

# **Project on Capacity Development for Trade Facilitation and Border Control in East Africa**

## **Project Completion Report**

**March 2022**

**JAPAN INTERNATIONAL COOPERATION AGENCY**

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## Project Completion Report

**Project Title: Project on Capacity Development for Trade Facilitation and Border  
Control in East Africa**

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### **ANNEX 2: List of Products (Assessment and Monitoring Report, Recommendation from the workshop, training materials, etc.) Produced by the Project**

### **ANNEX 3: PDM (All versions of the PDM)**

### **ANNEX 4: R/D, M/M, Minutes of RJCC (copy) (\*)**

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(Remarks: ANNEXES 4 and 5 are for internal reference only.)

## Abbreviations

AEO	authorized economic operator
AfCFTA	African Continental Free Trade Area
COVID-19	Coronavirus Disease 2019
DGIE	Directorate General of Immigration and Emigration (Rwanda)
EAC	East African Community
EARA	East African Revenue Authorities
GIZ	Gesellschaft für Internationale Zusammenarbeit [German Corporation for International Cooperation, in German]
ICT	information and communications technology
IED	improvised explosive device
IOM	International Organization of Migration
IPR	Intellectual Property Rights
JBC	joint border [coordination] committee
JBS	joint border surveillance
JICA	Japan International Cooperation Agency
JTWG	joint technical working group
JWS	joint water surveillance
KPI	key performance indicator
KRA	Kenya Revenue Authority
MOC	Memorandum of Cooperation
MTP	Master Trainer Program
NCP	national contact point
OBR	L'Office Burundais des Recettes [Burundi Revenue Authority, in French]
OSBP	one-stop border post
PCA	post clearance audit
PCR	project completion report
PDM	project design matrix
PGS	Programme Global Shield
REC	regional economic community
RILO ESA	Regional Intelligence Liaison Office for East and Southern Africa
RJCC	Regional Joint Coordinating Committee
RM	risk management
RRA	Rwanda Revenue Authority

SCT	Single Customs Territory
TFBC	Trade Facilitation and Border Control (Project)
TICAD	Tokyo International Conference on African Development
TMEA	TradeMark East Africa
TMS	time measurement survey
TRA	Tanzania Revenue Authority
URA	Uganda Revenue Authority
WCO	World Customs Organization
WG	Working Group

<b>I. Basic Information of the Project</b>
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**1. Country**

Burundi, Kenya, Rwanda, Tanzania, and Uganda

**2. Title of the Project**

Project on Capacity Development for Trade Facilitation and Border Control in East Africa (hereafter referred to as the “TFBC Project”)

**3. Duration of the Project (Planned and Actual)****(Planned)**

- December 2017 - June 2021

**(Actual)**

- December 2017 - March 2022 (for Output 1 “One Stop Border Post [OSBP]”)
- December 2017 - June 2021 (for Output 2 “Customs Capacity Building”)

Due to the significant challenges posed by the COVID-19 pandemic for the timely and effective implementation of the project activities, the project period of Output 1 (on OSBPs) was agreed to be extended to March 2022.

**4. Background**

- Since its establishment in July 2000, the East African Community (EAC) has steadily grown by increasing the number of Partner States; it now has six Partner States with a total population of about 177 million and an average annual GDP growth rate of more than 5%<sup>1</sup>. This growth can be attributed to a number of key regional efforts and Customs initiatives, notably implementation of a Single Customs Territory (SCT), development and adoption of various regional legal and regulatory instruments such as the EAC Customs Management Act and Regulations, the EAC One Stop Border Post (OSBP) Act and Regulations, various trade facilitation efforts such as regional Time Release Studies and the harmonization of Customs procedures, upgrading of Customs management systems, and introduction of an Authorized Economic Operator (AEO) scheme.

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<sup>1</sup> For 2020, the GDP growth was estimated at 0.7%. Before the COVID-19 outbreak, regional economic growth was expected to increase by 5.1% that year, while the growth rate was at 5.3% in 2019. With the crisis caused by COVID-19, East Africa was expected supposed to grow by 3% in 2021. Improvement was forecast for 2022, with GDP growth projected at 5.6% (Source: Statista, [www.statista.com](http://www.statista.com)).

- However, as shown in a report on cross-border trade and logistics efficiency prepared by the World Bank, the region is still facing a wide range of challenges in improving efficiency in border clearance and infrastructure. For example, the movement of cargo along the Northern Corridor relies heavily on road traffic conditions, Mombasa port operations, and cross-border efficiency. The trade balance in the region remains an issue due to continued imports of finished products from the rest of the world. Since intra- and inter-regional trade costs in the region are reported to be 60-70% higher than those generally in developed countries, trade facilitation is widely recognized as a key factor for further development by attracting more investment and reducing the cost of doing business in the region. Furthermore, considering the increasing global threat of terrorism and the increasing complexity of supply chains, ensuring safety and security in trade and customs by enhancing capacity for a coordinated approach in customs and border control is essential for the smooth movement of legitimate goods and people.
- With this background, since 2007, the respective Revenue Authorities in the region and their Customs administrations, with the support of the Japan International Cooperation Agency (JICA), implemented a Technical Cooperation Project to build the capacity of Customs administrations, relevant border agencies, and clearing agents for efficient border clearance to facilitate trade in the region. This project included the introduction and operationalization of OSBPs at the Namanga (Kenya/Tanzania) and Rusumo (Rwanda/Tanzania) borders.
- JICA signed a Memorandum of Cooperation (MOC) with the World Customs Organization (WCO) in 2015 to deepen the partnership between JICA and the WCO in the fields of Trade Facilitation and Customs Modernization. To vitalize the collaboration of the two parties, JICA and the WCO signed a “Joint Project Agreement of JICA-WCO Collaboration on Capacity Building toward trade facilitation in Africa” in July 2016 and launched the “WCO/JICA Joint Project”. To implement this WCO/JICA Joint Project effectively, the WCO established a Joint Project Unit within the Capacity Building Directorate of the WCO in July 2016.
- In order to further accelerate trade facilitation and effective border control while deepening regional integration to establish a Customs Union for the free movement of goods, people, and capital, the respective Governments of five EAC Partner States requested further support for a new project phase with a focus on effective implementation of OSBPs and further improvement of Customs enforcement and risk management (RM) capacity for trade facilitation and border control in the region.

Responding to this request, the Project on Capacity Development for Trade Facilitation and Border Control in East Africa, the so-called TFBC Project, was launched in December 2017 for a three-and-a-half year term.

## **5. Overall Goal and Project Purpose (from Record of Discussions(R/D))**

Overall Goal: Trade facilitation and enhanced safety and security is further promoted in East Africa.

Project Purpose: Efficiency of border procedures and capacity of border control are improved at the targeted borders in East Africa.

## **6. Implementing Agency**

L'Office Burundais des Recettes [Burundi Revenue Authority], Kenya Revenue Authority, Rwanda Revenue Authority, Tanzania Revenue Authority, Uganda Revenue Authority

<h2><b>II. Results of the Project</b></h2>
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### **1. Results of the Project**

#### **1-1 Input by the Japanese Side (Planned and Actual)**

##### ***(1) Amount of input by the Japanese side:***

(Planned) 560 million Japanese Yen

(Actual) 372 million Japanese Yen

##### ***(2) Expert dispatch:***

- The Chief Advisor for the Project was assigned in December 2017. Based on the Joint Project Agreement signed between JICA and the WCO, he provided his services from the WCO Headquarters (Brussels, Belgium). He also served as the Manager for JICA/WCO joint project unit, supported by the Assistant Manager.
- One JICA expert (Regional Cooperation / Human Resource Development / Project Coordinator) was assigned in Nairobi based at the project office (hosted by Kenya Revenue Authority (KRA)). She was in charge of senior relationship management, overall coordination, and monitoring and evaluation of the Project. She provided her services from Japan from March 2020 to May 2021 due to the COVID-19 pandemic. Administrative staff members were also assigned to support project coordination and logistical arrangements.

- An expert team for the OSBP component was engaged in October 2018 and consisted of six members: a Team Leader / Institutional Implementation Assistance Specialist, a Border Management Specialist, two OSBP Operations Specialists, one Training and Sensitization Specialist, and one Cross-Border Transport Law Specialist.
- In addition, thanks to the continued commitment from the WCO and Japan Customs, subject matter experts on different project components were invited for respective activities and contributed significantly to related activities to ensure the quality of technical services for the progress of the project (a list of these technical experts is attached).

**(3) Receipt of training participants:**

- OSBP Procedures – 928 persons (training and sensitization of public-sector officers, private-sector persons, and civil society)
- Risk Management – 110 persons (Regional RM workshop, Regional IPR workshop, etc.)
- Master Trainer Program (MTP) on Post Clearance Audit (PCA) – A total of 20 persons were nominated and finally 18 persons were certified as Master Trainers (Working Group (WG)1- WG5).
- Programme Global Shield (PGS) – 439 persons (Regional Awareness Raising Workshop, Regional Training of Trainers Workshop, etc.

*Detailed lists are attached.*

**(4) Equipment provision:**

*9.8 million Japanese Yen*

- Laptop Computers
- Projectors
- Raman Spectrometer<sup>2</sup>
- PGS text kits
- In addition, machinery and equipment requested by East African Revenue Authorities (hereafter referred to as “EARAs”) were provided through a Grant Aid project (separate from this technical cooperation project) while ensuring consistency between the TFBC Project and Grant Aid Project.

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<sup>2</sup> Raman spectroscopy is a non-destructive chemical analysis technique that provides detailed information about chemical structure, phase, and polymorphy, crystallinity, and molecular interactions.

**(5) Overseas activities cost: (to be provided by JICA system)**

82.2 million Japanese Yen

**1-2 Input by the RAs in East African side (Planned and Actual)**

**(1) Counterpart assignment:**

- Given the well-established collaboration among JICA, the WCO, and the EARAs, the same project implementation structure was maintained from the preceding project in which:
  - > Commissioners General of the respective RAs took the role of “Project Director”
  - > Commissioners Customs of the respective RAs took the role of “Project Manager”
- The respective heads of Customs Commissioners’ office of EARA played the role of the focal point for coordination and communication of various activities under the Project.

**(2) Provision of offices, etc.:**

- Project office space with office facilities (telephone line and office furniture) was provided by KRA.
- Four KRA support staff members (administrative officers and drivers) were attached to the Project to provide efficient logistical and administrative support.

**(3) Other items borne by the counterpart government:**

Although the details of the expenses borne by the five countries were not quantified, the following expense items were covered by the five EARAs for the implementation of project activities:

- Provision of a venue for Training activities (such as training at the Malaba OSBP);
- Domestic travel costs for some EARA officers to participate in regional training;
- Operation and maintenance costs for Joint Border Surveillance / Joint Water Surveillance (JBS/JWS) (e.g., fuel, night allowances);
- Operation costs for Operation PGS;
- Operation costs for the OSBP facilities at Rusumo and Namanga (e.g., electricity, water, internet);
- Training costs for additional training done by Master Trainers (including PCA);
- Training costs for additional PGS training done by each Revenue Authority (RA);

- Travel compensation for RA officers to participate in project activities borne by RAs needing to cover gaps between the allowances of JICA and the RAs;
- Some domestic transport arrangements provided for participants in Regional Joint Coordinating Committee (RJCC) meetings by host RAs;
- Travel costs for the project director and project manager of each RA for participation in RJCC Meetings; and
- Participation by national trainers from Kenya, Tanzania, and Uganda in project OSBP training and sensitization activities.

### **1-3 Activities (Planned and Actual)**

- Building upon the preceding TF Project in East Africa in December 2017, the TFBC Project was launched immediately following the completion of the TF Project. The TFBC Project covered the same five countries (Burundi, Kenya, Rwanda, Tanzania and Uganda) as the previous project and was designed to deliver the following two outputs:
  - Output 1: One-Stop Border Posts (OSBPs)
    - Support for Efficient OSBP Operation
    - Monitoring the Use of the EAC OSBP Procedures Manual
  - Output 2: Customs Capacity Building
    - Risk Management (including “Intellectual Property Rights (IPR]”)
    - Master Trainer Program (MTP) on Post Clearance Audit (PCA)
    - Border Control (including “Programme Global Shield (PGS)”)
- All activities under the TFBC Project were conducted through close cooperation among the JICA TFBC Project office in Nairobi, JICA headquarters, JICA country offices in East Africa, and the WCO. The TFBC Project organized the project management meeting, the “Regional Joint Coordination Committee (RJCC)” meeting, every six months based on the JICA’s project management framework. Also, based on JICA’s project management methodology, the Chief Advisor, TFBC Project office, and Project Directors (i.e., the Commissioners General of five EARAs, jointly prepared “Progress Reports” in the form of a Monitoring Summary, Project Design Matrix (PDM), and Plan of Operation (PO) every six months.
- For effective implementation of the TFBC Project, the Project Unit organized a variety of activities as illustrated below. Due to the COVID-19 pandemic, planned missions after March 2020 were postponed, cancelled, or replaced by the virtual activities, until the JICA OSBP expert team restarted some field missions and activities in October 2021.

**1-3-1: Output 1: OSBP**

Output 1 consisted of two interrelated components: support for efficient OSBP operations and monitoring the utilization of the EAC OSBP Procedures Manual. These components entailed the following tasks and activities:

- After its engagement in October 2018, the OSBP expert team focused initially on Activity 1-1 (select OSBPs to be included in the project scope). To achieve that objective, **the first mission** of the OSBP expert team was conducted in November-December 2018. In the mission, the OSBP expert team formulated evaluation criteria in consultation with national government authorities and development partners (i.e., the EAC Secretariat, TradeMark East Africa [TMEA], the Northern Corridor Transit and Transport Coordination Authority [NCTTCA], and JICA country offices) for selecting two additional OSBPs to be facilitated by the Project (i.e., in addition to Rusumo and Namanga), conducted detailed data collection based on the evaluation criteria at various candidate borders, and nominated the two OSBPs (Malaba and Gatuna/Katuna) to be facilitated for consideration at the 2<sup>nd</sup> RJCC meeting held in December 2018. This RJCC meeting approved facilitation of these two OSBPs by the Project.
- In the beginning of 2019, the OSBP expert team commenced work on Activities 1-2 (establish key performance indicators [KPIs], monitor operational status at Rusumo and Namanga, and improve procedures at these OSBPs through time measurement surveys and other measures), 1-3 (survey the operational capacity of the newly selected OSBPs and extract challenges), 1-4 (organize joint border and joint technical committees for efficient OSBP operations at selected borders), 1-5 (develop action plans to strengthen operational capacity at selected OSBPs), and 1-6 (implement action plans and conduct time measurement surveys at selected OSBPs).
- In undertaking this work, the **second mission** of the OSBP expert team was conducted in February 2019 and supported the organization of Joint Border Committee (JBC) meetings at Malaba (13 February 2019), Namanga (5 February 2019), and Rusumo (20 February 2019), as well as border meetings at Gatuna and Katuna (19 February 2019). Items covered at the Namanga and Rusumo JBC meetings included the formulation of KPIs and monitoring, the application of the EAC OSBP procedures, and an endline time measurement survey (the latter at Namanga). Items covered at the Malaba JBC meeting

and Gatuna/Katuna border meetings<sup>3</sup> included updating of the progress of construction of OSBP facilities and infrastructure, the planning process towards OSBP launch and operations, and preparation of an action plan for effective OSBP operations.

- From 22 to 28 February 2019, the OSBP expert team conducted an **endline/impact time measurement survey** at Namanga through the subcontractor Transport Logistics Consultants (the baseline survey had been conducted in February 2014 by the previous trade facilitation project). The results of the survey and associated impact assessment indicated a substantial reduction in median crossing time in one direction (from Kenya to Tanzania) from 11 hours and 46 minutes to 2 hours and 3 minutes, while there was an increase in median crossing time in the opposite direction (from Tanzania to Kenya) from 5 hours and 21 minutes to 7 hours and 3 minutes. Various factors such as growth in traffic caused this time increase. The time measurement survey also conducted a user satisfaction survey, a corridor transport cost survey, stakeholder interviews, and an infrastructure survey.
- The **third mission** of the OSBP expert team was conducted from mid-May to early June 2019 and supported a joint technical working group (JTWG) meeting for Malaba (23-24 May 2019), to further develop OSBP implementation action plans; a JBC meeting at Namanga (21 May 2019), further develop performance indicators and monitoring, assess the application of the EAC OSBP Procedures, and report endline survey results; and border meetings at Gatuna and Katuna (29 May 2019), to further develop OSBP implementation action plans.
- The **fourth mission** of the OSBP expert team was conducted in August 2019 and supported joint training for the public and private sectors at Malaba (14-16 August 2019); border meetings at Gatuna and Katuna, to update OSBP implementation action plans (on 20 August 2019); and a JBC meeting at Rusumo, covering KPIs and monitoring, and assessment of the application of the EAC OSBP Procedures (21 August 2021).
- The **fifth mission** of the OSBP expert team was conducted in November-December 2019 and supported OSBP training for the public and private sectors at Gatuna and Katuna (20-22 November 2019); an additional joint training for the public and private sectors at Malaba (27-29 November 2019); a joint technical working group (JTWG) meeting for

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<sup>3</sup> Meetings at Gatuna and Katuna were held separately because bilateral relations during the Project were not conducive to holding joint meetings.

Malaba (2 December 2019), to refine the OSBP implementation action plan; and a joint disaster risk reduction and management meeting for the Malaba OSBP (3-4 December 2019).

- The **sixth mission** of the OSBP expert team in February-March 2020 supported a JBC meeting at Namanga, which updated KPIs for monitoring, and assessed the application of the EAC OSBP Procedures (12 February 2020); a JBC meeting at Malaba that updated KPIs for monitoring and assessed the application of the EAC OSBP Procedures (13 February 2020), joint training for the public and private sector (18-20 February 2020), and border community sensitization (21 February 2020) at Malaba; training for the public and private sector at Katuna (27-28 February 2020); and a JBC meeting at Rusumo that updated KPIs for monitoring, and assessed the application of the EAC OSBP Procedures (2 March 2020).
- Beginning in mid-2019, the OSBP expert team started work on Activities 1-7 (develop plans for utilization of EAC OSBP Procedures Manual at the project OSBPs), 1-8 (implement the plans developed in Activity 1-7), and Activity 1-9 (draw lessons from OSBP operationalization and utilization of EAC Regional Procedures Manual at Namanga, Rusumo, and the other selected OSBPs to reflect them into the Manual and EAC OSBP Training Curriculum), drawing on the Namanga endline survey conducted in February 2019 and assessments of the application of the EAC OSBP Procedures by the JBCs, referred to in the description of the third through the sixth missions.
- From July to September 2020, the OSBP expert team prepared an **assessment of the application of the EAC OSBP Procedures Manual (by chapter and provision) based on project activities** at Rusumo, Namanga, and Malaba, reflecting on health-related issues such as COVID-19, and suggested additional changes based on further review of the manual.<sup>4</sup>
- From July 2020 to December 2021, the OSBP expert team pursued a **distance (remote) approach to OSBP training** for border officers, conducting a survey of revenue authorities and other public-sector stakeholders on the modalities and efficacy of OSBP distance training (July-August 2020), conducting a small-scale pilot (trial) OSBP distance training project focused on Malaba (Kenya and Uganda) but also training officers at other

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<sup>4</sup> It was recognized that the Partner States and EAC Secretariat may have had “limited bandwidth” (i.e., time and resources) to address all of these issues during the ongoing pandemic; in that case, the recommendations in this paper may be considered after the COVID-19 situation “calms down”.

Ugandan borders (October 2020), and then conducting larger-scale OSBP distance training focused on Malaba (8-11 March 2021, 18-21 May 2021, and 16-19 November 2021) and Namanga (23-26 March 2021, 8-11 June 2021, and 29 November-2 December 2021).

- The **seventh mission** of the OSBP expert team was conducted in October 2021 (i.e., after the onset of the COVID-19 pandemic in the first quarter of 2020), and supported JBC meetings at Namanga and Rusumo (22 and 29 October 2021, respectively), to update KPIs for performance monitoring and to consider measures to better apply EAC OSBP procedures; and at Malaba (25 October 2021), to prepare a monitoring report based on KPIs and update the OSBP implementation plan, with a focus on actions to better apply the EAC OSBP Procedures Manual.
- A **post-COVID impact assessment time measurement survey** was conducted at Namanga from 24 to 30 November 2021, again through the subcontractor Transport Logistics Consultants. The results – affected by the COVID-19 pandemic – found (compared to 2019) an 83% reduction in border crossing time for cargo from Kenya to Tanzania, but a 32% increase in border crossing time for cargo from Tanzania to Kenya. Customs processing times from Tanzania to Kenya, which was recognized by the 2019 endline survey as a point to be improved, were found by the 2021 survey to have decreased by more than 80%, which may reflect operational improvements.<sup>5</sup>
- The **eighth mission** of the OSBP expert team was conducted in January-February 2022 and supported joint training for the public and private sector training at Malaba (25-27 January 2022) and Namanga (1-3 February 2022), as well as a JBC meeting at Namanga (31 January 2022),
- Reports of these activities of the OSBP expert team were shared with the EAC Secretariat as well as TMEA. Also, team members participated in several meetings of the EAC Secretariat on related topics, including the OSBP performance measurement tool, the OSBP sustainability strategy, and the development of the requirements for digitalization of the OSBP performance tool.

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<sup>5</sup> In addition, in mid-February 2022 a time measurement survey was conducted at Malaba.

- The main project missions are briefly summarized in table format below and a detailed list of training activities, sensitization activities, and committee and other technical meetings is attached.

### Main Missions of the OSBP Project Component

<b>Mission</b>	<b>Timing</b>	<b>Activities</b>
First Mission	October 2018	Formulation of evaluation criteria and selection of two additional OSBPs to be facilitated by the Project.
Second Mission	February 2019	Support for the organization of JBC meetings at Malaba, Namanga, and Rusumo; border meetings at Gatuna and Rusumo; and an endline/impact TMS at Namanga.
Third Mission	May-June 2019	Support for a JTWG meeting for Malaba, a JBC meeting at Namanga, and border meetings at Gatuna and Katuna.
Fourth Mission	August 2019	Support for joint training of the public and private sector at Malaba, border meetings at Gatuna and Katuna, and a JBC meeting at Rusumo.
Fifth Mission	November-December 2019	Support for the public and private sectors at Gatuna and Katuna, joint training for the public and private sectors at Malaba, and JTWG and joint disaster risk reduction and management meetings for Malaba.
Sixth Mission	February-March 2020	Support for a JBC meeting at Namanga; a JBC meeting, joint training for the public and private sectors, and border community sensitization at Malaba; training for the public and private sector at Katuna; and a JBC meeting at Rusumo.
Seventh Mission	October 2021	Support for JBC meetings at Namanga, Malaba, and Rusumo.
Eighth Mission	January-February 2022	Support for a JBC meeting at Namanga, and training at Malaba and Namanga.

Abbreviations: JBC = joint border committee, JTWG = joint technical working group, TMS = time measurement survey

Note: Details of these missions and associated activities are described in the text and the attachment on training, sensitization, and committee/technical meetings.

Source: JICA OSBP Expert Team

**1-3-2: Output 2: Customs Capacity Building****Enhancement of Risk Management (including IPR)**

- **Five Risk Management Fact-finding missions** to five EARAs)<sup>6</sup> were made jointly by the expert teams from the WCO and JICA from April to June 2018. The main objectives of the missions were to: (i) obtain a better understanding of the RM function in the five Customs Administrations in East Africa; (ii) perform a comprehensive review of each one's existing or planned RM policy, strategy, and infrastructure, as well as its implementation of RM-related procedures; and (iii) identify capacity building needs on RM to design upcoming activities under the TFBC Project. The Chief Advisor presented the findings and a proposal from the five fact-finding missions at the RJCC meeting held in Tanzania in May 2018. The Commissioners appreciated the efforts of the expert teams and agreed to take a regional approach first for the enhancement of IPR border control while taking national follow-up actions to meet specific unique national needs on risk management.

**(a) National Risk Management Support**

- Given the decision made at the RJCC meeting held in May 2018, the Project started a series of “**national Risk Management follow-up missions**”.
- The first follow-up mission was the **national workshop on Risk Management in Burundi** held in October 2018 with the objective of improving the knowledge of RM of staff members of Office Burundais des Recettes (OBR). This workshop was facilitated by the Master Trainers on Intelligence Analysis developed by the TF Project (Phase 3) and available in OBR with supplementary support given by the WCO expert.
- The second follow-up activity was a **benchmarking study visit on Risk Management to Mauritius Revenue Authority (MRA)** held in October 2018 **for Rwanda and Uganda**. The study focused on how to effectively use a variety of data and systems available within Customs for enhancing risk management and post-clearance audit (PCA) functions. Six officials in charge of risk management from Rwanda Revenue Authority (RRA) and Uganda Revenue Authority (URA), accompanied by the WCO and JICA experts,

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<sup>6</sup> The five EARAs referred to in this report are OBR, KRA, RRA, TRA, and URA. The South Sudan National Revenue Authority (SSNRA) is another EARA (as it is the revenue authority of an EAC Partner States), but this Project did not targeting SSNRA since South Sudan was not a signing partner of this Project. (JICA provides other support for SSNRA.)

participated in the visit and conducted a benchmarking study with support from MRA officials responsible for risk management and PCA.

- As for **Tanzania**, the **WCO/JICA Joint National Workshop on Risk Management** was held in Dar es Salaam in March 2019 aiming at supporting the nominated Task Team members from the different divisions/units of Tanzania Revenue Authority (TRA) to review the initial draft customs Risk Management Framework as well as risk registers prepared by the Task Team with the support of the WCO experts. The finalized Customs risk management framework contributed to smooth and effective customs risk management operation by TRA.
- As for **Kenya**, the **WCO/JICA National Workshop on Risk Management** was held in Nairobi in October 2019 aiming at finalizing the Standard Operating Procedures (SOPs) for its then newly-established Risk Management Section. The SOP drafting process and the associated training contributed greatly to improve the capacity of the KRA staff and to strengthen the institution (by setting the respective sections for risk management and post-clearance audit) to implement effective application of risk management for the administration.

**(b) Intellectual Property Rights (IPR) border control capacity**

- As part of the action in the Risk Management component, the five EARAs agreed to work together to strengthen IPR border control in the region. The Project also supported this move by implementing two important IPR activities 2019.
- The first activity was a **Benchmarking Study on IPR Border Control conducted in Thailand and Japan** in May 2019. The objective of this study was to learn more about the good practices taken by these two countries for better control of goods infringing IPR and to identify areas of improvement for East African operations. Accompanied by WCO and JICA experts, 13 officials from the 5 administrations and EAC Secretariat senior staff visited Thailand on 7-10 May 2019 and Japan on 13-16 May 2019, respectively. Through the benchmarking study, participants identified several useful good practices and made recommendations to their respective home administrations to further enhance their border control functions of the goods infringing IPR.
- The second activity was a **WCO/JICA joint sub-regional workshop on IPR border control** held in Nairobi, Kenya in October 2019. 22 officials from Customs and the national competent authority on IPR, as well as the EAC Secretariat, were invited to

discuss how Customs and competent authorities can work together to further strengthen their border control on the goods infringing IPR in East Africa. This workshop provided an excellent opportunity for both Customs and national competent authorities to discuss ways forward in view of their unique legal and operational frameworks. At the end of the workshop, the participants developed their respective national action plans based on lessons learnt during the workshop.

- The Project considered organizing certain **national IPR follow-up activities** in 2020 if there were specific requests from interested Revenue Authorities. However, with the COVID-19 pandemic, the Project did not receive any requests, and hence no additional national support was offered before the completion of the Project. Since the EARAs had already developed their respective national action plans with a clear understanding on the actions required for enhancing their IPR border control, the Project strongly urged all Revenue Authorities at the RJCC meeting held in May 2021 to continue their efforts to implement their national action plans.

**Enhancement of Post Clearance Audit (PCA) capacity (implementation of the Master Trainer Programme)**

- **The Master Trainer Programme or MTP in East Africa is now widely recognized as a successful model of the “Training of Trainers” approach and the WCO regional strategy on the development of a pool of experts among the global Customs community.** This great recognition was achieved through extensive joint efforts and investments by the EARAs, as well as the efforts of the WCO and JICA/Japan Customs experts. Based on the successful MTPs on valuation, HS [Harmonized System] classification, and intelligence analysis, the EARAs requested a new MTP on PCA. The Project started this new MTP since it was in line with the trade facilitation and risk management concept.
- The MTP on PCA under the TFBC Project was organized from 2018 to 2021 with the five progressive Working Group (WG) activities (WG1-5) and intersessional activities to achieve the objective. **The first MTP Working Group Activity (WG1)** was held in Dar es Salaam, Tanzania, in September 2018. Each RA nominated four officials to serve as WG members and a total of 20 PCA officials actively participated in the workshop, which aimed at (i) improving knowledge/techniques for effective implementation of PCA and (ii) identifying regional PCA training needs for developing the MTP work plan. A pre-test was conducted to assess the level of understanding of PCA at the start of the MTP. The

workshop concluded by the members jointly developed a WG work plan for the subsequent tasks under the MTP on PCA.

- The **second activity (WG2)** under the MTP was held in Nairobi, Kenya, in March 2019. Different from WG1, this WG2 placed more emphasis on training skills/knowledge, i.e., which are important skills in becoming a quality trainer. Experts from the WCO, the EAC Secretariat, and Japan Customs shared their knowledge and expertise on PCA and conducted training to improve the participants' understanding of both theory and practice. Each WG member made a short presentation on topics from the EAC PCA manual and received feedback from the WCO training expert to further develop their training delivery skills.
- The **third activity (WG3)** was held in Arusha, Tanzania, in October 2019. Building upon the first activity (WG1), which focused on the improvement of PCA knowledge/techniques as well as the identification of specific PCA training needs, and the second activity (WG2), which focused on the improvement of training skills/competence, WG members started development of training materials and a model program to meet the specific training needs identified during WG1. The WG members again shared their experiences on actual cases of the audits conducted and agreed to further develop them as part of the training materials to be prepared. The trainees developed the first version of the learning guide and the model training program.
- The **fourth activity (WG4)** was held in Kampala, Uganda, in February 2020 (but there were only 19 participants since KRA could send only 3 WG members). Before WG4, WG members worked intensively to prepare their assigned presentations and case studies and presented them to other WG members in the form of presentation practice at WG4. Building upon the three preceding WG activities, WG4 aimed at finalizing the package of training materials to be used by the WG members upon completion of the MTP. Those training materials included the EAC PCA manual, PowerPoint presentations, case studies, a data analysis exercise, a model program, and a course guide. Invited experts from the WCO and JICA/Japan Customs also provided useful suggestions before and during WG4 from the viewpoints of PCA as well as training delivery and management. WG members agreed to continue their efforts to finalize their responsible training materials and practice training delivery to prepare well for the WG5.
- The Project planned to organize a PCA Benchmarking study in Thailand and Japan in May 2021 and Working Group 5 (WG5), the last activity of the MTP, in October 2020. However, due to the COVID-19 pandemic, this study was not organized.

- The WCO and JICA/Japan Customs experts agreed to support WG members to further improve their skills and competencies to become Master Trainers before the WG5. To achieve that objective, WG members were given specific tasks to (i) finalize their responsible training materials reflecting the suggestions made, (ii) complete the PCA training module on CLiKC (the WCO online training platform), and (iii) study useful WCO tools and instruments on PCA. Following the progress over emails exchanged between the WCO and the JICA/Japan Customs expert team and WG members, the Project started a series of Virtual Working Groups (VWG) meetings in the end of May 2020. The VWG meetings (2 hours) were held almost every week after that; a total of **35 VWG meetings** were held from May 2020 to April 2021 and contributed to ensuring further improvement of the skills of the WG members and the quality of their developed materials. Experts from the WCO and JICA/Japan Customs participated in the 35 VWG meetings to provide advice to WG members and made contributions to ensure the quality of the materials.

With the ongoing COVID-19 pandemic in early 2021, the **fifth activity (WG5)** was organized virtually from 12 to 16 April 2021 inviting the same WG members (but only 18 participants since KRA could send only two WG members). Building upon the progress made through WG1 to WG4 as well as the 35 VWG meetings, the participants delivered their PCA training sessions to the invited trainees from the WCO Secretariat (5 Professional Associates) and Japan Customs (5 Japan Customs staff members) and they were evaluated and recognized as Master Trainers (MTs) on PCA. As a result, all 18 participants demonstrated their excellent capacity as MTs on PCA and received a Certificate of Achievement. The WG members (now MTs of PCA) trained nearly 1,000 officials despite difficulties due to COVID-19.

#### **Enhancement of Border Control (including Programme Global Shield (PGS))**

- As for border control, the “**WCO/JICA Joint Sub-regional PGS Awareness Raising Seminar**” took place in Nairobi, Kenya, in May 2018, to improve understanding of the five EARAs on Improvised Explosive Devices (IEDs) and the actions required by Customs to mitigate associated risks. The workshop was also used as an opportunity to identify the unique needs of the five participating EARAs. Based on the outcome of the Seminar, the Project decided to organize a “Sub-regional Train the Trainers workshop” to build a pool of regional experts on PGS.

- As the second step, a “**Sub-regional Training-of-Trainers (ToT) Workshop on PGS in East Africa**” was held in Kampala, Uganda, in January 2019. The ToT workshop developed a pool of PGS trainers in East Africa to mitigate the threat posed by IEDs and demonstrate how Customs can control such threats. Also, almost all participants took part in an Awareness Raising Workshop held in Nairobi in May 2018. Invited experts from the WCO, Sri Lanka Customs, and Georgia Customs shared their valuable knowledge and national experiences on PGS for the benefit of participants. As a result, all participants deepened their understanding of the threats posed by IEDs, the role that Customs can play, and how PGS training can be delivered effectively. PGS trainers developed their own national training delivery plan at the end of the workshop, and since then, they have started national training in their respective countries with their acquired knowledge.
- After the ToT workshop, the trained officers (national PGS trainers) conducted training and sensitization in each country, as shown in the following table.

**PGS Training/Sensitization Activities Delivered (January-June 2019)**

	OBR	KRA	RRA	TRA	URA	Total
No. of Trainees	32	553	134	53	104	876

- To boost the work done by PGS trainers at the national level, the Project started **national PGS expert missions** in July 2019 as indicated below:
  - **Kenya:** 9-11 July 2019 (Mombasa), 79 officers trained;
  - **Burundi:** 20-22 November 2019 (Bujumbura), 26 officers trained;
  - **Rwanda:** 25-26 November 2019 (Kigali), 48 officers trained;
  - **Tanzania:** 27-28 January 2020 (Dar es Salaam), 31 officers trained; and
  - **Uganda:** 11-12 February 2020 (Kampala) 32 officers trained.
- The Project planned to organize two additional activities in early 2020, i.e., a “WCO/JICA Joint Regional PGS Pre-operational Meeting” and “PGS Operation East Africa (PGS OP EA)” in March and April 2020 respectively. However, due to the COVID-19 pandemic, these two activities were postponed, and ultimately could not be carried out during the Project. However, the Project organized five “**virtual national consultation meetings**” with the respective EARAs in June-July 2020.

- Reflecting the outcome of the national consultation meetings, the Project then organized a virtual “**Sub-regional PGS Follow-up Workshop**” for East Africa on 13 October 2020, inviting representatives from Customs and other border agencies (32 officers) as well as experts and observers from the WCO, JICA, INTERPOL (the International Criminal Police Organization), the WCO Regional Intelligence Liaison Office for Eastern and Southern Africa (RILO ESA), and the United States. The workshop focused on updating the latest regional IED threats as well as confirming progress with the PGS Operation East Africa. The virtual workshop aimed also at enhancing already existing cooperation between Customs, police and other border control agencies in East Africa. Responding to the specific requests expressed by the participants during the Workshop, the Project also organized a “**CENComm [Customs Enforcement Network Communication Platform] exercise**” on 18 November 2020 to ensure the smooth communication on CENComm during the PGS Operation (50 officers were trained on use of CENComm).
- On 20-22 January 2021, the **PGS Operation East Africa (PGS OP EA) Pre-Operational Meeting** was organized, with representatives from Customs, police, and other border control agencies (50 officers) as well as experts and observers from the WCO, JICA, INTERPOL, RILO ESA, and the United States. This meeting, including the 2<sup>nd</sup> half-day CENComm exercise organized responding to the specific requests made by RAs in East Africa, was organized as a last activity to help the five participating countries with their preparation for the “PGS Operation East Africa (PGS OP EA)”.
- Based on subsequent consultations between the WCO expert team and INTERPOL, the **PGS Operation East Africa (PGS OP EA)** was conducted for two weeks from 3<sup>rd</sup> to 16<sup>th</sup> March 2021, with the participation of the EARAs and their respective national partner agencies, INTERPOL, JICA, and RILO ESA. The participants from the five countries actively exchanged information and examined a number of targeted consignments during the Operation. Following the completion of the 14-day Operation, the Project analyzed the result of PGS OP EA and prepared a debriefing note.
- On 5 May 2021, the Project, in cooperation with WCO PGS expert and RILO ESA, organized the “**PGS OP EA Debriefing Meeting**”, where all National Contact Points (NCPs) of the EARAs on PGS (50 officers participated) made presentations on the outcome of the PGS Operation and lessons learned. Major findings presented were as follows:

- Despite the massive challenges posed by the COVID-19 pandemic, PGS OP EA was a great success with achievements made through the excellent efforts of the East African countries and the significant support provided by the WCO, JICA, INTERPOL, RILO ESA, and other relevant parties.
- Excellent efforts were made by OBR for the preparation and use of CENComm during the Operation, by KRA and TRA for establishing a multi-agency cooperation framework, and by RRA for starting follow-up PGS training through the RRA e-learning platform.
- As a result of PGS OP EA, a commendable number of seizures of illicit goods were made. Major seizures during the PGS OP EA were as follows:
  - *8.5 metric tons of chemical precursors*
  - *1 metric ton of other toxic chemicals and dangerous goods*
  - *6 kg of heroine*
  - *6.5 kg of cocaine*
  - *1 metric ton of cannabis*

In addition, checks and records were made by the EARAs for:

- *More than 1,000 metric tons of licit (lawful) precursor chemical shipments*
- Due to the challenges posed by COVID-19 pandemic and the lessons learned during the PGS Operation, the RAs identified concrete actions to be undertaken to strengthen their border controls of IEDs and their precursor chemicals (as presented in their debriefing report).
- As for Activity 2-11 (monitoring of JBS/JWS), the project office regularly circulated a questionnaire on joint border/water surveillance (JBS/JWS) to the respective EARAs and compiled a JBS/JWS monitoring report. The target borders were Namanga (Kenya/Tanzania), Malaba (Kenya/Uganda), Busia (Kenya/Uganda), Gatuna/Katuna (Rwanda/Uganda), Kobero/Kabanga (Burundi/Tanzania), Rusumo (Rwanda/Tanzania), Mutukula (Uganda/Tanzania), and Lake Victoria (Kenya/Tanzania/Uganda).
- The number of intelligence exchange and joint meetings/surveillance held was more than once a month on average, although there were differences by border.

- According to responses collected from the JBS/JWS questionnaires, the average number of smuggling cases detected per month were as shown in the following table:

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<b>Period for Data Collection by JBS/JWS report</b>	<b>Number of Smuggling Cases Detected</b>	<b>Average Number of the Smuggling Cases per Month</b>
October 2017– March 2018	1,029	172
April – September 2018	2,775	463
October 2018 – March 2019	2,373	396
April – November 2019	1,301	163
December 2019 – May 2020	499	83
June – November 2020	644	107
December 2020 – April 2021	451	90

- The reduction in the number of smuggling cases detected since 2019 can be attributed to a lack of working border control equipment (e.g., due to a breakdown of patrol vehicles and boats), closure of the Gatuna/Katuna border, and restrictions on cross-border movement due to the COVID-19 pandemic. Some countries noted the reduction of joint meetings/operation due to the COVID-19 pandemic.
- Goods seized were mostly consumables and electronics, foodstuffs, and stolen motor vehicles, and common challenges were porous borders, a lack of information sharing and bilateral meetings by border offices, a lack of patrol motor vehicles and boats, insufficient staff for field operations, and a lack of intelligence funds for informers. Enforcement teams requested more staff for operations and indicated a need for training in rummaging (thorough checking by Customs preventive officials) and intelligence sharing. One good approach was implementation of a (domestic) Multi-Agency Operations Framework to enhance the capacity of the RAs in monitoring and undertaking border operations.

### **Others**

- During the 2<sup>nd</sup> RJCC meeting held in December 2018, the Project presented awards to the “Most Active Master Trainers 2018” to commemorate the excellent contributions made by the active Master Trainers, for their sustainable capacity building efforts to share their

knowledge and experience with their fellow colleagues through training and on-the-job training (OJT). Similar Awards for 2019 and 2020 were presented at the RJCC meetings held in January 2020 and May 2021. It should be highlighted that the number of beneficiaries that enjoyed high-quality training delivered by MTs reached 20,000 of May 2021.

- Many MTs were accredited as WCO Accredited Customs Experts (ACEs) and have been contributing to trade facilitation and customs modernization in Africa and beyond<sup>7</sup>. This good practice was recognized as a success story of sustainable capacity building in the TICAD 6 Progress Report issued in 2019, as well as among members of the global customs community.
- As part of border surveillance capacity enhancement, the EARAs requested additional support for border control equipment such as patrol vehicles and boats, baggage scanners, PGS test kits, and portable detection equipment. Regarding PGS, the WCO and JICA/Japan Customs experts provided technical training for the identification of precursor chemicals. Furthermore, JICA, through the United Nations Office for Project Services (UNOPS), provided grant aid for such border surveillance equipment, i.e., Raman spectrometers, PGS test kits, patrol vehicles and boats, and a baggage scanner for each country. Due to the pandemic, the assessment and the procurement services were delayed, but all items were all delivered and installed by July 2021.

## **2. Achievements of the Project**

### **2-1 Outputs and Indicators**

**Output 1: OSBPs are operated in an efficient and regionally harmonized manner at selected land borders.**

Indicator 1-1a: The number of evaluation/impact activities at the selected OSBPs through time measurement surveys / impact assessments (by this project) equals or exceeds a total of two.	
<b>Evaluation</b>	Achieved
<b>Rationale</b>	<b>The Project conducted an endline/impact survey at Namanga in February 2019, and it conducted another endline/impact survey in November-December 2021 (i.e., after the onset of COVID-19).</b>

<sup>7</sup> The number of MTs (currently active) in each subject area is 24 (Customs valuation), 21 (HS classification), 27 (Intelligence Analysis), and 18 (PCA).

	<p>Regarding <b>Malaba</b>, as explained under Project Purpose Indicator 1, considering the impact of COVID-19, and considering that ongoing and upcoming construction works remaining to be completed at Malaba on the Kenyan side, it may not have been ideal to conduct a time measurement survey (baseline or endline) at Malaba during the period of the OSBP project component,<sup>8</sup> but it was finally decided to conduct such a survey in mid-February 2022, mainly to determine the impact of COVID-19 on border procedures.</p> <p>Regarding <b>Gatuna/Katuna</b>, again before the emergence of COVID-19, (separate) border meetings held in May and August 2019 found that a baseline survey should be carried out in 2020, i.e., before the start of OSBP operations, but after normal traffic resumes. However, in view of the situation with COVID-19 and the status of general bilateral relations affecting traffic at this border (at least until it reopened on 31 January 2022), it was not possible to conduct such a survey at this border during the project period.</p>
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Indicator 1-1b: The number of monitoring activities at the selected OSBPs through monitoring reports equals or exceeds eight.	
<b>Evaluation</b>	Achieved
<b>Rationale</b>	A total of nine monitoring reports were prepared, four for Namanga (in May 2019, February 2020, October 2021, January 2022), four for Rusumo (in February 2019, August 2019, March 2020, and October 2021), and one for Malaba (in October 2021), which totals eight. The preparation of monitoring reports stalled somewhat after the onset of the COVID-19 pandemic, but three were prepared in October 2021.

Indicator 1-2: The number of officials and stakeholders trained or sensitized on the EAC OSBP Procedures Manual and related issues exceeds 800.	
<b>Evaluation</b>	Achieved
<b>Rationale</b>	Based on the experience of the preceding trade facilitation project from 2014 to 2017, and based on the requirements at the respective borders,

<sup>8</sup> It is understood that in April 2021 TMEA decided not to proceed with its planned Malaba time survey with its subcontractor because of a delay in the completion of construction works on the Kenyan side at Malaba.

it was estimated that the number of officers and stakeholders trained or sensitized on the EAC OSBP Procedures Manual and related issues should be targeted at 800 by the end of the Project, which was set at the 3<sup>rd</sup> RJCC meeting in July 2019.

**Onsite** training in EAC OSBP procedures was delivered to a total of 580 border officers and stakeholders (227 from the public sector and 353 from the private sector) – 379 at Malaba<sup>9</sup> (144 from Kenya and 235 from Uganda; 144 public sector and 235 private sector), 151 at Gatuna/Katuna (69 from Rwanda and 82 from Uganda; 54 public sector and 97 private sector), and 50 at Namanga (26 from Kenya and 24 from Tanzania; 29 public sector and 21 private sector). In addition, 98 border persons from the public sector (64 at Malaba and 34 at Namanga; 48 from Kenya, 17 from Tanzania, and 33 from Uganda) participated in OSBP **distance training** focused on Malaba and Namanga. Also, a total of about **250** border community residents attended a sensitization session at Malaba. Therefore, **a total of 928** (580+98+250) were trained or sensitized in the EAC OSBP procedures, i.e., 12.0% greater than the indicated target of 800.

The following table broadly summarizes onsite and distance training and sensitization during the Project.

**Training/Sensitization in EAC OSBP Procedures during the Project**

OSBP	Number Trained (Onsite)	Number Trained (Distance)	Number Sensitized (Onsite)	Total
Gatuna/Katuna	151			151
Malaba	379	64	250	693
Namanga	50	34		84
Total	580	98	250	928

<sup>9</sup> About 82 of these trainees were from Busia, a border crossing near Malaba, and for which training was considered in the selection of Malaba as a border to be supported by the Project, as a means of extending the benefits of the Project.

Indicator 1-3: The overall degree of understanding and utilization of the EAC OSBP Procedures Manual by the officers engaged in OSBP operations at the selected land borders equals or exceeds 70%.	
<b>Evaluation</b>	Achieved
<b>Rationale</b>	<p>Understanding and use of the EAC OSBP Procedures Manual is a critical input for efficient OSBP operations, considering that the Manual reflects good and best practices for border procedures.</p> <p>At Malaba, scores on a test (quiz) administered onsite to public sector officials at the conclusion of training were high, with 92% scoring above 70% in August 2019, 88% scoring above 70% in November 2019, 86% scoring above 70% in February 2020, and 95% scoring above 70% in January 2022, i.e., above the score considered minimally acceptable for understanding and use of the procedures. Also, over 80% of the trainees reported that the training was useful in their role as OSBP officers (83% in August 2019, 89% in November 2019, and 97% in February 2020).</p> <p>At Katuna,<sup>10</sup> scores on a test administered onsite to public sector officials at the conclusion of training in November 2019 were also high, with 93% scoring above 70%, i.e., above the score considered minimally acceptable for understanding and use of the procedures. However, the scores were lower in February 2020, with 75% scoring above 70%.</p> <p>In addition, at Namanga scores on the test administered to public sector officers were high, with 97% scoring above 70% in February 2022.</p> <p>Further, scores on tests administered after distance training focused on Malaba and Namanga were high, with all but one trainee scoring above the minimally acceptable score of 70%.</p> <p>Finally, detailed assessments of the application of the EAC OSBP procedures were undertaken at Rusumo in August 2019, March 2020, and October 2021, and at Namanga and Malaba in February 2020 and October 2021, by the respective JBCs with the support of the JICA OSBP expert team. These assessments examined the application of the</p>

<sup>10</sup> There was insufficient time to administer the quiz at Gatuna.

	procedures by chapter and provision and found that generally some chapters/provisions have been “fully implemented” while others have been “partially implemented”.
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Indicator 1-4: The lessons drawn from OSBP operationalization are taken into account with respect to implementation of the EAC OSBP Procedures Manual and the EAC OSBP Training Curriculum.	
<b>Evaluation</b>	Partially Achieved
<b>Rationale</b>	<p>For more effective OSBP operations at the project borders and other borders in the region, it was desirable to take lessons learned during the Project into account in the implementation of the EAC OSBP Procedures Manual and Training Curriculum. Accordingly, the OSBP expert team compiled lessons learned during the operation of the selected OSBPs, and to the extent necessary, suggested revision(s) or supplement(s) to the Procedures Manual and/or Training Curriculum for consideration by the EAC Secretariat and Partner States, i.e., the “owners” of the Manual and Training Curriculum.</p> <p>Lessons learned were compiled through assessments of the application of the EAC OSBP Procedures Manual. As stated regarding Indicator 1-3, the respective JBCs conducted such assessments at Rusumo in August 2019, March 2020, and October 2021, and at Namanga and Malaba in February 2020 and October 2021. Based on the first rounds of these assessments (which were generally confirmed by the October 2021 assessments), in October 2020, the OSBP expert team suggested revision(s) of / supplement(s) to the EAC OSBP Procedures Manual and EAC OSBP Training Curriculum for consideration by the EAC Secretariat and Partner States. Suggestions for health-related (including COVID-19) issues and provisions were also provided.</p> <p>It was stressed that these suggestions were meant only for consideration by the Partner States and the EAC Secretariat as the “owners” of the Manual and Training Curriculum, based on their individual and collective judgments. The Partner States and the EAC Secretariat are reviewing and considering changes in the manual including the suggestions from the OSBP expert team.</p>

**Output 2: The capacity of Customs administrations for efficient and effective border control is enhanced.**

Indicator 2-1: The number of practical measures taken by the Partner States to further enhance the RM approach exceeds 15.	
<b>Evaluation</b>	Achieved
<b>Rationale</b>	<ul style="list-style-type: none"> <li>- The Project circulated questionnaires every six months and monitored the progress.</li> <li>- The reported number of practical measures taken by the RAs in East Africa totaled 117 and thus exceeded the targeted KPI.</li> <li>- While the Project observed an imbalance of reported achievements among the RAs, this indicator can be evaluated as achieved, particularly with the commendable efforts of URA.</li> </ul>
Indicator 2-2: Trainees' overall ratings for understanding of the topics relating to RM exceeds 70%.	
<b>Evaluation</b>	Achieved
<b>Rationale</b>	<ul style="list-style-type: none"> <li>- The Project monitored the progress of this KPI every six months through a monitoring sheet.</li> <li>- The Project supported the implementation of RM training conducted by the MTs in OBR in October 2018. The test conducted at the end of this training demonstrated a positive result with the average of the trainees' overall ratings reaching 80%.</li> <li>- A number of risk management training sessions were conducted by the EARAs themselves, and the test was not administered in all training sessions, making it difficult to assess the understanding level of the trainees. A general assessment by the EARAs concluded that this indicator was moderately achieved.</li> </ul>

Indicator 2-3: The number of trainees that receive RM-related training, including the one conducted by Master Trainers (MTs) on Intelligence Analysis, exceeds 2,000	
<b>Evaluation</b>	Achieved
<b>Rationale</b>	<i>[Note: This indicator was updated from "800" to "2,000" at the 3<sup>rd</sup> RJCC meeting held in July 2019 considering the excellent achievement rate in the first year.]</i>

- The Project monitored the progress of this KPI every six months through a monitoring sheet.
- The number of trainees who received RM-related training was 5,413, exceeding the KPI of 2,000.
- Some examples of RM training done by the Project includes:
  - National training in Burundi: October 2018 (30 OBR officials)
  - National training in Tanzania: March 2019 (17 TRA officials)
  - National training in Kenya: October 2019 (18 KRA officials)
  - Regional training: MTP on PCA WG1-WG4 (about 20 officials each)
  - Regional training: PGS Awareness Raising and ToT (about 20 officials each)
- RM training and OJT delivered by the MTs on Intelligence Analysis of the RAs surpassed 5,000 (5,413 officers), with the following breakdown:

Period	OBR	KRA	RRA	TRA	URA
Oct 2017-Sep 2018 (1,183)	89	195	147	361	391
Oct 2018-Sep 2019 (2,273)	237	388	747	236	665
Oct 2019-Feb 2021 (1,957)	231	96	174	225	1,231

- PCA WG members trained 989 officers on PCA (144 by TRA, 845 by URA), while 462 officers received on-the-job training by members for the October 2019-February 2021 period.

Indicator 2-4: The number of MTs developed on Post Clearance Audit exceeds 15.

<b>Evaluation</b>	Achieved
<b>Rationale</b>	<ul style="list-style-type: none"> <li>- Each RA nominated four officers to join the Working Group on PCA under the MTP (20 officers were nominated). They progressively attended the four WG activities to acquire knowledge and skills.</li> <li>- Two KRA members left due to (i) difficulty in sending four officers abroad (as per State House policy), and (ii) early retirement due to illness. However, the other 18 officers attended all activities.</li> </ul>

	<ul style="list-style-type: none"> <li>- These 18 officers participated in the final activity (WG5) from 12 to 16 April 2021, in which participants delivered PCA training sessions for the invited trainees (5 WCO Professional Associates and 5 Japan Customs staff members) with the materials developed by the participants. The expert team from the WCO, EAC, and JICA evaluated their performance for certification as MTs. As a result of good performance and knowledge demonstrated throughout WG5, all 18 participants in the Program were certified as MTs, and hence, this KPI was achieved.</li> </ul>
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Indicator 2-5: Information exchange and/or joint inspection/operation activities are carried out at least once a month at the selected borders.

<b>Evaluation</b>	<b>Achieved</b>
<b>Rationale</b>	<ul style="list-style-type: none"> <li>- The number of smuggling cases at the target borders (figures collected through the JBS/JWS report) were as follows:  1,029 cases (October 2017 – March 2018), an average of 172/month;  2,775 cases (April – September 2018), an average of 463/month;  2,373 cases (October 2018 – March 2019), an average of 396/month;  1,301 cases (April – November 2019), an average of 163/month;  499 cases (December 2019 – May 2020), an average of 83/month;  644 cases (June – November 2020), an average of 107/month; and  451 cases (December 2020 – April 2021), an average of 90/month.</li> <li>- The decline in smuggling cases since 2019 can attributed to a lack of patrol vehicles and boats (some broke down and could not be used for operations), and restrictions on border movement especially due to COVID-19 (it was difficult to organize joint meetings and joint operations).</li> <li>- It is difficult to compare the number of smuggling cases nationwide since some countries could not provide feedback for some periods. In general, the trend showed mixed results as some countries had increases (Burundi and Uganda), while others had decreases (Kenya and Tanzania). The reasons for increases were reduced inspections at borders (due to facilitation measures), and an increase in</li> </ul>

	<p>intelligence sharing which led to more interventions. The reasons cited for challenges include staff shortages, limited operation due to the COVID-19 pandemic, a lack of knowledge in border communities, and a lack of good patrol boats.</p> <ul style="list-style-type: none"> <li>- Goods seized for tax evasion included cooking oil, motor vehicles, cement, spare parts, Pakistani rice, wheat flour, textiles, juice, and alcoholic drinks, while the restricted and prohibited items seized included sugar, mahogany timber, and counterfeit goods. Some countries noted that smuggling activities were reduced as a result of COVID-19 related lockdowns since most local residents were not allowed to cross borders. Common challenges noted by the countries included porous borders, a lack of well-maintained motor vehicles and boats, insufficient staff for field operations, and a lack of intelligence funds for informers. Common recommendations such as the need for information sharing with other law enforcement agencies, community sensitization, an increase in intelligence funds, and provision of new motor vehicles and boats were made by the EARAs.</li> </ul>
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## 2-2 Project Purpose and Indicators

**Efficiency of border procedures and capacity of border control are improved at the targeted borders in East Africa.**

Indicator 1: The clearance time for cargo and people at the selected borders is reduced after OSBP operation by 30% for cargo and 20% for people (on average) compared to the situation before OSBP operation.	
<b>Evaluation</b>	Partially Achieved
<b>Rationale</b>	<p>Measurement was to be undertaken through time measurement surveys at project borders (for cargo at Namanga, Malaba, and Gatuna/Katuna) and for people at Gatuna/Katuna (there is no baseline data for people at Namanga and Malaba). The previous JICA trade facilitation project conducted a baseline survey for Namanga in February 2014.</p> <p>An endline/impact time measurement survey was conducted at <b>Namanga</b> in February 2019; it found an 83% reduction in border crossing time for cargo from Kenya to Tanzania, but a 32% increase in border</p>

crossing time for cargo from Tanzania to Kenya – refer to the following table).

#### Results of the Namanga Time Measurement Survey

Category	Baseline Survey (2014)	Endline Survey (2019)
Cargo	<b>Kenya → Tanzania</b>	
	11 hours and 46 minutes (median time)	<b><u>83% reduction</u></b> 2 hours 3 minutes (median time)
	<b>Tanzania → Kenya</b>	
	5 hours and 21 minutes (median time)	<b><u>32% increase</u></b> 7 hour 3 minutes (median time)
Passengers	<b>Kenya → Tanzania</b>	
	N/A	19 minutes (median time)
	<b>Tanzania → Kenya</b>	
	N/A	29 minutes (median time)

The May 2019 Namanga JBC meeting recommended that another, perhaps targeted endline survey be conducted, after implementation by the KRA of changes in response to the February 2019 time measurement survey (e.g., introduction of the integrated customs management system (iCMS) with its built-in selectivity module, implementation of the SCT). An additional (endline/impact) time measurement survey at Namanga was conducted in November 2021. The results – during the COVID-19 pandemic – showed that there was a 73% reduction in total dwell from the 2014 baseline for traffic from Kenya to Tanzania, but a 127% time increase from the 2014 baseline for traffic from Tanzania to Kenya. Customs processing times from Tanzania to Kenya, which was recognized in the endline survey in 2019 as a point to be improved, have decreased by more than 80%, which may reflect operational improvements.

Concerning **Malaba**, before the emergence of COVID-19, the necessity of conducting (baseline and endline) time measurement surveys in the Project was considered, in consultation with the concerned

	<p>governments, TMEA, JICA headquarters, and the overall JICA TFBC project. The JICA OSBP expert team prepared an assessment of six previous baseline surveys conducted at Malaba. Considering the impact of COVID-19, and considering that ongoing and upcoming construction works remaining to be completed at Malaba on the Kenyan side, it may not have been ideal to conduct a time measurement survey (baseline or endline) at Malaba during the period of the OSBP project component,<sup>11</sup> but it was finally decided to conduct such a survey in mid-February 2022, mainly to determine the impact of COVID-19 on border procedures.</p> <p>Regarding <b>Gatuna/Katuna</b>, before the emergence of COVID-19, border meetings held in May and August 2019 found that a baseline survey should be carried out in 2020, i.e., before the envisaged start of OSBP operations, but after normal traffic resumes and ideally (although not necessarily) after the infrastructure is in place (and ideally the survey should not be conducted in the rainy season) in 2021. A baseline survey at Gatuna/Katuna was conducted around 2012 by the World Bank, but as part of a corridor rather than a border-focused study.<sup>12</sup> Another baseline survey would have been desirable, but in view of the status of general bilateral relations that affected traffic at this border (at least until it reopened on 31 January 2022), such a survey could not be carried out at this border during the project period.</p> <p>Baseline and endline time measurement surveys were conducted at <b>Rusumo</b> in 2014 and 2017 (respectively), in the predecessor trade facilitation project.<sup>13</sup></p>
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<sup>11</sup> It is understood that in April 2021 TMEA decided not to proceed with its planned Malaba time survey with its subcontractor because of a delay in the completion of construction works on the Kenyan side at Malaba.

<sup>12</sup> Mike Fitzmaurice and Olivier Hartmann, *Border Crossing Monitoring along the Northern Corridor*, Africa Transport Policy Program (SSATP), Working Paper No. 96, April 2013. The action plan prepared during the October 2021 Malaba JBC meeting indicated that construction work on the road on the Kenyan side would (re)start in November 2021.

<sup>13</sup> Comparison of the results of the 2017 endline survey with the 2014 baseline survey at Rusumo found time reductions of 55% to 73% for cargo and 79% to 81% for people. Japan International Cooperation Agency and PADECO Co., Ltd., *Component for OSBP Operationalization of the Project on Capacity Development for International Trade Facilitation in the Eastern African Region, Work Completion Report for Phase 2*, December 2017, Table 2.9, p. 37.

Indicator 2: The selected targeted OSBPs are operated based on the EAC OSBP Procedures Manual.	
<b>Evaluation</b>	Partially Achieved
<b>Rationale</b>	Assessments of the application of the EAC OSBP Procedures Manual were undertaken at Rusumo in August 2019, March 2020, and October 2021, and at Namanga and Malaba in February 2020 and October 2021, by the JBCs with the support of the JICA OSBP expert team. These assessments found that generally some chapters/sections have been “fully implemented” while others have been “partially implemented”, showing a substantial level of achievement. These assessments showed a fairly high degree of implementation, <sup>14</sup> which would suggest that the Manual is functional and realistic. The assessments point to the sensitization of officers in a one-stop and facilitation mindset, and user awareness and familiarity with OSBP procedures. <sup>15</sup>

Indicator 3: The risk-based approach is further incorporated into border management procedures.	
<b>Evaluation</b>	Achieved
<b>Rationale</b>	<ul style="list-style-type: none"> <li>- A baseline assessment was successfully completed at the beginning of the Project and the identified needs were addressed by each country.</li> <li>- In addition, as one of the identified needs, IPR border control was addressed as a new area and the Project organized a benchmarking study to the practices of Thai and Japan Customs as well as a regional workshop and dialogue with the private sector.</li> <li>- Progress of achievements on this indicator has been regularly monitored through the survey circulated to the Revenue Authorities every six months,</li> </ul>

<sup>14</sup> “Full” implementation means entirely or in all or nearly all material (i.e., relevant and significant) aspects. (iii) “Partial” implementation was defined as not including some material aspects. At the three borders assessed, more than half of the chapters were assessed as “fully implemented”, which may be considered “a fairly high degree of implementation. JICA and PADECO Co., Ltd., *Assessment of the Application of the EAC OSBP Procedures Manual Based on Project Activities at Rusumo, Namanga, and Malaba, with Recommendations for the Manual and Training Material*, Component for Effective OSBP Operation of the Project on Capacity Development for Trade Facilitation and Border Control in East Africa, October 2020, p. 2.

<sup>15</sup> That said, the endline time measurement survey conducted at Namanga in February 2019 reported several issues (e.g., errors due to a lack of understanding, delays, infrastructure, facility maintenance). Japan International Cooperation Agency, *Endline Time Measurement Survey at Namanga Border Crossing*, June 2019, pp. 6, 59.

	<ul style="list-style-type: none"> <li>- The progress reported by the RAs reached 117 measures, more than double the initially set target of 15 with commendable efforts made particularly by URA.</li> <li>- KRA established a new RM unit headed by a Deputy Commissioner. KRA incorporated risk rules in the Risk Engine in iCMS. KRA adopted a Risk Management and Compliance Improvement Plan.</li> <li>- OBR continued training on risk management utilizing MTs and regularly updated the selectivity criteria for its Customs clearance system.</li> <li>- RRA has been part of the Joint Risk Management Committee at the national level since June 2020. The committee is composed of 10 Border Agencies. The meeting is held monthly to discuss risk management issues hindering cross-border trade.</li> <li>- TRA adopted the strategic Customs Risk Management Framework, the development of which was supported by the JICA/WCO project. It also adopted new risk registers and appointed risk champions at the regional level. TRA continues RM training in Customs.</li> <li>- URA adopted its Customs RM Strategy in August 2017. URA introduced an electronic risk register in January 2018, which has been updated by most customs operational and functional units, and submitted to the RM Unit for further analysis. URA introduced KPIs on Risk Reporting in July 2018 for field services staff in Kampala. URA organizes monthly meetings on RM by Unit heads from Risk Management, Business Analysis, Enforcement, Warehousing, and the Data Processing Centre. Full Automation of the Profiling process is ongoing under the Customs Business System Enhancement Project Activity. Under the ongoing Customs Business System Enhancement Project, a systems solution is being implemented to facilitate timely review of selectivity parameters. URA conducts intensive risk management training and a sensitization program for many officers utilizing the Master Trainers.</li> <li>- Joint Risk Assessment and Risk Treatment between KRA and URA was conducted in December 2019-May 2020. An MOU was signed between KRA and URA, and a road map and collaboration framework was documented.</li> </ul>
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	<ul style="list-style-type: none"> <li>- While the improvement of risk-based border management procedures is never-ending, the reported progress made by the EARAs under this Project with or without the specific support offered by the expert team, as well as the level of achievements of the EARAs, was commendable and hence this indicator was evaluated as fully achieved.</li> </ul>
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Indicator 4: The number/mechanism of intelligence information exchange for surveillance and enforcement purposes is increased.

<b>Evaluation</b>	<b>Achieved</b>
<b>Rationale</b>	<ul style="list-style-type: none"> <li>- The Project circulated a questionnaire to compile JBS/JWS data from RAs every six months.</li> <li>- In the baseline assessment, EARAs noted a need to strengthen the intelligence capabilities of the Teams and to better equip the officers, especially in terms of means of transport to enhance their movements on both land and water; they also cited the lack of adequate tools for surveillance (scanners, drugs detectors, passenger prearrival information).</li> <li>- Most target JBS/JWS borders engage in intelligence sharing between Partner States and conduct joint operations to some extent. The most JBS-active border is Busia, followed by Malaba, Namanga, Mutukula, and Rusumo. Domestic operations are active in Kobero (Burundi), Uganda (all borders), and then Kenya. Kenya and Uganda are also active in water patrols and had a joint operation at Lake Victoria despite challenges posed by the lack of an operational boat.</li> <li>- The five EARAs have established a cooperative relationship among them and with police and other border control agencies through PGS to strengthen border control capacity regarding (IEDs and precursor chemicals).</li> <li>- During the PGS Operation East Africa (PGS OP EA) conducted in March 2021, participants exchanged approximately 150 messages on the dedicated communication platform, conducted 1,000 intensive examinations of consignments and seized a significant number of illicit chemicals and other prohibited items, including tons of toxic chemicals, 6.5 kg of cocaine, 6.0 kg of heroin, and 1,000 kg of</li> </ul>

	cannabis. With those positive outcomes, the Project evaluated this component as fully achieved.
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### **3. History of PDM Modification**

Output 1 (OSBP) was rescheduled (moved back by nine months) from the original plan due to a delay in procuring the services of the OSBP expert team.

The following indicators for Output 1 were revised or newly established by the 3<sup>rd</sup> RJCC meeting held in July 2019:

1-1a. The number of evaluation/impact activities at the selected OSBPs through time measurement surveys / impact assessments (by this project) equals or exceeds a total of two.<sup>16</sup>

1-1b. The number of monitoring activities at the selected OSBPs through monitoring reports equals or exceeds eight.

1-3. The overall degree of understanding and utilization of the EAC OSBP Procedures Manual by the officers engaged in OSBP operations at the selected land borders equals or exceeds 70%.

- Indicator 2-3: "The number of trainees that receive RM-related training, including the one conducted by MTs on Intelligence Analysis, exceeds 2,000" originally had the KPI set at 800 but it was modified to 2,000 since good delivery was observed during the first year.
- Due to the COVID-19 pandemic,
  - The period for Output 1 (OSBPs) was extended to March 2022.
  - All activities scheduled after March 2020 for Output 2 (Customs capacity building) were rescheduled/replaced by virtual work. A series of Virtual Working Group (VWG) activities progressed well with the best efforts of the RAs and the expert team to replace/complement the planned activities to achieve the project objectives. With these best efforts, all activities for Output 2 were completed as originally planned (i.e., by June 2021).

<sup>16</sup> The indicator was set at two during the Project, although at the beginning of the Project additional surveys were envisaged.

**4. Others****4-1 Results of Environmental and Social Considerations (if applicable)**

N/A

**4-2 Results of Considerations on Gender/Peace Building/Poverty Reduction (if applicable)**

N/A

**III. Results of Joint Review****1. Results of Review based on DAC Evaluation Criteria****(1) Relevance**

The **relevance of the Project is considered high**, considering the policies of the African Union, the EAC, and the five governments and revenue authorities implementing the Project, as well as of the Government of Japan and JICA.

At the **continental level**, the African Continental Free Trade Area (AfCFTA) aims to create a (pan-African) single market for goods and services to facilitate the free movement of persons and investments and to lay the foundation for a Continental Customs Union by 2063. Border control authorities and agencies of AfCFTA State Parties are required to cooperate with each other to the extent possible and practicable to facilitate trade, including the alignment of procedures and formalities, sharing of common facilities, and establishment of OSBPs. In addition, at the continental level, the Programme for Infrastructure Development in Africa (PIDA) included the development of OSBPs and the Infrastructure Consortium for Africa (ICA) transport sector platform, championed by JICA and the European Investment Bank, has strengthened its support for OSBPs in recent years. Also, the African Union Development Agency-New Partnership for Africa's Development has been supporting OSBPs, including ongoing support in association with JICA for the preparation of the 3<sup>rd</sup> edition of the OSBP Sourcebook.

The **continent of Africa and the Government of Japan**, have jointly called for the following through the Tokyo Conference on International Development (TICAD):

- (i) As agreed with the Heads of States of African countries in TICAD 4 in 2008 and TICAD 5 in 2013, promotion of intra-regional integration for wide-area development, especially development of trade-related infrastructure (e.g., OSBPs), trade facilitation,

and the promotion of regional trade through strengthening the capacity of government officials and regional economic communities (RECs), were set as priority targets.

- (ii) At TICAD 6 held on 27-28 August 2016 in Nairobi, Kenya, strengthening of border control and enforcement capacity was set as a priority in the Nairobi Declaration / Implementation Plan, in addition to promoting trade facilitation through the introduction of OSBPs and the streamlining of Customs procedures.
- (iii) The Action Plan agreed at TICAD 7, held in Yokohama, Japan, on 28-30 August 2019, included strengthening connectivity through quality infrastructure investment by improving the capacity of authorities related to border crossing, and supporting African efforts to promote peace and security through capacity building of central and local governments to improve border management and surveillance.

At the **regional level**, under the EAC's Common Market Protocol, a Customs Union was established in 2005 and various key initiatives to further the Customs Union have been progressively implemented. To further promote border crossing efficiency, the OSBP concept has been put into practice. In 2014 the EAC Council of Ministers directed that 15 OSBPs be established in the region. Accordingly, the region enacted an EAC OSBP Act in 2016, promulgated EAC OSBP Regulations in 2017, and adopted a regional OSBP Procedures Manual in 2018. Also, the EAC Compliance and Enforcement Regulations were developed and adopted by the EAC Council in 2012 to cater for AEOs, PCA, and the management and sharing of information. Simplified and harmonized customs procedures as well as a strengthened and coordinated enforcement mechanism are considered priority areas in the medium-term Corporate and Strategic Plans of the respective EARAs in the region, along with enhanced revenue collection and compliance.

At the **national level**, the respective EARAs established the following policies around the time the Project started:

- (i) OBR in its corporate plan for 2013-2017 set one of its strategic outcomes to develop Effective Control Systems and Procedures based on the risk-based approach.
- (ii) KRA's strategic priorities for its 6th Strategic Plan (2015/16-2017/18) expressed a need to enhance Customs enforcement operations in cross-border trade.
- (iii) Based on Rwanda's development strategy (Economic Development and Poverty Reduction Strategy, EDPRSI), RRA in its strategic plan for 2015/16-2017/18

committed to facilitating cross-border trade by removal of trade barriers through implementation of the Single Customs Territory and other cross-border trade facilitation measures.

- (iv) TRA's 4th corporate plan (2013/14-2017/18) set one of its initiatives to promote prompt clearance to improve trade facilitation by introducing OSBPs and the SCT.
- (v) The URA corporate plan for 2016/17-2019/20 aimed to increase application of its risk-based compliance programme.<sup>17</sup>

Therefore, OSBPs have been a major component of the continental, regional, and national trade facilitation agenda. The Project contributed to efficient and effective OSBP operations in the EAC region, by supporting evaluation / impact assessment activities at the selected OSBPs.

To strengthen regional cooperation and communication, it should be noted that the Project combined a national and regional approach to effectively achieve the project objectives. While a regional approach was taken for the PGS and MTP on PCA to ensure and further strengthen regional communication and cooperation among Customs and other border agencies, a national approach was taken to improve the risk management approach in relation to the different levels of risk management development among the EARAs.

## (2) Effectiveness

**The effectiveness of the Project is considered moderately high.**

As described in the subsection on Project Purpose and Indicators, the Project achieved all objectives, at least partially:

- (i) Indicator 1-1 related to reduction in clearance time of cargo and people: partially achieved;
- (ii) Indicator 1-2 related to operation of the target OSBP based on the EAC OSBP Procedures Manual: substantially achieved;
- (iii) Indicator 1-3 on incorporation of the risk-based approach into border management procedures: achieved; and

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<sup>17</sup> Later plans are consistent with the earlier plans; for example, KRA's 8th Corporate Plan (2021/22-2023/24) includes strategic objectives of strengthened compliance and enforcement and integrated border management; RRA's strategic plan for 2019/20-2023/24 has an output for trade facilitation, including expanding its AEO program; and TRA's 5th corporate plan (2017/18- 2021/22) includes enhanced trade facilitation as a strategic theme and objective.

- (iv) Indicator 1-4 on intelligence information exchange for surveillance and enforcement purposes: achieved.

As described in the subsection on Outputs and Indicators, the Project achieved all objectives, many at a high level:

- (i) Indicator 1-1a on the number of evaluation/impact activities: 2 compared to the KPI of 2;
- (ii) Indicator 1-1b on the number of monitoring activities: 8 compared to KPI of 8;
- (iii) Indicator 1-2 on the number of officials and stakeholders trained or sensitized on the EAC OSBP Procedures Manual and related issues: 928 compared to the KPI of 800;
- (iv) Indicator 1-3 on the overall degree of understanding and utilization of the EAC OSBP Procedures Manual by the officers engaged in OSBP operations: substantially exceeded the KPI of 70% at all borders;
- (v) Indicator 1-4 on consideration of the lessons drawn from OSBP operationalization with respect to implementation of the EAC OSBP Procedures Manual: somewhat achieved;
- (vi) Indicator 2-1 on the incorporation of the risk-based approach into border management procedure: 117 compared to the KPI of 15;
- (vii) Indicator 2-2 on trainees' understanding of topics related to risk management: 80% compared to the KPI of 70%;
- (viii) Indicator 2-3 on the number of trainees that receive training in risk management: 5,413 compared to the revised KPI of 2,000; and
- (ix) Indicator 2-4 on the development of MTs on PCA: 18 compared to the KPI of 15.

### (3) Efficiency

**Based on an analysis of inputs and outputs, the efficiency of the Project was relatively high:**

- (i) The timing, quality, and quantity of dispatch of experts – long-, intermediate-, and short-term – was appropriate. While the Project dispatched experts from the WCO for Customs capacity building, the planned activities and missions were carefully examined and planned, and therefore allocated in different areas and to different countries for missions in an efficient manner. Also, the Project conducted some activities concurrently in one mission (e.g., the PGS national follow-up workshop and

the PCA WG workshop were held in the same week) and therefore reduced the cost of travel and saved time.

- (ii) While the engagement of the OSBP expert team – in October 2018 – was delayed several months, the team quickly commenced work, with its first field mission in November-December 2018.
- (iii) An adequate number of counterpart personnel participated in project activities.

All activities were planned in a progressive manner to achieve the project outputs. Although the COVID-19 pandemic prevented travel by members of the project team to organize planned activities on the ground, the Project organized a number of virtual activities to complement the planned activities, including OSBP distance training and activities on PGS and MTP on PCA to achieve the project objectives. Conducting activities virtually reduced the cost of missions. The Project sought to maintain the quality of technical assistance by increasing the number of virtual meetings (since the costs of such meetings are relatively low) and conducting virtual pre-meetings and “dry runs” to prepare well for virtual training. Considering the good outcomes of OSBP distance training, PGS, and MTP on PCA, as described in this report, including positive feedback from the counterpart agencies, it may be concluded that these additional virtual activities effectively contributed to the achievement of the project objectives.

Despite the challenges presented by COVID-pandemic, all planned activities for Output 2 were completed within the planned period. The completion period for planned activities for Output 1 (OSBPs) was extended from June 2021 to March 2022 due to delays of certain activities caused by the pandemic. Some activities were conducted virtually and (limited) field activities were resumed in October 2021, under the continued restrictions related to COVID-19.

Holding RJCC meetings twice a year in conjunction with the EARA Commissioners General meeting increased the profile of the Project and contributed to the efficiency of project outcomes. The EARAs provided logistical and financial support for these meetings, such as ensuring the attendance of senior officials and providing transport arrangements. The EAC Secretariat’s Customs Directorate always participated in the meetings.

#### (4) Impact

**The impact of the Project has been and is expected to continue to be strongly positive.**

Regarding Output 1, a total of 10 OSBPs in the EAC were reported as operational in the latest available update (considering OSBPs between Partner States participating in the Project).<sup>18</sup> The legal and procedural framework has been put into place, business processes have been reengineered, training curriculum has been developed and training conducted, and several OSBPs in the region have been constructed and are now functional, while new OSBPs are expected to become operational in the next few years. Recognizing the expertise and experience of the JICA TFBC project and OSBP expert teams, the EAC Secretariat always invited team members to support development of key OSBP tools and instruments at the regional level, including key performance indicators, the EAC OSBP training curriculum, and the OSBP Sustainability Strategy. Challenges remain regarding (i) infrastructure management and maintenance, (ii) coordination among agencies operating at the borders, (iii) gaps in communication among the agencies operating at OSBPs and with the policymakers both at the national and regional levels, and (iv) the need for continuous capacity building and training. However, the EAC Partner States, the EAC Secretariat in collaboration with the JICA OSBP expert team<sup>19</sup> and other development partners (i.e., the Northern Corridor Transit and Transport Coordination Authority, the Central Corridor Transit Transport Facilitation Agency, and TMEA) has developed an OSBP Sustainability Strategy, to strengthen the institutional framework, enhance capacity building, harmonize standards in management and maintenance of OSBPs infrastructure, establish a resource mobilization framework, and embrace emerging technologies to address these challenges.<sup>20</sup>

Regarding Output 2, MTs have been training not only officers in their respective countries but also in West Africa and Southern Africa as invited trainers, e.g., in the JICA-WCO Joint Project Master Trainer Programme on intelligence analysis and customs valuation. Some also work as regional experts tasked by the EAC Secretariat. The Master Trainer Programme is now being replicated in the Pacific Island countries.

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<sup>18</sup> These 10 operational OSBPs were listed as Busia (Kenya/Uganda), Kagitumba / Mirama Hills (Rwanda/Uganda), Kobero/Kabanga (Burundi/Tanzania), Namanga (Kenya/Tanzania), Nemba/Gasenyi I (Rwanda/Burundi), Malaba (Kenya/Uganda), Mutukula (Tanzania/Rwanda), Ruhwa (Burundi/Tanzania), Rusumo, and Taveta/Holili. Lunga Lunga / Horohoro (Kenya/Tanzania), and Isebania/Sirari (Kenya/Tanzania) were listed as completed (constructed) but not yet operational. EAC Secretariat, *One-Stop Border Post Sustainability Strategy, 2021/22-2025/2026*, November 2021, pp. 12-13. As of December 2021, Nemba/Gasenyi I was not operational, while Lunga Lunga / Horohoro had become operational.

<sup>19</sup> As noted, members of the OSBP Expert team participated in a meeting on the OSBP sustainability strategy.

<sup>20</sup> EAC Secretariat, *One-Stop Border Post Sustainability Strategy, 2021/22-2025/2026*, November 2021, p. 6.

The Project also contributed to strengthening of the network among EARAs and promoting open information sharing. Reports from each RA, especially in utilization of trainers developed under the MTP and the risk-based approach, highlighted progress and achievements of each RA, and encouraged the other RAs to be more active.

#### (5) Sustainability

**Sustainability of the Project was assessed from the viewpoints of policy, structure, skills, and finance, and was high:**

- (i) *Policy:* Since the OSBP and Customs capacity building components are clearly spelled out as priority actions in both regional and national/institutional development strategies/plans, the project effect will be continuously pursued. As noted, a total of 10 OSBPs in the EAC were reported as operational in the latest available update (considering OSBPs between Partner States participating in the Project), indicating wide application of the concept,<sup>21</sup> and the EAC has adopted a One-Stop Border Post Sustainability Strategy. Strategic pillars of this strategy include (i) strengthening the institutional network, (ii) strengthening capacity building, (iii) harmonizing standards in the management and maintenance of OSBP infrastructure, (iv) mobilizing resources, and (v) embracing emerging technologies<sup>22</sup> Regarding the Customs capacity building component, risk management is a high-priority action and development of the institutional framework and staff capacity building under the Project and complementary efforts by the RAs were observed. Therefore, the sustainability of such initiatives is high.
- (ii) *Structure:* Since the Project worked with Commissioners' offices and various sections of the EARAs,<sup>23</sup> ownership and recognition of the Project are very high. In fact, the Project notably held dedicated meetings every six months in conjunction with meetings of the Commissioners General (heads) of the EARAs, in which all key senior management staff attended. All project activities are in-built tasks (risk management,

<sup>21</sup> The legal and regulatory framework for OSBPs is well established with the EAC OSBP Act 2016, the EAC OSBP Regulations 2017, and the EAC OSBP Procedures Manual 2018. The Project suggested possible revisions in the manual and associated training materials (e.g., regarding COVID-19), supported JBCs in assessing the application of the procedures, supported JBCs in the preparation of action plans to improve OSBP operations, and conducted extensive training and sensitization in the EAC OSBP Procedures for the public and private sector, using regional and national training experts, which should enhance sustainability.

<sup>22</sup> EAC Secretariat, *One-Stop Border Post Sustainability Strategy, 2021/22-2025/2026*, November 2021.

<sup>23</sup> In addition, the OSBP component of the Project worked with the Directorate General of Immigration and Emigration, Rwanda, the lead agency at the country's borders.

capacity building, PCA, enforcement, coordinated border management) of the RAs, and the Project supported enhancement of necessary capacities, tools, and mechanisms. The Project included monitoring mechanisms (e.g., for utilization of master trainers, JBW/JBS enforcement reporting from the target borders, monitoring of OSBP operations), with specific formats and the compiled data was shared widely. The RAs meet regularly and recognize the importance of the monitoring framework and regional coordination.

- (iii) *Skills*: The EARAs can continue developing their institutional and staff capacity by utilizing the trainers, training materials, and reports developed under the Project. In fact, as noted in the subsection on Impact, some trainers have already been sharing their knowledge and skills in African countries outside of the EAC (as Master Trainers).
- (iv) *Finance*: Since the project activities address core tasks of the RAs, budgets are allocated. Although the budgets (e.g., for training) are limited, it is possible to continue activities efficiently by utilizing internally trained staff, tools developed, and existing venues (e.g., the RAs' own training facilities, on-the-job training, OSBP buildings). However, there are issues related to the financing of the maintenance of border facilities, due to constrained national fiscal resources. That said, since the EAC Sectoral Council on Trade, Industry, Finance, and Investment (SCTIFI) in 2019 directed the formulation of the OSBP Sustainability Strategy and adopted it in November 2021,<sup>24</sup> strategy implementation is expected to be pursued.

## **2. Key Factors Affecting Implementation and Outcomes**

The COVID-19 pandemic seriously affected the implementation of project activities for both Outputs 1 and 2 after March 2020. The last visit to the project sites for Output 2 (Customs capacity building) prior to the COVID-19 pandemic took place in February/March 2020. Subsequently, travel bans and restrictions imposed by the governments not only in East Africa but also in the home/transit countries of the experts, as well as local restrictions for gathering and working arrangements affected onsite implementation of project activities. The last visit to project sites for Output 1 (OSBPs) was undertaken in October 2021, and the time measurement survey at Namanga was undertaken by a regional subcontractor in November 2021.

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<sup>24</sup> EAC Secretariat, *One-Stop Border Post Sustainability Strategy, 2021/22-2025/2026*, November 2021.

Regarding Output 1, one risk was the possible duplication of activities and initiatives undertaken by other development partners (e.g., the OSBP performance measurement tool and OSBP training curriculum prepared by the EAC Customs Directorate, as well as support for OSBP operations extended by other development partners such as TradeMark East Africa and Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ, a German development agency). Another risk related to possible bilateral issues that might affect cross-border traffic as developed in the case of Gatuna/Katuna. In addition, the risk of a pandemic caused by a new disease proved to be a major risk affecting the capacity to implement activities as planned. That said, the JICA experts observed and welcomed the efforts by concerned Partner States to mitigate these risks.

Regarding Output 2, it is noted that the utilization of MTs on Intelligence Analysis for the national training varies from country to country while further needs for RM-related training were highlighted during RM fact-finding missions. The reasons for good utilization of MTs were (i) effective training strategies formulated by the training/planning units to recognize and utilize MTs, and (ii) appropriate nominations of officers (as officers are continuously working in the relevant RM-related sections, they tend to be nominated as trainers). The reasons for non/low utilization of MTs were (i) low recognition of MTs due to frequent personnel changes in the department and a lack of a register of trainers; (ii) divisions between departments (some officers were transferred to the Investigation department and are not managed by the customs office, and therefore it is unlikely that they would be nominated as trainers); and (iii) there were some information gaps between Customs and the Training Unit (e.g., a lack of a register of trainers and existence of its own dedicated trainers in the training institute).

### **3. Evaluation of the results of Project Risk Management**

In response to the impacts of the COVID-19 pandemic, a significant number of virtual support activities were provided to continue quality support on both Outputs 1 and 2, including OSBP distance training, the organization of 35 Virtual Working Group (VWG) meetings for MTP on PCA, and a series of virtual meetings and operations organized on PGS. Regarding Output 1 (OSBPs), JICA and the participating RAs agreed to extend the project period to March 2022, while providing online (virtual) training sessions and hybrid (i.e., onsite and online) joint border committee meetings. In addition, some field activities related to Output 1 (OSBPs) were resumed in October 2021, even though COVID-19-related restrictions continued. Some of the defined performance indicators may have been affected by measures taken in

response to COVID-19, since more time is required for border crossing due to strengthened health controls.

Regarding the risk of possible duplication of activities and initiatives undertaken by other development partners, to avoid these risks, the project office and the OSBP expert team engaged in frequent dialogue and information sharing with the EAC Secretariat and other development partners, such as TMEA,<sup>25</sup> the World Bank, the African Development Bank, the International Organization of Migration (IOM), the European Union, GIZ, the United Nations Conference on Trade and Development, and the International Monetary Fund. The project office and the OSBP expert team frequently exchanged information with these development partners in order to avoid unnecessary duplication of assistance and to synergize support to the region.

Regarding the third point, the Project took every opportunity to encourage all RAs to seriously consider the utilization of MTs for more sustainable training delivery. In addition, the Project closely monitored usage through a regular questionnaire and awarded the “Most Active Master Trainers” for 2018, 2019, and 2020, respectively.

To reduce these risks, the RAs made good efforts to positively cooperate with the questionnaire, nominate relevant officials for the respective activities, improve risk management, and utilize MTs for national training.

#### **4. Lessons Learnt**

When a project engages various countries and different agencies, good preparation, coordination, and development of an information sharing mechanism are important to implement the program successfully. In fact, this Project had a unique setup (JICA-WCO cooperation, with the Chief Advisor based in WCO headquarters; a long-term expert based in Kenya and directly working with each RA; and an OSBP expert team with members based in Japan, Belgium, Kenya, and Uganda). Good communication and coordination contributed to smooth planning and implementation of project activities under these complex circumstances. It is also important to identify the key (or lead) agencies in the respective areas and involve them from the early stages. Due to the nature of the project target (coordinated border management), the Project identified key organizations and officers in the early stages (e.g., DGIE in Rwanda, the EAC Ministry in Kenya for the OSBP component,

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<sup>25</sup> Funded by various countries including Belgium, Canada, Denmark, European Union, Finland, Ireland, Netherlands, Norway, the United Kingdom, and the United States.

the Anti-Counterfeit Authority in Kenya and the Fair Competition Commission in Tanzania for the IPR activity, the EAC Secretariat in all areas), kept them “in the loop”, and coordinated activities. The Project also encouraged not only joint [bilateral] activities but also a multiagency framework for OSBP and border control activities, and it welcomed participation by various border control agencies on joint border committee, for PGS operations, and for other activities.

It is useful to engage various fields of expertise and promote collaboration with other players (e.g., as was done with INTERPOL and WCO RILO ESA for the PGS activities, or with the EAC Customs Directorate, which participated with trainers and resource persons throughout the MTP on PCA).

The commitment of top management(s) is important to achieve smooth implementation of regional projects including allocation of resources and counterparts. To achieve this commitment, the RJCC was a good forum to share and collect information and needs and to push forward the agenda. Compiling and following up on action plans, and obtaining responses to questionnaires, was possible with the support of senior management as well as the respective commissioners’ offices. With the RJCC and compiled data, each RA was familiarized with the situations in other RAs and encouraged more activities to keep pace with other RAs.

Sharing information and inviting key players in the sector provided mutual benefits and avoided a duplication of work. Consider, for example, that the OSBP expert team usually visited the headquarters of the EAC Secretariat in Arusha and TMEA in Nairobi on its missions to the region.

#### **IV. For the Achievement of Overall Goals after Project Completion**

##### **1. Prospects to Achieve the Overall Goal**

**The overall goal of the TFBC Project is that: “Trade facilitation and enhanced safety and security is further promoted in East Africa”. Accordingly, to the extent that the activities and initiatives that are supported by the Project contribute to this overall goal, they will contribute to the facilitation of regional integration and connectivity, even after the completion of the Project, over the next several years and beyond.** For example, as stated in the 2<sup>nd</sup> edition of the OSBP Sourcebook, “OSBPs promote a

coordinated and integrated approach to facilitating trade, the movement of people, and improving security as a trade facilitation tool applied at borders”.<sup>26</sup>

To evaluate achievement of the overall goal, two indicators were set: (i) The number of OSBP(s) operated based on the EAC OSBP Procedures Manual equals or exceeds nine in the five participating Partner States, and (ii) The cases in which smuggling has been detected are increased at the borders due to enhancement of customs surveillance capacity.

As noted, regarding Output 1 on OSBPs, the indicator that “the number of OSBP(s) operated based on the EAC OSBP Procedures Manual equals or exceeds nine in the five participating Partner States” is considered to have been achieved. A total of 10 OSBPs in the EAC were reported as operational in the latest available update (considering OSBPs between Partner States participating in the Project), the assessment that was done by the Project for the target borders (Rusumo, Namanga, and Malaba) showed that they generally operate based on the EAC OSBP Procedures Manual, and a 2018 assessment undertaken by the EAC Secretariat found that nine OSBPs were generally operating according to the prescribed procedures.<sup>27</sup> Thus, OSBPs in the region are considered to operate substantially based on the EAC OSBP Procedures Manual. The associated indicators described in Section 2 were generally achieved, i.e., fully achieved in the case of indicators 1-1a, 1-1b, and 1-2; achieved in the case of indicator 1-3; and somewhat achieved in the case of indicator 1-4.

Moving forward, the EAC’s One-Stop Border Post Sustainability Strategy (November 2021), from 2021/22-2025/2026 (i.e., extending over a four-year period), calls for (i) strengthening the institutional framework by (further) operationalizing joint border (operations) committees,

<sup>26</sup> *One-Stop Border Post Sourcebook, 2<sup>nd</sup> Edition*, May 2016, p. 1-2. “The concept eliminates the need for travelers and goods to stop twice to undertake border crossing formalities. The OSBP concept calls for the application of joint controls to minimize routine activities and duplications. Through a ‘whole of government’ approach, the OSBP concept reduces the journey time for transporters and travelers, and shortens the clearance time at border crossings. While OSBPs can be implemented in a manual environment, the use of modern ICT equipment and application of electronic platforms significantly expedites border and transit operations. In addition to the soft components, the construction of appropriate border facilities and the availability of appropriate operational tools create a suitable environment for efficient and effective border operations.”

<sup>27</sup> The Project contributed to the EAC Secretariat’s development of an OSBP performance measurement tool, which was applied in an assessment mission from 26 November to 1 December 2018, in which a team of EAC experts visited 12 OSBP sites and identified gaps mainly in infrastructure. It concluded that at that time 9 of 12 OSBP sites were applying OSBP procedures as provided in the Manual. These were the ten identified in November 2021 sustainability strategy report, except for Ruhwa, which was not visited by the 2018 mission (presumably due to security concerns). At the time of the mission, Lunga Lunga / Horohoro (Kenya/Tanzania) and Isebania/Sirari (Kenya/Tanzania border) were mainly awaiting ICT connectivity of the adjoining Partner States’ information systems, but Lunga Lunga / Horohoro became operational in late 2021. Gatuna/Katuna (Rwanda/Uganda) was not operational since construction was ongoing and cargo clearance operations were therefore limited. EAC Secretariat, *One-Stop Border Post Operations in the East African Community Region, Assessment Report*, January 2019.

establishing national and regional OSBP coordination committees; and establishing rules of procedure and empowering the committees; (ii) enhancing capacity building, with human resource management and development, the provision of adequate infrastructure, the provision of adequate tools and equipment, and the development of common OSBP management and leadership standards; (iii) implementation of an OSBP facility management and maintenance framework; (iv) development of a resource mobilization framework, including public financing, user financing, development partner financing, and public-private partnerships; and (v) adoption of emerging technologies, including the development of a mechanism for harmonization of processes and information sharing between/among stakeholders and acquisition and implementation of smart border solutions.<sup>28</sup> The EAC Secretariat recently conducted onsite OSBP training at the target borders; started regional training of trainers on OSBPs; and commenced digitalization of the OSBP performance measurement tool, to provide real-time snapshots of OSBPs in the region using existing system data supplemented with site visits and surveys as necessary.

In addition, as noted, regarding Output 2 on Customs capacity building, judging from the good achievements made regarding indicators 2-1 to 2-5, the indicator that “The cases in which smuggling has been detected are increased at the borders due to enhancement of customs surveillance capacity” is considered to be achievable within three years. Note that indicator 2-3 was amended from 800 to 2,000 considering the good progress observed on this item.) With the continuing good efforts of RAs after amendment of indicator 2-3, the result for this indicator 2-3 substantially surpassed the amended target by the end of the TFBC Project. Also, as noted, the Project conducted the PGS Operation East Africa (PGS OP EA) from 3 to 16 March 2021. The participants from the five countries actively exchanged information and examined a number of targeted consignments during the Operation. Based on this exercise and a debriefing discussion, it is considered that each country enhanced their coordination capacity, and they will be able to coordinate and share information better. Further, as per reporting on Activity 2-11 (monitoring of JBS/JWS), there was an increasing trend in the number of smuggling cases at the target borders in 2017-2018, but since 2019, there has been a decreasing trend, mainly due to the lack of working border control equipment (e.g., due to a breakdown of patrol vehicles and boats), closure of the Gatuna/Katuna border, and restrictions on cross-border movement due to the COVID-19 pandemic. If the volume of cross-border movement and the number of joint operations increase to pre-COVID-19 levels, it is expected that a greater number of smuggling cases will be detected with the equipment provided by JICA as well as trained staff from PGS.

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<sup>28</sup> EAC Secretariat, *One-Stop Border Post Sustainability Strategy, 2021/22-2025/2026*, November 2021.

However, one should note that increasing surveillance capacity is not necessarily directly linked to an increased number of smuggling cases, because the enhanced enforcement capacity deters such smuggling activities, which may decrease even though the detection rate may increase, although it is difficult to quantify these effects.

Also, during the activities for IPR border control and PGS, the Project asked each country (EARAs and partner government agencies) to formulate recommended actions and prepare reports. As those actions will contribute to enhanced enforcement capacity, it may be worthwhile to follow up if the recommendations are pursued.

## **2. Plan of Operation and Implementation Structure of the RAs to Achieve the Overall Goal**

Regarding Output 1 (OSBPs), as noted, the EAC has formulated a detailed OSBP Sustainability Strategy to be implemented through 2025/2026. Timings and responsibilities for implementation of the strategy are presented in the following table.

### **Timings and Responsibilities under the EAC's OSBP Sustainability Strategy**

<b>Strategic Intervention</b>	<b>Main Activities</b>	<b>Timing</b>	<b>Responsibility</b>
Strengthening of the Institutional Network	Develop and implement joint border operations committee guidelines (e.g., development and dissemination of guidelines, creation of awareness, holding of meetings)	2020-2021	Partner States and the EAC Secretariat
	Establish national and regional OSBP coordination committees (e.g., development and dissemination of guidelines, holding of meetings)	2020-2021	As above
Strengthening of Capacity Building	Human resource management and development (training needs assessment, mainstreaming of the EAC training curriculum into national institutions)	2020-2023	As above
	Provision of adequate infrastructure (infrastructure needs assessment and procurement of required infrastructure)	2020-2024	As above
	Development of facility maintenance framework (including waste management, assets, medical	2020-2021	Partner States

Strategic Intervention	Main Activities	Timing	Responsibility
Facility Management and Maintenance Standards	requirements, and security and firefighting equipment)		
	Implementation of facility maintenance framework	2021-2024	As above
Resource Mobilization	Government financing (development of OSBP funding policy, budgeting for OSBPs, disbursement of funds)	2020-2025	As above
	User financing (development of modalities for collection and utilization of user fees)	2020-2024	Partner States, Lead Agencies
	Development partner financing (mobilization of funds from partners)	2020-2024	Partner States [and development partners]
	Public-private partnerships (development of PPP funding proposals for OSBPs)	2020-2024	Partner States [and private partners]
Adoption of Emerging Technologies	Data harmonization and information sharing (development and implementation of a mechanism for harmonization of processes for information sharing)	2020-2024	Partner States
	Smart border solutions (needs assessment on required technologies, and procurement and implementation of the technologies)	2020-2024	As above

Source: EAC Secretariat, *One-Stop Border Post Sustainability Strategy, 2021/22-2025/2026*, November 2021, pp. 21-25

Regarding Output 2, the JICA/WCO Joint Project 2 signed between JICA and the WCO in June 2021 is expected to conduct follow-on activities regarding the MTPs held in the past including activities conducted under the TFBC Project in East Africa. The follow-on activities to be undertaken by the JICA/WCO Joint Project will include a WCO accreditation workshop for the MTs on PCA and follow-on surveys for the MTs on their training delivery to ensure the MTs' continued contribution to the sustainable economic development in East Africa. The

MTP Award conducted under the TFBC Project was particularly considered effective and hence is recommended to continue.

As for Programme Global Shield (under Output 2), the participants (the EARAs, Partner Government agencies, and development partners) formulated a note and national actions to be taken to strengthen border control of IEDs. While they may face challenges due to the budgetary limitations and restrictions on movement due to COVID-19, the EARAs are expected to follow through with the recommended actions, listed in the following table:

<b>Country</b>	<b>National Actions to be Taken to Strengthening Border Control of IEDs</b>
Burundi	<ol style="list-style-type: none"> <li>1. Continued awareness raising and risk education campaigns regarding the threat of IEDs.</li> <li>2. Continued monitoring of the trade of precursor chemicals and sharing of information with other EARAs through the Cencomm platform.</li> <li>3. Involvement of other border control agencies in efforts to prevent to the threat posed by IEDs.</li> </ol>
Kenya	<ol style="list-style-type: none"> <li>1. Strengthening of the multi-agency framework at all entry borders by anchoring IED and precursor chemical operations and programs in the Border Control and Operations Coordination Committee (BCCOC) Mandate.</li> <li>2. Capacity building of staff stationed at the borders through quarterly sensitization programs on detection and handling of IEDs, and training on how to use precursor chemicals test kits.</li> <li>3. Enhancement of regional cooperation between the EARAs to strengthen border control through joint activities.</li> </ol>
Rwanda	<ol style="list-style-type: none"> <li>1. Inclusion of PGS courses in RRA training programs.</li> <li>2. Conduct e-learning courses (training) on PGS for customs border staff sensitization through virtual classes).</li> <li>3. Sensitization through training of other stakeholders including Police at different borders (i.e., Kagitumba and Rubavu).</li> </ol>
Tanzania	<ol style="list-style-type: none"> <li>1. Strengthening of the relationship with partner agencies (Police and the Government Chemist Laboratory Authority, GCLA). <ul style="list-style-type: none"> <li>○ Conducting joint sensitization training with police officers and GCLA Officers at all borders.</li> <li>○ Holding a debriefing meeting quarterly at the management level where the manager of enforcement will share with heads of partner agencies national status on IED and precursor chemical control.</li> </ul> </li> </ol>

Country	National Actions to be Taken to Strengthening Border Control of IEDs
	<p>2. Uplifting of enforcement operations along porous border with neighboring countries.</p> <ul style="list-style-type: none"> <li>• Information sharing from intelligence sources to enforcement teams in the country on IED components that will be imported illegally.</li> <li>• Distribution of precursor chemical test kits to all enforcement teams.</li> <li>• Deployment of Raman spectrometers to borders that are highly volatile to precursor chemicals.</li> </ul> <p>3. Information Sharing among Partner States</p> <ul style="list-style-type: none"> <li>• Utilization of the Cencomm platform to share information among EA Partner States on IED components and precursor chemicals.</li> <li>• Through the platform, sharing with WCO information on any interceptions of IED components and precursor chemicals.</li> </ul>
Uganda	<p>1. Frequent/regular training of border-placed Customs officers to counter the deployment concerns that continuously face officers untrained in PGS activities.</p> <p>2. Use of and reliance on intelligence information in future operations to enable better success (e.g., trend analysis on increase in clearances of chemicals within the region, and growing numbers of seizures of chemical consignments, to enable detection of particular points/areas/border points of greater interest or focus and more effective planning of staff and stakeholders.</p> <p>3. Establishment of a regional committee comprising of National Contact Points (NCPs) to coordinate PGS activities and any matters arising through more regular meetings and communicate any outcomes to bigger PGS border and bond customs officers. This will help share challenges encountered across the region and seek solutions.</p>

As noted in the paragraph on structure in the subsection on Sustainability, since the Project worked with Commissioners' offices and various sections of the EARAs, ownership and recognition of the Project are very high. All project activities are in-built tasks (risk management, capacity building, PCA, enforcement, coordinated border management) of the EARAs, and the Project supported enhancement of necessary capacities, tools, and mechanisms. The Project included monitoring mechanisms (e.g., for utilization of master trainers, JBW/JBS enforcement reporting from the target borders, monitoring of OSBP operations), with specific formats and the compiled data was shared widely. The RAs meet

regularly and recognize the importance of the monitoring framework and regional coordination. As for the risk-based approach, the EARAs have risk-management (or compliance improvement) frameworks and are to monitor progress and continuously update their strategy and risk registers.

### **3. Recommendations for the RAs**

Generally, going forward, the RAs should take note of two overarching developments affecting border management and trade facilitation – the African Continental Free Trade Area (AfCFTA) and the COVID-19 pandemic.

- (i) The **AfCFTA** initiative calls for trade facilitation via the removal of non-tariff barriers (Article 4), specifically in the field of border crossing, including the establishment of one-stop border control (Annex 4 of the Agreement Establishing the AfCFTA, Article 25, 2 e). The Agreement mandates that border control agencies meet the expectations of business for faster clearance of goods even with increased volumes of traffic. While customs administrations have been introducing and progressing in applying risk management in their operations, in an OSBP setting effective risk management and promoting trade facilitation is possible when different administrations at the border coordinate their activities to direct and control risk. This requires more information and intelligence sharing on risks as well as greater use of joint inspections.
- (ii) The other major development – the **COVID-19 pandemic** emerging in the early 2020s – has highlighted the importance of border control and supply chain continuity and developing common protocols to facilitate harmonized approaches to deal with such situations. It has become necessary to rethink existing border restrictions and regulations, and to strike a balance between controlling the spread of disease and facilitating emergency and essential trade. While there may be a “new normal”, all governments need to adapt and formulate innovative approaches to ensure efficient cross-border trade for economic recovery and development. Cooperation and coordination will be necessary for countries to adopt harmonized approaches to pandemic border control and facilitate trade (i.e., to reduce delays and address challenges), while not undermining the public safety.

In response to these developments, continued efforts by the counterpart governments in association with the EAC Secretariat are recommended to be implemented. Regarding Output 1 – for OSBPs – it is strongly urged that the actions programmed in the EAC OSBP Sustainability Strategy be carried out, with resources from within the region, and if necessary, with the support of development partners.<sup>29</sup> In addition, measures may be taken to improve disaster management planning at OSBPs and to consider revision of the EAC OSBP Procedures Manual to better reflect health-related issues (especially related to COVID-19) and lessons from the Project.<sup>30</sup>

Specifically regarding Output 1, it is recommended that:

- (i) the RAs continue conducting OSBP training at the project borders, utilizing the OSBP Procedures Manual, and involving the project trainers in the training;
- (ii) operationalize Gatuna/Katuna with additional training, now that the border has reopened; and
- (iii) hold more regular JBC meetings including various stakeholders, from both the public and private sectors.

Regarding Output 2 (Customs Capacity Building), with the well-established collaboration among the parties and the strong ownership demonstrated by the EARAs during the Project, the MTs have already trained more than 20,000 people (both Customs officials and customs clearing agents). Therefore, it is strongly recommended that the EARAs and EAC promote further capacity building activities utilizing the officers trained by the Project and include these topics in annual training plans.

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<sup>29</sup> “It is anticipated that Development Partners who have supported the region to adopt and implement a coordinated border management model will continue to facilitate the region going forward.” Source in previous footnote, p. 12.

<sup>30</sup> See JICA and PADECO Co., Ltd., *Assessment of the Application of the EAC OSBP Procedures Manual Based on Project Activities at Rusumo, Namanga, and Malaba, with Recommendations for the Manual and Training Material*, Component for Effective OSBP Operation of the Project on Capacity Development for Trade Facilitation and Border Control in East Africa, October 2020.

**4. Monitoring Plan from the End of the Project to Ex-post Evaluation**

JICA, in cooperation with a JICA Expert to be attached to the EAC Secretariat, will support intermittent monitoring by the EAC Customs Directorate after project completion. Also, an ex-post evaluation is scheduled to be conducted three years after completion.

Monitoring and evaluation is an integral part of the EAC's OSBP Sustainability Strategy, through the EAC's OSBP Performance and Measurement Tool,<sup>31</sup> which is in the process of implementation. As noted, members of the OSBP expert team participated in several meetings of the EAC Secretariat, on the OSBP performance measurement tool, the OSBP Sustainability Strategy, and development of the requirements for digitalization of the OSBP performance tool.

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<sup>31</sup> East African Community Secretariat, *One Stop Border Post Measurement Tool: Effective Monitoring of OSBP Operations*, September 2019, p. 20.

## ANNEX 1: Results of the Project

### List of Training Activities, Sensitization Activities, and Committee and Other Technical Meetings for the OSBP Project Component, August 2018-March 2022

No.	Date	Location	Activity/Meeting	No. of Participants	Organizations	Remarks
<i>Training and Sensitization Activities</i>						
1	14-16 August 2019	Malaba (onsite)	Training in the EAC OSBP Procedures	116	Revenue Authorities, Immigration, other border control agencies, and private-sector participants	Of the 116, 23 were from the public sector of Kenya, 15 were from the public sector of Uganda, 21 were from the private sector of Kenya, and 57 were from the private sector of Uganda.
2	20, 22 November 2019	Gatuna (onsite)	As above	69	As above	Of the 69, 22 were from the public sector, including managers from other borders, including Cyanika, Kagitumba, Nemba, Ruhwa, and Rusumo, and 47 were from the private sector.
3	21-22 November 2019	Katuna (onsite)	As above	43	As above	Of the 43, 18 were from the public sector and 25 were from the private sector.
4	27-29 November 2019	Malaba (onsite)	As above	101	As above	Of the 101, 21 were from the public sector of Kenya, 26 were from the public sector of Uganda, 17 were from the private sector of Kenya, and 37 were from the private sector of Uganda. About three-fifths of the participants were from Malaba and about two-fifths of the participants were from Busia.
5	18-20 February 2020	Malaba (onsite)	As above	127	As above	Of the 127, 38 were from public sector and 89 were from the private sector. Of the public sector participants, 20 were from Kenya (14 from Malaba and 6 from Busia) and 18 were from the public sector of Uganda (14 from Malaba and 4 from Busia). Of the private sector participants, about 40% were from Kenya and 60% from Uganda, and about 75% were from Malaba and 25% from Busia.
6	21 February 2021	Malaba (onsite)	Community sensitization in OSBP procedures	250	Local government officials, representative of private-sector organizations, and border community representatives	The number of participants was necessarily approximated, because of the size of the meeting.

No.	Date	Location	Activity/Meeting	No. of Participants	Organizations	Remarks
7	27-28 February 2020	Katuna (onsite)	Training in the EAC OSBP Procedures	39	Revenue Authorities, Immigration, other border control agencies, and private-sector participants	Of the 39, 14 were from the public sector and 25 were from the private sector.
8	12 October 2020	Malaba (distance training)	As above	13	As above	Pilot distance OSBP training; of the 13, eight were from Uganda and five were from Kenya, from public-sector organizations.
9	8-11 March 2021	Malaba (distance training)	As above	15	As above	Of the 15, eight were from Kenya and seven were from Uganda, from public-sector organizations
10	23-26 March 2021	Namanga (distance training)	As above	11	As above	Of the 11, five were from Kenya and six were from Tanzania, from public-sector organizations
11	18-21 May 2021	Malaba (distance training)	As above	19	As above	Of the 19, nine were from Kenya and 10 were from Uganda, from public-sector organizations
12	8-11 June 2021	Namanga (distance training)	As above	14	As above	Of the 14, seven were from each country, from public-sector organizations
13	16-19 November 2021	Malaba (distance training)	As above	17	As above	Of the 17, nine were from Kenya and eight were from Uganda; 15 were from public-sector organizations and two were from civil society (from Uganda).
14	29 November-2 December 2021	Namanga (distance training)	As above	9	As above	Of the nine, five were from Kenya and four were from Tanzania, from public-sector organizations.
15	25-27 January 2022	Malaba (onsite)	As above	35	As above	Of the 35, eight were from the public sector of Kenya, 13 were from the public sector of Uganda, three were from the private sector of Kenya, and 11 were from the private sector of Uganda.
16	1-3 February 2022	Namanga (onsite)	As above	50	As above	Of the 50, 21 were from the public sector of Kenya, eight were the public sector of Tanzania, five were from the private sector of Kenya, and 16 were from the private sector of Tanzania.
<i>Committee and Technical Meetings</i>						
1	5 February 2019	Namanga (onsite)	JBC meeting	39	Revenue Authorities, Immigration, other border control agencies	Considered initiation of the Namanga endline and impact TMS, KPIs for monitoring, and the application of OSBP procedures

<b>No.</b>	<b>Date</b>	<b>Location</b>	<b>Activity/Meeting</b>	<b>No. of Participants</b>	<b>Organizations</b>	<b>Remarks</b>
2	13 February 2019	Malaba (onsite)	JBC meeting	57	As above	Updated and assessed the progress and planning process of OSBP operations, and prepared an action plan
3	19 February 2019	Gatuna (onsite)	Border meeting	20	As above	As above
4	19 February 2019	Katuna (onsite)	Border meeting	25	As above	As above
5	20 February 2019	Rusumo (onsite)	JBC meeting	34	As above	Considered KPIs for monitoring, and assessed the application of OSBP procedures
6	21 May 2019	Namanga (onsite)	JBC meeting	49	As above	Considered the endline and impact TMS, updated KPIs, and assessed the application of OSBP procedures
7	23-24 May 2021	Jinja (onsite)	JTWG meeting	20	Headquarters and border control agencies	Updated KPIs for monitoring, updated the OSBP action plan, , and conducted a site visit/inspection
8	29 May 2019	Gatuna (onsite)	Border meeting	18	Revenue Authority, Immigration, other border control agencies	Updated the assessment of the progress and planning process toward OSBP launch and operations, and the action plan
9	29 May 2019	Katuna (onsite)	Border meeting	16	As above	As above
10	20 August 2021	Gatuna (onsite)	Border meeting	15	As above	As above
11	20 August 2021	Katuna (onsite)	Border meeting	25	As above	As above
12	21 August 2019	Rusumo (onsite)	JBC meeting	27	As above	Updated KPIs and the assessment of the application of OSBP procedures
13	2 December 2019	Kisumu (onsite)	JTWG meeting	20	Headquarters and border control agencies	Updated KPIs for monitoring and the OSBP action plan, and conducted a site visit/inspection
14	3-4 December 2019	Kisumu (onsite)	Joint disaster management meeting	22	As above	Formulated an outline plan for joint disaster risk reduction and management for the Malaba OSBP
15	12 February 2020	Namanga (onsite)	JBC meeting	28	As above	Updated KPIs for monitoring, and the assessment of the application of OSBP procedures, and discussed a possible second endline and impact TMS
16	17 February 2020	Malaba (onsite)	JBC meeting	38	As above	Review and updating of action plan and assessment of application of the EAC OSBP procedures
17	2 March 2020	Rusumo (onsite)	JBC meeting	25	As above	Updated KPIs for monitoring, and the assessment of the

No.	Date	Location	Activity/Meeting	No. of Participants	Organizations	Remarks
						application of OSBP procedures
18	22 October 2021	Namanga (and online)	JBC meeting	15	As above	Updated KPIs for monitoring, and the assessment of the application of OSBP procedures
19	25 October 2021	Malaba (and online)	JBC meeting	13	As above	Introduced KPIs for monitoring and updated the action plan
20	29 October 2021	Rusumo (and online)	JBC meeting	17	As above	Updated KPIs for monitoring, and the assessment of the application of OSBP procedures
21	31 January 2022	Namanga (and online)	JBC Meeting	29	As above	Updated KPIs for monitoring, and the assessment of the application of OSBP procedures; discussed the draft report of the November 2021 TMS

Abbreviations: JBC = joint border committee, JTWG = joint technical working group [joint technical meeting], KPI = key performance indicator, TMS = time measurement survey

Notes: (i) The number of participants in committee and other technical meetings includes JICA and JICA OSBP Team participants. (ii) In some cases, local government and private-sector participants also attended JBC meetings.

Source: JICA OSBP Team

**OSBP Consultants (Padeco, Co. Ltd.)****1. Consultants for OSBP component (on a shuttle basis)**

No	Expertise	Name	Country	Start Date	End Date
1	Team Leader/ Institutional Implementation Assistance	Bruce Winston	Kenya, Tanzania, Rwanda, Uganda, Burundi	2018/10/10	2022/3/30
2	Border Management	Penina Simba	Kenya, Tanzania, Rwanda, Uganda, Burundi	2018/10/10	2022/3/30
3	Training and Sensitization 1	Eri Nagai	Kenya, Tanzania, Rwanda, Uganda, Burundi	2018/10/10	2019/7/5
4	Training and Sensitization 1	Yuki Natsui	Kenya, Tanzania, Rwanda, Uganda, Burundi	2019/7/5	2021/10/8
5	Training and Sensitization 1	Shogo Matsumoto	Kenya, Tanzania, Uganda	2021/10/8	2022/3/30
6	OSBP Operations 1	Antony Munguti	Kenya, Tanzania, Rwanda, Uganda, Burundi	2018/10/10	2022/3/30
7	OSBP Operations 2	Kenji Suzuki	Kenya, Tanzania, Rwanda, Uganda, Burundi	2018/10/10	2023/3/30
8	Cross-Border Transport Law	Kristiaan Bernauw	(Working from home, Belgium)	2020/7/15	2022/3/30
9	Trade and Border Management	Yoko Konishi	(Working from home, Japan)	2021/10/28	2022/3/30
10	Multistakeholder Meeting Operations	Satoko Hara	(Working from home, Japan)	2021/12/28	2022/3/30
11	Training and Sensitization 2	Fumiyo Takai	Kenya, Tanzania, Uganda	2021/12/28	2022/3/30

**2. Local Consultants for OSBP**

No	Area of Work			Start Date	End Date
1	Endline Time Measurement Survey (Namanga)	Transport Logistics Consultants Group Ltd.	Kenya, Tanzania	2018/12/28	2019/6/20
2	Additional Endline Time Measurement Survey (Namanga)	Transport Logistics Consultants Group Ltd.	Kenya, Tanzania	2021/11/1	2022/2/22
3	JTC Meetings Arrangement	The Travelers Guardian Inc.	Kenya, Tanzania, Rwanda, Uganda, Burundi	2019/4/5	2021/5/31
4	Time Measurement Survey (Malaba)	Transport Logistics Consultants Group Ltd.	Kenya, Uganda	2022/1/11	2022/3/30

### List of Short-term Experts dispatched as Project Activities (Dec 2017-June 2021)

(this list only refers to short-term technical experts and does not include long-term experts as well as JICA/WCO project officers)

#### Risk Management (including IPR)

No.	Date	Location	Activity	Objectives / Contents	Name of experts	Org.
1	15-21 April 2018	Tanzania, Kenya	Risk Management Fact-finding mission to TRA & KRA	(i) Identify the current situation Identify and collect needed information, (ii) Identify specific technical assistance/ capacity building needs for Risk management	1. Mr Onal Oguz 2. Mr. Rajcoomar Doorgaprasad	WCO
2	17-28 April 2018	Rwanda, Burundi, Uganda	Risk Management Fact-finding mission to RRA, OBR and URA	(i) Identify the current situation Identify and collect needed information, (ii) Identify specific technical assistance/ capacity building needs for Risk management	1. Mr Onal Oguz 2. Mr. Rajcoomar Doorgaprasad	WCO
2	14-19 October 2018	Bujumbura (Burundi)	National RM workshop for OBR	To improve skills and awareness on risk management across the authority to promote risk-based approach	Mr. Rajcoomar Doorgaprasad	WCO
3	22-27 October 2018	Mauritius	Benchmarking Study on Customs Risk Management with MRA	focus on the data analysis relating to PCA and Profiling and Targeting of cargoes	Mr. Rajcoomar Doorgaprasad	WCO
4	17-23 March 2019	Dar-es-Salaam (Tanzania)	National RM workshop for TRA Customs	focus on (i) development of risk registers and (ii) to finalize the development of the Risk Management framework	Mr Onal Oguz	WCO
5	6-16 May 2019	Thailand & Japan	IPR benchmarking Study in Thailand & Japan	To learn and share the knowledge and experiences with regards to Intellectual Property Right (IPR) and Customs Control and further to discuss ideas and possible recommendations to improve application of effective IPR and Customs Control in the region	WCO ROCB experts & Japan Customs experts onsite	WCO & JICA
6	7-11 October 2019	Nairobi (Kenya)	National Workshop on the Development of Standard Operation Procedures (SOP) of the new RM unit under KRA Customs	aimed at finalizing the SOP for the new RM unit under CBCD	Mr Onal Oguz	WCO
7	28 October - 1 November 2019	Nairobi (Kenya)	Regional IPR workshop	To address the issues on effective border control of the goods infringing IPR and to share the good practices, and further to discuss ideas and possible recommendations to improve application of effective IPR Borer Control in the region, including other related agencies.	1. Ms. Samantha Gompel 2. Ms. Yuko Tsuda Mamiya	WCO JICA (Japan Customs)

#### MTP (Master Trainer Programme) on PCA (Post-Clearance Audit)

No.	Date	Location	Activity	Objectives / Contents	Name of experts	Org.
1	10-14 September 2018	Dar-es-Salaam (Tanzania)	1st Activity of MTP on PCA	(i) Sharing their PCA structure, operation, issues and challenges and the specific training on PCA from each country; (ii) Presentation on WCO concepts on PCA, Strategic planning and operation, Japan's PCA, Case study, Targeting and risk management, EAC PCA manual, (iii) Identification of specific PCA training needs	1. Mr. Yasuhito Sakamoto 2. Mr. Shingo Tanagami 3. Ms. Chika Maeda 4. Mr. Stephen Analo	WCO 2 JICA (Japan Customs) EAC
2	4-8 March 2019	Nairobi (Kenya)	2nd Activity of MTP on PCA	(i) Country presentation on PCA post management, (ii) Training skills development, (iii) Data analysis and audit case selection, (iv) Training Delivery by WG members on EAC PCA Manual, (v) Presentation on EAC Trade Facilitation Initiatives	1. Ms. Iryna Kyklyk 2. Mr. Shingo Tanagami 3. Mr. Anthony Minja	WCO JICA (Japan Customs) EAC
3	30 September - 4 October 2019	Arusha (Tanzania)	3rd Activity of MTP on PCA	(i) Presentation on PCA case studies, (ii) Difference on PCA and AEO validation, (iii) Group exercise, (iv) Development of Learning Guide, Model Program, (v) Review of EAC PCA manual power points	1. Mr. Yasuhito Sakamoto 2. Mr. Shingo Tanagami 3. Ms. Ai Matsui 4. Mr. Anthony Minja	WCO 2 JICA (Japan Customs) EAC
4	10-14 February 2020	Kampala (Uganda)	4th Activity of MTP on PCA	(i) WCO activities on PCA, (ii) Review and Delivery of PCA training presentations by WG members, (iii) Explanation on accreditation process	1. Mr. Yasuhito Sakamoto 2. Mr. Shingo Tanagami 3. Mr. Anthony Minja	WCO JICA (Japan Customs) EAC
5	Since May 2020 to April 2021	Online (35 times)	4th WG follow up	Review and Delivery of PCA training presentations and case studies, course guide, Quiz by WG members	1. Mr. Yasuhito Sakamoto 2. Mr. Shingo Tanagami	WCO JICA (Japan Customs)
6	12-16 April 2021	Online	5th Activity of MTP on PCA	Evaluation of WG members to be Master trainers	1. Mr. Shingo Tanagami 2. Ms. Ai Matsui 3. Mr. Anthony Minja	WCO JICA (Japan Customs) EAC

#### PGS (Programme Global Shield)

No.	Date	Location	Activity	Objectives / Contents	Name of experts	Org.
1	15-17 May 2018	Nairobi (Kenya)	PGS Regional Awareness workshop	To raise the awareness on the IED threats, the role of the Customs for border control	1. Mr. Roman Bruhwiler 2. Mr. James McColm 3. Mr. Seevaki Arukgoda 4. Mr. Ryo Yamazaki 5. Mr. Michael J Huck	3 WCO 1 JICA (Japan Customs) 1 JIDO

2	22-30 January 2019	Kampala (Uganda)	PGS Regional ToT workshop	To raise national trainers on PGS	1. Mr. Ralf Wagner 2. Mr. Mindia Grdzeldze 3. Mr. Seevaki Arukgoda 4. Mr. Michael Whited	3 WCO, 1JIDO
3	9-10 July 2019	Mombasa (Kenya)	PGS National Follow up workshop for Kenya	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operaiton plan (NOP)	Mr. Ralf Wagner	WCO
4	20-22 November 2019	Bujumbura (Burundi)	PGS National Follow up workshop for Burundi	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operaiton plan (NOP)	Mr. Ralf Wagner	WCO
5	25-26 November 2019	Kigali (Rwanda)	PGS National Follow up workshop for Rwanda	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operaiton plan (NOP)	Mr. Ralf Wagner	WCO
6	27-28 January 2020	Dar-es-Salaam (Tanzania)	PGS National Follow up workshop for Tanzania	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operaiton plan (NOP)	Mr. Ralf Wagner	WCO
7	11-12 February 2020	Kampala (Uganda)	PGS National Follow up workshop for Uganda	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operaiton plan (NOP)	Mr. Ralf Wagner	WCO
8	13 October 2020	online	PGS Follow-up workshop f	(i) To report the status of each country for their efforts, (ii) discuss on preparation for national operaiton plan (NOP)	Mr Ralf Wagner, 3 INTERPOL experts, 1 DTRA expert, 2 RILO ESA experts	
9	18 November 2020	online	CENComm exercise workshop	To practice on CENComm platform (informaiton exchange tool) as preparation toward the regional PGS operation	Mr Ralf Wagner, 2 INTERPOL experts	
10	20-22 January 2021	online	Operation EA Pre-Meeting	(i) To present National Operation Plan by each RA, (ii) communication plan, (iii) discussion on Operation, (iv) learn on the usage of Raman, (v) CenComm exercise by participating agencies	Mr Ralf Wagner, Mr. Ryo Yamazaki, 1 INTERPOL experts, 2 DTRA experts, 2 RILO ESA experts	WCO, JICA (Japan Customs), INTERPOL, WCO RILO ESA

**List of Counterparts**

No.	Country	Organization	Mr./Ms.	Name	Title	Position in the Project
1	Burundi	Office Burundais des Recettes (OBR)	Mr.	Mr. Jean Claude Manirakiza	Commissioner General	Project Director
2	Burundi	Office Burundais des Recettes (OBR)	Mr.	Adolphe Manirakiza	Commissioner for Customs and Excise	Project Manager
3	Kenya	Kenya Revenue Authority (KRA)	Mr.	Githii Mburu	Commissioner General	Project Director
4	Kenya	Kenya Revenue Authority (KRA)	Ms.	Lilian Nyawanda	Commissioner for Customs and Border Control	Project Manager
5	Tanzania	Tanzania Revenue Authority (TRA)	Mr.	Alphayo J. Kidata	Commissioner General	Project Director
6	Tanzania	Tanzania Revenue Authority (TRA)	Mr.	Said Athuman	Commissioner for Customs & Excise	Project Manager
7	Rwanda	Rwanda Revenue Authority (RRA)	Mr.	Pascal Ruganintwali	Commissioner General	Project Director
8	Rwanda	Rwanda Revenue Authority (RRA)	Mr.	Felicien Mwumvaneza	Commissioner for Customs Services	Project Manager
9	Uganda	Uganda Revenue Authority (URA)	Mr.	Johnson Musinguzi Rujoki	Commissioner General	Project Director
10	Uganda	Uganda Revenue Authority (URA)	Mr	Abel Kagumire	Commissioner for Customs	Project Manager

**List of Training (including workshop) organized as Project Activities (Dec 2017-June 2021)**

**Risk Management (including AEO, IPR)**

No.	Date	Location	Activity		No of trainees	M	F	Org.
1	14-16 March 2018	Kampala (Uganda)	AEO Conference & seminar	To share the current situations and any valuable inputs from the sessions for further improvement of the respective operation areas in risk management and PCA	8	6	2	5RAs
2	16-18 October 2018	Bujumbura (Burundi)	National RM workshop for OBR	To improve skills and awareness on risk management across the authority to promote risk-based approach	28	16	12	OBR
3	23-26 October 2018	Mauritius	Benchmarking Study on Customs Risk Management with MRA	focus on the data analysis relating to PCA and Profiling and Targeting of cargoes	6	6	0	RRA, URA
4	18-22 March 2019	Dar-es-Salaam (Tanzania)	National RM workshop for TRA Customs	focus on (i) development of risk registers and (ii) to finalize the development of the Risk Management framework	16	11	5	TRA
5	6-16 May 2019	Thailand & Japan	IPR benchmarking Study in Thailand & Japan	To learn and share the knowledge and experiences with regards to Intellectual Property Right (IPR) and Customs Control and further to discuss ideas and possible recommendations to improve application of effective IPR and Customs Control in the region	13	9	4	5RAs, EAC
6	7-11 October 2019	Nairobi (Kenya)	National Workshop on the Development of Standard Operation Procedures (SOP) of the new RM unit under KRA Customs	(i) To finalize the SOP for the new RM unit under CBCD, (ii) introduction of RM maturity model and essentials for effective selectivity, (iii) Introduction of Risk Register	18	9	9	KRA
7	28 October - 1 November 2019	Nairobi (Kenya)	Regional IPR workshop	To address the issues on effective border control of the goods infringing IPR and to share the good practices, and further to discuss ideas and possible recommendations to improve application of effective IPR Borer Control in the region, including other related agencies.	21	12	9	2OBR, 1MoT, 1BBN, 3KRA, 2ACA, 2TRA, 2FCC, 2RRA, 2URA, 2URSB, 2EAC

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**MTP (Master Trainer Programme) on PCA (Post-Clearance Audit)**

No.	Date	Location	Activity	Objectives / Contents	No of trainees	M	F	Org.
1	10-14 September 2018	Dar-es-Salaam (Tanzania)	1st Activity of MTP on PCA	(i) Sharing their PCA structure, operation, issues and challenges and the specific training on PCA from each country; (ii) Presentation on WCO concepts on PCA, Strategic planning and operation, Japan's PCA, Case study, Targeting and risk management, EAC PCA manual, (iii) Identification of specific PCA training needs	21	11	10	5RAs
2	4-8 March 2019	Nairobi (Kenya)	2nd Activity of MTP on PCA	(i) Country presentation on PCA post management, (ii) Training skills development, (iii) Data analysis and audit case selection, (iv) Training Delivery by WG members on EAC PCA Manual, (v) Presentation on EAC Trade Facilitation Initiatives	20	10	10	5RAs
3	30 September - 4 October 2019	Arusha (Tanzania)	3rd Activity of MTP on PCA	(i) Presentation on PCA case studies, (ii) Difference on PCA and AEO validation, (iii) Group exercise, (iv) Development of Learning Guide, Model Program, (v) Review of EAC PCA manual power points	18	8	10	5RAs
4	10-14 February 2020	Kampala (Uganda)	4th Activity of MTP on PCA	(i) WCO activities on PCA, (ii) Review and Delivery of PCA training presentations by WG members, (iii) Explanation on accreditation process	19	13	6	5RAs
5	Since May 2020 to April 2021	Online (35 times)	4th WG follow up	Review and Delivery of PCA training presentations and case studies, course guide, Quiz by WG members	19	13	6	5RAs
6	12-16 April 2021	Online	5th Activity of MTP on PCA	Evaluation of WG members to be Master trainers	18	12	6	5RAs

**PGS (Programme Global Shield)**

No.	Date	Location	Activity	Objective	No of trainees	M	F	Org.
1	15-17 May 2018	Nairobi (Kenya)	PGS Regional Awareness workshop	To raise the awareness on the IED threats, the role of the Customs for border control	20	17	3	5RAs
2	22-30 January 2019	Kampala (Uganda)	PGS Regional ToT workshop	To raise national trainers on PGS	21	17	4	5RAs

3	9-11 July 2019	Mombasa (Kenya)	PGS National Follow up workshop for Kenya	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operation plan (NOP)	79	45	34	KRA
4	20-22 November 2019	Bujumbura (Burundi)	PGS National Follow up workshop for Burundi	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operation plan (NOP)	26	22	4	OBR
5	25-26 November 2019	Kigali (Rwanda)	PGS National Follow up workshop for Rwanda	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operation plan (NOP)	48	36	12	RRA
6	27-28 January 2020	Dar-es-Salaam (Tanzania)	PGS National Follow up workshop for Tanzania	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operation plan (NOP)	31	25	6	TRA
7	11-12 February 2020	Kampala (Uganda)	PGS National Follow up workshop for Uganda	(i) To support national PGS trainers for in-country training/sensitations, (ii) discuss on preparation for national operation plan (NOP)	32	18	14	URA
8	13 October 2020	online	PGS Follow-up workshop f	(i) To report the status of each country for their efforts, (ii) discuss on preparation for national operation plan (NOP)	32	27	5	5RAs, TPF, GCLA, UNBS, MAAIF
9	18 November 2020	online	CENComm exercise workshop	To practice on CENComm platform (information exchange tool) as preparation toward the regional PGS operation	50	42	8	5 RAs, Police, BBN,KPA,TPF,GCLA,UNBS,MAAIF
10	20-22 January 2021	online	Operation EA Pre-Meeting	(i) To present National Operation Plan by each RA, (ii) communication plan, (iii) discussion on Operation, (iv) learn on the usage of Raman, (v) CenComm exercise by participating agencies	50	41	9	5RAs, BBN, TPF

## **ANNEX 2: List of Products (under OSBP Component – Output 1)**

### **Appendix A: Inception Report**

- A1: Inception Report

### **Appendix B: Selection of Two New OSBPs to Facilitate**

- B1: Work to Select the Two New OSBPs to Facilitate (Report)
- B2: Work to Select the Two New OSBPs to Facilitate (PowerPoint)
- B3: Minutes of the RJCC Meeting Selecting the Two New OSBPs to Facilitate

### **Appendix C: Namanga Time Measurement Surveys**

- C1: Namanga Time Measurement Survey Report (June 2019)
- C2: Namanga Time Measurement Survey PowerPoint (June 2019)
- C3: Namanga Time Measurement Survey Report (February 2022)
- C4: Namanga Time Measurement Survey PowerPoint (February 2022)

### **Appendix D: Minutes of Joint Technical Working Group Meetings<sup>1</sup>**

- D1: Minutes of the Malaba Joint Technical Working Group, 23-24 May 2019
- D2: Minutes of the Malaba Joint Technical Working Group, 2 December 2019

### **Appendix E: Minutes of Joint Border Committee and Other Border-Level Meetings**

- E1: Minutes of the Joint Border Committee Meeting, Namanga, 5 February 2019
- E2: Minutes of the Joint Border Committee Meeting, Malaba, 13 February 2019
- E3: Minutes of Border Meeting, Gatuna, 19 February 2019
- E4: Minutes of Border Meeting, Katuna, 19 February 2019
- E5: Minutes of Joint Border Committee Meeting, Rusumo, 20 February 2019
- E6: Minutes of the Joint Border Committee Meeting, Namanga, 21 May 2019
- E7: Minutes of the Malaba Joint Technical Working Group Meeting, Jinja 23-24 May 2019
- E8: Minutes of Border Meeting, Gatuna, 29 May 2019
- E9: Minutes of Border Meeting, Katuna, 29 May 2019
- E10: Minutes of Border Meeting, Gatuna, 20 August 2019

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<sup>1</sup> Considering the volume of the materials, the attached meeting minutes (in Appendices D, E, and F) only include the main text, except for the appendices that show the latest monitoring reports and assessments of the application of the EAC OSBP Procedures, i.e., Appendix E15 (Annex 4), which provides the latest assessment of the application of EAC OSBP Procedures at Malaba; Appendix E18 (Annex 3), which provides the latest monitoring report for Malaba; Appendix E19 (Annexes 3 and 4), which provides the latest monitoring report and assessment of EAC OSBP Procedures for Rusumo; and Appendix 20 (Annexes 3 and 4), which provides the latest monitoring report and assessment of EAC OSBP Procedures for Namanga.

- E11: Minutes of Border Meeting, Katuna, 20 August 2019
- E12: Minutes of Joint Border Committee Meeting, Rusumo, 21 August 2019
- E13: Minutes of the Malaba Joint Disaster Management Meeting, Kisumu, 3-4 December 2019
- E14: Minutes of the Joint Border Committee Meeting, Namanga, 12 February 2020
- E15: Minutes of Malaba Joint Border Committee Meeting, Malaba, 17 February 2020
- E16: Minutes of Joint Border Committee Meeting, Rusumo, 2 March 2020
- E17: Minutes of the Joint Border Committee Meeting, Namanga, 22 October 2021
- E18: Minutes of the Joint Border Committee Meeting, Malaba, 25 October 2021
- E19: Minutes of the Joint Border Committee Meeting, Rusumo, 29 October 2021
- E20: Minutes of the Joint Border Committee Meeting, Namanga, 31 January 2022

## **Appendix F: Training and Sensitization Reports**

- F1: Malaba Training Report, 14-16 August 2019
- F2: Gatuna Training Report, 20, 22 November 2019
- F3: Katuna Training Report, 21-22 November 2019
- F4: Malaba Training Report, 27-29 November 2019
- F5: Malaba Training Report, 18-20 February 2020
- F6: Malaba Community Sensitization Report, 21 February 2020
- F7: Katuna Training Report, 27-28 February 2020
- F8: Analysis of Responses to the OSBP Distance Training Questionnaire (September 2020)
- F9: Malaba Distance Training Report, 12 October 2020 (Pilot)
- F10: Malaba Distance Training Report, 8-11 March 2021
- F11: Namanga Distance Training Report, 23-26 March 2021
- F12: Malaba Distance Training Report, 18-21 May 2021
- F13: Namanga Distance Training Report, 8-11 June 2021
- F14: Malaba Distance Training Report, 16-19 November 2021
- F15: Namanga Distance Training Report, 29 November-2 December 2021
- F16: Malaba Training Report, 25-27 January 2022
- F17: Namanga Training Report, 1-3 February 2022
- F18: Latest Version of the Training Materials (Modules), January 2022

## **Appendix G: Supplementary Training Materials**

- G1: Supplementary Training Materials – Self-Study Question-and-Answer Materials and Simulations / Case Studies, February 2022

## **Appendix H: Assessment of Application of the EAC OSBP Procedures Manual, with Recommendations for the Manual and Training Material**

- H1: Assessment of the Application of the EAC OSBP Procedures Manual Based on Project Activities at Rusumo, Namanga, and Malaba, with Recommendations for the Manual and Training Material

## **Appendix I: EAC Activities in Which the Consultant Participated**

- I1: Meeting of Experts to Develop One Stop Border Posts Performance Measurement Tool, November 2018
- I2: Meeting to Validate the OSBP Performance Measurement Tool, February-March 2019
- I3: Meeting to Develop the OSBP Sustainability Strategy, June 2019
- I4: Meeting to Validate the Detailed Requirements for the Digitalization of the OSBP Performance Measurement Tool, April 2021

## **ANNEX 2: List of Products**

### **(under Customs Capacity Building Component – Output 2)**

#### AEO

- Joint Report on AEO Conference

#### IPR

- Report on Benchmarking Study on IPR border control to Japan and Thailand, May 2019 (by each RA and EAC)
- BMS IPR in Thailand and Japan Trip Report, May 2019
- Compiled Matrix on IPR control in East Africa, October 2019
- Matrix of Comparison of Competent Authority on IPR and Action Plan for Effective IPR Border Control (Burundi, Kenya, Rwanda, Tanzania, Uganda) October 2019
- Summary Report on Regional Workshop on IPR control 2019
- List of Participants for IPR Roundtable in East Africa, October 2019

#### MT Monitoring

- Results of Usage of MTs from October 2017 to September 2018
- Results of Usage of MTs from October 2018 to September 2019
- Results of Usage of MTs from October 2019 to February 2021
- MT List as of May 2021

#### PGS

- Seminar note for Joint WCO/JICA Programme Global Shield (PGS) Awareness Raising Seminar for East African Customs Nairobi, Kenya, 15th to 17th Mai, 2018
- Summary of PGS Training, mid-term, June 2019
- Operational Report OP PGS East Africa 03rd – 16th March 2021

#### PCA

- Compiled summary of Questionnaire on MT WG members on delivery of training (October 2019-February 2021)
- PCA Working Group (WG) Activity Report (from 1<sup>st</sup> to 5<sup>th</sup> WG)
- PCA WG member evaluation on MTP
- List of MTP members (for WG5)
- PCA Training Materials developed under MTP (June 2021), which cover below;

1. Course Guide and a Model Program
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1-1 Course Guide.....1
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1-2 Model Program.....	2
2. PCA training presentation	
I. Background, Concept, Importance and Objectives of PCA .....	3
II. Legal framework and Audit Standards of PCA .....	6
III. PCA Policy and Strategy, Structure, Risk Management, Data Analysis and Risk Profiling..	13
IV. Types, Approaches, Methodologies of Audits and Audit Cycle .....	22
V. Audit Pre-planning .....	29
VI. Audit Planning.....	37
VII. Entry Conference, Systems Review & Walkthrough.....	49
VIII. Field Audit: Audit Evidence Gathering and Data Analysis .....	55
IX. Audit Working Papers, Audit File, Review and Evaluation, Reporting .....	63
X. Post Audit Management and Follow up Issues.....	71
XI, AEO and the Differences between AEO Validation and PCA .....	75
3. Exercise and Case Studies on PCA	
Case 1: Case Selection Exercise.....	81
Case 2: Case Study on Pre-Audit Survey and Field Audit .....	84
Case 3: Case Study on Audit – at the Execution Stage (Case of Classification) .....	90
Case 4: Case Study on Audit – at the Execution Stage (Case of Additional Payment) .....	94
Case 5: Case Study – Case Issue-focused Audit on Preferential Treatment .....	100
Case 6: Case Study – Case Selection and On-site Audit .....	107
4. A Model Quiz on PCA .....	113

**ANNEX 3: PDM (All versions of the PDM)****Project Design Matrix****Project Title:** Project on Capacity development for Trade Facilitation and Border Control in East Africa**Implementing Agency:** Revenue Authorities of each county of Burundi, Kenya, Rwanda, Tanzania, Uganda**Target Group:** (Direct Beneficiary) Revenue Authorities of Burundi, Kenya, Rwanda, Tanzania and Uganda


(Indirect Beneficiary) Relevant border control agencies in the region, traders, and Customs clearing and forwarding agents (CCFAs) in the respective Partner States.

**Period of Project:** December 2017 to June 2021 (42 months in total)**Project Site:** (1) Selected OSBP sites (e.g., Namanga, Rusumo)

(2) Selected sections and offices of the Customs Administrations of the Revenue Authorities in East Africa (Burundi, Kenya, Rwanda, Tanzania, and Uganda).

**Version 0****Dated November 2017**

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumption	Achievement	Remarks
<b>Overall Goal</b> Regional economic development through Trade facilitation and ensured safety and security is further promoted in East Africa.	1. The number of OSBP(s) operated based on the EAC Regional OSBP Procedures Manual exceeds XX in EAC Region. 2. The cases in which smuggling has been detected are increased at the borders due to enhancement of customs surveillance capacity.	- Report on the OSBP operation.  - Detection cases of smuggling.			
<b>Project Purpose</b> Efficiency of border procedures and capacity of border control are improved at the targeted borders in East Africa.	1-1. The clearance time of cargoes and people at the selected borders are reduced by XX% for cargoes and XX % for people on average. 1-2. The selected targeted OSBPs are operated based on the EAC Regional OSBP Procedures Manual. 1-3. The risk-based approach is further incorporated into border management procedures. 1-4. The number/mechanism of intelligence information exchange for surveillance and enforcement purposes is increased.	- Time Measurement Survey at the targeted borders - Field survey - Questionnaires Survey  - Questionnaires Survey  - Questionnaires Survey	- The relationship between the concerned Partner States does not deteriorate.  - There is strong political will among the EAC Partner States to utilize the EAC Regional OSBP Procedures Manual at the respective borders in the region.  - Large-scale terrorist activities do not occur .		
<b>Outputs</b> (1) OSBPs are operated in an efficient and regionally harmonized manner at selected land borders.	1-1. The number of monitoring activities at the selected OSBPs (through time measurement surveys and impact evaluation) exceeds XX. 1-2. The number of officials and stakeholders who attend training and sensitization programs on the EAC Regional OSBP Procedures Manual exceeds XX. 1-3. The degree of utilization of the EAC Regional OSBP Procedures Manual by the officers engaged in OSBP operations at the selected land borders exceeds XX 1-4. The lessons drawn in the activities of OSBP operationalization are reflected into the EAC OSBP Regional Procedures Manual and the EAC OSBP Training Curriculum.	- Report on the monitoring activity of time release at the targeted OSBPs.C21  - Report on the training and sensitization programs on EAC Regional OSBP Manual.C22  - Report on the utilization of EAC Regional OSBP Manual.  - List of lessons drawn in the activities of OSBP - Check list of curriculum revision. - Revised EAC OSBP Training curriculum.C23	- Sufficient budget and officers for OSBP operations at the subject land borders are allocated by the responsible agencies.		
(2) The capacity of customs administrations for efficient and effective border control is enhanced.	2-1. The number of practical measures taken by the Partner States to further enhance the RM approach exceeds XXX.  2-2. Trainees' overall ratings for understanding of the topics relating to RM exceeds XXX.  2-3. The number of trainees that receive RM-related training to be done by Master Trainers (MTs) on Intelligence Analysis exceeds XXX. 2-4. The number of MTs developed on Post Clearance Audit exceeds XXX.  2-5. Information exchange and/or joint inspection/operation activities are carried out at least once a month at the selected borders.	- Reports on Risk Management activities.  - Survey Reports on understanding level of trainees.  - Reports on Risk Management activities.  - Questionnaires Survey  - Questionnaires Survey			

Activities	Inputs		Important Assumption
	The Japanese Side	The Brundi, Kenya, Rwanda, Tanzania and Uganda Sides	
<b>Activities for Output 1</b> <b>[Support efficient OSBP operation including Namanga and Rusumo]</b> 1-1. Select OSBP(s) (other than Namanga and Rusumo) to be included in the project scope. 1-2. Establish performance indicators and monitor the operational status of OSBPs at Rusumo and Namanga and improve their procedures through time measurement surveys and other measures as necessary. 1-3. Survey the operational capacity of selected OSBP(s) (other than in Namanga and Rusumo) and extract challenges. 1-4. Organize joint border coordination committees and joint technical committees for efficient operationalization of selected OSBP(s). 1-5. Develop action plan to strengthen operational capacity at selected OSBP(s). 1-6. Implement the action plan and conduct time measurement surveys (and impact evaluation as necessary) at selected OSBP(s) to confirm the results of support and extract recommendations. <b>[Monitoring the utilization of EAC Regional OSBP Procedures Manual]</b> 1-7. Develop plan for utilization of EAC Regional OSBP Procedures Manual at Namanga, Rusumo and selected OSBP(s) based on Activity 1-1. 1-8. Implement the plan developed in activity 1-7. 1-9. Draw lessons from OSBP operationalization and utilization of EAC Regional Procedures Manual at Namanga, Rusumo and the other selected OSBPs to reflect them into the Manual and EAC OSBP Training Curriculum. <b>Activities for Output 2</b> <b>[Enhancement of RM (may focus on capacity building on IPR enforcement, i.e. common issue raised in the RM recommendation)]</b> 2-1. Confirm current implementation and procedures of RM, identify capacity building needs, and assign focal person/group in charge at each partner state. 2-2. Based on the identified needs through activity 2-1, conduct technical assistance paying due attention to avoid duplication of works with other related assistance, to improve RM. 2-3. Monitor implementation status of RM (including the training delivered by MTs on Intelligence Analysis). <b>[Enhancement of Post Clearance Audit (PCA) capacity]</b> 2-4. Confirm current capacity building needs on post clearance audit, and assign WG members for Master Trainer Programs on PCA at each partner state. 2-5. Conduct technical assistance to develop pool of MTs on Post Clearance Audit. 2-6. Monitor delivery level of training to be made by those MTs in each country as necessary. <b>[Enhancement of Border control (including Program Global Shield (PGS))]</b> 2-7. Organize awareness raising and needs analysis activities on PGS. 2-8. Based on the finding on activity 2-7, conduct training to improve customs control at the targeted border. 2-9. Organize operations including to the implementation of PGS and review operational result for further improvement. 2-10: Conduct trainings for effective utilization of equipment which may be provided by Japanese grant aid. 2-11. Monitor implementation status of Joint Border Surveillance/Joint Water Surveillance (JBS/JWS) which may include the effective utilization and maintenance of equipment which may be provided by Japanese grant aid.	- Expert - Chief Advisor - Customs Policy - Senior Relationship Management - Monitoring and Evaluation - Project Coordinator - OSBP Operationalization  - Training for counterpart personnel in Japan and/or third countries: As necessary.  - Machinery and equipment: As necessary  - Expense for local activities: Cost of training activities in EAC partner states. Cost of travel expenses for the experts, other necessary expenses for activities	- Allocation of Counterpart Personnel: Project Director (Head of each organization), Project Manager  - Office Environment: Project Director (Head of each organization), Project Manager  - Expense for Project activities: Necessary expenses including salary for C/P	
			<b>Pre-Conditions</b>
			- Governmental agencies concerned with OSBP operation fully cooperate with one another.  - Necessary facilities and soft infrastructure are installed to start OSBP operations.  - Previous outputs of counterpart agencies are used as a basis for further operations.
			<b>&lt;Issues and countermeasures&gt;</b>  

## Notes:

1) "XX" in the Objectively Verifiable Indicators are to be determined by the RJCC based on the results of the baseline surveys.

2) A change in the targeted borders for each activity should be made by the RJCC.

## Revised Project Design Matrix

**Project Title:** Project on Capacity development for Trade Facilitation and Border Control in East Africa

**Version 1**

**Implementing Agency:** Revenue Authorities of each county of Burundi, Kenya, Rwanda, Tanzania, Uganda

**Dated July 2019**

**Target Group:** (Direct Beneficiary) Revenue Authorities of Burundi, Kenya, Rwanda, Tanzania and Uganda

(Indirect Beneficiary) Relevant border control agencies in the region, traders, and Customs clearing and forwarding agents (CCFAs) in the respective Partner States.

**Period of Project:** December 2017 to June 2021 (42 months in total)


**Project Site:** (1) Selected OSBP sites (Namanga, Rusumo, Malaba, and Gatuna/Katuna)

(2) Selected sections and offices of the Customs Administrations of the Revenue Authorities in East Africa (Burundi, Kenya, Rwanda, Tanzania, and Uganda).

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumption	Achievement	Remarks
<b>Overall Goal</b>					
Trade facilitation and enhanced safety and security is further promoted in East Africa.	<p>1. The number of OSBP(s) operated based on the EAC OSBP Procedures Manual equals or exceeds nine in the five participating Partner States.</p> <p>2. The cases in which smuggling has been detected are increased at the borders due to enhancement of customs surveillance capacity.</p>	<p>- Assessment report(s) and updates prepared by the EAC Secretariat (e.g., January 2019 report)</p> <p>- Detected cases of smuggling.</p>	The degree to which the various OSBPs are operated based on the Manual can be objectively determined.		
<b>Project Purpose</b>					
Efficiency of border procedures and capacity of border control are improved at the targeted borders in East Africa.	<p>1-1. The clearance time for cargo and people at the selected borders is reduced after OSBP operation by 30% for cargo and 20% for people (on average) compared to the situation before OSBP operation.</p> <p>1-2. The selected targeted OSBPs are operated based on the EAC OSBP Procedures Manual.</p> <p>1-3. The risk-based approach is further incorporated into border management procedures.</p> <p>1-4. The number/mechanism of intelligence information exchange for surveillance and enforcement purposes is increased.</p>	<p>- Time measurement surveys at the targeted borders (for cargo at Namanga, Malaba, and Gatuna/Katuna) and also for people at Gatuna/Katuna (there is no baseline data for people at Namanga or Malaba). Baseline and endline surveys were carried out at Rusumo during the previous trade facilitation project, and there are baseline surveys of cargo available for Malaba (conducted by other projects), although they have not necessarily covered all issues.</p> <p>- Reports on / assessments of the understanding and utilization of EAC OSBP Procedures Manual.</p> <p>- Questionnaire Survey</p> <p>- Questionnaires Survey</p>	<p>- The relationship between adjoining pairs of Partner States will remain amicable and no material adverse trade or other policies will be implemented.</p> <p>There will be strong, continuing political will among the EAC Partner States to impelment OSBPs at the selected borders.</p> <p>- Large-scale terrorist activities do not occur .</p>		
<b>Outputs</b>					
(1) OSBPs are operated in an efficient and regionally harmonized manner at selected land borders.	<p>1-1a. The number of evaluation/impact activities at the selected OSBPs through time measurement surveys / impact assessments (by this project) equals or exceeds a total of two.</p> <p>1-1b. The number of monitoring activities at the selected OSBPs through monitoring reports equals or exceeds eight.</p> <p>1-2. The number of officers and stakeholders trained or sensitized on the EAC OSBP Procedures Manual and related issues exceeds 800.</p> <p>1-3. The overall degree of understanding and utilization of the EAC OSBP Procedures Manual by the officers engaged in OSBP operations at the selected land borders equals or exceeds 70%.</p> <p>1-4. The lessons drawn from OSBP operationalization are taken into account with respect to implemenation of the EAC OSBP Procedures Manual and the EAC OSBP Training Curriculum.</p>	<p>- Time measurement surveys / impact assessments at the targeted OSBPs.</p> <p>- Monitoring reports at the targeted OSBPs.</p> <p>- Reports on the training and sensitization programs based on the EAC OSBP Procedures Manual</p> <p>- Reports on / assessments of the understanding and utilization of EAC OSBP Procedures Manual.</p> <p>- Compilation of lessons drawn in the operation of the selected OSBPs.</p> <p>- To the extent necessary, preparation of proposed supplement(s) to the EAC OSBP Procedures Manual and EAC OSBP Training Curriculum.</p>	<p>- This project conducted an endline survey at Namanga in February 2019, may conduct an endline survey at Malaba (depending on the necessity considering that two such surveys will be conducted by another development partner), and plans to conduct a baseline survey at Gatuna/Katuna (as well as an endline survey there, depending on implementation progress within the project period). - Two monitoring reports per year are envisaged at Namanga and Rusumo in 2019 and 2020.</p> <p>The degree to which the various OSBPs are operated based on the Manual can be objectively determined.</p>		

(2) The capacity of customs administrations for efficient and effective border control is enhanced.	2-1. The number of practical measures taken by the Partner States to further enhance the RM approach exceeds 15.	- Reports on Risk Management activities.			
	2-2. Trainees' overall ratings for understanding of the topics relating to RM exceeds 70%	- Survey Reports on understanding level of trainees.			
	2-3. The number of trainees that receive RM-related training, including the one conducted by Master Trainers (MTs) on Intelligence Analysis, exceeds 2000				
	2-4. The number of MTs developed on Post Clearance Audit exceeds 15.	PCA MTP Activity (workshop) report			
	2-5. Information exchange and/or joint inspection/operation activities are carried out at least once a month at the selected borders.	Bi-annual JBS/JWS monitoring report			

Activities	Inputs		Important Assumptions
	The Japanese Side	Burundi, Kenya, Rwanda, Tanzania and Uganda Sides	
<b>Activities for Output 1</b> <b><u>[Support efficient OSBP operation including Namanga and Rusumo]</u></b>  1-1. Select OSBP(s) (Malaba and Gatuna/Katuna) to be included in the project scope.  1-2. Establish performance indicators and monitor the operational status of OSBPs at Rusumo and Namanga and improve their procedures through time measurement surveys and other measures as necessary. 1-3. Survey the operational capacity of selected OSBP(s) (other than in Namanga and Rusumo) and extract challenges.  1-4. Organize joint border coordination committees and joint technical committees for efficient operationalization of selected OSBP(s). 1-5. Develop action plan to strengthen operational capacity at selected OSBP(s). 1-6. Implement the action plan and conduct time measurement surveys (and impact evaluation as necessary) at selected OSBP(s) to confirm the results of support and extract recommendations. <b>[Monitoring the Utilization of EAC OSBP Procedures Manual]</b> 1-7. Develop plan for utilization of EAC OSBP Procedures Manual at Namanga, Rusumo and selected OSBP(s) based on Activity 1-1.  1-8. Implement the plan developed in activity 1-7. 1-9. Draw lessons from OSBP operationalization and utilization of EAC Regional Procedures Manual at Namanga, Rusumo and the other selected OSBPs to reflect them into the Manual and EAC OSBP Training Curriculum.	<ul style="list-style-type: none"><li>- Expert<ul style="list-style-type: none"><li>- Chief Advisor</li><li>- Customs Policy</li><li>- Senior Relationship Management</li><li>- Monitoring and Evaluation</li><li>- Project Coordinator</li><li>- OSBP Operationalization (Expert team)</li></ul></li><li>- Training for counterpart personnel in Japan and/or third countries: As necessary.</li><li>- Machinery and equipment: As necessary</li><li>- Expense for local activities: Cost of training activities in EAC partner states. Cost of travel expenses for the experts, other necessary expenses for activities</li></ul>	<ul style="list-style-type: none"><li>- Allocation of Counterpart Personnel: Project Director (Head of each organization), Project Manager</li><li>- Office Environment: Project Director (Head of each organization), Project Manager</li><li>- Expense for Project activities: Necessary expenses including salary for C/P</li></ul>	<ul style="list-style-type: none"><li>- Travel authorization by the government is provided on time.</li></ul>

<div>Activities for Output 2</div> <div>[Enhancement of RM (may focus on capacity building on IPR enforcement, i.e. common issue raised in the RM recommendation)]</div> <div>2-1. Confirm current implementation and procedures of RM, identify capacity building needs, and assign focal person/group in charge at each partner state.</div> <div>2-2. Based on the identified needs through activity 2-1, conduct technical assistance paying due attention to avoid duplication of works with other related assistance, to improve RM.</div> <div>2-3. Monitor implementation status of RM (including the training delivered by MTs on Intelligence Analysis).</div> <div>[Enhancement of Post Clearance Audit (PCA) capacity]</div> <div>2-4. Confirm current capacity building needs on post clearance audit, and assign WG members for Master Trainer Programs on PCA at each partner state.</div> <div>2-5. Conduct technical assistance to develop pool of MTs on Post Clearance Audit.</div> <div>2-6. Monitor delivery level of training to be made by those MTs in each country as necessary.</div> <div>[Enhancement of Border control (including Program Global Shield (PGS))]</div> <div>2-7. Organize awareness raising and needs analysis activities on PGS.</div> <div>2-8. Based on the finding on activity 2-7, conduct training to improve customs control at the targeted border.</div> <div>2-9. Organize operations including the implementation of PGS and review operational result for further improvement.</div> <div>2-10: Conduct trainings for effective utilization of equipment which may be provided by Japanese grant aid.</div> <div>2-11. Monitor implementation status of Joint Border Surveillance/Joint Water Surveillance (JBS/JWS) which may include the effective utilization and maintenance of equipment which may be provided by Japanese grant aid</div>			<div>Pre-Conditions</div> <div>- Governmental agencies concerned with OSBP operation fully cooperate with one another.</div> <div>- Necessary facilities and soft infrastructure are installed to start OSBP operations.</div> <div>- Previous outputs of counterpart agencies are used as a basis for further operations.</div> <div>&lt;Issues and countermeasures&gt;</div> <div></div>

Notes:  
1)"XX" in the Objectively Verifiable Indicators are to be determined by the RJCC based on the results of the baseline surveys.  
2) A change in the targeted borders for each activity should be made by the RJCC.

## Revised Project Design Matrix

**Project Title:** Project on Capacity development for Trade Facilitation and Border Control in East Africa

**Version 2**

**Implementing Agency:** Revenue Authorities of each county of Burundi, Kenya, Rwanda, Tanzania, Uganda

**Dated December 2020**

**Target Group:** (Direct Beneficiary) Revenue Authorities of Burundi, Kenya, Rwanda, Tanzania and Uganda

(Indirect Beneficiary) Relevant border control agencies in the region, traders, and Customs clearing and forwarding agents (CCFAs) in the respective Partner States.

**Period of Project:** December 2017 to March 2022 (52 months in total)

**Project Site:** (1) Selected OSBP sites (Namanga, Rusumo, Malaba, and Gatuna/Katuna)

(2) Selected sections and offices of the Customs Administrations of the Revenue Authorities in East Africa (Burundi, Kenya, Rwanda, Tanzania, and Uganda).

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumption	Achievement	Remarks
<b>Overall Goal</b>					
Trade facilitation and enhanced safety and security is further promoted in East Africa.	<p>1. The number of OSBP(s) operated based on the EAC OSBP Procedures Manual equals or exceeds nine in the five participating Partner States.</p> <p>2. The cases in which smuggling has been detected are increased at the borders due to enhancement of customs surveillance capacity.</p>	<p>- Assessment report(s) and updates prepared by the EAC Secretariat (e.g., January 2019 report)</p> <p>- Detected cases of smuggling.</p>	The degree to which the various OSBPs are operated based on the Manual can be objectively determined.		
<b>Project Purpose</b>					
Efficiency of border procedures and capacity of border control are improved at the targeted borders in East Africa.	<p>1-1. The clearance time for cargo and people at the selected borders is reduced after OSBP operation by 30% for cargo and 20% for people (on average) compared to the situation before OSBP operation.</p> <p>1-2. The selected targeted OSBPs are operated based on the EAC OSBP Procedures Manual.</p> <p>1-3. The risk-based approach is further incorporated into border management procedures.</p> <p>1-4. The number/mechanism of intelligence information exchange for surveillance and enforcement purposes is increased.</p>	<p>- Time measurement surveys at the targeted borders (for cargo at Namanga, Malaba, and Gatuna/Katuna) and also for people at Gatuna/Katuna (there is no baseline data for people at Namanga or Malaba). Baseline and endline surveys were carried out at Rusumo during the previous trade facilitation project, and there are baseline surveys of cargo available for Malaba (conducted by other projects), although they have not necessarily covered all issues.</p> <p>- Reports on / assessments of the understanding and utilization of EAC OSBP Procedures Manual.</p> <p>- Questionnaire Survey</p> <p>- Questionnaires Survey</p>	<p>- The relationship between adjoining pairs of Partner States will remain amicable and no material adverse trade or other policies will be implemented.</p> <p>There will be strong, continuing political will among the EAC Partner States to impelment OSBPs at the selected borders.</p> <p>- Large-scale terrorist activities do not occur .</p>		
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(1) OSBPs are operated in an efficient and regionally harmonized manner at selected land borders.	<p>1-1a. The number of evaluation/impact activities at the selected OSBPs through time measurement surveys / impact assessments (by this project) equals or exceeds a total of two.</p> <p>1-1b. The number of monitoring activities at the selected OSBPs through monitoring reports equals or exceeds eight.</p> <p>1-2. The number of officers and stakeholders trained or sensitized on the EAC OSBP Procedures Manual and related issues exceeds 800.</p> <p>1-3. The overall degree of understanding and utilization of the EAC OSBP Procedures Manual by the officers engaged in OSBP operations at the selected land borders equals or exceeds 70%.</p> <p>1-4. The lessons drawn from OSBP operationalization are taken into account with respect to implemenattion of the EAC OSBP Procedures Manual and the EAC OSBP Training Curriculum.</p>	<p>- Time measurement surveys / impact assessments at the targeted OSBPs.</p> <p>- Monitoring reports at the targeted OSBPs.</p> <p>- Reports on the training and sensitization programs based on the EAC OSBP Procedures Manual</p> <p>- Reports on / assessments of the understanding and utilization of EAC OSBP Procedures Manual.</p> <p>- Compilation of lessons drawn in the operation of the selected OSBPs.</p> <p>- To the extent necessary, preparation of proposed supplement(s) to the EAC OSBP Procedures Manual and EAC OSBP Training Curriculum.</p>	<p>- This project conducted an endline survey at Namanga in February 2019, may conduct an endline survey at Malaba (depending on the necessity considering that two such surveys will be conducted by another development partner and the impact of COVID-19), and plans to conduct a baseline survey at Gatuna/Katuna (as well as an endline survey there, depending on implementation progress within the project period and the impact of COVID-19). - Two monitoring reports per year are envisaged at Namanga and Rusumo in 2019 and 2020.</p> <p>The degree to which the various OSBPs are operated based on the Manual can be objectively determined.</p>		

(2) The capacity of customs administrations for efficient and effective border control is enhanced.	2-1. The number of practical measures taken by the Partner States to further enhance the RM approach exceeds 15.	- Reports on Risk Management activities.			
	2-2. Trainees' overall ratings for understanding of the topics relating to RM exceeds 70%	- Survey Reports on understanding level of trainees.			
	2-3. The number of trainees that receive RM-related training, including the one conducted by Master Trainers (MTs) on Intelligence Analysis, exceeds 2000				
	2-4. The number of MTs developed on Post Clearance Audit exceeds 15.	PCA MTP Activity (workshop) report	- Nominated PCA WG members continue to participate in a series of activities		
	2-5. Information exchange and/or joint inspection/operation activities are carried out at least once a month at the selected borders.	Bi-annual JBS/JWS monitoring report			

Activities	Inputs		Important Assumptions
	The Japanese Side	Burundi, Kenya, Rwanda, Tanzania and Uganda Sides	
<b>Activities for Output 1</b> <b>[Support efficient OSBP operation including Namanga and Rusumo]</b>  1-1. Select OSBP(s) (Malaba and Gatuna/Katuna) to be included in the project scope.  1-2. Establish performance indicators and monitor the operational status of OSBPs at Rusumo and Namanga and improve their procedures through time measurement surveys and other measures as necessary. 1-3. Survey the operational capacity of selected OSBP(s) (other than in Namanga and Rusumo) and extract challenges.  1-4. Organize joint border coordination committees and joint technical committees for efficient operationalization of selected OSBP(s). 1-5. Develop action plan to strengthen operational capacity at selected OSBP(s). 1-6. Implement the action plan and conduct time measurement surveys (and impact evaluation as necessary) at selected OSBP(s) to confirm the results of support and extract recommendations. <b>[Monitoring the Utilization of EAC OSBP Procedures Manual]</b> 1-7. Develop plan for utilization of EAC OSBP Procedures Manual at Namanga, Rusumo and selected OSBP(s) based on Activity 1-1.  1-8. Implement the plan developed in activity 1-7. 1-9. Draw lessons from OSBP operationalization and utilization of EAC Regional Procedures Manual at Namanga, Rusumo and the other selected OSBPs to reflect them into the Manual and EAC OSBP Training Curriculum.	<ul style="list-style-type: none"><li>- Expert<ul style="list-style-type: none"><li>- Chief Advisor</li><li>- Customs Policy</li><li>- Senior Relationship Management</li><li>- Monitoring and Evaluation</li><li>- Project Coordinator</li><li>- OSBP Operationalization (Expert team)</li></ul></li><li>- Training for counterpart personnel in Japan and/or third countries: As necessary.</li><li>- Machinery and equipment: As necessary</li><li>- Expense for local activities: Cost of training activities in EAC partner states. Cost of travel expenses for the experts, other necessary expenses for activities</li></ul>	<ul style="list-style-type: none"><li>- Allocation of Counterpart Personnel: Project Director (Head of each organization), Project Manager</li><li>- Office Environment: Project Director (Head of each organization), Project Manager</li><li>- Expense for Project activities: Necessary expenses including salary for C/P</li></ul>	<ul style="list-style-type: none"><li>- Travel authorization by the government is provided on time.</li></ul>

<div>Activities for Output 2</div> <div>[Enhancement of RM (may focus on capacity building on IPR enforcement, i.e. common issue raised in the RM recommendation)]</div> <div>2-1. Confirm current implementation and procedures of RM, identify capacity building needs, and assign focal person/group in charge at each partner state.</div> <div>2-2. Based on the identified needs through activity 2-1, conduct technical assistance paying due attention to avoid duplication of works with other related assistance, to improve RM.</div> <div>2-3. Monitor implementation status of RM (including the training delivered by MTs on Intelligence Analysis).</div> <div>[Enhancement of Post Clearance Audit (PCA) capacity]</div> <div>2-4. Confirm current capacity building needs on post clearance audit, and assign WG members for Master Trainer Programs on PCA at each partner state.</div> <div>2-5. Conduct technical assistance to develop pool of MTs on Post Clearance Audit.</div> <div>2-6. Monitor delivery level of training to be made by those MTs in each country as necessary.</div> <div>[Enhancement of Border control (including Program Global Shield (PGS))]</div> <div>2-7. Organize awareness raising and needs analysis activities on PGS.</div> <div>2-8. Based on the finding on activity 2-7, conduct training to improve customs control at the targeted border.</div> <div>2-9. Organize operations including the implementation of PGS and review operational result for further improvement.</div> <div>2-10: Conduct trainings for effective utilization of equipment which may be provided by Japanese grant aid.</div> <div>2-11. Monitor implementation status of Joint Border Surveillance/Joint Water Surveillance (JBS/JWS) which may include the effective utilization and maintenance of equipment which may be provided by Japanese grant aid.</div>			<div>Pre-Conditions</div> <div>- Governmental agencies concerned with OSBP operation fully cooperate with one another.</div> <div>- Necessary facilities and soft infrastructure are installed to start OSBP operations.</div> <div>- Previous outputs of counterpart agencies are used as a basis for further operations.</div>
			<div>&lt;Issues and countermeasures&gt;</div> <div></div>

Notes:  
1)“XX” in the Objectively Verifiable Indicators are to be determined by the RJCC based on the results of the baseline surveys.  
2) A change in the targeted borders for each activity should be made by the RJCC.  
3) Due to COVID-19, the project period for the OSBP project component (Output 1) has been extended to March 2022