	Set cost targets in documents reviewed	Average cost used in the report (US\$)
1.	PHS	47	40%	48%	6%	4%	2%	4	US\$10	0 (MP)	=< 15 (MP)	US\$10
2.	NDA	16	38%	56%	6%	0%	0%	4	US\$10	N/A	< 20 (MP)	US\$10
3.	RSB	21	81%	19%	0%	0%	0%	5	US\$1	N/A	N/A	US\$1
4.	NAEB	06	50%	50%	0%	0%	0%	4.5	US\$6	N/A	N/A	US\$6
5.	RMOH	21	90%	10%	0%	0%	0%	5	US\$1	N/A	=<50 (MP)	US\$1
Overall average Cost After Intervention												US\$5.6

Note: Automation of the key trade processes eliminated physical movements and related cost spent travelling to and from the trade agencies, waiting to submit physical documents and pick physical copies of the responses hence making the indirect cost negligible.

ANNEX 15: COMPUTATION OF THE COST-BENEFIT OF THE SWIFT PROJECTS

Discount Rate	10.0%
Projected Growth Rate	1%
Benefit confidence factor	95%

1. KNCCI	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024
Undiscounted Flows										
Costs	(57,500)	(99,050)	(15,655)	(15,655)	(15,655)	(15,655)	(15,655)	(15,655)	(15,655)	(15,655)
Benefits	-	397,250	401,223	405,235	409,288	413,380	417,514	421,689	425,906	430,165
Net Cash Flow	(57,500)	298,200	385,568	389,580	393,633	397,725	401,859	406,034	410,251	414,510
Base Year: 2015										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(57,500)	(90,045)	(12,938)	(11,762)	(10,693)	(9,721)	(8,837)	(8,033)	(7,303)	(6,639)
Benefits	-	361,136	331,589	304,459	279,549	256,677	235,676	216,393	198,688	182,432
Net	(57,500)	271,091	318,651	292,697	268,856	246,956	226,839	208,360	191,385	175,793
Cumulative	(57,500)	213,591	532,242	824,939	1,093,796	1,340,752	1,567,590	1,775,950	1,967,335	2,143,128
Net Present Value:: 2,143,127.64										
Internal Rate of Return: 542%										
2. TD	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Undiscounted Flows										
Costs	-\$65,666	-\$65,666	-\$66,198	-\$19,753	-\$19,753	-\$19,753	-\$19,753	-\$19,753	-\$19,753	-\$19,753
Benefits	\$0	\$0	\$0	\$102,462	\$559,598	\$565,194	\$570,846	\$576,554	\$582,320	\$588,142
Net Cash Flow	-\$65,666	-\$65,666	-\$66,198	\$82,709	\$539,845	\$545,441	\$551,093	\$556,801	\$562,567	\$568,389
Base Year: 2012										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.0000	0.9091	0.8264	0.7513	0.6830	0.6209	0.5645	0.5132	0.4665	0.4241
Discounted Flows										
Costs	-\$65,666	-\$59,696	-\$54,709	-\$14,841	-\$13,492	-\$12,265	-\$11,150	-\$10,136	-\$9,215	-\$8,377

Benefits	\$0	\$0	\$0	\$76,981	\$382,213	\$350,941	\$322,227	\$295,863	\$271,656	\$249,430
Net	-\$65,666	-\$59,696	-\$54,709	\$62,141	\$368,721	\$338,676	\$311,077	\$285,727	\$262,441	\$241,052
Cumulative	-\$65,666	-\$125,362	-\$180,071	-\$117,931	\$250,790	\$589,466	\$900,544	\$1,186,271	\$1,448,712	\$1,689,764
Net Present Value: \$1,689,764										
Internal Rate of Return: 82%										
3. RALIS	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Undiscounted Flows										
Costs	(24,800)	(24,800)	(24,800)	(24,800)	(24,800)	(7,440)	(7,440)	(7,440)	(7,440)	(7,440)
Benefits	-	-	-	-	161,880	245,787	248,245	250,727	253,235	255,767
Net Cash Flow	(24,800)	(24,800)	(24,800)	(24,800)	137,080	238,347	240,805	243,287	245,795	248,327
Base Year:: 2012										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(24,800)	(22,545)	(20,496)	(18,633)	(16,939)	(4,620)	(4,200)	(3,818)	(3,471)	(3,155)
Benefits	-	-	-	-	110,566	152,614	140,128	128,663	118,136	108,470
Net	(24,800)	(22,545)	(20,496)	(18,633)	93,627	147,995	135,928	124,845	114,665	105,315
Cumulative	(24,800)	(47,345)	(67,841)	(86,474)	7,154	155,148	291,076	415,921	530,586	635,901
Net Present Value: 635,901										
Internal Rate of Return: 71%										
4. RDB	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022
Undiscounted Flows										
Costs	(39,333)	(39,333)	(51,671)	(7,820)	(7,820)	(7,820)	(7,820)	(7,820)	(7,820)	(7,820)
Benefits	-	-	14,573	117,819	118,997	120,187	121,389	122,603	123,829	125,068
Net Cash Flow	(39,333)	(39,333)	(37,098)	109,999	111,177	112,367	113,569	114,783	116,009	117,248
Base Year										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42

Discounted Flows										
Costs	(39,333)	(35,757)	(42,703)	(5,875)	(5,341)	(4,856)	(4,414)	(4,013)	(3,648)	(3,316)
Benefits	-	-	12,044	88,519	81,277	74,627	68,521	62,915	57,767	53,041
Net	(39,333)	(35,757)	(30,660)	82,644	75,935	69,771	64,107	58,902	54,119	49,724
Cumulative	(39,333)	(75,090)	(105,750)	(23,106)	52,829	122,601	186,708	245,609	299,728	349,453
Net Present Value: 349,453										
Internal Rate of Return: 55%										
5. TFDA	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Undiscounted Flows										
Costs	(71,250)	(71,250)	(71,250)	(71,250)	(75,987)	(36,099)	(36,099)	(36,099)	(36,099)	(36,099)
Benefits	-	-	-	267,995	1,004,882	1,014,931	1,025,079	1,035,330	1,045,684	1,056,141
Net Cash Flow	(71,250)	(71,250)	(71,250)	196,745	928,895	978,832	988,980	999,231	1,009,585	1,020,042
Base Year 2012										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(71,250)	(64,773)	(58,884)	(53,531)	(51,900)	(22,415)	(20,377)	(18,524)	(16,840)	(15,309)
Benefits	-	-	-	201,349	686,348	630,192	578,631	531,288	487,819	447,907
Net	(71,250)	(64,773)	(58,884)	147,817	634,447	607,777	558,254	512,763	470,979	432,597
Cumulative	(71,250)	(136,023)	(194,907)	(47,090)	587,358	1,195,135	1,753,389	2,266,152	2,737,131	3,169,729
Net Present Value:: 3,169,729										
Internal Rate of Return 107%										
6. UNBS	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Undiscounted Flows										
Costs	(29,250)	(29,250)	(29,250)	(46,977)	(8,084)	(8,084)	(8,084)	(8,084)	(8,084)	(8,084)
Benefits	-	-	-	674,044	2,625,686	2,651,943	2,678,462	2,705,247	2,732,300	2,759,623
Net Cash Flow	(29,250)	(29,250)	(29,250)	627,067	2,617,602	2,643,859	2,670,378	2,697,163	2,724,216	2,751,539

Base Year: 2012										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(29,250)	(26,591)	(24,174)	(35,295)	(5,521)	(5,020)	(4,563)	(4,148)	(3,771)	(3,428)
Benefits	-	-	-	506,419	1,793,379	1,646,648	1,511,922	1,388,219	1,274,638	1,170,349
Net	(29,250)	(26,591)	(24,174)	471,125	1,787,857	1,641,628	1,507,359	1,384,071	1,270,867	1,166,921
Cumulative	(29,250)	(55,841)	(80,014)	391,110	2,178,968	3,820,596	5,327,955	6,712,026	7,982,893	9,149,814
Net Present Value: 9,149,814										
Internal Rate of Return: 248%										
7. PHS										
	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024
Undiscounted Flows										
Costs	(53,500)	(24,544)	(4,683)	(4,683)	(4,683)	(4,683)	(4,683)	(4,683)	(4,683)	(4,683)
Benefits	-	-	337,298	340,671	344,078	347,518	350,993	354,503	358,048	361,629
Net Cash Flow	(53,500)	(24,544)	332,615	335,988	339,395	342,835	346,310	349,820	353,365	356,946
Base Year: 2015										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(53,500)	(22,313)	(3,870)	(3,518)	(3,199)	(2,908)	(2,643)	(2,403)	(2,185)	(1,986)
Benefits	-	-	278,758	255,951	235,010	215,781	198,126	181,916	167,032	153,366
Net	(53,500)	(22,313)	274,888	252,433	231,811	212,873	195,483	179,513	164,848	151,380
Cumulative	(53,500)	(75,813)	199,075	451,508	683,319	896,192	1,091,675	1,271,188	1,436,036	1,587,416
Net Present Value:: 1,587,416										
Internal Rate of Return: 187%										
8. RSB										
	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Undiscounted Flows										
Costs	(40,185)	(142,544)	(19,900)	(29,281)	(6,000)	(23,791)	(23,791)	(23,791)	(23,791)	(23,791)

Benefits	-	-	-	1,194,863	2,390,096	2,437,520	2,461,895	2,486,513	2,511,379	2,536,492
Net Cash Flow	(40,185)	(142,544)	(19,900)	1,165,582	2,384,096	2,413,729	2,438,104	2,462,722	2,487,588	2,512,701
Discount Rate: 10%										
Base Year	2012									
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(40,185)	(129,585)	(16,446)	(21,999)	(4,098)	(14,772)	(13,429)	(12,209)	(11,099)	(10,090)
Benefits	-	-	-	897,718	1,632,467	1,513,508	1,389,675	1,275,974	1,171,577	1,075,720
Net	(40,185)	(129,585)	(16,446)	875,719	1,628,369	1,498,735	1,376,246	1,263,766	1,160,478	1,065,631
Cumulative	(40,185)	(169,770)	(186,217)	689,502	2,317,871	3,816,607	5,192,853	6,456,618	7,617,097	8,682,727
Net Present Value:: 8,682,727										
Internal Rate of Return: 197%										
9. RMOH	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025
Undiscounted Flows										
Costs	-53,751	-53,751	-6,450	-6,450	-6,450	-6,450	-6,450	-6,450	-6,450	-6,450
Benefits	-	27,562	37,558	37,934	38,314	38,696	39,083	39,474	39,869	40,268
Net Cash Flow	-53,751	-26,189	31,108	31,484	31,864	32,246	32,633	33,024	33,419	33,818
Base Year: 2016										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.0000	0.9091	0.8264	0.7513	0.6830	0.6209	0.5645	0.5132	0.4665	0.4241
Discounted Flows										
Costs	-53,751	-48,865	-5,331	-4,846	-4,405	-4,005	-3,641	-3,310	-3,009	-2,735
Benefits	-	25,057	31,040	28,500	26,169	24,027	22,061	20,257	18,599	17,077
Net	-53,751	-23,808	25,709	23,654	21,763	20,022	18,420	16,947	15,590	14,342
Cumulative	-53,751	-77,559	-51,850	-28,196	-6,432	13,590	32,011	48,957	64,547	78,889
Net Present Value: \$78,889										
Internal Rate of Return: 29%										

10. NAEB	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023
Undiscounted Flows										
Costs	(81,040)	(4,860)	(4,860)	(4,860)	(4,860)	(4,860)	(4,860)	(4,860)	(4,860)	(4,860)
Benefits	-	11,149	44,597	45,042	45,494	45,948	46,408	46,872	47,340	47,814
Net Cash Flow	(81,040)	6,289	39,737	40,182	40,634	41,088	41,548	42,012	42,480	42,954
Base Year: 2014										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(81,040)	(4,418)	(4,017)	(3,651)	(3,319)	(3,018)	(2,743)	(2,494)	(2,267)	(2,061)
Benefits	-	10,136	36,857	33,841	31,073	28,530	26,196	24,053	22,085	20,278
Net	(81,040)	5,717	32,840	30,190	27,753	25,512	23,452	21,559	19,817	18,216
Cumulative	(81,040)	(75,323)	(42,482)	(12,293)	15,461	40,973	64,425	85,984	105,802	124,018
Net Present Value: 124,018										
Internal Rate of Return: 36%										
11. NDA	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023
Undiscounted Flows										
Costs	(4,791)	(35,474)	(83,410)	(29,366)	(15,304)	(15,304)	(15,304)	(15,304)	(15,304)	(15,304)
Benefits	-	-	-	44,460	134,714	136,061	137,421	138,796	140,184	141,585
Net Cash Flow	(4,791)	(35,474)	(83,410)	15,094	119,410	120,757	122,117	123,492	124,880	126,281
Base Year: 2014										
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(4,791)	(32,249)	(68,934)	(22,063)	(10,453)	(9,503)	(8,639)	(7,853)	(7,139)	(6,490)
Benefits	-	-	-	33,403	92,011	84,483	77,571	71,224	65,397	60,046
Net	(4,791)	(32,249)	(68,934)	11,340	81,559	74,981	68,932	63,371	58,257	53,556
Cumulative	(4,791)	(37,040)	(105,974)	(94,634)	(13,075)	61,905	130,837	194,208	252,466	306,021
Net Present Value:: 306,021										

Internal Rate of Return: 53%										
12. OVERALL	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Undiscounted Flows										
Costs	(231,151)	(372,843)	(336,562)	(395,066)	(408,059)	(211,302)	(149,939)	(149,939)	(149,939)	(149,939)
Benefits	-	-	-	2,151,832	6,936,716	7,495,458	7,664,966	7,741,614	7,819,033	7,897,221
Net Cash Flow	(231,151)	(372,843)	(336,562)	1,756,766	6,528,657	7,284,156	7,515,027	7,591,675	7,669,094	7,747,282
Base Year	2012									
Year Index	0	1	2	3	4	5	6	7	8	9
Discount Factor	1.00	0.91	0.83	0.75	0.68	0.62	0.56	0.51	0.47	0.42
Discounted Flows										
Costs	(231,151)	(338,948)	(278,150)	(296,819)	(278,710)	(131,202)	(84,637)	(76,942)	(69,948)	(63,589)
Benefits	-	-	-	1,616,703	4,737,870	4,654,090	4,326,673	3,972,672	3,647,637	3,349,193
Net	(231,151)	(338,948)	(278,150)	1,319,884	4,459,160	4,522,888	4,242,037	3,895,729	3,577,689	3,285,604
Cumulative	(231,151)	(570,099)	(848,250)	471,634	4,930,795	9,453,683	13,695,719	17,591,449	21,169,138	24,454,742
Net Present Value:: 24,454,742										
Internal Rate of Return: 145%										

ANNEX 16: SWIFT Project Complexity and Risk Assessment

Project Name:	Single Window Information for Trade (SWIFT)
Project Description:	The TMEA SWIFT projects interventions aimed at achieving the following: Enhancing availability and handling of information; Simplifying and expediting information flows between traders and government; Achieving greater harmonization and better sharing of relevant trade data across governmental systems and bringing meaningful gains to all parties involved in cross-border trade and ultimately resulting in improved efficiency and effectiveness in the administration of regulatory trade documents and reduce costs both for Governments and for traders due to better use of resources.
SWIFT PROJECTS	KNCCI, TD, RALIS, RDB, TFDA, UNBS, RSB, NAEB, RAB, RMOH, ZFDA,NDA, MAAIF – Livestock, MAAIF – Crop, MAAIF – Fisheries, PPB,PHS
Completed By:	Ayaah Enterprises Ltd
Date Completed:	27/11/2017
Instructions:	To complete this worksheet, fill out Column “Partner Agency Score” with values 1 to 5 in each section below. Use Column "Documentation/Notes", to note any comments or rationale behind your score. A results summary follows the sections.

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES	
		KNCCI	TD	RALIS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS		
1. Project Characteristics (18 Questions)																				
1. What is the total project cost estimate?	1. = < \$10, 000																		Obtained from the SWIFT Project budget and expenditure sheets.	
	2. >\$10,000 =<20,000																			
	3. >\$20,000 =<50,000	5	5	4	5	5	5	5	4	4	5	5	5	4	4	4	5	4		
	4. >\$50,000 =<100,000																			
	5. >\$100,000																			
2. What percentage of the total project cost estimate is for procurement?	1 = No procurement is required— answer "1" to all questions in the "Procurement risks" section (3.).																		KNCCI & RALIS used hybrid approach; the rest of the projects were outsource.	
	3 = 26-50 per cent	2	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5		
	4 = 51-75 per cent																			
	5 = over 75 per cent																			

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES		
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS			
3. Relative to the average project in TMEA, which of the following adjectives describes the total project cost estimate?	1 = Small																			Based on the TMEA secured budget, these were small projects.	
	3 = Medium																				
	5 = Large	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		
4. How many people (part-time or full-time on the project, including Government of Partner agency Staff employees and individual contractors) are required to complete this project at its peak activity?	1. = <3																			Based on the TMEA project staff, Partner agency staff and vendors	
	2. >3=<6																				
	3. >6=<10																				
	4. >10=<15																				
	5. >15	4	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5		
5. From project definition to project close-out, what is the expected duration of the project?	1 = under 12 months																			Project monitoring plans & work plans	
	2 = 12-24 months																				
	3 = 24-36 months	3	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	3		
	4 = 36-48 months																				
	5 = over 48 months																				
6. How many sponsoring or funding agencies are involved?	1 = The project involves only one sponsoring or funding agency.																			TMEA was only funding agency.	
	2 = The project involves another sponsoring or funding agency.																				
	3 = The project involves two other sponsoring or funding agency.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		
	4 = The project involves three other sponsoring or funding agency.																				
	5 = The project involves at least four other sponsoring or funding agency.																				

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES	
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS		
7. How will the outcome of this project change or directly affect business processes, sectors, branches and other departments and agencies?	1 = The outcome of this project will affect one business process within a sector																			IT enabled systems affects and interacts with several trade related stakeholders and activities.
	2 = The outcome of this project will affect multiple business processes within a sector.																			
	3 = The outcome of this project will affect multiple sectors.	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	
	4 = The outcome of this project will affect multiple branches.																			
	5 = The outcome of this project will affect multiple departments or agencies.																			
8. The proposed or established project governance structure demonstrates adequate support for how many of the following project factors? (a) appropriate representation of stakeholders and executive management; (b) documented decision-making processes; (c) documented roles, responsibilities , and authorities within the	1 = Support for all factors is demonstrated.																			The project MoU and SRS.
	2 = Support for three of the factors is demonstrated.																			
	3 = Support for two of the factors is demonstrated.																			
	4 = Support for one of the factors is demonstrated.																			
	5 = Support is not demonstrated for any of the factors.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES	
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS		
governance structure; and (d) Documented information requirements.																				
9. In supporting the achievement of the expected outcomes, how many of the following criteria apply to the total project cost estimate (either indicative cost estimate or substantive cost estimate)? (a) Cost estimates are generated at the work-package level. (b) Cost estimates are based on historical data or industry benchmarks.	1 = Both criteria are met.																			Cost were estimated based on work-package as indicated in PAR.
	3 = One of the two criteria is met.																			
	5 = None of the criteria are met.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	
10. In supporting the achievement of the expected outcomes, how many of the following criteria apply to the costing model?	1 = Both criteria are met.																			Funds were identified and committed by TMEA
	3 = One of the two criteria is met.																			
	5 = None of the criteria are met.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
(a) The source of funds has been identified within departmental reference levels. (b) The funds have been internally committed.																			
11. Is the project susceptible to time delays? Time delays can have a number of causes, such as the following: a) Changes in technology; b) Requirements of participating organizations; c) Seasonal considerations; d) The need for policy approvals; and e) External influences.	1 = No, the project is not susceptible.																		
	3 = Yes, the project is moderately susceptible; time delays will have minor effects on the schedule.																		
	5 = Yes, the project is highly susceptible; time delays will have major effects on the schedule.	1	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
																			Public sector supported agencies may have time delays due external influences.
12. Do geographical considerations influence the manner in which the project is conducted? Consider the following statements:	1 = Neither statement applies.																		
	3 = One statement is true.																		
	5 = Both statements are true.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	Project being implemented in 4 partner states which is a big geographical areas with remote and restricted services such as internet.

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES	
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS		
(a) Project activities or team members are distributed across a wide geographical area. (b) The project will be conducted in a remote or difficult location.																				
13. Do environmental considerations influence the manner in which the project is conducted?	1 = No 5 = Yes	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	The project is not envisaged to contaminate the environment.
14. Are there any socio-economic considerations that must be taken into account?	1 = No 5 = Yes	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	Loss of employment and business e.g. by clearing agents, courier, etc.
15. Consider how the availability of facilities will influence the manner in which the project is conducted:	1 = Appropriate facilities are available to conduct the project. 3 = Facilities available to the project are inadequate. 5 = Facilities are unavailable for the project.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	Basic facilities to run the project is available.
16. Does public perception influence the manner in which the project is conducted?	1 = No 5 = Yes	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	Negative public opinion about the projects such as loss of employment;

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
17. Do considerations relating to gender influence the manner in which the project is conducted?	1 = No																		Gender issues were not considered at project design.
	5 = Yes	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
18. Do health and safety requirements add significant complexity to the requirements for this project?	1 = No																		No significant health and safety issues envisaged.
	5 = Yes	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
TOTAL		44	52	51	52	52	52	52	51	51	52	52	52	51	51	51	52	49	
2. Strategic Management Risks (6 Questions)																			
19. How well and how clearly does the project align with the organization's mandate and strategic outcomes?	1 = The project is directly aligned and it explicitly contributes to the strategic outcomes of the organization or program.																		
	3 = There is good alignment with the strategic outcome and there is an indirect contribution to the strategic outcomes of the organization or program.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
	5 = There is a weak alignment with the strategic outcomes, or the strategic outcomes have not been established.																		
20. What level of priority is the project to the organization?	1 = The project is a critical priority: all resources necessary will be allocated to it.																		
	5 = The project is a normal priority: resources may be shared with a project of equal or higher priority.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
21. How thoroughly does the	1 = The business case is compelling, and value is extensively documented, OR a business case is not required.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
project business case demonstrate the value of the project to the organization?	3 = The business case provides a good demonstration of value; some details require further clarification.																		
	5 = The business case does not demonstrate value or is not complete.																		
22. To what degree is the organization's management and relevant stakeholders aware of the project?	1 = There is consistent, clear, and comprehensive understanding of the project at all relevant levels.																		
	3 = There is good general awareness of the project, its implications, and its budget.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
	5 = There is minimal awareness of the project in relevant levels of the organization.																		
23. Does the project have a communication s plan?	1 = Yes, there is a project communications plan.																		
	3 = The project communications plan has not yet been completed.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
	5 = No, a project communications plan does not exist.																		
24. How extensive is the commitment of the organization's senior executive management, stakeholders, partners, and project sponsors to the timely and successful completion of this project? Consider the following criteria: (a) A senior project sponsor or	1 = All four criteria are met.																		
	2 = Three of the four criteria are met.																		
	3 = Two of the four criteria are met.																		
	4 = One of the four criteria is met.																		
	5 = None of the four criteria are met.	1	1	1	1	1	1	1	1	1	1	1	1	2	2	2	1	1	

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
management champion is engaged. (b) Stakeholders and partners are willing to reallocate resources if necessary. (c) Senior executive management oversight is in place. (d) Commitment from all stakeholders is confirmed.																			
TOTAL		10	10	10	10	10	10	10	10	10	10	10	10	11	11	11	10	10	
3. Procurement Risks (9 Questions)																			
25. The documented project procurement strategy:	1 = addresses all project requirements.																		
	3 = is high-level and adequately describes required procurement activities.	1	3	3	1	3	1	1	1	1	1	1	1	3	3	3	1	1	
	5 = is incomplete or inappropriate for the project.																		
26. What is the supplier availability and willingness?	1 = There are qualified suppliers in the market willing to work with TMEA.																		
	3 = There is a limited number of qualified suppliers in the market or some suppliers are reluctant to work with TMEA	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
	5 = There is only one supplier or there are no qualified suppliers that can meet the requirements.																		
27. Will the appropriate products,	1 = There is no potential for products, goods, or services not being readily supplied.	1	3	3	1	3	1	1	1	3	1	1	1	1	1	1	1	1	

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
goods, or services be supplied in a timely manner (according to specified contract delivery dates or required delivery dates) within the expected cost envelope by a qualified supplier?	3 = There is a slight potential for slippage of project schedule due to procurement complexity or vendor challenges.																		
	5 = There is a potential that the project deliverables, schedule, or budget may be seriously affected by limited qualified bidders, significant request-for-proposal process delays, or extended challenges.																		
28. How many of the following statements are true?	1 = All statements are true.																		
(a)The personnel involved in the project's procurement component have expertise in writing specifications or contracts.	2 = Two statements are true.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
(b) The personnel involved in the project's procurement component have subject-matter expertise in the goods or services being procured. (c)There is a robust review	4 = One statement is true.																		
	5 = None of the statements are true.																		

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
process for contract award.																			
29. How many separate contracts associated with key deliverables are planned for this project?	1 = One contract.																		
	2 = Two contracts.																		
	3 = Three contracts.	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	
	4 = Four contracts.																		
	5 = Five or more contracts.																		
30. How many of the following statements are true? (a) The firm or individual obtaining the contract will subcontract to other companies. (b) Contracts are subject to trade agreements. (c) The results of the contract are dependent on the results of another contract.	1 = None of the statements are true.																		
	3 = One statement is true.																		
	4 = Two statements are true.																		
		4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
	5 = All of the statements are true.																		
31. Based on the contract, consider the degree of control over supplier selection and anticipated contract style.	1 = directed (sole-source, Advance Contract Award Notice - ACAN).																		
	2 = a standing offer call-up (frame work contracting).																		
	4 = restricted procurement.	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	
	5 = a public tender,																		

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
32. How many of the following statements pertaining to contract management are true? (a) The personnel who wrote the contract are involved in the management of the contract. (b) There is a standardized acceptance process for the review of the completion of contracts (e.g. peer reviewing or field trials). (c) The lines of communication between the contract authority and the contractor are well-defined and regularized. (d) There is a standardized process for reporting progress (e.g. punctual evaluation or regular meetings). (e) There is a mechanism in place to	1 = All statements are true.																		
	2 = Four statements are true.																		
	3 = Three statements are true.																		
	4 = Two statements are true.																		
	5 = One or none of the statements are true.																		
		2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
address any contractual disagreements between parties regarding the completion of a contract.																			
33. Has TMEA or a delegated contracting authority been formally engaged through a service agreement to provide adequate support for the procurement process?	1 = Yes.																		
	3 = This is planned but not yet in place.																		
	5 = No.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
TOTAL		20	24	24	20	24	20	20	20	22	20	20	20	22	22	22	20	20	
4. Human Resources Risks (5 Questions)																			
34. Does the organization anticipate a shortage of available personnel with appropriate skills during a significant	1 = No																		
	5 = Yes	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
period of the project?																			
35. What is the predicted stability of the project team? Consider the following criteria: (a) The project team has previously worked together. (b) A low rate of turnover is expected. (c) It is expected that a suitable replacement will be readily available.	1 = All three criteria are met.																		
	2 = Two of the three criteria are met.																		
	4 = One of the three criteria is met.																		
	5 = None of the three criteria are met.	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
36. What percentage of the project team is assigned full-time to the project?	1 = over 80 per cent																		
	2 = 61-80 per cent																		
	3 = 41-60 per cent	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
	4 = 20-40 per cent																		
	5 = under 20 per cent or all part-time																		
37. Consider the following criteria regarding knowledge and experience: (a) The project will use a proven approach. (b) This type of project has been done	1 = All three criteria are met.																		
	2 = Two of the three criteria are met.																		
	4 = One of the three criteria is met.	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
before by TMEA.																			
(c)The project will use resources that have been applied to this type of project before.	5 = None of the three criteria are met.																		
38. Has the assigned project manager worked on a project of this size and complexity before?	1 = Yes																		
	5 = No	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
TOTAL		13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13
5. Business Risks (5 Questions)																			
39. Describe the overall effect of this project on the organization:	1 = Project will fit with the organization's current processes, use existing workforce and skills, and not require substantial changes to technology and other infrastructure.																		
	3 = Some changes to processes, staffing models, or technology will be required.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
	5 = Significant restructuring of business processes, staffing requirements, partner relationships, and infrastructure will be required.																		
40. Does the project have a change management plan?	1 = Change management will be required and a change management plan has been prepared. Alternatively, there are no significant change management requirements.																		
	3 = Change management will be required and preparation of a change management plan is incorporated or included in the project management plan.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES	
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS		
	5 = Change management will be required but there are no plans to establish a change management plan.																			
41. What is the level of public involvement required to achieve expected outcomes?	1 = No public participation is required for project success.																			
	2 = Limited public participation is required for project success.																			
	4 = Moderate public participation is required for project success.	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	
	5 = Extensive public participation is required for project success.																			
42. What level of legal risk will be introduced by this project through the addition of new liabilities, regulatory requirements, and legislative changes?	1 = No legal review is required; no legislative changes are required; legal costs and effort are assessed as low.																			
	2 = One or more risk events will likely occur resulting in legal costs and effort; a legal review has been completed.																			
	3 = One or more risk events will likely occur resulting in legal costs and effort; a legal review has <i>not</i> been completed.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	
	4 = There is a high probability of liability and other legal risks; extensive legal resources will be required during the project; legislative change is required to implement the project; a legal review has been completed.																			
	5 = There is a high probability of liability and other legal risks; extensive legal resources will be required during the project; legislative change is required to implement the project; a legal review has <i>not</i> been completed.																			
43. Are there expected challenges to ensure that this project complies with relevant ICT policy requirements,	1 = The project fully complies with all applicable policies. Alternatively, the project is not subject to any of these policies.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
	3 = There are some challenges associated with policy requirements,																			

QUESTION	RATING	PARTNER AGENCY SCORE																DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	
such as those regarding security, accessibility, common look and feel standards for the Internet, and management of government information?	but the project team is adequately equipped to address these.																	
	5 = There are some challenges associated with policy requirements and there is a lack of confidence that policy requirements can be met on schedule and within the budget.																	
TOTAL		14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14
6. Project Management Integration Risks (6 Questions)																		
44. How many of the following elements are defined in the project management plan? (a) scope (b) costs (c) schedule (d) project controls (e) risks (f) deliverables (g) team or skills	1 = All elements are defined.																	
	2 = Five or six elements are defined.																	
	3 = Three or four elements are defined.																	
	4 = One or two elements are defined.																	
	5 = No plan has been completed.	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
45. To indicate the extent of the project team's being appropriately organized to undertake a project of this scope, how many of these criteria are met?	1 = All three criteria are met.																	
	2 = Two of the three criteria are met.																	
	4 = One of the three criteria is met.																	
	5 = None of the three criteria are met.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES	
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS		
(a) Project team composition, resource levels, and roles and responsibilities are defined and documented. (b) Resources are dedicated (i.e. available when required). (c) Responsibilities and required authorities for managers and leads within the project team are defined and documented.																				
46. Has a project reporting and control process appropriate for the project been documented?	1 = Yes																			Not seen
	3 = The development of a project reporting and control process is a planned activity, but not yet completed.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		
	5 = No																			
47. How many of the following disciplines will, or does the project employ? (a) quality assurance (b) risk management	1 = All four disciplines.																			
	2 = Three of the disciplines.																			
	3 = Two of the disciplines.																			
	4 = One of the disciplines.																			
	5 = None of the disciplines.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
(c)outcome management (d) issue management																			
48. Has a risk management plan been completed, and to what degree have appropriate contingency plans been included which respond to the risks as identified in the plan? Consider the following criteria: (a) Identified risks have been assessed and prioritized. (b) Appropriate controls and mitigations are in place for all significant residual risks. (c) A risk management plan has been integrated into the project management plan.	1 = All three criteria are met.																		
	2 = Two of the three criteria are met.																		
	4 = One of the three criteria is met.																		
	5 = None of the three criteria are met.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
49. Is an appropriate information management (IM) process planned or in	1 = Comprehensive information management practices are in place or planned to support the project throughout its life cycle.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
place to collect, distribute, and protect relevant and important project information, such as designs, project plans, baseline, and registers?	3 = Standard IM practices are planned or in place and resourced.																		
	5 = Minimal IM practices are in place or planned within the project.																		
TOTAL		9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	
7. Project Requirements Risks (15 Questions)																			
50. How many of the following statements are true? (a) The project solution requires a high degree (greater than normal) of availability. (b) The project solution requires customization beyond normal configuration. (c) The project solution requires a high degree of performance quality. (d) The project solution requires a high degree of reliability.	1 = None of the statements are true.																		
	2 = One of the statements is true.	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	
	3 = Two of the statements are true.																		
	4 = Three of the statements are true.																		
	5 = All of the statements are true.																		
51. In defining project requirements, how many of the	1 = Four of the statements are true.																		
	2 = Three of the statements are true.	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	
	3 = Two of the statements are true.																		
	4 = One of the statements are true.																		

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES	
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – fisheries	PPB	PHS		
<p>following statements are true? (a) The requirements can be defined with very few people. (b) The requirements can be defined in a short period of time. (c) There are a small number of individual requirements to define. (d) The requirements do not require a high degree of detail.</p>	5 = None of the statements are true.																			
52. To what extent have available sources/methods been employed and verified to provide information for this project as applicable (e.g. research, consultations, workshops, surveys, and existing documentation)?	1 = All sources/methods have been employed and verified.																			
	2 = All sources/methods have been employed but have not been verified.																			
	3 = Some sources/methods have been employed.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	
	4 = Few sources/methods have been employed.																			
	5 = No information has been gathered or is available.																			
53. Have the business requirements been validated with users with	1 = Yes																			
	3 = Validation is a planned activity but has not yet been completed.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	
	5 = No																			

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
an appropriate technique, such as walk-throughs, workshops, and independent verification and validation?																			
54. Have feasibility studies been conducted, and is there confidence in the assumptions made in the feasibility studies?	1 = Feasibility studies are not required, because none of the requirements are technically difficult to implement.																		
	2 = Feasibility studies were conducted and there is confidence in the assumptions made.	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
	4 = Feasibility studies were conducted, but there is not complete confidence in the assumptions made.																		
	5 = Feasibility studies were necessary but not conducted.																		
55. What percentage of tasks cannot be fully defined until the completion of previous tasks? These are tasks that may be understood but cannot be documented in detail due to dependency on results from a previous task.	1 = under 10 per cent																		
	2 = 20 per cent																		
	3 = 30 per cent																		
	4 = 40 per cent																		
	5 = over 40 per cent	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
56. To what extent are the project's requirements clear,	1 = All requirements are clear, complete, and communicated.																		
	3 = Up to 10 per cent of total requirements are not complete or are undocumented.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
completed, and communicated?	5 = More than 10 per cent of total requirements are not complete or are unclear.																		
57. How many of the following project characteristics are expected to remain stable? (a) quality (b) functionality (c) schedule (d) integration (e) design (f) testing	1 = All of the project characteristics are expected to remain stable. 2 = Five of the six project characteristics are expected to remain stable. 3 = Four of the six project characteristics are expected to remain stable. 4 = Three of the six project characteristics are expected to remain stable. 5 = Two or less of the project characteristics are expected to remain stable.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
58. Are any other projects dependent on outputs or outcomes of this project?	1 = No																		
	5 = Yes	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
59. Are outcomes of this project dependent on the outputs and/or outcomes of any other projects?	1 = No																		
	5 = Yes	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RAL IS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
60. What degree of integration with externalities, such as other projects, systems, infrastructure, or organizations, is required?	1 = There are few complex integration requirements; activities to specify integration are included in the project management plan. 3 = There is adequate understanding and planning for integration. 5 = There are highly complex or numerous integration requirements and insufficient planning of required activities.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	
61. What degree of integration is required within the project?	1 = There are few complex integration requirements; activities to specify integration are included in the project management plan. 3 = There is adequate understanding and planning for integration. 5 = There are highly complex or numerous integration requirements and insufficient planning of required activities.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	
62. Relative to the average (typical) project in TMEA, which of the following adjectives describes the number of tasks, elements, or deliverables in the work breakdown structure?	1 = Small 3 = Medium 5 = Large	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	
63. Does the project schedule accommodate the critical path of the project, including	1 = Yes																		
	5 = No, OR no critical path analysis has been performed.	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	

QUESTION	RATING	PARTNER AGENCY SCORE																	DOCUMENTATION/ NOTES
		KNCCI	TD	RALIS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS	
appropriate contingencies?																			
64. What is the effect on the project of the requirement for scarce resources or resources that are in very high demand?	1 = No scarce resources are required OR not applicable. 2 = The project will incur minor delays or minor cost overruns due to scarcity of resources. 3 = The project will incur moderate delays or moderate cost overruns due to scarcity of resources. 4 = The project will incur significant delays or significant cost overruns due to scarcity of resources and must return to Treasury Board for revised approval. 5 = The success of the project is critically dependent on scarce resources.	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
TOTAL		47	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47

RESULT SUMMARY

#	PROJECT EVALUATION CRITERIA	MAXIMUM SCORE	PROJECT SCORE																
			KNCCI	TD	RALIS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS
10.	Project Characteristics (18 Questions)	90	44	52	51	52	52	52	52	51	51	52	52	52	51	51	51	52	49
11.	Strategic Management Risks (6 Questions)	30	10	10	10	10	10	10	10	10	10	10	10	10	11	11	11	10	10
12.	Procurement Risks (9 Questions)	45	20	24	24	20	24	20	20	20	22	20	20	20	22	22	22	20	20
13.	Human Resources Risks (5 Questions)	25	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13	13
14.	Business Risks (5 Questions)	25	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14
15.	Project Management Integration Risks (6 Questions)	30	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9

#	PROJECT EVALUATION CRITERIA	MAXIMUM SCORE	PROJECT SCORE																
			KNCCI	TD	RALIS	RDB	TFDA	UNBS	RSB	NAEB	RAB	RMOH	ZFDA	NDA	MAAIF – Livestock	MAAIF – Crop	MAAIF – Fisheries	PPB	PHS
16.	Project Requirements Risks (15 Questions)	75	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47	47
17.	Total Project Complexity and Risk Score:	320	157	169	168	165	169	165	165	164	166	165	165	165	167	167	167	165	162
18.	% Project Complexity and Risk Score:	100%	50%	53%	53%	52%	53%	52%	52%	51%	52%	52%	52%	52%	52%	52%	52%	52%	51%
Recommended Project Implementation Model:																			
If Total Project Complexity and Risk Score: < 20%, recommended Implementation model is in-house;																			
If Total Project Complexity and Risk Score: >= 20% <80%, recommended Implementation model is Hybrid;																			
If Total Project Complexity and Risk Score: >= 80%, recommended Implementation model is outsource;																			

ANNEX 17: CORRELATION ANALYSIS: Relationship between the Variables (All SWIFTs)

Correlations						
		Services provided by e-portal simplified and speeded information flow between traders and Agency	Training enabled to use the e-portal	Services provided by the e-portal contributed to reduction in the time to transact the business between traders and Agency	Service provided by the e-portal contributed to reduction in the costs to transact the business between you and the Agency	Service provided by the trade agency improved since the e-portal was implemented
Pearson Correlation	Services provided by e-portal simplified and speeded information flow between traders and Agency	1.000	.309	.602	.452	.558
	Training enabled to use the e-portal	.309	1.000	.294	.364	.348
	Services provided by the e-portal contributed to reduction in the time to transact the business between you and Agency	.602	.294	1.000	.599	.580
	Service provided by the e-portal contributed to reduction in the costs to transact the business between traders and Agency	.452	.364	.599	1.000	.440
	Service provided by the government agency improved since the e-portal was implemented	.558	.348	.580	.440	1.000
Sig. (1-tailed)	Services provided by e-portal simplified and speeded information flow between you and Agency	.	.002	.000	.000	.000
	Training enabled to use the e-portal	.002	.	.003	.000	.000
	Services provided by the e-portal contributed to reduction in the time to transact the business between you and Agency	.000	.003	.	.000	.000
	Service provided by the e-portal contributed to reduction in the costs to transact the business between you and the Agency	.000	.000	.000	.	.000
	Service provided by the government agency improved since the e-portal was implemented	.000	.000	.000	.000	.
N		353	306	349	322	344

ANNEX 18: LIST OF STAKEHOLDERS CONTACTED

#	STAKEHOLDER'S NAME	INSTITUTION/COMPANY NAME	CONTACT DETAILS
KENYA -KNCCI			
1.	Imperial Health Services	Jechoniah Musyoki	0202025860
2.	Karen Roses	Juliana Rono	0722717187
3.	Athi River Tanneries	Laban Kagwi Muhinyu	
4.	Maramoja Commercial Agencies	Andrew Macharia	020271110263/5
5.	Western Logistics Services Ltd	Mildred Endegwa	6828449/5
6.	Typotech Imaging Systems Ltd	George Onderi	0724256112
7.	Atlas Copco Ea Ltd	Pauline Muchoki	6605000
8.	Amiran Kenya	Irene Limo	0735122154
9.	Alepp Kenya Ltd	Tarek Miznazi	0722514186
10.	Beachlines Ltd	Victor Kairu	0726005372
11.	Wonder Nut	Mwinyi Juma	
12.	Molo Greens	Christopher Muia	0708452077
13.	Carzan Flowers	Kennedy Kiarie	0716866675
14.	Car And General Kenya	Juliana Achieng	0725977700
15.	Real Ipm	James Wambua	0718787409
16.	Alpha Group/ Easf	Kepha Oirere	0711371222
17.	Wood Products	Millicent Otieno	0721917816
18.	Print Rite	Roselyne Nyanduka	0739820782
19.	Red Land Roses	Irene Kaburu	0733603155
20.	Farmers Choice Ltd	Jeremiah Kiroko	0724783423
21.	Pejon Freight Movers	Teresia Watoro	0202088750
22.	Symphony	Lois Mbai	0722448318
23.	Twiga Stationers And Printers	Teresia Azei	6960000
24.	Kalu Works Ltd	Jackline Ojon	
25.	Conventional Cargo Conveyors Ltd	Geoffrey Mbai	0725200008
26.	Biozeq Kenya Ltd	Richard Maina	0722862244
27.	Khs Ea Ltd	Daniella Plitz	0710607214
28.	Kamili Packers	Jonathan Muthoka	0737203455
29.	Imperial Cargo Internation	Santos Mutenyi	07202635915
30.	East Africa Packaging Industry	Rosylyne Syombua	0703956000
31.	Techpak	Dennis Musau	0724123565
32.	Bendan Solutions	Daniel Mathama	0729421930
33.	United Aryan Epz Ltd	Perminas Mbugua	031775299525
34.	Morden Time Ltd	Martin Kithome	0718660307
35.	Pollen Ltd(Syngenta)	Samuel Gichuru	0721975231
36.	Flora Times(K) Ltd	Anita Njoki	0720894077

#	STAKEHOLDER'S NAME	INSTITUTION/COMPANY NAME	CONTACT DETAILS
37.	Morgan See And Air Flight Logistics	Edward Nyamu	0724508522
38.	Feliben International Ltd	Charles Ngala	0721710122
39.	Weatherford Services & Rentals Ltd	Henry Matuku	0719322485
40.	East Africa Growers Ltd	Thomas Kilonzo	0724265439
41.	The Flower Hub	Ezekiel Wachira	0721828898
42.	Top Greens Exporters	Atif Mushtaq	0737941999
43.	Centrale Humanitaire Medico	Veronica Thuku	0722395070
44.	Jungle Nuts	Caroline Wanjiru	0712847638
45.	Hardi Kenya Ltd	Nicholas Trench	0202384212
46.	Infrastructure Advisors & Developers Kenya Ltd	Kiran Kaur	0734145371
47.	Kenya Highland Seed Co, Ltd	Josephine Wanjiru	
48.	Njimia Pharmaceuticals	Lucy Wachira	0705000339
49.	Doreen Micheu: Human Resource & Administration Officer	KNCCI	+254 722854460;
50.	Caroline G. Nkirote; Procurment Officer	KNCCI	+254 723408310;
51.	Kassim Were; Manager Trade, Research And Policy	KNCCI	+254 723505926;
KENYA-TD			
52.	Bryson Express Ltd	Vincent Jakoyo	0713128196
53.	Alibhai Ramji Msa Ltd	Zulfikar Hasham	0202319508/18
54.	Risala Ltd	Athman A. Dick	0722859125
55.	Cargill Kenya Ltd	Ruth Njuguna	0722204420
56.	Abbas Traders	Bernard Mulika	202116699
57.	Mcleod Russel Africa Ltd	Faith Amita	0709749831
58.	Ufanisi Freighters Kenya Ltd	Joan Ogolla	0202030303
59.	Crystal Face Tea Traders	Joseph Kamau	0722603229
60.	Ssoe Kenya Ltd	Lawrence Odhiambo	07204222565
61.	Aimco Ebterprises	Moses Ouma	0720036952
62.	Ritana Trading Ltd	Evah Nyagah	0721746452
63.	Tea Traders East Africa Ltd	Ali Omar Juma	04122219553/4
64.	Lindop And Company Kenya Ltd	Peter Okello	0721363518
65.	Western Tea	Margaret Achungo	0721737774
66.	Toga Ltd	Joseph Kibanya	0722461346
67.	Melvin Marsh International	Ann Pamela	0733708627
68.	Budget Tea And Commodities	Gladys Wambui	0725363076
69.	Casids Tea Services	Catherine Muthoni	0722742735
70.	Supa Packers Ltd	Zanra Surani	0705949701

#	STAKEHOLDER'S NAME	INSTITUTION/COMPANY NAME	CONTACT DETAILS
71.	Mau Tea Factory	Andrew Cheruiyot	0725547911
72.	Taiwet Tea Factory	Henry Rotich	0726502678
73.	Chesumot Ltd	Kim Martin	0722741879
74.	Kaisugu Ltd	Eunice Ruto	
75.	Mbogovalley Tea Factory	Patrick Langat	0723471343
76.	Kericho Factory	Anne Chirchir	07257710886
77.	Kabianga Tea Factory	Leonard Kirui	0713318907
78.	Finlays Ltd	Everlyne Ngeno	0722357919
79.	Ketepa Ltd	Rosemary Tenai	0726555550
80.	Stanem Holdings	Stanley Chepkwony	0707666690
81.	Belgut Tea Packers	Bernard Sambu	0723 418039
82.	Unilever Tea Kenya	Henry K. Langat	0722307395
83.	Tet Tea Factory	Wilord Metet	0726178460
84.	Africa Gold Coffe Ltd	Jeff Koskei	0722954763
85.	Uplands Davro Tea	Mureithi	0722951293
86.	Chai Tea Traders	Boniface	0724303156
87.	Chai Bora	Amos Manyara	0725469742
88.	Topex Tea Traders	Maina Cyrus	0722141433
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341.	Ally Masoud, Procurement	Bakhresa Food	22864841
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349.	Prave Raja; Manager	Abacus Chemists Ltd	255272544555
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370.	Mubiru Muhamad	Speed Line Cargo Ltd	703767538
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377.	Kibooli Robert	Dooba Enterprises Ltd	0703051274
378.	Namyalo Stella	Overseas Freight Forwarders Ltd	0777868505
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383.	Mugeni Joseph	Roofings Limited	0414200952
384.	Mawejje James	Bollore	0704175746
385.	Kibooli Robert	B T S Clearing	703015274
386.	Omani Samuel	Classic Clearing & Forwarding	0704746294
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388.	Tahir Ali Khan	Khani Investments Ltd	0702786778
389.	Obitre Robert	Multlines International Ltd	0772558238
390.	Bogere Grace	Parth International Ltd	07012317716
391.	Okaramedo Paul	Eagle Logistics	0787337129
392.	Amand Khan	Khan Investments	0702786777
393.	Millasha	New Kintex (2005) Limited	0701253777
394.	Polin Nankya	Regency Chemicals Limited	759982655
395.	Kini Ocwiny	Muzuri International (U) Ltd	0711743333
396.	Mayeku Wilson	J M Flight Services	0759215017
397.	Mawejje James	Wispro Uganda	0772536365
398.	Wapande Kassim	Rolax International	0782261832
399.	Mrs Josephine Nahabwe	Nahabwe Investment Ltd	0755429430
400.	Omara John Peter	Crowing Cocks Limited	0772326140
401.	Kibirango Kenny	Jesa Farm Dairy Ltd	0752442103
402.	Dickson Mawejje	Gatkom Uganda Ltd	0705816254
403.	David Wafula	Three Star Cargo And Logistic	0772681400
404.	Kironde Hillary	Multiple Freight Solution	0755107081
405.	Muhwezi Arhold	Master Internal Ltd	0702367332
406.	Kimuli Fred	Intervision Uganda Ltd	0772408147
407.	John Sekwah	Sakae Tcf Limited	0782229968
408.	Nsubuga Godfrey	Gn Logistics Ltd	0772466655
409.	Mulinde Robert	Epitone	0772404935
410.	David K. Waswa	Raka Egencies Ltd	0702194040
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417.	Geoffrey Moses Munyegera	UNBS	0772879193
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ANNEX 19: LIST OF DOCUMENTS REVIEWED

1. COBIT-5 Process Assessment Model (PAM).
2. Contribution analysis: A New Approach to Evaluation in International Development. An Approach to Exploring Cause And Effect.
3. Developing a Trade Information Portal by International Trade Department of the World Bank.
4. Draft Work Plan SWIFTS Evaluation Phase 2.
5. Economic Commission For Europe United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT)
6. Expenditure breakdown of SWIFT project phase 2.
7. Final Report Baseline Studies and Results Collection for TMEA Funded SWIFT Projects in Tanzania.
8. Generic SWIFT Project Results Chain.
9. Generic SWIFT results chain.
10. ISO/IEC 15504 Information Technology – Process Assessment, also Termed Software Process Improvement and Capability Determination (SPICE).
11. ISO/IEC TR 15504-4:1998 Information technology — Software Process Assessment —Part 4: Guide to Performing Assessments.
12. ISO/IEC TR 15504-9:1998 Information technology — Software Process Assessment — Part 9: Vocabulary.
13. Kenya National Chamber of Commerce & Industry (KNCCI) SWIFT Quarterly Report 2015 Oct – Dec.
14. Kenya National Chamber of Commerce Swift Project Appraisals Report.
15. Kenya Pharmacy and Poisons Board monitoring plan.
16. Kenya Pharmacy and Poisons Board risk report.
17. Kenya Pharmacy and Poisons Board System Requirements Specification.
18. Kenya Pharmacy and Poisons Board work plan.
19. Kenya Port Health Services monitoring plan.
20. Kenya Port Health Services risk report.
21. Kenya Port Health Services System Requirements Specification.
22. Kenya Port Health Services work plan.
23. Key Assumptions and other influencing factors for SWIFT Project.
24. MAAIF Annual Project Performance Report 2016_2017.
25. MAAIF Comprehensive Requirements Gathering-Inception Report.
26. MAAIF Project monitoring plan.
27. MINAGRI Project monitoring plan.
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29. Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) Crop Protection Directorate risk report.
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31. Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) Crop Protection Directorate System Requirements Specification.
32. Ministry Of Agriculture, Animal Industry and Fisheries (MAAIF) Fisheries Directorate monitoring plan.

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35. Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) Fisheries Directorate System Requirements Specification.
36. Ministry Of Agriculture, Animal Industry and Fisheries (MAAIF) Livestock Directorate monitoring plan.
37. Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) Livestock Directorate risk report.
38. Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) Livestock Directorate work plan.
39. Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) Livestock Directorate System Requirements Specification.
40. MOH Annual Project Performance Report.
41. MOH Annual Project Performance Report.
42. NDA Annual Project Performance Report
43. OECD/DAC Guidelines for Project and Programme Evaluations by Austrian Development Agency, Evaluation Unit.
44. PAR 9-SW/SP
45. PAR 9-SW/SP Extension
46. PAR ZFDA
47. PAR KNCCI
48. PPB-Annual Project Performance Report.
49. Quarterly RSB_1238 Report - 2017 Jan – Mar.
50. Recommendation and Guidelines on establishing a Single Window to enhance the efficient exchange of information between trade and government.
51. Recommendation No. 35, FIRST edition, adopted by the United Nations Centre for Trade Facilitation and Electronic Business.
52. Report for baseline survey for TMEA funded project (SWIFT intervention) as Conducted at the Tea Directorate (Agriculture, Fisheries and Food Authority).
53. Report For Baseline Survey For TMEA Funded Project (SWIFT Intervention) as Conducted at the Tea Directorate (Agriculture, Fisheries And Food Authority).
54. Report For Baseline Survey For TMEA Funded Project (SWIFT Intervention) as Conducted at the Port Health Services In Kenya.
55. Report of the 10th ordinary mtg of the EAC sectoral council of ministers of health.
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57. RSB Annual Project Performance Report.
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59. Rwanda Agriculture Board monitoring plan.
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68. Rwanda National Agricultural Export Development Board monitoring plan.
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70. Rwanda National Agricultural Export Development Board System Requirements Specification.
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72. Rwanda Standards Board monitoring plan.
73. Rwanda Standards Board risk report.
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75. Rwanda Standards Board work plan
76. Single Window / Information Sharing Portals (SW/ISP) Project Appraisals Report.
77. Single Window / Information Sharing Portals (SW/ISP) Project Appraisals Report.
78. Software Requirement Specification for Port Health Services.
79. Software Requirement Specification for Rwanda Bureau of Standards.
80. Software Requirement Specification for Rwanda Development Board
81. Stein-Erik Kruse Oslo (1999), How to Assess NGO Capacity a Resource Book on Organizational Assessment Norwegian Missionary Council Office for Development Cooperation.
82. SWIFT Project Budgets.
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86. System Design for Rwanda Development Board
87. System Requirement Specification (SRS) for Kenya National Chamber Of Commerce & Industry SWIFT.
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92. The Prosci ADKAR Model
93. TMAE MoU with Uganda Ministry of Agriculture, Animal Industry and Fisheries (MAAIF)
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96. TMEA MoU with Pharmacy and Poisons Board
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98. TMEA MoU with Rwanda Ministry of Agriculture
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101. TMEA MoU with Uganda National Drug Authority
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103. TMEA, Baseline Studies and Results Collection for the Electronic Single Window Project in Uganda.
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105. Uganda National Drug Authority monitoring plan.
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129. Zanzibar Food and Drug Board Annual Project Performance Report 2016_2017.
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133. Zanzibar Food and Drug Board work plan.