



Evaluation of EU support to the transport sector in Africa 2005-2013

**Final Report
Volume 2
Annexes 1.1-1.5 and 2.1-2.3
June 2016**

*Evaluation carried out on behalf of
the European Commission*

International Cooperation
and Development
EuropeAid



Framework Contract Lot 1: Multi-country evaluation studies of economic sectors/themes of EC external cooperation
Specific Contract N°2013/330827

Evaluation of EU Support to the Transport Sector in Africa 2005 – 2013

**This evaluation was commissioned by the Evaluation Unit
of the Directorate General for International Cooperation and
Development – EuropeAid (European Commission)**

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

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List of Acronyms

AITF	Africa Infrastructure Trust Fund
COMESA	Common Market for East & Southern Africa
CRIS	Common RELEX Information System
CSP	Country Strategy Paper
DAC	Development Assistance Committee (OECD)
DCI	Development Co-operation Instrument
EAC	East African Community
EC	European Commission
ECOWAS	Economic Community of West African States
EDF	European Development Fund
EU	European Union
IFS-RRM	Instrument for Stability - Rapid Reaction Mechanism
LAPSSET	Lamu Port Southern Sudan-Ethiopia Transport
MEDA	Euro-Mediterranean Partnership
NSAPVD	Non-State Actors and Local Authorities in Development
NIF	Neighbourhood Investment Facility
NIP	National Indicative Programme
SADC	Southern African Development Community
SBS	Sector Budget Support
SPSP	Sector Policy Support Programme
STABEX	Stabilisation of export earnings

Annex 1.1. Terms of reference



EUROPEAN COMMISSION

Directorate-General for Development and Cooperation — EuropeAid

Evaluation

**EVALUATION OF
THE EU SUPPORT TO TRANSPORT SECTOR
IN AFRICA
2005-2013**

TERMS OF REFERENCE

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1. MANDATE

Systematic and timely evaluation of its programmes and activities is a priority¹ of the European Commission, including legislation and other non-spending activities². Evaluation is key in accounting for management of the allocated funds, for informing decision making and for promoting a lesson-learning culture throughout the organisation. Focus on the **outcomes and impact** of European Union (EU) actions is of primary

¹ EU Financial regulation (art 27No 215/2008)

² SEC(2007)213 "Responding to Strategic Needs: Reinforcing the use of evaluation"

importance in the context of EU evolving cooperation policy and increasing emphasis has been placed on **result-oriented approaches**³.

The **Evaluation of the EU support to the Transport sector** is part of the **2013** evaluation programme as approved by the Commissioners for Development, and agreed by the Commissioners for Enlargement and European Neighbourhood, and the High Representative for Foreign Affairs and Security Policy.

The request for such an evaluation is based ;

- on the provisions contained in the Communication on Transport “promoting sustainable transport in development cooperation” of 2000⁴
- on the recommendation of the European Court of Auditors special report n°17 in 2012⁵
- on the Council Conclusions on the European Court of Auditors' Special report No 17/2012⁶ to conduct an evaluation on the results and development impact of the EU support to a sustainable road network in Sub-Saharan Africa.

2. OBJECTIVES

This evaluation seeks to be a lesson-learning and forward-looking exercise, as well as an accurate assessment of achieved results. It aims to assess and explain the results of EU's activities in the transport sector in partner countries in Africa. The identification of learning lessons will help the EU and notably the EC to understand what has and what has not worked, what has driven progress and what impedes it, to feed future programming and design of its transport policies.

To this extent objectives of the evaluation are:

- to identify **key lessons** in order to improve the current and future European Union's strategies, programmes and actions of the European Union external co-operation services.
- to provide the relevant external co-operation services of the European Union, members States, the EU Parliament and the wider public with an **overall independent assessment** of the European Union's past and current support to Transport in partner countries in Africa;

3. BACKGROUND

3.1 General context of EU cooperation in Transport Sector in Africa

The transport sector has been of continued importance within the EU global development strategy over the last decades.

The EU is one of the leading donors in the road sub-sector in Africa. Road transport is a focal sector for the EDF cooperation strategy with most sub-Saharan African countries. Financially, it is by far the most important sector, with about 7 400 million euro in EDF commitments made in this region over the period from 1995 to 2011. The EU is also

³ COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"

⁴ COM(2000) 422 final "promoting sustainable transport in development cooperation"

⁵ Special report n°17 – The EDF contribution to a sustainable road network in sub-saharan Africa - 2012

⁶ Council Conclusions 054/13 ACP

supporting the transport sector in the North of Africa (European Neighborhood South countries). Most of the interventions are funded the Neighborhood Investment Facility (NIF).

Transport infrastructures and services are considered essential for regional integration, economic growth, social development, effective public administration and security. In most of developing countries, roads are the dominant mode of passenger and freight transport, accounting for more than 80 % of total movements of goods and services, and transport needs are growing rapidly in parallel with the increase in population, urbanisation and trade.

Since the early 1990s, the EU has progressively moved from a project-based approach towards support to sector-wide strategies, as the most appropriate way to help sustainable development in the transport sector.

From early 2000s, the EU has more and more enhanced sector policy dialogue, support to transport sector reform, capacity building and institutional support. Sector Budget Support (SBS) has been introduced as well as the use of conditionalities to push for sector reforms. The main focus has been on network sustainability (maintenance and axle load control) and improved balance between national and rural roads.

Progressively, and especially during the 10th EDF period, the EU has developed the use of SBS, given more attention to other modes of transports and corridors and recently the development of blending.

The last strategic evaluation of EU interventions in the Transport Sector was published in 2004, it covered the period: 1995-2001. The evaluation found that progress has been made by the EU towards a sectoral approach in many ACP countries but that this progress was not sufficiently reflected in other regions. At that time, in several countries, it remained a lack of appropriate attention to institutional and legislative accompanying measures, as well as to the maintenance of existing infrastructure. Cross-cutting issues (CCI), such as environment, gender and safety, were not given enough attention.

The evaluation team recommended to:

- Broaden the approach to the sector in ACP countries to cover all modes and take a comprehensive view of the range of activities involved in each mode and consider a shift towards broader use of budget support in the sector.
- Promote the involvement of non-governmental stakeholders in design and implementation of transport policy and also in the programming and project cycle.
- Support the development of the private sector in transport related activities.
- Put sharper focus on the contribution of EU transport sector interventions to poverty reduction.

Based on the Agenda for Change priorities, focusing on inclusive economic growth, there will be a strong disengagement of the EU from the Transport sector in the current programming phase for the 11th EDF. While 35 countries had Transport sector as a focal sector in the 10th EDF, only 5 to 10 should have it as focal sector in the 11th EDF. The future cooperation in Transport sector should mainly be organised through the Regional Programmes, which would involve that the Policy dialogue on transport issues will move towards a regional perspective of transport networks (while interventions will still be conducted both at national and regional levels). In this new programming phase, the infrastructure should mainly be funded through blending.

The EU support to infrastructure in the transport sector is compliant with the Programme for Infrastructure Development in Africa, prepared by the African Union Commission, in partnership with the United Nations Economic Commission for Africa, African Development Bank and the NEPAD Planning and Coordinating Agency.

3.2 EU Policies in the transport sector

The EU strategy to support the Transport Sector in third countries is based on three key communications:

- Communication – 2000 – Promoting sustainable transport in development cooperation
- Communication – 2006 – Interconnecting Africa : the EU Africa partnership on infrastructure
- Communication – 2009 – Connecting Africa & Europe : working toward strengthening transport cooperation

Regarding aviation, the EU strategy is driven by the 2012 Communication “The EU's External Aviation Policy - Addressing Future Challenges”

In the Commission’s communication of July 2000, the EU reaffirmed the importance of transport as a priority area for intervention. It was stressed that reliable and sustainable transport plays a key role in access to basic social services, and that sectoral policies in transport are necessary to make it sustainable, and to keep it balanced in terms of social, economic and environmental requirements. The communication sets the principles that should guide cooperation with non-EU countries in the transport sector. It outlines a comprehensive sectoral approach for all transport modes and provides a strategy for the delivery of sustainable transport, meeting stakeholder needs, safe, affordable, and efficient, and having minimal negative impact on the environment.

The Communication stresses that:

- Creating sustainable transport in the developing countries depends on a commitment to reform the governance of the sector and affordable transport strategies. This means in particular that transport must receive a proper share of national budgets, which should give priority to maintenance.
- Greater transport efficiency relies on public-private partnerships with government taking a more supervisory and regulatory role.
- The free flow of transit traffic will contribute to integrating the developing countries into the world economy.
- Transport must be safe for all and provide mobility, equitable services and opportunities for men and women, particularly the poor.

The priority actions are for developing sound policies and affordable strategies; measures to restructure private and public transport agencies; and optimising existing transport systems

In the two following communications (2006 and 2009), transport is regarded as one of the four pillars of infrastructure (alongside water, energy and ICT). EU transport policy is to be understood as supporting the development objectives of the EU and the themes which

are emerging as part of those development objectives. EU development policy is re-orienting towards growth, investment and job creation, aiming at higher development impact and EU added value, thereby recognising the increasing importance of the private sector in development. For the transport sector, there is a need for a wider and deeper sector dialogue on issues such as sector governance, public finance management (PFM), working with the private sector, investment promotion and innovative sector/project financing, (road) safety and climate change mitigation. Other relevant documents from which these trends have developed are listed in Annex 1.

Sector dialogue is increasingly important as EU Member States have agreed to implement lead development partners (DPs) arrangements at the country and sector level. Division of Labour (DoL) is promoted through the adoption in May 2007 by the European Council of a Code of Conduct on complementarity and division of labour in development policy. The Code addresses the various dimensions of complementarity, including in-country complementarity and cross-country complementarity, lead DP arrangements and delegated co-operation. DEVCO and the delegations have assumed the role of lead Co-operating Partner in (road) transport in many Sub-Saharan Africa (SSA) countries.

3.3 Instruments and implementation

In Africa, over the 2005-2013 period, the transport sector has been funded through 5 main instruments and programmes:

1. The European Development Fund (EDF)

The EDF is by far the biggest means of financial support to partner countries in the transport sector. The 9th EDF ran from 2002 to 2006 and the 10th EDF from 2007 to 2013. The 9th and 10th EDF will therefore be the focus of most of the evaluation, together with overruns from 8th EDF.

The EDF is directed to ACP region (Africa, Caribbean and Pacific) and applies to 71 countries, among which are all African nations with the exception of the Mediterranean countries of Northern Africa.

From primary data extracted, more than €4.5 billion have been committed through the EDF, over the 2005-2013 period, to support the transport sector.

In addition, and among others funds, the 10th EDF funded the EU/Africa Infrastructure Trust Fund (AIF). The AIF is managed by the European Investment Bank (EIB), it targets cross-border and regional infrastructure projects in SSA since 2007. It channels grant resources from the EU and Member States in such a way that they can be blended with the lending capacity of the EIB and Member State development financiers.

2. Mediterranean Economic Development Area (MEDA) Programme – 2000-2006

The MEDA programme was the principal financial instrument for the implementation of the Euro-Mediterranean Partnership, offering technical and financial support measures to accompany the reform of economic and social structures in the Mediterranean partner countries. It was launched in 1996 (MEDA I) and amended in 2000 (MEDA II). MEDA programme has supported sustainable socio-economic development, notably through the upgrading of economic infrastructure, especially in the sectors of transport

From primary data extracted, around €45 million have been committed through the MEDA over the 2005-2006 period.

3. European Neighbourhood and Partnership Instrument (ENPI) – 2007-2013

The ENPI is the financial instrument that covers the ENP countries (South : *Algeria, Egypt, Israel, Jordan, Lebanon, Morocco, Palestine, Syria, Tunisia*, and North : *Moldova, Ukraine, Georgia, Armenia, Azerbaijan, Belarus and Russia*).

From primary data extraction, around €75 million have been committed through the ENPI to ENP South countries over the 2007-2013 period.

In addition, the ENPI funds the Neighbourhood Investment Facility. At the end-2012, the NIF has allocated almost € 200 million to Neighbourhood South countries for transport sector projects.

4. Financing instrument for development cooperation (DCI) - 2007-2013

DCI replaced in 2007, the range of geographic and thematic instruments created over time. It covers a programme of accompanying measures in favour of the 18 ACP Sugar Protocol countries. Over the 2007-2013 period, more than €30 million have been committed under DCI-SUGAR for SSA countries.

5. The Instrument for Stability (IfS) – 2007-2013

The Instrument for Stability supports measures aimed at re-establishing the conditions under which partner countries can pursue their long term development goals.

Over 2007-2013 period, around €10 million have been committed to SSA & South neighbourhood countries for supporting transport sector.

3.4 Key elements on the implementation

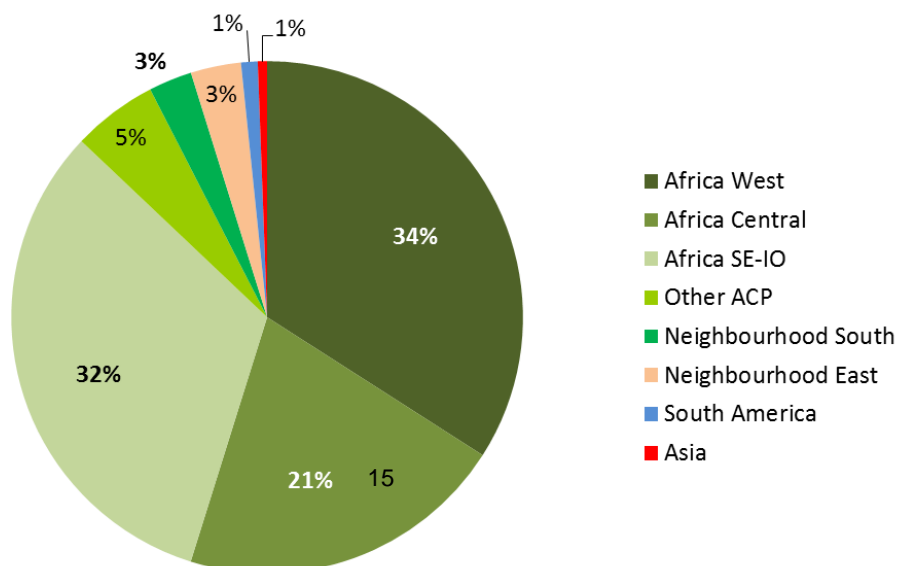
The transport sector is one of the main sectors in terms of funding for the EU cooperation over the last 10 years. It is characterized by a very high concentration of the funds in Sub-Saharan Africa region and on the road sub-sector.

3.4.1 Geographic perspective

Over the period 2005-2013, the EU cooperation has committed more than €5 billion in the Transport Sector through more than 240 decisions (*direct support only*). Over these €5 billion, 90% have been directed to Sub Saharan Africa (SSA) countries and Neighbourhood-South countries.

Graph : Geographic ventilation of EU direct support to Transport sector over the period 2005-2013 (Commitments)

source: CRIS June 2013, DEVCO analysis

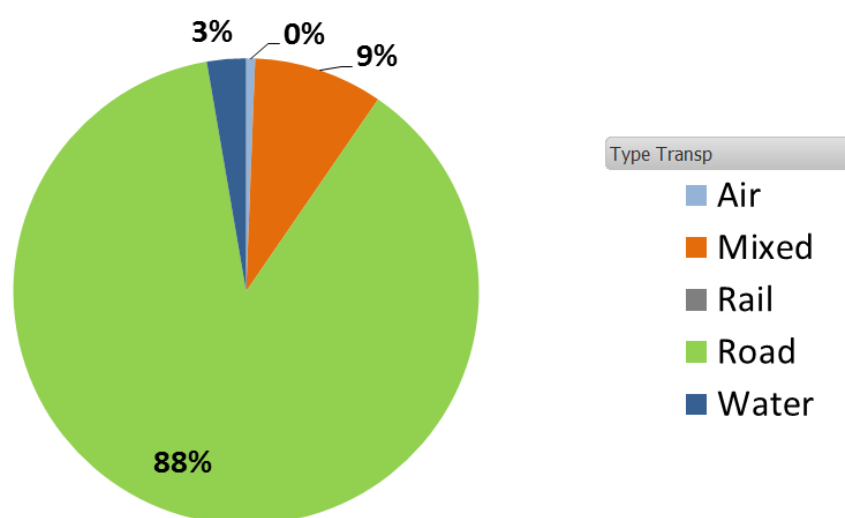


3.4.2 Thematic perspective

The transport sector covers several sub-sectors linked to transport modes (Road, Rail, Air, Maritime, Waterways). Over the last 10 years, about 90% of the EU direct support to transport sector in Africa has been directed to road sub-sector.

Graph : Thematic ventilation of EU direct support to Transport sector over the period 2005-2013 in Africa (commitments)

Note: 'Mixed' category covers interventions supporting several modalities of transport (Road, rail, water and air)



source: CRIS June 2013, DEVCO analysis

3.4.3 Approach & modalities

The Communication 2000 recommends that the EU support to transport sector adopt “a comprehensive sectoral approach that is valid for all transport modes as well as the services to facilitate movement of goods and people.” This involves that the support is directed both to investment in infrastructure and institutional support, adopting an approach that would consider the transport sector as a whole.

If the majority of EU interventions have been projects in road construction, most of them have included a substantial amount of Technical Assistance (TA) (studies, training and capacity building). The Technical Co-operation Facility (TCF) has also been extensively used in the transport sector to support the governments in defining their transport policies and managing their infrastructures.

The Sector Budget Support (SBS) has been, in several countries⁷, the chosen way of implementing the sector approach through programmes centred on policy dialogue. SBS programmes implemented have often only focused on roads, nevertheless, applying to the whole road networks in the countries concerned, it allowed a more integrated approach than previously, giving a complete picture of the network situation.

⁷ The main beneficiaries of SBS in transport sector have been Benin, Ethiopia, Madagascar, Malawi, Mozambique, Tanzania, Uganda and Zambia

In addition to direct support to transport sector, the EU has also provided General Budget Support. Countries receiving GBS will be important in this evaluation as, in several countries, transport sector performance is a condition for GBS transfers. Thus, GBS interventions being connected to the transport sector will be part of the scope of the evaluation.

Blending development : Since 2007 the EU-Africa Infrastructure Trust Fund (AITF) has been set up to strengthen interconnectivity across the African continent and its different regions, opening ways to new sources of funding by blending grants with long-term loans. It should allow leveraging the impact of funding and thus facilitating the implementation of bankable projects.

4. THE SCOPE AND PURPOSE OF THE EVALUATION

4.1 The legal, geographical, temporal and thematic scope

The evaluation will cover the EU's strategies and interventions in the support to the transport sector in Africa over the period 2005 – 2013.

This represents more than € billion euros of commitments directed to the support of the different transport modes.

Legal scope

The overall EU engagement in the support to transport sector should be taken into consideration including the legal instruments, communications, international agreements, the regional and national co-operation frameworks and any other official commitments.

Changes in the European Union's institutional set-up during the period, eg the creation of the European External Action Service (EEAS), should be taken into account.

Geographical scope

Over the € billion commitments, 87% have been directed to SSA and 3% to Neighbourhood-South, the other 10% having been directed to other part of the world not in the scope of the evaluation.

The support to transport sector has been concentrated mainly in African countries and regions, and the future cooperation in this sector should still focus on African countries. The evaluation will therefore focus on EU support to transport sector in Africa (SSA + Neighbourhood South).

The evaluation will include specific country case studies in 8 to 12 countries where field missions and more in-depth analysis will be conducted. These countries should illustrate different experiences in supporting transport in different contexts (fragile and non-fragile states, states with or without transport national strategy, landlocked and coastal states, with different instrument of cooperation: GBS - SBS - self-standing project – institutional support, with different modal split, ...). They will be selected during the inception phase in consultation with the Reference group with the view to maximise the lesson learning potential from the evaluation. The selection will be based on several criteria that will be defined taking into account : 1) Importance of EU support in the country; 2) learning potential; 3) Country coverage by earlier and on-going evaluations; 4) The political and economic context; 5) Cooperation mechanism and existence of budget support cooperation.

Type of interventions & funding mechanisms

The evaluation should cover all the interventions funded by the EU in the transport sector.

- All type of aid modalities should be covered, including General Budget Support (GBS) when transport sector performance is a condition for GBS transfers.
- All the interventions in the transport sector should be covered, spending and non-spending activities (i.e. : expert platform, Policy dialogue, etc.)
- All the funding mechanisms should be covered, notably the Infrastructure African Trust Fund (AITF) and the Neighborhood Investment Facility (NIF)
- All the level of interventions should be covered, notably the Regional projects and intra-ACP projects

Thematic scope

For the purpose of the evaluation, “transport” refers to infrastructure, services, traffic management and regulatory activities for all modes – road, rail, aviation, maritime and inland waterways and multimodality⁸.

Over the evaluation period, more than 90% of the EU support to transport sector has been directed to road sub-sector.

The road sub-sector should consequently represent the focus of the evaluation. Nevertheless, considering that,

- as mentioned in the Communication 2000, the support to transport sector has to adopt a “*comprehensive sectoral approach that is valid for all transport modes – roads, railways, air, maritime and waterway transport as well as the services to facilitate movement of goods and people.*”,
- the future support to transport sector should be more directed to the transport policy level and take more into account the different transport modes,

The evaluation should address the transport sector in its entirety, covering all transport modes and intermodal transport

The evaluation should also consider whether cross-cutting issues, particularly environment, safety/security and gender, were appropriately taken into account during programme planning and the extent to which they have been reflected in implementation.

Evaluation criteria:

The evaluation will use the five standard OECD/DAC evaluation criteria, namely – relevance, effectiveness, efficiency, impact and sustainability.

In addition, it should assess:

- the *added value of the European Union’s* interventions (at both the strategic and implementation levels);
- the *3Cs: coordination, complementarity*, of the European Union's interventions with other donors' interventions (focusing on EU Member States and the EIB); and *coherence* between the European Union's interventions in the support to transport

⁸ This evaluation is not directly concerned with international negotiations in fields such as satellite navigation and the opening up of airspace or airport landing slots

sector and other European Union policies and partner Governments' priorities and activities.

4.2 The evaluation purpose

The evaluation shall assess to what extent the EU assistance has been **relevant, efficient, effective and sustainable in providing the expected impacts** along with the **EU added value of interventions**. It should also assess the **coherence**⁹ with the relevant EU policies and the partner Governments' priorities and activities.

The evaluation shall lead to **conclusions** based on objective, credible, reliable and valid findings and provide the EU with a set of operational and useful **recommendations**, which should be expressed clearly enough to be translated into operational terms by the Commission, EEAS and Member States and to a least extent the EIB.

The evaluation should come to an **overall judgement** of the extent to which EU strategies and aid modalities have contributed to the achievement of the objectives and intended impacts, and what helped/hindered this contribution.

The evaluation should be **forward looking**, providing lessons and recommendations for the continued support to Transport Sector in particular as regards the key issues and fields of interests of EU services (cf section 5.2)

If available in time, the outputs (findings, conclusions and recommendations) will feed the formulation of 11th EDF Regional cooperation strategies and other relevant instruments that would finance transport sector (PaP, DCI, ENPI, AITF, ...)

4.3 The evaluation users

The evaluation should serve policy decision-making and programme management purposes. This requires addressing the principal concerns of the management in DEVCO, MOVE, EEAS, EIB and the EU Delegations in the countries covered by this exercise which are the main users. However, the evaluation should also generate results of interest to the European Parliament, the Council and the practitioners and experts as well as the governments and civil society in partner countries.

5. THE ASSIGNMENT: EVALUATION QUESTIONS & ISSUES OF INTEREST

5.1 Introduction to evaluation questions

The evaluation will be based on a set of evaluation questions which are intended to focus the evaluation work on a limited number of key issues. Evaluators will identify the evaluation questions building upon the purpose and scope of the evaluation (section 4); the intervention logic; the inventory and the issues of interests collected from EU services represented in the Reference Group.

An indicative list of issues of interest is available in this section¹⁰. It is expected from the evaluation team to use these issues in the design of the evaluation questions. The definition

⁹ Definition of Coherence: the extent to which the intervention logic is not contradictory/the intervention does not contradict other intervention with similar objectives

¹⁰ A further detailed indicative list of issues of interest is available in Annex 5

of the evaluation questions should be conducted by the evaluation team, during the inception phase, in cooperation with the Reference Group.

5.2 Supporting Transport Sector: Questions and issues of interest

As mentioned above, the following list is indicative and non-exhaustive. It should be completed together with key stakeholders during inception phase. It must be noted that the Reference Group expects the evaluation team to have a critical look on these issues of interest.

The issues (*indicated in italic and by an arrow*) have been organised around the evaluation criteria and the core questions linked to each criterion.

Relevance: To what extent are the strategy, resources and scope of EU interventions in transport sector an appropriate response to the needs and challenges in Africa given EU policies and priorities?

Coherence, complementarity, co-ordination: Has the EU support to transport sector been coherent, complementary and coordinated with other EU engagement, with Member States Engagement and other donors?

EU added value : What is the added value resulting from the EU support to transport sector compared to what could be achieved by other donors and notably Member States ?

⇒ *To what extent has the EU support to transport sector been appropriate in focusing its support on road transport mode as opposed to other modes of transport (rail, air, maritime, waterways) and multimodal?*

⇒ *Given the emergence of new donors in the support to the transport sector, what would be an appropriate positioning and focus for the EU in this sector in order to maximize its value added?*

Efficiency: Has the EU engagement been undertaken making optimal use of resources to with regard to effect on the changes sought? Why? What has helped or hindered? To what extent were the allocated resources (human, technical and financial) appropriate to deliver the sought objectives?

⇒ *How efficient is 'blending' as an instrument to support the transport sector? how efficient have been public-private partnerships to leverage more funds and gather skills for more effective and efficient transport? How efficient can blending be in reaching the poorest, notably in rural areas? How can blending be used to bring more change?*

Effectiveness: To what extent has the EU achieved its objectives? Why ? What has helped and what has hindered? To what extent have the approaches chosen been effective? Were the Legal Instruments 'fit for purpose'? Have the Cross Cutting Issues been taken into account ?

⇒ *How has the EU contributed to reduce price and improve quality of transport for the final beneficiaries? To what extent have the benefits of EU interventions been transferred to the end-users?*

⇒ *Given the intention to put more emphasis on EU engagement at regional level in transport sector, how effective has been the EU cooperation at regional level regarding transport facilitation?*

⇒ *To what extent has the EU contributed to better management (and notably maintenance) of the transport infrastructure through sectoral approach and institutional capacity building?*

Sustainability: Are the changes, which the EU has contributed to, sustainable? Why? what has helped/hindered?

⇒ *To what extent has the EU contributed to promote sustainable transport infrastructure in Africa through support to better governance of transport sector?*

Impact : What is the long term effect of EU engagement in the transport sector ?

⇒ *To what extent has the EU support to the transport sector contributed to greater economic integration and greater accessibility to social services for the poor?*

6. APPROACH AND METHODS: EVALUATION PHASES AND REPORTING

6.1 Approach and methods

Evaluations address both accountability and learning. The evaluation is expected to contribute to learning about the EU support to transport (approach, methods, delivery and results) and how it can be improved. Hence the evaluation team is expected to apply an **analytical approach** not only assessing the extent to which objectives have been reached but also **analysing the reasons and determining factors behind** the observed successes and failures. It is important to take into account the importance of context specific factors on the **EU's contribution to the observed changes/developments/trends**.

This approach needs to be balanced with the need to keep a level of coherence between the different case studies so as to facilitate the synthesis of the findings, conclusions, lessons and recommendations in the final report.

The overall methodology guidance is available on the web site of the Evaluation Unit under the following address:

http://ec.europa.eu/europeaid/how/evaluation/methodology/index_en.htm

The consultants are invited to critically use all the available literature/studies/results (partial or completed, official or unofficial) done so far on the subject if they consider it can be useful for the redaction of the report. A preliminary list of key documents is available in Annex 1. The team is also expected to make efficient use of the existing sets of indicators and highlight how EU should use them and if there are need for further improvements

6.2 Evaluation phases & deliverables

The evaluation will be divided in four phases – an Inception Phase, mainly devoted to structuring and fine-tuning the evaluation approach and methodology, a Desk Phase, focusing on gathering and analysing existing data and information (through literature/document reviews and interviews/focus groups); Field Phase, including preparation of field missions, visits to the case study countries and drafting of country notes, a Synthesis Phase, focusing on drafting the Final (synthesis) Report.

Deliverables in the form of reports¹¹ and slide presentations should be submitted at the end of the corresponding phases.

Evaluation Phases:	Methodological Stages:	Deliverables¹²:
1. <u>Inception phase</u>	<ul style="list-style-type: none"> Structuring of the evaluation 	➤ <i>Inception report</i>
2. <u>Desk phase</u>	Data collection Analysis	➤ <i>Desk report</i>
3. <u>Field phase</u> (Mission in the country)	<ul style="list-style-type: none"> Data collection Verification of the hypotheses 	➤ <i>Slide presentation + country notes</i>
4. <u>Synthesis phase</u>	<ul style="list-style-type: none"> Analysis Judgements 	<ul style="list-style-type: none"> ➤ <i>Synthesis note</i> ➤ <i>Draft final report</i> ➤ <i>Final report</i>

All reports will be written in **English**. The country notes should be written either in French or English. The reports must be written in Arial or Times New Roman minimum 11 respectively, single spacing. The inception, desk and draft final reports will be delivered only electronically. Final report will also be delivered in hard copies. The executive summaries in all languages required will be delivered separately in electronic form. The electronic versions of all documents need to be delivered in both editable and not editable format. The Final report will follow a standard model showing a photo proposed by the FWCOR and approved by the Contracting authority.

Regarding the meetings with the RG in Brussels, they will be attended at least by the team leader and one of the experts. Other experts will be available to be reached by phone.

6.2.1 *Inception phase*

The assignment will start with the Team leader's mission to Brussels for a half-day briefing session to discuss the main issues of the evaluation and the process aspects, including the timing and the scope.

¹¹ For each Report a draft version is to be presented. For all reports, the Framework contractor may either accept or reject through a *response sheet* the comments provided by the Evaluation manager. In the case of rejection the contractor must justify (in writing) the reasons for rejection. When the comment is accepted, a reference to the text in the report (where the relevant change has been made) has to be included in the response sheet.

¹² The contractors must provide, whenever requested and in any case at the end of the evaluation, the list of all document reviewed, data collected and databases built.

Then, the evaluation team will examine relevant key documentation on the past and current EU actions concerning Transport (including the relevant Communications, strategy documents, evaluations,...).

The Unit DEVCO/C6 will be responsible to provide all the basic missing data. The evaluation team will need to organize some individual interviews with key stakeholders to complete necessary information.

A half-day workshop with the Reference Group will be organized by the evaluation team in order to discuss the Intervention Logic and help defining the evaluation questions.

With the information obtained the consultants will produce a **draft inception report** to be delivered to the Evaluation Unit, including, as a minimum, the following elements:

- (1) The **inventory** will contain the complete overview of EU interventions (committed, contracted and disbursed amounts, and if possible : claims and other important obstacles like delays and additional costs) and their typology. This overview will also include all relevant Budget Support operations (both General budget support and Sector budget support). The related database will form integral part of the inventory. The main sources of information to build the inventory should be CRIS system and DEVCO Datawarehouse as well as interviews with C6 Unit. Contacts with DEVCO/C6 and EU Delegations could ease collecting information about claims and obstacles, if CRIS does not provide sufficient details.
- (2) The **intervention logic** of the EU aid to support Transport, by describing the strategy, its rationale, its logic and its connection with other policies. It is understood the evaluation team will develop this together with key stakeholders. The reconstructed logic of the EU intervention will be presented in both narrative and diagrammatic form;
- (3) A **preliminary set of evaluation questions (EQ)** together with judgement criteria for each EQ and provisional indicators for each of the proposed judgement criteria. The Evaluation questions, the Judgment criteria and the Indicators should provide a consistent logical chain describing how the EQ will be answered. The intervention logic will help to identify the main evaluation questions which should be presented with explanatory comments.;
- (4) A **set of rational criteria for selection of the field phase studies**. Upon the defined criteria, justify the **choice of a set of countries** covering the diversity of the EU interventions and context (fragile and non-fragile states, states with or without transport national strategy, landlocked and coastal states, with different instrument of cooperation: GBS - SBS - self-standing project – institutional support, with different modal split, ...) and of partners countries, which would be examined in detail during the desk phase. Out of this sample, at the end of the Desk phase, 8 to 12 countries will be selected for the field phase of the evaluation. A good balance between regions must be achieved. Regional and intra ACP projects must be taken into account. All the specific aspects of the intervention logic for each selected country are to be highlighted;
- (5) The **methodological tools of data collection** that will be used for the desk (including the "questionnaires", if foreseen) and the field phase; indicating any limitations and describing how the data should be cross-checked to validate the analysis. The consultants will also propose a list of activities/projects/programmes that could be retained for in depth analysis.

- (6) The **methods of analysis** of the information and data collected, again indicating any limitations.
- (7) The **approach to ensure quality assurance** throughout the different phases of the evaluation;
- (8) A **detailed work plan**, specifying the organisation and time schedule of the evaluation process;

The Contractor will present the *Inception Report* to the Evaluation Unit. The Reference group will comment on the *Inception Report* and validate the Evaluation Questions.

Following comments on the draft inception report (see section 7) and from the Evaluation Unit, the evaluators will present **the final inception report**. The final version of the *Inception Report* shall be formally approved by the Evaluation Unit before initiating the desk phase.

6.2.2 Desk phase

Upon approval of the *Inception Report*, the team of consultants will proceed to the Desk Phase of the evaluation.

The desk report takes up the points dealt with in the inception report and goes into as much detail as necessary. In this stage, consultants are asked to:

- (1) Present the final set of **evaluation questions** along with appropriate **judgement criteria** and relevant quantitative and qualitative **indicators**;
- (2) Present the methodology for **data and information collection and their limitations** both for the Desk phase and for the Field phase;
- (3) Present the **methods of analysis** of the information and data collected in order to draw findings enabling to draw general conclusions; due to the difficulty of this exercise any limitation should be made explicit;
- (4) Present the way to come to **judgements** that directly relate to the judgement criteria, though adaptable should the field findings require doing so;
- (5) Present the **preliminary findings related to the evaluation questions** and the first hypotheses to be tested in the field based on the specific methods identified in the *Inception Report*;
- (6) Present the set of **8 to 12 countries and selection criteria, methodology and tools for the field phase**

A **desk phase report** should be prepared at the end of the phase to be submitted to the Evaluation Unit and discussed with the Reference Group.

6.2.3 Field phase

Following satisfactory completion of the inception phase and formal acceptance of the Inception report, the Evaluation Team shall start preparing the field missions. The fieldwork, the duration of which shall be cleared with the Evaluation Unit and the Reference Group, shall be undertaken on the basis set out in the inception report and agreed with the Evaluation Unit and the Reference Group. If during the course of the field phase any significant deviations from the agreed methodology or schedule are perceived as

being necessary, these should be explained to the Evaluation Unit and the Reference Group. They should be formally approved by the Evaluation Manager.

At the conclusion of each of the field missions the team should give a detailed on-the-spot de-briefing to the EU Delegation and relevant stakeholders to validate the data and information gathered.

At the conclusion of each field mission the team will proceed to prepare brief **country notes**, for each of the country case studies, for delivery to the Evaluation Unit no later than ten working days after returning from the field (see annex 2 for an outline structure of the notes). These notes (which will appear in annex to the final report) should be written in the *predominant working language* of the Delegation in the country concerned (*French or English*).

When all field missions have been conducted, and before the start of the synthesis phase, the Evaluation Team should prepare a **synthesis note**, summarising the data and information collected and presenting the basis for preliminary findings. This note should also account for the information gathered during the desk phase. The note should be succinct and mainly constitute a basis for a Reference Group meeting to prepare the synthesis phase. The note will not be published as a self-standing deliverable.

The Evaluation Team should also present a proposed **table of content and structure for the final report**, based on the structure set out in Annex 3, to be agreed with the Evaluation Unit and the Reference Group.

For the purpose of the Offer, the Framework contractors will make an assumption of 12 missions. If fewer countries are visited, only costs related to the visit countries are eligible for payment. The per diem will be adapted to the visited countries.

6.2.4 Synthesis phase and final report

The Evaluators will submit a **first draft final report**, in accordance with the agreed time schedule, and agreed structure, taking due account of comments received during de-briefings and earlier meetings with the Reference Group. It should be noted that the report should include **answers to the evaluation questions**, and also **an overall assessment** – on the basis of these answers – of the EU performance, approaches and strategies to support transport sector.

On acceptance, the first draft final report will be circulated for comment to the Reference Group in Brussels, which will discuss it in the presence of the Evaluation Team during a specific meeting.

On the basis of comments received from the Evaluation Unit, the Evaluation Team should make the appropriate amendments and present a **second draft final report**. The Evaluation Unit shall within two weeks provide the comments. On the basis of the comments received the Team will prepare the **final version**, in accordance with the agreed time schedule.

The evaluators may either accept or reject the comments made, but in case of rejection they shall motivate and explain their reasons in writing.

The final report (as well as previous reports and notes) must be of very high quality, the written quality in the reports and notes must be outstanding. It is important that the findings of the country case studies are effectively used when drafting the final report. The final report should clearly account for the observations and evidences on which findings are made so as to support the reliability and validity of the evaluation. The report should reflect a rigorous, methodical and thoughtful approach. See Annex 4 for further

information on the quality standards. The findings, analysis, conclusions and recommendations should be thorough and the link between them should be clear.

The recommendations should be concrete and realistic and presented in a logical structure following on their importance and level of details.

The final version of the final report shall be presented in a way that enables publication without further editing and should be readable by different kind of audience.

The final version of the *Final Report* shall be presented in a way that enables publication without any further editing.

6.2.5 Seminar

The final report will be presented by the team at a one day seminar in Brussels. The purpose of the seminar is to present the results, the conclusions and the recommendations of the evaluation to all main stakeholders concerned. The seminar will be attended by the Evaluation Team Leader and at least one other expert.

The Evaluation Team shall prepare a presentation (Power point) for the seminar. This presentation shall be considered as a product of the evaluation in the same way as the reports and the data basis. For the seminar 60 copies of the report and 10 reports with full printed annexes have to be produced.

The contractor shall submit minutes of the seminar; these minutes as well as the updated slide presentation will be included as an annex of the Final Report. The seminar logistic aspects (room rental, catering etc.) may be contracted later, as part or not of the Specific contract for the present evaluation.

7. RESPONSIBILITY FOR MANAGEMENT OF THE EVALUATION

The primary responsibility for the management and the supervision of the evaluation will rest with the Evaluation Unit at DEVCO. The evaluation manager (EM) and first point of contact will be *Mr Charles RAUDOT de CHATENAY*.

The evaluation manager will provide a pivotal role in facilitating the quality assurance process and ensure that evaluation is undertaken in accordance to EU methods. He will be responsible of the organisation and serve as principal liaisons with EU relevant services.

The progress of the evaluation will be followed closely by a **Reference Group** consisting of members of all concerned services in the EU cooperation services, under the Evaluation Unit's chairmanship.

Its principal functions will be to:

- advise on the scope and focus of the evaluation and the elaboration of the terms of reference;
- ensure the evaluation team has access to and consults all information sources and documentation
- discuss and comment on the quality of work done by the evaluation team
- provide feedback on the findings, conclusions and recommendations of the evaluation

A participatory approach, involving a broad range of stakeholders, will be taken all along the evaluation process.

8. EVALUATION TEAM

This evaluation is to be carried out by a multi-disciplinary team with **advanced knowledge and experience in development co-operation, transport sector and related sectors and sub-sectors** as well as **familiarity with European Union policies and approaches**.

The evaluation team is expected to demonstrate expertise and experience in:

- **Evaluation methods and techniques in general, including theory of change and contribution analysis** and particularly, of complex evaluation at a strategic level in the field of development cooperation. Experience in evaluating budget support operations will be also considered an advantage.
- **The Commission's evaluation approach and process** – it is highly desirable that at least one member of the team is familiar with the EU evaluation approach (*cf. Evaluation Unit's website: http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm*).
- **The EU's modus operandi** – at least one member of the team should be (1) familiar with the process of EU programming and implementation, and (2) thorough knowledge of EU institutions, principles and mechanisms of external policies
- The following technical fields :
 - **Transport economics,**
 - **Transport infrastructure and operations,**
 - **Transport policy and management, as well as institutional issues**
 - Political economy and governance,
 - Country strategy analysis,
 - Macroeconomics,
 - Environmental assessment, Private sector development, social development,
 - Capacity building,
 - and aid modalities including **budget support and blending mechanisms**
- Substantial experience of some experts in transport development projects in Africa will be an advantage.
- Experience in the different Africa regions / countries will be appreciated.
- Experience in evaluating budget support operations will be also considered an advantage.

The team leader, expert of category senior, must possess demonstrated capacity for strategic thinking, and expertise in **one or more of the above mentioned transport related technical fields in bold**. He must have a **proved experience in DEVCO evaluation methodology** for complex evaluation.

The team leader should be an experienced, senior expert with proven leadership skills, including good experience in group facilitation and proven high standards of report writing and editing skills. At least one other member of the team should be a category Senior expert.

The composition of the team should reflect the focus of the evaluation and cross-cultural experience in development. The Evaluation Unit strongly recommends that consultants from beneficiary countries are employed (particularly, but not only, during the Field Phase).

Consultants should possess an appropriate training and documented experience **in evaluation methods and techniques for complex evaluation** and of evaluation in the field of external relations and development cooperation.

The team should demonstrate to have understood the intellectual challenges of this strategic evaluation. The team composition should be justified and the team coordination should be clearly described. A **breakdown of working days** per expert should be provided.

The team will have **excellent English writing and editing skills**. At least one team member should be proficient in **French**.

The Contractor remains fully responsible for the quality of the report. Any report which does not meet the required quality will be rejected.

The minimum required skills are indicated **in bold**^[1].

The Evaluation Unit may contact any proposed expert(s) by telephone during the offers' evaluation and interview him/her.

Regarding conflict of interest, proposing experts who have been involved in the design of programme/projects covered by this evaluation should be minimized and preferably avoided. An expert will not be authorized to participate to the field visits to the country(ies) where he/she designed a project. In case of doubt, please contact the Evaluation Unit before submitting the offer. Should a conflict of interest be identified in the course of the evaluation, it should be immediately reported to the evaluation manager for further analysis and appropriate measures.

9. TIMING

10.

The project implementation is due to start in November 2013. The expected duration is of 18 months. As part of the methodology, the framework contractor must fill-in the timetable in the Annex 4.

^[1] In their absence, the 80 points threshold of the selection process may not be reached

11. OFFERS FOR THE EVALUATIONS

The offer will be itemised to allow the verification of the fees compliance with the framework contract terms as well as, for items under *h* to *k* of the contractual price breakdown model, whether the prices quoted correspond to the market prices.

For the purpose of the Offer, the Framework contractors will make an assumption of 12 missions. If fewer countries are visited, only costs related to the visit countries are eligible for payment. The per diem will be adapted to the visited countries.

The offer will be written in English, (font Times New Roman 12 or Arial 11), single spaces. The Total length of sections 2, 3 and 4 of the technical offer (Framework contract, Annexe 1, section 10.3. b) should not exceed 20 pages.

The offer will follow the guidance set out in the Framework contract. The following additional information is also provided. The offer should address:

- (1) A clear understanding of the overall scope of the evaluation in your own words, and its key implications for your offer
- (2) The relevance of the skills and experience of the proposed team for the evaluation
- (3) The approach
 - Stakeholder engagement – identify the ways in which you propose to engage with EU stakeholders over the course of the evaluation
 - Methodological aspects – outline of design of the evaluation, analytical and data collection methods proposed and justification. Attention should also be given to (i) how you propose to construct intervention logics and why you choose your proposed way (ii) how you propose to use the field visits
- (4) Organisation
 - Set out the schedule for the evaluation
 - Identify the elements in the quality control you will provide

*Nota Bene : A draft set of evaluation questions should **not** be included in the offer*

The offer evaluation criteria are :

Experts/Expertise	
Team Leader	15
Other Experts	25
Team: distribution of expertise and tasks across the team	10
<i>Sub-total</i>	50
Organisation and Approach	
Understanding of the ToR	10
Approach	30
Schedule	5
Quality control	5
<i>Sub- total</i>	50
Total score	100

12. ANNEXES

The contracting authority reserves the rights to modify the annexes without prior notice.

Annexes:

Annex 1. Key references for the evaluation

Annex 2. Guidance on the country notes for the country case studies

Annex 3. Outline Structure of the Final Evaluation Report

Annex 4. Quality Grid

Annex 5. Additionnal list of issues of interest

Annex 1.2. List of documentation

Indicative list of documentation for this mandate

EC Policy Directives and guidance documents (chronological order)

- European Commission (1991) The Integration of Women in Development: Why, When and How to Incorporate Gender into Lomé IV projects and programmes. DG for Development. 11/91.
- European Commission (1993) Environmental manual: environmental procedures and methodology governing Lomé IV development cooperation projects: user's guide and sectoral environmental assessment sourcebook, Directorate – General for Development, Forward Studies and Planning division
- European Commission (1994) Evaluation of the transport sector, Directorate-General for Development, Evaluation Unit, VIII(387/94-EN
- European Commission (1996) Transport sector guidelines. Towards sustainable Transport Infrastructure - A sectoral approach in practice. European Commission Directorate-General for Development, July 1996.
- European Commission (2001) Programming Guidelines for the Transport Sector for the 9th EDF. European Commission Directorate-General for Development, 2001.
- European Commission (2002) Guidelines for European Commission Support to Sector Programmes, February 2003, Version 1.0
- European Commission (2000) Promoting sustainable transport in development cooperation, COM(2000) 422 final
- European Commission (2004) Aid Delivery Methods, Volume 1, Project Cycle Management Guidelines. EuropeAid Cooperation Office, March 2004
- European Commission (2004) Guidelines on Principles and Good Practices for the Participation of Non-State Actors in the development dialogues and consultations. EC DG Development, November 2004.
- European Commission (2005) Strategy for Europe: Towards a Euro-African pact to accelerate Africa's development COM(2005) 489 final
- European Commission (2006) Inter-connecting Africa: The EU African Partnership on Infrastructure, COM(2006) 376 final
- Joint declaration by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission on the development policy of the European Union (2006) "The European Consensus", Official Journal C 46 of 24.2.2006.
- European Commission (2007) EU Code of Conduct on Division of Labour in Development Policy, COM(2007) 72 final
- European Commission (2007) Guidelines No 2 - Support to Sector Programmes Covering the three financing modalities: Sector Budget Support, Pool Funding and EC project procedures, July 2007
- European Commission (2008) Reforming Technical Cooperation and Project Implementation Units for External Aid provided by the European Commission - A Backbone Strategy, July 2008.
- European Commission (2008) Handbook for Results-Oriented Monitoring of EC External Assistance (projects and programmes). EuropeAid Co-operation Office, April 2008
- European Commission (2008) Programming Guide for Strategy Papers. Programming Fiche Transport, November 2008
- European Commission (2009) Partnership between the European Union and Africa - Connecting Africa and Europe: working towards strengthening transport cooperation, COM (2009) 0301 final.

- European Commission (2009) 10th European Development Fund (EDF) Programming Orientations National and Regional Programming. EC DG International Cooperation and Development, 1 January, 2009.
- Council of the European Union (2011) Council Conclusions: Financing for development and aid effectiveness: delivering more, better and faster. Council Conclusions 3124th FOREIGN AFFAIRS Development Council meeting, Brussels, 14 November 2011.
- European Commission (2011) White Paper on Transport: “Roadmap to a Single European Transport Area – Towards a competitive and resource efficient transport system”, COM(2011) 144 final
- European Commission (2011) Increasing the impact of EU Development Policy: an Agenda for Change, COM (2011) 637 final
- European Commission (2011) The Future Approach of EU Budget Support to Third Countries, COM(2011) 638 final
- European Commission (2012) Budget Support Guidelines: Executive Guide A modern approach to Budget support, September 2012”. EuropeAid Development and Cooperation Directorate-General European Commission Brussels, September 2012
- Council of the European Union (2012) Council conclusions ‘The Future Approach to EU Budget Support to Third Countries’ 3166th FOREIGN AFFAIRS Council meeting, Brussels, 14 May 2012
- European Commission (2012) The EU's External Aviation Policy - Addressing Future Challenges, COM(2012) 556 final.
- European Commission / EEAS (2012) Instructions for the Programming of the 11th Development Fund (EDF) and the Development Cooperation Instrument (DCI) -2014-2020. Brussels, 15 May 2012
- Partnership agreement 2000/483/EC between the members of the African, Caribbean and Pacific Group of States of the one part, and the European Community and its Member States, of the other part, signed in Cotonou on 23 June 2000 and revised in 2005 and 2010.
- Organisation for Economic Co-operation and development (OECD) (2005/2008) The Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008)

Institutional

- Joint Statement on Support to Africa Infrastructure in Times of Crisis (2005)
- Africa – ICA (2006) of infrastructure projects and programmes in Africa
- EU-Africa Infrastructure Trust Fund (AITF) (2009)
- Programme for Infrastructure Development in Africa (PIDA) (2010)

Country and regional strategy papers (CSP/NIP, RSP/RIP)

- Country Strategy paper and National Indicative Programme on Algeria (2007 – 2013)
- Country Strategy paper and National Indicative Programme on Angola (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Angola (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Benin (2002 – 2007)
- Country Strategy paper and National Indicative Programme on The Republic of Benin – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on The Republic of Botswana – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on The Republic of Botswana (2008 – 2013)
- Country Strategy paper and Indicative Programme on Burkina Faso – European Community (2001 – 2007)
- Country Strategy paper and National Indicative Programme on Burkina Faso – European Community (2008 – 2013)
- Country Strategy paper on the Cooperation Between Cameroon and The European Community (2001 – 2007)

- Country Strategy paper and National Indicative Programme on The Republic of Cameroon – European Community (2008 – 2013)
- Country Strategy paper on the Co-operation Cape Verde – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Cape Verde – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Central Africa Republic – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation Central Africa Republic – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on The Republic of Chad – European community (2001 – 2007)
- Country Strategy paper and National Indicative Programme on The Republic of Chad – European community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on The Democratic Republic of Congo – European community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Congo – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Congo – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Djibouti – European Community (2008 – 2013)
- Country Strategy paper on Co-operation Egypt – European union (2007 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Eritrea – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation Ethiopia – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Gabon – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation Gabon – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation The Gambia – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Gambia – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on The Republic of Ghana – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Ghana – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on Co-operation Guinea-Bissau – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation Guinea-Bissau – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Ivory Coast – European Community (2008 – 2013)
- Country Strategy Paper on Kenya – European community (2002 – 2007)
- Country Strategy paper and Indicative Programme on Co-operation Kenya – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on Co-operation The Kingdom of Lesotho – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Kingdom of Lesotho – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on Co-operation Liberia – European Community (2008 – 2013)

- Country Strategy paper and Indicative Programme on Co-operation The Republic of Madagascar – European Community (2002 – 2007)
- Country Strategy paper and Indicative Programme on Co-operation Malawi – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Malawi – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Mali – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on Co-operation Mauritius – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Mauritius – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Mozambique – European Community (2001 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Mozambique – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on Co-operation Namibia – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Namibia – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation The Federal Republic of Nigeria – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on Co-operation The Republic of Rwanda – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Rwanda – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation SÃO TOME and Príncipe – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Democratic Republic of SÃO TOME and Príncipe – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on Co-operation Senegal – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Senegal – European Community (2008 – 2013)
- Country Strategy paper and Indicative Programme on Co-operation Seychelles – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Seychelles – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Sierra Leone – European Community (2003 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation Sierra Leone – European Community (2008 – 2013)
- EU Joint Strategy Paper on Somalia (2008 – 2013)
- Country Strategy paper and Multi-annual Indicative Programme on Co-operation South Africa – European Community (2002 – 2005)
- Joint Country Strategy Paper on Co-operation South Africa – European union (2007 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Swaziland – European Community (2001 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The kingdom of Swaziland – European Community (2008 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation The United Republic of Tanzania – European Community (2001 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The United Republic of Tanzania – European Community (2008 – 2013)

- Country Strategy paper and National Indicative Programme on Co-operation Tunisia – European Community (2007 – 2013)
- Country Strategy paper and National Indicative Programme on Co-operation Uganda – European Community (2002 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation The Republic of Uganda – European Community (2002 – 2007)
- Country Strategy paper and Indicative Programme on Co-operation Zambia – European Community (2001 – 2007)
- Country Strategy paper and National Indicative Programme on Co-operation Zambia – European Community (2008 – 2013)
- Regional Integration Strategy Paper For West Africa 2011 – 2015 Regional Departments – West (Orwa/Orwb), Regional Integration And Trade Department (Onri), African Development Bank (2011)
- Regional Strategy Paper And Regional Indicative Programme West Africa – European Community (2008 – 2013)
- Document De Stratégie De Coopération Régionale Et Programme Indicatif Regional Région De L’Afrique Centrale – Communauté Européenne (2002 – 2007)
- Document De Stratégie De Coopération Régionale Et Programme Indicatif Regional Région De L’Afrique Centrale – Communauté Européenne (2008 – 2013)
- Regional Strategy Paper And Regional Indicative Programme Region Of Eastern And Southern Africa And The Indian Ocean – European Community (2002 – 2007)
- Regional Strategy Paper And Regional Indicative Programme Region Of Eastern And Southern Africa And The Indian Ocean – European Community (2008 – 2013)
- Regional Strategy Paper And Regional Indicative Programme Southern African Region – European Community (2002 – 2007)
- Regional Strategy Paper And Regional Indicative Programme Southern African Region – European Community (2008 – 2013)
- Regional Strategy Paper And Regional Indicative Programme The Euro-Mediterranean Partnership, European Neighbourhood And Partnership Instrument (ENPI) – European Community (2007 – 2013)

Joint Annual Reviews/Reports of EU cooperation

- Annual Report Cooperation Between The European Union and the United Republic of Tanzania (2004)
- EU Joint Annual Report on Liberia, European Commission (2004)
- EU Joint Annual Review European Commission on Democratic Republic of the Congo (2004)
- Joint Annual Report on the Implementation of the ACP-EU Conventions and other Co-operation Activities, Co-operation between The European Union and The Republic of Malawi (2004)
- Joint Annual Report Co-operation Between The European Union and The Republic of Zambia, On the Implementation of The ACP-EU Conventions and Other Co-operation Activities (2004)
- EU Joint Annual Review European Commission on Burkina Faso (2005)
- EU Joint Annual Review on Cameroon (2005)
- EU Joint Annual Review European Commission on Central Africa Republic (2005)
- Joint Annual Report on Co-operation between The European Union and The Kingdom of Lesotho (2005)
- Joint Annual Report on the Implementation of the ACP-EU Conventions and other Co-operation Activities, Co-operation between The European Union and The Republic of Malawi (2005)
- Joint Annual Report Co-operation Between The Republic of Sierra Leone and The European Commission (2005)
- Joint Annual Report Swaziland – European Community (2005)
- Joint Annual Report European Commission - Zimbabwe (2005)

- EU Joint Annual Review European Development Fund on Benin (2006)
- EU Joint Annual Review European Commission on Burundi (2006)
- EU Joint Annual Review European Commission on Congo Brazzaville (2006)
- EU Joint Annual Report on the Implementation of the ACP-EU Conventions and other Co-operation Activities on Ethiopia (2006)
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Annex 1.3. Persons consulted

Persons consulted at EU Headquarters

Name	Unit/Organization
Charles Raudot Genet de Chatenay	DEVCO 06 Evaluation Unit
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Persons consulted during the field phase

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Marc GRECHI	Sogea-Satom, Directeur Général
Jean Claude ATANGA BIKOE	Fonds Routier, Administrateur
GODJE	MINTP, Directeur des Autres Travaux d'Infrastructure
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Ahmadou SADOU	MINT, Inspecteur des Services
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THIENEHOM	SECURROUTE, Membre
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DRC

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Ethiopia

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Eskindir Mohammed	ERC, Contract Administration Team Leader
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Sisay Woldetensay	AfDB, Country Program Officer
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Berhanu Lakew	DFID, Economist
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Bart Minten	IFPRI, Leader Ethiopia Strategy Support Program (ESSPII)
Mengistu Alie	GET-AS, Marketing Director GET-AS International PLC (Transport Unit)
Tadele Assefa	GET-AS, Deputy Chief Director GET-AS International PLC (Transport Unit)
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Madagascar

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M. TABET Ali	Directeur Général des Transports Terrestres, Ministère du Tourisme, des Transports et de la Météorologie (MTTM)
M. Cyprien VELONTSARAFENO	Directeur des Transports Ferroviaires, MTTM
M. Jacky RAMBELONTSALAMA	Administrateur Délégué du réseau National des Chemins de Fer Malagasy (RNCFM), MTTM
M. RAMANIMISATA Jean Pascal	Directeur Général de l'Autorité Routière de Madagascar (ARM)
M. RAJAONARISOA Ravomahatratra	Chef de Division Gestion du Réseau, Direction Technique, ARM
M. RANDIMBY Nirina Benitany	Secrétaire Général du Fonds d'Entretien Routier (FER)
Mme RAZAFINIAINA Tiana	Directeur Technique, FER
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Mme Henriette HANTAMALALA	Présidente de l'Association Régionale des PME du Secteur BTP, Région Analamanga
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Morocco

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Jamal RAMDANE	Directeur	Direction de Stratégie, des Programmes et de la Coordination des Transports
Hicham Abdelaziz MOUMNI	Directeur Adjoint	Direction de Stratégie, des Programmes et de la Coordination des Transports
Zahra OUACIFI	Chef de Division de la Coordination	Direction de Stratégie, des Programmes et de la Coordination des Transports
Halima LESSIQ	Chef de service	Direction de la Stratégie, des Programmes et de la Coordination des Transports

Nom	Fonction	Organismes
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Nabil LAKHEL	Directeur	Direction du Transport Aérien
Zakaria BELGHAZI :	Directeur	Direction de l'Aviation Civile
Mohamed EL MTIOUI	Chef de Division	Direction de l'Aviation Civile
Lahcen AIT BRAHIM	Directeur	Direction des Routes
Mohammed BEJRHIT	Directeur Adjoint	Direction des Routes
Abdelouahed BOUDDLAL	Chef de l'Unité de Gestion du Programme PNRR2	Direction des Routes
Mohamed QACHAR	Chef de la Division des Affaires Techniques	Direction des Routes
Said EL KARKOURI	Chef de la Division Exploitation	Direction des Routes
BRAHIM BAHMAL	Directeur	Direction des Transports et de la Sécurité Routière
Fadil SEMLALI	Chef de la Division technique par intérim	Direction des Transports et de la Sécurité Routière
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Mohamed MARZAGUI	Chef de Division de la Navigation Maritime	Direction de la Marine Marchande
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Mauritania

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Cheikhna Gaouad	Directeur Général	Direction Générale des Transports Terrestres

Nom	Fonction	Organismes
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Mohamed Elmoctar Gaouad	Chef de service	Direction des Etudes, de la Programmation, et de la Coopération
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Mohamed Yahya Hademine	Conseiller Technique du Directeur Général	Etablissement National de l'Entretien Routier
Mohamed Lemine Mohamed Elhafedh	Directeur des Etudes et la programmation	Etablissement National de l'Entretien Routier
Mohamed Mahmoud Yahya	Directeur du contrôle à la DGIT/MET	Direction Générale des Infrastructures de Transports
Mohamed Elmoctar Sid'Ahmed	Chef de service de la Programmation	Direction Générale des Infrastructures de Transports
Sidi Mohamed Ould NEMINE	Président	Commission de Passation des Marchés Publics Secteur Infrastructures
Ibou Diouf	Sr Transport Economist	Banque Mondiale

Mozambique

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Names	Designation
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Mikael Aberg	Pohl Consulting & Associates GmbH,
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Monsieur Mohamed Ismael	BAD
Monsieur Sagar DRAME	Administrateur du FERA
Monsieur Seck Ndaiye WADE	Directeur des Transports Routiers
Madame DECRAENE	Directrice des Routes
Monsieur Demba	COSEC

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Monsieur Ciré DIA	Directeur Cellule Passation des Marchés / AGEROUTE
Monsieur Ibrahima NDIAYE	Directeur Général AGEROUTE
Monsieur Salif NDIAYE	Directeur de la Gestion et de l'Entretien du Réseau / AGEROUTE
Monsieur Aly BA	Directeur des Grands Travaux et des Ouvrages d'Art / AGEROUTE
Monsieur Baye DIASSE	Chargé de projets
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Ousmane NDIAYE	Représentant Gros Porteur à Kaffrine
	Responsables du secteur des Transport de personnes et de marchandises à Kaffrine

Uganda

Names	Designation
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Giorgio Ficarelli	EUD, Head of Infrastructure & Operational Section (leaving mid 2015)
Dr. Stephan Lock	EUD, Head of Section, Economic & Social Sectors (incorporating Infrastructure in 2 nd half 2015)
Agnieszka Skiba	EUD, Operations Advisor, Infrastructure (full time, Roads)
Eng. John Sseryazi	EUD, Infrastructure Officer (now mostly Water sector)
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Enoch Nyorekwa	EUD, Infrastructure Economist (part time Transport sector)
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Gennaro Volse	AESA, LTA to NAO
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Eng. Ongom Justine	UNRA, Acting Director Operations
Eng. Bwanga George	UNRA, Acting Director Projects
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Davis Brian Muhwezi	UNRA, Transport Planning Officer
Robbie Mutyaba	UNRA, Roads Asset Management Engineer
Matthias Ofumbi	UNRA, Monitoring & Evaluation Manager

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Yokosofaty Ekukut	MoWT, SE-P
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Collins Tumwebaze	MoWT, Civil Engineer, Urban Roads
James Kisawuzi	MoWT, Civil Engineer, Bridges Department
Drake Bagyenda	MoWT, Civil Engineer, National Roads
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Fred Ikaaba	Bugiri District , District Engineer
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John Mugisa	Mukono District, District Engineer
Henry Lugege	Mpigi District, District Engineer
Andrew Barasa	MoWT, DCR
Moses Mulengeni	MoWT, PPA
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John Ociti	URF, Manager Fund Management
Gladys Komugisha	URF, Head Procurement Unit
Shakila Rahim Lamar	URF, Corporate Communications Officer
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Ryoichi Kawabe	JICA, Representative
Cate Najjuma	DANIDA, Senior Programme Adviser/Economist
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Eng. Karuma Kagyina	UACE, Secretary General
Eng. Alex Turihohabwe	UACE, Vice Chairman
Eng. Stephen Kawuma	UACE, Council Member
Michel Pinto Muvule	UNABCEC, Executive Director
Barbara Mwanje	SafeWay Rightway, Chief Executive Officer
Denis Bonifay	Schlumberger, Country Manager (hosting SafeWay RightWay)
John Vianney Ahumaza	CISCOT, Coordinator
Sam Stewart Mutabazi	CISCOT/URSSI, Executive Director
Udo Witulski	EUD Consultant , Waterways & Multimodal

Annex 1.4 The Evaluation Team

The core evaluation team consisted of five persons:

John Clifton	Team Leader:, Evaluation Expert, Transport Engineer;
Klaus Broersma	Deputy Team Leader: Transport Sector Planner;
Max Hennion	Development Expert; Geographer; Economist;
Basile Keita	Transport Economist.
Mark Watson	Transport Economist;

Compared to the Inception Phase, the team was strengthened by two francophone team members (Mr Hennion and Mr Keita) in order to ensure better coverage of francophone countries identified as case-study countries to be visited during the field phase. In the meantime Mr Eddy Bynens resigned because of other obligations.

Other team members included:

Martin van der Linde	Project Director and Quality Controller;
Michiel Modijefsky	Project Manager;
Kim Groenewegen	Project Management Assistent
Various junior staff members of Ecorys.	

The following regional/national experts were recruited to support core team members carrying out visits to case study countries:

Benin	Placide Badji
Cameroon	Henri Gwet
DRC	Jean Paul Libebele
Ethiopia	Amara Asefa
Madagascar	Joana Andrianantenaina
Mauretania	Abdellahi Abdel Jelil
Morocco	Abdeljalil Derj
Mozambique	Nkululeka Leta
Senegal	Joseph Michel Cissé
Uganda	Michael Daka

Annex 1.5. Evaluation Programme

Time schedule of the major events (milestones) of the evaluation

PHASE	MAIN ACTIVITIES	SUBMISSION OF REPORTS AND MEETINGS	DATES
INCEPTION PHASE			
		Briefing session in Brussels	29 th January 2014
	Initial Collection and analysis of documents and expenditure data		February 2014 - March 2014
		Workshop with RG in Brussels to discuss 'Issues of Interest' and determine EQs ¹³	18 th & 19 th March 2014
	Elaboration of intervention logic, preliminary EQs, criteria for selection of case study countries, and a work plan for the entire evaluation		February 2014 - March 2014
		Submission of 1 st draft inception report	14 th April 2014
		Receipt of comments on 1 st draft Inception Report	25 th April 2014
		Submission of 2 nd draft Inception Report	11 th May 2014
		Presentation and meeting with RG to discuss draft inception report & receipt of comments on 2 nd draft Inception Report	27 th May 2014 & 6 th June 2014
		Submission of final version of the inception report	14 th July 2014
		Approval of the final inception report	6 th August 2014
DESK PHASE			
	Information and data analysis and formulation of preliminary findings as regards judgment criteria and EQs		August to early December 2014
		Submission of 1 st draft desk report	8 th January 2015
		Presentation meeting with RG to discuss draft desk report and receipt of comments on draft	3 rd February 2015
		Receipt of written comments on 1 st draft desk report	6 th and 10 th February 2015
		Submission of revised version of the desk report in response to comments receive	Mid-March 2015
FIELD PHASE			
	Missions to case study countries		March - June 2015
		Submission of country notes, the synthesis note of the mission findings and a draft	May – July 2015

¹³ Evaluation Team meeting may be scheduled to follow RG Meeting.

PHASE	MAIN ACTIVITIES	SUBMISSION OF REPORTS AND MEETINGS	DATES
		table of content and structure of the final report	
		Presentation and meeting with RG to discuss synthesis note and structure final report	9 th July 2015
		Approval draft table of content and structure of the final report	July 2015
SYNTHESIS AND DISSEMINATION			
	Final analysis and drafting of the final report	Submission of the first draft of the final report	1st week of September 2015
		Presentation and meeting with Evaluation Unit and RG to discuss the first draft and receipt of comments on draft	3th week of September 2015
		Receipt of written comments on the first draft final report	4 th week of September 2015
		Submission of the second draft of the final report	2 nd half of October/November 2015
		Submission of the third draft of the final report	December 2015
		Approval of the draft final report	January 2016
	Dissemination seminar	Dissemination seminar in Brussels	April 2016
		Submission of minutes of the seminar and final version of the final report	May 2016

Annex 2.1. Context of EU cooperation in the transport sector in Africa

1. General framework and principles of EU cooperation

Article 177 of the Treaty establishing the EU is the basis of EU cooperation policy determining three objectives:

- fostering sustainable development of developing countries;
- assisting smooth and gradual integration of developing countries into the world economy;
- campaigning against poverty.

The Treaty also foresees coordination of policies on development cooperation between the EU and EU Member States with consultation on aid programmes.

These objectives were confirmed by Article 1 of the Cotonou Agreement (ACP-EC Partnership – 2000) which emphasised the objective of poverty reduction.

The Statement of the Council and the EC in 2000 determined a limited number of areas for EU development support where the EU can make a significant contribution toward reduction of poverty assuming that EU action provides added value. Transport is one of these selected areas¹⁴.

COM (2005) 489 Final states the overall policy objectives of EU relations with Africa whilst the ‘European Consensus’ 2005 presents common objectives and principles for EU development cooperation (i.e. poverty eradication, ownership, partnership, delivery of more and better aid; prioritisation of development policy coherence), based on three pillars:

- promotion of peace, security and good governance as central pre-requisites for sustainable development;
- support to regional integration, trade and inter-connectivity to promote economic development;
- improvement of access to basic social services (health and education) and protection of the environment.

2. Overall situation in the transport sector in Africa

Provision, operation and maintenance of transport infrastructure and systems in Africa have suffered from a multitude of inter-linked problems across all transport sub-sectors, as set out briefly below:

SUB-SECTOR	PROBLEMS	CAUSES OF THE PROBLEMS	PROPOSED SOLUTIONS ¹⁵
ROADS	Roads are the main mode of transport in developing countries carrying 80 - 90% of passengers and freight and which typically absorb ~10% of government recurrent budgets and 10 - 20% of capital development budgets. Maintenance has been deficient for decades, whilst networks have continued to expand. Transport costs are thus high and services are inefficient with major negative economic and social consequences.		
	Network too large to	<ul style="list-style-type: none"> • Poor policies not linked to demand 	<ul style="list-style-type: none"> • Prioritise maintenance • Regional coordination

¹⁴ The other selected areas are: link between trade and development; support for regional integration and cooperation; support to macro-economic policies, food security and sustainable rural development; institutional capacity building (especially governance and rule of law); support to social sectors (education and health).

¹⁵ These proposed solutions are summarised from the 1996 guidelines ‘Towards sustainable transport infrastructure: A sectoral approach in practise’. COM (2000) 422: Prioritising sustainable transport in development cooperation subsequently included most proposals in EU sector support policies.

SUB-SECTOR	PROBLEMS	CAUSES OF THE PROBLEMS	PROPOSED SOLUTIONS ¹⁵
	maintain – not sustainable (and yet be too small for development needs)	<ul style="list-style-type: none"> Insufficient national (and donor) financial capacity 	
	Insufficient funding	<ul style="list-style-type: none"> Budget limitations Misallocation Corruption Poor value for money Road user charges too low 	<ul style="list-style-type: none"> Involve stakeholders Share finance Pricing policy Earmarking and road funds Road user charges
	Public sector dominance	<ul style="list-style-type: none"> Multiple agencies with overlapping responsibilities Bureaucracy not business Insufficient use of private sector Low institutional capacity 	<ul style="list-style-type: none"> Restructure institutions Greater involvement of private sector Adoption of commercial attitudes and management autonomous Road Agencies MIS
	Poor integration of environmental and social issues	<ul style="list-style-type: none"> - Negative impacts of poor roads, lack of accessibility, social disruption 	<ul style="list-style-type: none"> - Integration of environment and social issues in all aspects of road network management
	Overloaded trucks contributing to rapid deterioration of roads (and road safety problems) Poor road safety (high accident rates)	<ul style="list-style-type: none"> Poor application and enforcement of road transport regulations 	<ul style="list-style-type: none"> Improved regulation, enforcement and operation
RAIL	Railways are appropriate for long distance haulage of bulk freight and can be a highly efficient mode of transport when well managed. However, railway systems demand expensive investment in infrastructure and skilled management, both of which have been neglected. Traffic has shifted to road transport which is currently cheaper and more reliable. Rail revenues have thus fallen aggravating the negative feedback loop resulting in further deterioration of infrastructure and decline of services.		
	Services do not respond to demand (supply led)	<ul style="list-style-type: none"> Changing competitive environment Inflexibility of historical timetables 	<ul style="list-style-type: none"> Involve stakeholders Regional coordination Downsizing railway services (?) Focus on customer services Focus on core business (e.g. separate port and rail operations) Focus on bulk and customer freight
	Insufficient revenues leading to lack of investment, poor operations and maintenance (not sustainable)	<ul style="list-style-type: none"> Restrictions on tariff increases Track, rolling stock, signal and control systems in poor condition Poor cash flow Poor access to foreign exchange 	<ul style="list-style-type: none"> Source finance Revise tariffs and fares Government subsidy of social passenger services (not commercially viable) Establish business plans Review transport pricing policies
	Public sector dominance	<ul style="list-style-type: none"> High political profile Large unskilled/semi-skilled labour force 	<ul style="list-style-type: none"> Restructure institutions Greater involvement of private sector Adoption of commercial activities & management MIS Establish Railway Companies with contractual relationship with the Government Establish independent regulator

SUB-SECTOR	PROBLEMS	CAUSES OF THE PROBLEMS	PROPOSED SOLUTIONS ¹⁵
	Lack of skills (operation and management)	<ul style="list-style-type: none"> Poor training Inadequate incentives Poor public sector conditions of service 	<ul style="list-style-type: none"> Improved capacities Restructuring schemes Training Revised conditions of service (private sector)
	Poor integration of environmental and social issues	<ul style="list-style-type: none"> Transfer of bulk goods to road transport (due to poor rail services) Redundancies Communities without rail services 	<ul style="list-style-type: none"> Integration of environment and society
	Poor application of rail sector regulatory framework and poor operational management	<ul style="list-style-type: none"> Overloading Accidents Speeding 	<ul style="list-style-type: none"> Improved maintenance of track, rolling stock etc. More containerisation
PORTS	Ports are the vital link between land and sea transport and also provide facilities for transfer, storage, inspection and control of goods. Insufficient port operations result in high costs of imports and exports (which are thus less competitive). Ports have had to adapt to worldwide changes in freight transportation especially containerisation resulting in changed vessel design and cargo handling procedures. Management practises must thus also change. Out of date cumbersome practices have led to increased costs and loss of business to more competitive ports in neighbouring countries.		
	Public sector dominance	<ul style="list-style-type: none"> Multiple government departments, agencies and parastatal involvement with developing responsibilities Monopoly position (profitability due to high tariffs masking poor management and inefficiency) 	<ul style="list-style-type: none"> Stakeholder involvement Regional coordination Dialogue Restructure institutions Greater involvement of private sector Privatisation
	Out-dated and cumbersome procedures	<ul style="list-style-type: none"> Excessive procedures, control, inspection, documentation, security etc. leading to delays in landing/unloading increased damage and theft Lack of maintenance 	<ul style="list-style-type: none"> Establish charging mechanisms Review subsidies for smaller ports providing essential services Adoption of commercial activities and management MIS
	Rapidly changing technology	<ul style="list-style-type: none"> Lack of investment 	<ul style="list-style-type: none"> Secure finance Increase revenue sources (e.g. vessel servicing, facilities, cargo services, leasing land for commercial/industrial services) Redundancy schemes Training Revised conditions of service Dredging (?) Upgrade port infrastructure
	Poor integration of environmental and social issues	<ul style="list-style-type: none"> Dumping and spillage from vessels and shore-based installations Redundancies 	<ul style="list-style-type: none"> Integration of environment and security
	Poor application of ports and maritime sector regulatory framework and poor operational management	<ul style="list-style-type: none"> Poor safety Customs practises and inspections as major impediment to throughput (see also above) 	<ul style="list-style-type: none"> Improved navigation aids More containerisation Improved port personnel safety culture
AIR	Airports are the gateways to developing countries for business trade, tourism, services and export of high-value produce. It is thus vital that airport facilities and infrastructure match ICAO standards. Many countries have major investments in aviation equipment, facilities and		

SUB-SECTOR	PROBLEMS	CAUSES OF THE PROBLEMS	PROPOSED SOLUTIONS ¹⁵
	infrastructure. Aviation is the transport sector with perhaps the greatest level of private sector participation in airport ownership and operation		
	Public sector dominance	<ul style="list-style-type: none"> Multiple government departments, agencies and parastatals with developing responsibilities 	<ul style="list-style-type: none"> Involvement of stakeholders Regional coordination Secure finance Restructure institutions Commercialisation Prioritisation Review subsidies (for smaller airports)
	Oversized airport capacity	<ul style="list-style-type: none"> Built/upgraded as 'vanity' project 	<ul style="list-style-type: none"> Review opportunities for commercial activities (shops, car parks, hotels, conference centres) Franchise outlets Match capacity to demand
	Failure to meet international standards	<ul style="list-style-type: none"> Failure to maintain planes and navigation aids to ICAO standards Failure to maintain infrastructure (e.g. runways, taxiways, airplanes, terminal facilities) to required standards 	<ul style="list-style-type: none"> Set airport charges at regionally competitive levels Better maintenance
	Restrictions on efficiency and commercial operations	<ul style="list-style-type: none"> Cumbersome operations and procedures (especially Customs and Immigration) 	<ul style="list-style-type: none"> MIS Training
	Poor integration of environmental and social issues	<ul style="list-style-type: none"> Pollution (noise and spillage) Impacts of commercial activities on surrounding areas Loss of jobs (due to changing airport operations – e.g baggage handling) Poor safety Customer and baggage handling procedures (leading delays in freight clearance) Immigration requirements 	<ul style="list-style-type: none"> Streamlined procedures Strict compliance with ICAO standards (e.g met services, runway lighting, instrument visuals, navaids, etc)
URBAN	Efficient urban transport for passengers and freight is essential for economic and social development of cities in developing countries which are subject to continuing migration of population from rural areas (5 - 10% annually is typical). In cities most motorised journeys are made by public transport whilst non-motorised transport accounts for a large proportion of urban journeys. Demand on public transport is inexorable and demand for mini buses, taxis, buses and private cars continues to outstrip financial, physical and organisational capacity on generally low capacity, poor quality infrastructure. Urban transport also poses a major environmental hazard coupled with poor enforcement of generally out-dated environmental regulations		
	Ever increasing demand	<ul style="list-style-type: none"> Urban population growth (Modest) economic growth Excessive pressure on public transport services 	<ul style="list-style-type: none"> Involvement of stakeholders Link transport and land use planning Demand management (but only as a temporary measure)
	Focus almost exclusively on motorised transport	<ul style="list-style-type: none"> Mass transit systems or urban motorways not yet effective (80% journeys non-motorised) 	<ul style="list-style-type: none"> Improve safety, security and accessibility of NMT
	Low levels of cost recovery	<ul style="list-style-type: none"> Fares kept artificially low Political interest/involvement Constrained operator revenues (leading to compromised maintenance, safety and reduced services) 	<ul style="list-style-type: none"> Secure finance Increased cost recovery Adjust fare-setting policies

SUB-SECTOR	PROBLEMS	CAUSES OF THE PROBLEMS	PROPOSED SOLUTIONS ¹⁵
	Service provided by local authority	<ul style="list-style-type: none"> Local authorities responsible for multiple other services (e.g. education, water, sanitation, refuse disposal etc.) such that transport does not receive adequate resources 	<ul style="list-style-type: none"> Update policies Move towards private sector More commercial approach Greater private sector participation
	Traffic congestion and major pollution	<ul style="list-style-type: none"> Increased traffic flows Inadequately maintained roads Poor vehicle maintenance Ineffective traffic regulation and enforcement 	<ul style="list-style-type: none"> Integration of environment
	Poor integration of social and safety issues	<ul style="list-style-type: none"> Poor safety Poor off – peak services Poor footways provision forces pedestrians onto carriageways 	<ul style="list-style-type: none"> Build gender awareness into urban transport policies Greater attention to off-peak services Better provision of footways Public transport driver training Better regulation of mini bus services

Similar issues were identified in the different transport sub-sectors as summarised below:

- Expansion not linked to demand
- Macro-economic constraints
- Deterioration of transport networks exacerbated by political and social unrest
- Inadequate transport policies
- Insufficient finance for maintenance
- Public sector shortfalls
- Neglect of environmental and socio-economic issues
- Inadequate regulatory control
- Rising accident rates

Increasing awareness of the problems¹⁶ led to i) EU involvement in the Road Maintenance Initiative under the umbrella of the Sub-Saharan Africa Transport Policy Programme (SSATP), ii) increasing coordination between EU Member States and iii) the development of guidelines 'Towards sustainable transport infrastructure: A sectoral approach in practise DGDEV 1996'.

3. EU development policy in the transport sector

EU development policy in the transport sector is based on five major documents: one set of Guidelines and four Communications from the Commission to the Council and the European Parliament¹⁷:

- Towards sustainable transport infrastructure: A sectoral approach in practise DGDEV 1996
- COM (2000) 422 final – Prioritising sustainable transport in development cooperation¹⁸;
- COM (2006) 376 final – Interconnecting Africa: The EU Africa Partnership on infrastructure;
- COM (2009) 301 final – Connecting Africa and Europe: Working towards strengthening transport cooperation;
- COM (2012) 556 final – The EU external aviation policy: Addressing future challenges.

¹⁶ An awareness and focus on these problems that particularly started to develop in the 1990s and problems have been recognized and targeted since

¹⁷ As identified in ToR 3.2. EU policies in the transport sector.

¹⁸ Consistent with aid informed by previous transport sector guidelines European Commission DGDEV Towards Sustainable transport Infrastructure: A Sectoral approach in practise, 1996

3.1. *Towards sustainable transport infrastructure: A sectoral approach in practice (1996).*

These guidelines advocated that EU transport sector support should move from a project to a sectoral approach embracing the following activities:

- Shape policy framework (appropriate macro-economic context; internal networks; balance of maintenance and investment; higher recognition of intermediate and non-motorised transport (NMT); research);
- Involve stakeholders (in country [government departments, private sector, communities]; regional coordination; donor coordination);
- Secure finance ('user pays'; pricing and pricing mechanisms);
- Restructure institutions and involve private sector (reform public sector; MIS; commercial management and private sector participation);
- Integrate environment and security (environmental issues; employment issues; gender issues; HIV/AIDS and health);
- Transport regulations and operations (safety; labour-based methods);
- Facilitate sustainability in transport sector (build coherent national policy framework; adjust transport network to available resources; secure revenue from user charges; adopt a more commercial approach; increase awareness of environmental and socio-cultural issues).

3.2. *COM (2000)422 – Prioritising sustainable transport in development cooperation*

Although consistent with the previous transport sector guidelines¹⁹, COM 2000 restated that transport should be a priority support sector whilst promoting common principles of EC and EU Member States in transport sector cooperation with third countries. Referring to lessons learned, and noting the crucial role of transport in access to social services, COM 2000 sets out objective-related principles for EU support to the transport sector and strategies for ensuring sustainability and balance of results as regards social, economic and environmental requirements.

It also sets out a sectoral approach for all transport modes, including conditionalities for the success of such an approach with objectives of provision of sustainable, safe, affordable, efficient transport services that satisfy stakeholder needs. Identified priority actions (at national and regional levels) include development of sector policies and strategies, institutional change, restructuring of transport agencies and optimising existing transport systems.

Lessons learned may be summarised as follows²⁰:

- Avoid supply-led policies that produce oversized transport systems;
- Prevent financial stringency leading to a low priority for maintenance;
- Reduce public sector dominance for more efficient transport systems;
- Pursue regional transport integration to facilitate trade;
- Reduce costly transport services to improve trade competitiveness;
- Integrate environmental issues into transport policy;
- Reduce high accident levels to ease the toll on society and the environment;
- Encourage the use of labour based methods;
- Reduce transport congestion to expand urban economies;

COM 2000 422 set out four guiding principles for sustainable development:

- Common development principles for transport (involvement of all stakeholders; commercialisation and privatisation; environmental impact minimised; safe transport and

¹⁹ European Commission, DG DEV, *Towards sustainable transport infrastructure a sectoral approach in practise 1996.*

²⁰ To some extent the lessons learned also link activities and expected outcomes

travel reflecting gender needs; relevant and reliable data for decision making backed by research)

- Principles for fostering sustainable economic and social development (transport sector must have proper share of national budget; finance for maintenance must come first; optimisation and integration of existing facilities; optimisation of public-private partnerships; regulation demands a new role for the public sector)
- Principles of integrating developing countries into the world economy (free movement of traffic and reduced journey times to improve trade competitiveness; advantage taken of most efficient technology);
- Principles contributing to fight against poverty (appropriate transport infrastructure and services for rural area; different levels of public transport for urban areas; more support to intermediate and non-motorised transport; employment of small local contractors and use of labour-based methods).

Thus COM 2000 422 proposed a strategy for EU support to the transport sector that is economically balanced, financially sufficient, institutionally commercially minded, environmentally sound, safety conscious and socially aware; i.e.:

- Economic balance: prioritise finance for transport modes correctly in public expenditure; support fair competition for national pricing of services; target subsidies, where necessary, at beneficiaries;
- Financially sufficient: railways must focus on core business and contract out to the private sector; maritime and inland ports, airport and air traffic services must use private operators; source sufficient revenue for road maintenance;
- Institutionally commercially minded: reform the public sector; commercialise all management of railways; grant authority to ports and airport authorities; adopt commercial practices for managing roads; privatise road management and maintenance;
- Environmentally sound: update regulations and improve monitoring; reduce vehicle emissions and rise NMT; reduce pollution by ceasing pollution in urban areas; 'polluter pays'; aircraft fleets modernised;
- Safety conscious and socially aware: improved road and rail safety; international standards for safety at sea and in the air; creation of job opportunities and tackling redundancies; improved IT.

The way forward for EU transport sector support thus required political commitment and stakeholder ownership as pre-requisites to undertaking certain activities.

- pursuit of a sectoral approach for transport sustainability;
- stimulation of inter-modality for cost-effective use of transport facilities;
- mainstreaming environment, safety and social awareness;
- priority actions for EC and EU Member States at national and regional levels;
- coordination with EU Member States and other sector donors;
- linkage of policy and practice.

Subsequent documents consider transport as one of four 'identified' pillars of infrastructure (i.e. transport, water, energy and ICT). EU transport policy should support the EU development objectives (re-orientation towards growth, investment and job creation aiming at higher development impact and mobilising EU added value, recognising the importance of private sector in development).

Specific transport sector needs include wider and deeper dialogue on governance, PFM, private sector involvement, investment promotion and innovative financing modalities, safety and climatic change mitigation. Such sector dialogue is important as the EU and EU Member States have accepted the 2007 Code of Conduct²¹ on division of labour in development

²¹ The Code of Conduct covers complementarity (in-country and cross-country), lead DP arrangements and delegated cooperation.

policy, whereby lead development partners are nominated for a particular sector or partner country.²²

3.3. COM 2006 – *Inter-connecting Africa: The EU Africa Partnership on Infrastructure*

COM 2006 recognises the needs and challenges for coordination of development in Africa as stimulation of economic growth, promotion of competitive trade, fostering regional integration and effective contribution to achievement of MDGs.

Transport systems, although still weak, are expected to be slowly improving²³, despite the fact that African governments' expenditures have fallen far below the 4% of GDP estimated as necessary to maintain and operate infrastructure, let alone an additional 5% of GDP required to develop infrastructure.

Lessons from experience²⁴ note that EC policy and strategy for transport sector support has:

- significantly contributed to improved maintenance but more needs to be done;
- contributed to improvements to primary road networks, which have had a positive impact on trade development and regional integration;
- confirmed the value of a sector-wide approach.

Noting Africa's continental and regional vision COM 2006 notes that:

- the African Union (AU) is a privileged partner of the EU;
- NEPAD – Infrastructure Short-term Action Plan (i-STAP) brings new vigour to EU/AU – NEPAD cooperation;
- Achieving NEPAD infrastructure goals means doing things differently.

The objective of the EU Africa Partnership on Infrastructure for the transport sector is to reduce the cost and improve the quality of transport services²⁵ by removing infrastructure and non-physical barriers to the free movement of goods and people, strengthening current operations, improving maintenance of transport assets with the following sectoral objectives²⁶:

- trade corridors without borders and barriers²⁷;
- better and safer roads;
- competitive rail services;
- efficient ports (including modern fisheries infrastructure and services meeting appropriate sanitary requirements, and safe seas and ports);
- safe, secure and efficient skies and airports.

The Partnership in coordination with EU Member States and other international initiatives and bodies proposes strengthening institutional operations at continental, regional and country levels with implementation instruments including:

- EDF programmable resources (regionally and nationally – 9 & 10 EDF intra-ACP (largely Water and Energy Facilities);
- EU Infrastructure Trust Fund for Africa (AITF);
- Reinforced coordination and co-financing.

The proposed strategy for a sustainable partnership includes:

²² DEVCO and some EUDs have assumed the role of lead co-operating partner in (road) transport in a number of SSA countries. In many of these countries EDF 11 does not continue with support to the transport sector as a focal sector.

²³ To put the transport sector situation in comparative perspective with the other infrastructure 'pillars', COM 2006 goes on to observe - Energy potential in abundance but inefficiently used; Water resources are unevenly distributed and erratic rainfall exacerbates equitable access; Africa's communication technology is catching up rapidly although access to services is patchy.

²⁴ Quoted from COM 2006 p5 on "Lessons learned from experience"

²⁵ In comparison the objectives for the other 3 'pillars' are: WATSAN – sustainable use of available finite water resources; Energy – affordable energy services; ICT – bridging the digital divide.

²⁶ EU claims an added advantage from experience of trans-European networks (TENs) for transport, energy and telecommunications, including principles for delivery of methodology for identification of trans-national axes and priorities and in consensus building between countries and stakeholders on harmonization of regulatory frameworks.

²⁷ COM 2006 identifies 8 main trans - African corridors.

- political commitment to good governance in infrastructure sectors;
- sector wide national approaches integrating infrastructure and services;
- coherence between activities at national, regional and continental levels;
- promotion of private sector participation (PPPs);
- support to safe, appropriate infrastructure that responds to needs of men and women, respecting social and environmental impact assessments.

3.4. COM 2009 – Partnership between the EU and Africa – Connecting Africa and Europe: Working towards strengthening transport cooperation

COM 2009 is linked to the EU Africa Infrastructure Partnership. It deals with initiation of a process of reflection on extending trans-European networks towards Africa and providing partner governments with access to experience and best practices of a common transport policy, such that improved transport flows between the EU and Africa may meet economic and commercial needs, reduce transport costs and make transport services more sustainable and reliable.

Connecting Africa and Europe involves a coordinated approach to planning and implementation of infrastructure including enhanced cooperation in the aviation and maritime sectors moving towards a common transport infrastructure map and encouraging development of the rail sector.

Sharing of experiences and tools to support development of more effective transport systems should address issues such as; poor governance, cross-border delays, lack of agreement on timetable and routes of international travel, lack of funding and the need for broader engagement of transport sector players (e.g. firms, operators, regions).

Promoting safer, more effective transport systems includes improved maritime, air and road safety, combating piracy, EGNOS²⁸ and greater focus on urban transport.

3.5. COM 2012: The EU External Aviation Policy – Addressing Future Challenges

COM 2012 reviews progress since the previous communication on development of EU external aviation policy²⁹. It concludes that, whilst the 2005 policy ‘goes in the right direction’, there have been significant changes in the aviation sector in subsequent years. Challenges in a rapidly changing global aviation environment are identified in particular medium and longer term market trends, competing business models and the importance of hubs.

The main objectives of EU future external aviation policy are stated to be creating fair and open competition and a growth strategy based on ‘more Europe’³⁰.

The way forward (and lessons learned) includes review of the 2005 road map, definition of key principles guiding EU’s future external aviation policy, and enhancing relations with key partners. Tools to be applied include development of aviation relations with key partners (including safety, security, environment and economic regulation), maintenance of a competitive European aviation industry, involvement of all affected partners in establishment of policy and regulations and development of more effective instruments to ensure fair competition.

²⁸ EGNOS is the European satellite navigation system.

²⁹ COM (2005) 79 final Developing the agenda for the community’s external aviation policy consisted of 3 pillars (restoring legal certainty, neighbourhood agreements and comprehensive agreements with key partners).

³⁰ This ‘more Europe’ strategy as set out in COM 2012 encompasses more effective action than the current system of bilateral relationships and delivery of united EU added value. In order to harvest potential economic benefits of more comprehensive air transport agreements EU should maintain a strong Europe-based aviation industry. Thus EU external aviation policy should be driven by: i) creation of consumer benefits; ii) safeguarding competitiveness; iii) wider public policy objectives going beyond traffic rights. EU policy should thus promote and defend European interests more rigorously, continue to promote European values, standards and best practices on a collaborative basis to the highest possible industry standards through regulatory cooperation and convergence.

3.6. Recent developments likely to impact on future EU support to the Transport Sector

'Agenda for Change'³¹

Whilst concentrating on human rights, democracy, good governance and inclusive and sustainable growth for human development (including differentiated development partnerships, coordinated EU action and improved coherence of EU policies), the EU support should focus on social protection, health and education, stronger business environment, deeper regional integration, sustainable agriculture and energy, and social protection (health, education and jobs)³². The need for improved infrastructure is recognised as a contribution to improved business environment, regional integration and world markets as are the EATF and EU investment facilities. Emphasis is given to employment of a higher percentage of EU resources through existing or new financial instruments (e.g. blending, grants, loans and other risk-sharing mechanisms for greater leverage of resources. A further key point³³ is that '*EU should only invest in infrastructure where the private sector cannot do so on commercial terms*'.

Roadmap 2014 – 2017: 4TH EU – African Summit³⁴

The roadmap identifies 5 joint priorities: i) peace, security and democracy; ii) good governance and human rights; iii) human development; iv) sustainable and inclusive development, growth and continental integration; v) global and emerging issues. Almost all references to transport and infrastructure are in relation to 'key areas for cooperation' under priority area iv) i.e. private investment, infrastructure and continental integration.³⁵ Transport is identified (along with water, energy and ICT) as a strategic area of cooperation focussed on reduction of transport costs, boosting intra-Africa connection by way of adequate service levels on safe, sustainable and reliable regional corridors³⁶ together with greater attention to economic, social and environmental dimensions of transport. Reference is also made to multi-modal connections between Africa and EU.

3.7. Evolution of EU cooperation policy and strategies for support to the transport sector

By the 1990s it was apparent that transport networks were a major financial and operational burden on many developing countries even though insufficient for development needs. Due to deficient maintenance and poor network management, transport infrastructure was prematurely deteriorating resulting in a spiral of increasing travel and repair costs, deteriorating levels of service and denial of access. Underlying problems included:

- macro-economic constraints;
- political and social unrest;
- inadequate transport policies;
- insufficient finance for maintenance;
- public sector shortfalls;
- neglect of the environment and socio-economic issues;
- inadequate regulatory control;
- rising accident rates.

³¹ COM (2011) 1172 & 1173.

³² The word 'transport' does not appear in this document.

³³ which, oddly, is not highlighted

³⁴ Although the 'roadmap' period is outside the temporal scope of this evaluation, some issues considered by the roadmap may be relevant to evaluation (forward thinking) recommendations.

³⁵ There is a single reference to infrastructure under an identified 'key area of cooperation' under priority area v) i.e. climate change and environment.

³⁶ Developed by the Reference Group in Infrastructure under the Programme for Infrastructure Development in Africa (PIDA), EU Development Policy and Other frameworks (e.g. UN Sustainable Energy for All Initiative).

Donor support to the transport sector consisted for decades of a project approach which was manifestly not addressing the wider transport sector problems noted above³⁷, whilst there was an increasing discrepancy between the overall objective of aid and the purpose of transport investments.

Thus, EU changed from a project approach to a sectoral approach aiming to match transport infrastructure to economic and social demands, provide a framework for sustainability and stakeholder benefits with continuing dialogue between governments and transport sector stakeholders.

This approach was first proposed in the 1996 guidelines and was developed further in COM 2000. The focus was predominantly at national levels and considered all transport modes (road, rail, ports, waterways, air) and inter-modality. Given the preponderance of road transport, most interventions were, not surprisingly, focussed on roads. Regional coordination was addressed by way of dialogue between neighbouring countries especially concerning priority areas such as regulations governing transit traffic, customs and immigration procedures, construction of infrastructure, maintenance and operation standards.

As a result of adoption of new infrastructure policies by many African countries, major institutional and financial reforms were implemented resulting in a slow improvement in delivery and maintenance of more sustainable infrastructure. However, certain problems persisted including weak sector governance, insufficient regional integration and transport costs remaining high in comparison with other developing countries outside SSA. COM 2006 thus advocated interconnection of Africa by means of the concept of trans-African corridors³⁸ and regional networks committing to the EU- Africa Partnership on Infrastructure Framework³⁹ whilst continuing all strategies previously set out in COM 2000.

This widening connectivity was continued and widened further by COM 2009 which aims at strengthening connections and strategic cooperation between Europe and Africa in the transport sector within the EU-Africa Partnership framework under which regional and national transport networks are interconnected throughout Africa. It is also supported through the neighbourhood policy in its most specific link with North Africa. COM 2009 concerns cooperation and sharing of EU experience in development of more reliable, safer and less expensive transport services⁴⁰.

There thus appears to be a progressive and consistent evolution of EU policies from a national focus (moving from project to sectoral approach) with regional implications (COM 2000) towards widening the scope to regional connectivity and a corridor approach (COM 2006) and subsequently culminating in moves towards African connectivity with other continents (but especially Europe) (COM 2009).

³⁷ Donors supporting individual construction projects (mainly roads) were arguably making the situation worse. Donor support for many years concentrated on network expansion by way of construction of new roads and/or upgrading of existing roads in a network that was expanding beyond the size and standard that the country could afford to maintain. Insufficient maintenance funding and maintenance neglect were concurrently leading to premature degradation of the network even as donor funded new roads were being constructed.

³⁸ A total of 8 main trans-African corridors were identified for all transport routes – Dakar – N'Djamena; Nouackchott – Lagos; Khartoum – Djibouti; Lagos – Mombasa; Cairo – Gabarone; N'Djamena – Windhoek; Beira – Lobito; DES - Kigali

³⁹ COM 2006 covered not only transport infrastructure but also energy, water resources and ICT.

⁴⁰ There is an unstated but implicit assumption that EU brings added value to such cooperation.

Annex 2.2. Evaluation methodology

1. Overall approach

Methodological guidelines have been developed by DG DEVCO Evaluation Unit – these guidelines form the basis for the evaluation methodology.⁴¹

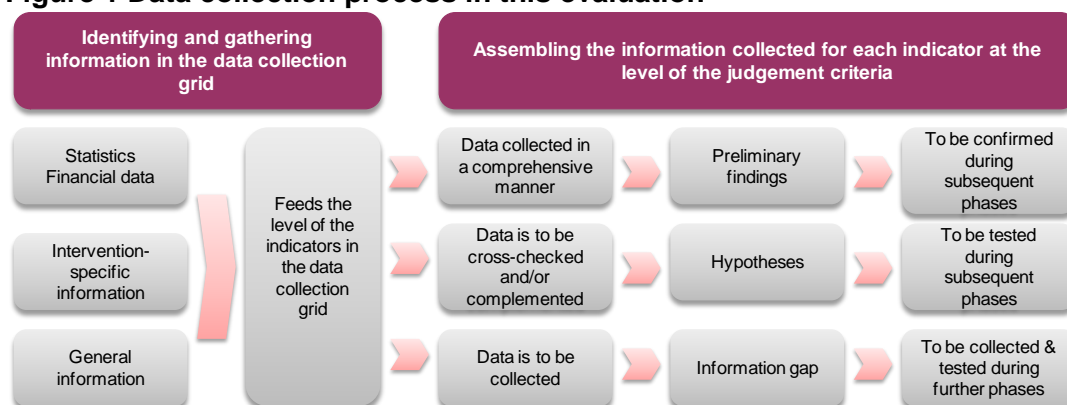
A set of 10 EQs were identified during the inception phase together with a limited number of judgement criteria (JCs) and indicators (Is) for each EQ so as to facilitate collection of information and structural analysis, such that there was good coverage of ‘issues of interest’ identified in the ToR.

The logical linkages of answers and findings to collected information and facts were assured by a process of external peer review complemented by scrutiny of the Reference Group and Evaluation Unit. Collection of data and information involves documentary and visual sources complemented by direct observation.⁴² Collection methods varied according to source of data – document review, interviews, web-based questionnaire⁴³ and direct observation.

2. Data collection and analysis during desk phase

A structured data-collection and analysis process was followed as shown below:

Figure 1 Data collection process in this evaluation



Activities carried out during the desk phase include:

- continuing compilation and review of information and documents for countries in Africa;
- preparation and testing of web survey questionnaire;
- selection of case study countries (see vol 3);
- interviews with EU personnel in Brussels;
- analysis of information including:
 - CSPs/NIPS;
 - RSP/RIPs;
 - national and regional level transport sector reports/documentation;
 - reports, studies and other documentation produced by other sector donors and partners;
 - academic studies;

⁴¹ http://ec.europa.eu/europeaid/how/evaluation/methodology/index_en.htm.

⁴² Little collection of original data can be carried out during the course of the evaluation due to limited resources. Findings and conclusions are based mainly upon existing reports and sources; the reliability of such information is checked by triangulation wherever possible.

⁴³ The questionnaire was submitted to selected EUDs in Africa. Results are included in Vol.5.

- project documentation for selected projects (e.g. evaluation, progress, mid-term and final reports);
- ROM reports;
- country level, regional level and thematic evaluation reports;
- COA reports;
- EU policy and strategy documents.

During the desk phase activities it became apparent that certain information was still required to advance analysis. Also those preliminary assessments and hypotheses required additional testing and investigation for confirmation or refutation, especially during the field phase.

3. Evaluation matrix

Evaluation questions (see table 1) were drafted so to explore key features of EU sector support, the assumptions on which they were based and expected linkages between interventions, activities and impacts. The EQs were also proposed to maximise the potential for results-based forward looking recommendations for formulation and operationalization of future EU sector support programmes. The 10 EQs together with their Judgement Criteria and Indicators were set out in the approved Inception Report and Desk Report.

Table 1 Issues for evaluation and evaluation questions

EQ	ISSUE	EVALUATION QUESTION
1	Evolution of EU policies and strategies in response to needs	To what extent have changing policies and strategies for EU support been responsive to the evolving needs of the transport sector in Africa?
2	Move from project-based to sector-wide approach	Did the change from project-based approach to a sector-wide approach and budget support (SBS and GBS) meet expectations regarding outcomes for EU support to the transport sector in Africa?
3	Transport sector management	To what extent has EU institutional support and capacity building resulted in enhanced transport sector management in Africa
4	Infrastructure operation and maintenance	To what extent has EU sector support contributed to sustainable and affordable transport infrastructure in Africa?
5	Economic and social development	To what extent has EU support to the transport sector in Africa contributed to sustainable social and economic development?
6	Contribution to poverty alleviation	To what extent do EU transport sector support policies, strategies and interventions contribute explicitly to poverty reduction in Africa?
7	Regional Support	To what extent has EU cooperation at regional levels resulted in better facilitation of movement of people and freight?
8	Selection, planning and prioritisation of EU support to infrastructure investment	Were selection, planning and prioritisation procedures for EU transport sector support interventions in Africa appropriate?
9	Support modalities, cooperation frameworks, implementation mechanisms.	To what extent were EU aid modalities, cooperation frameworks and implementation mechanisms, and legal instruments appropriate for support to the transport sectors of partner countries?
10	EU procedures and resources	To what extent were EU procedures and resources appropriate for support to the transport sectors of partner countries?

4. Limitations and mitigation measures

During the course of the evaluation, “external” problems and risks may be encountered which could influence the timetable of the evaluation. At Inception Stage, a number of such

potential risks were identified which are listed below together with an estimate of the probability of occurrence and an initial outline mitigation strategy. Risks and impediments to progress were closely monitored during the evaluation and the matrix was updated during the desk phase.

POSSIBLE LIMITATIONS	PROBABILITY	MITIGATION STRATEGY
Difficulties in locating key documentation from the CRIS database and other sources	Medium	Data storage in the CRIS database has improved over the years although accessing all required documents may be problematic. The evaluation has developed a detailed methodological approach with complementary desk-based research methods and tools. Moreover, the field visits will further close potential gaps with respect to lack of documentation.
Difficulties in retrieving the right qualitative and quantitative data on time and of sufficient quality	Low	As highlighted above the methodological framework combines a variety of complementary research methods and tools.
Difficulties with making appointments with stakeholders	Medium	In an early stage of the project, appointments with EU stakeholders have been made. For the case study countries, each field mission will take up to two weeks, the first days to make appointments, which increase the chance an appointment can be made.
Potential disagreement on the focus of the analysis	Low	The ToR already provides some elements for the focus of the evaluation. A number of 'Issues of interest' have been identified in the ToR. These issues have been analyzed further in this Inception Report and the issues have been discussed in detail during the course of an RG meeting/workshop in March 2014. Subsequently EQs (and JCs) have been proposed in this Inception Report and may be subject to further amendment during the desk phase. This detailed formulation of EQs, JCs and indicators during the Inception Phase has benefited from the experience of the evaluation team from numerous similar assignments, including those of the Quality Director. See also 5. Issues of interest (and EQs)
Sampling strategy for the different analyses of interventions	High	Drawing on a representative sample of EC interventions covering all sub-sectors or geographical contexts is not possible. It is therefore proposed to adopt a sampling approach reflecting as much as possible the overall EU support to the transport sector in Africa. See also 7 and Annex 12. Criteria for selection of countries as case studies during the Field Phase.
Elaboration of the inventory	Medium	Due to inherent constraints of the EC CRIS database (e.g. no systematic labeling of sectors esp. for older intervention), the elaboration of a thematic inventory covering the typology all relevant thematic interventions is a challenging task. The team will strive to detect most interventions with transport objective and will coordinate with the thematic desk at EU HQ and in EUDs to be able to give an overall picture of EU support to the transport sector in Africa. To succeed, this effort will also need to be supported by RG members who are likely to be all knowledgeable on specific topics / countries.
Too detailed desk country studies consume too many resources	High	Country case studies could theoretically cover all indicators of an evaluation. Given the resources available a reasonable scope for them will be defined, acknowledging that at the desk stage information may still be scarce on a number of possibly relevant indicators. Moreover, given the scope of the exercise, the evaluation would focus on a limited number of interventions. Clear selection processes will be established to that end. Case study countries will then also be complemented through field visit results – in a first instance they will serve to prepare the ground for these visits, and also feed into the desk report, but also through cross-country analysis such as online-survey or ROM analysis. Overall, it is believed (from past experience) that sufficient evidence will be identified to

POSSIBLE LIMITATIONS	PROBABILITY	MITIGATION STRATEGY
		answer EQs and deliver quality case studies.
Criticism of the quality/validity/robustness of the analysis	Low	The risk will already be considerably mitigated by the experience of the evaluation team which will contribute to ensuring an adequate design of the various evaluation activities. In addition, the range of complementary research methods planned to be used will strengthen the robustness of the analysis. Regular exchange is also being organized between the TL and the Quality Director to ensure timely actions on key methodological questions. Although it is believed that the likelihood of this is low, should it occur, the Quality Director will intervene with an assessment of the methodological rigor of the research in question including, if deemed necessary, suggested corrective actions.
Slippage in the evaluation schedule due to delays in receiving comments	Medium	Whilst respecting the right and need for all entities involved in the process to input into the evaluation, there is a need for the RG to properly enforce the timeliness of commenting rounds. The evaluation team will endeavor to reduce this risk by ensuring that all persons involved have sufficient time to comment properly on outputs.
Low availability of data	Medium	In cases where no data for a particular indicator can be identified (expected only to apply to 'low feasibility' EQs) then the following options should be considered in consultation with the Evaluation Unit. <ul style="list-style-type: none"> • substitute the quantitative indicators for a similar quantitative indicator for which data is expected to be available (this may also imply a changed JC). • change the quantitative indicator to a qualitative measure such that information might be gleaned from interviews, focus groups (or limited primary data collection during the field phase); • substitute the indicator by a 'proxy' indicator. • cancel the indicator.
Poor quality of data at national and regional levels	High	The quality of information provided to monitoring systems of transport sector programmes is suspect in many SSA countries. Methodology for data collection may be defined nationally but in practice can vary significantly. Also such methodology and definitions of criteria usually differ from country to country. (i.e. detailed information comparisons may not bear scrutiny). Whilst national monitoring indicators may be suspect in absolute terms, they are usually adequate to identify broad trends (e.g. the proportion of road network in good condition stated as x% may not be accurate; however, a trend over several years should be apparent, even if individual annual figures may be suspect). Wherever possible such monitoring information will be cross-checked by reference to other sector stakeholders and corroboratory evidence (e.g. journey times/average speeds will not be lower/higher on a bad road).
Inadequate coverage of cross-cutting issues	Low	Attention to cross-cutting issues across all EQs including specific coverage during course of field phase visits, interviews, etc.
Instability or logistical problems in case study countries which may inhibit collection of information during field phase	Low	These issues are outside the evaluation influence and control – the only mitigation measures possible are to reactively respond to evolving risk during the course of the field visit. Although the ToR specifically identifies fragile countries as a subject of interest for the evaluation, selection of case study countries will take account of any current situations of instability that could impede or deny in-country activities or threaten safety. Should situations of this nature arise then subject to consultation with the Evaluation Unit, the visit may be abandoned and/or an alternative case study will be selected. Such circumstances will be fully documented.
Effective coordination and harmonization of approach to the	Medium/Low	All evaluation core team members will contribute to analysis, answering EQs and preparing findings,

POSSIBLE LIMITATIONS	PROBABILITY	MITIGATION STRATEGY
evaluation		conclusions and recommendation whilst concentrating on their specialisms.
Insufficient technical expertise	Low	The evaluation team consists of highly qualified and experienced personnel with strong methodological and technical back stopping. If it were found to be necessary to replace any of the evaluation team, appropriately qualified replacement persons would be made available.
Translation and language issues	Medium/Low	Translation services will be made available if necessary. National experts involved in country case studies will have a good grasp of the national language including technical documentation. All core team members speak fluent English – other team languages include French and Portuguese.
ADDITIONAL ISSUES THAT EMERGED DURING THE DESK PHASE		
Identification and extraction of information from CRIS ⁴⁴ and from other sources was very time-consuming. Also there were considerable differences between countries and intervention types as regards the completeness of CRIS information. ⁴⁵ Availability and identification of documentation from other sources was similarly problematic. Thus gaps remained high. The questionnaire survey of EUDs has not yet been widely circulated (the questionnaire has, at the time of writing, been trialled to selected EUDs only). It is proposed to include answers to the questionnaire (and subsequent analysis) in the draft Final Report;	High	Continue such collection of data and information in response to known gaps as these became apparent whilst simultaneously checking the record categorisation of certain types of projects; ⁴⁶
The evaluation covers all EU interventions in the transport sector in Africa between 2005 and 2013. It was found that only limited information was available for more recent interventions. Such recent information was collected from case study countries during the field phase.	High	Such recent information was collected from case study countries during the field phase.

⁴⁴ CRIS has no systematic labelling of sectors, especially for older interventions.

⁴⁵ Although the ROM system goes some way towards providing information on some of the gaps in CRIS.

⁴⁶ (e.g. rural development projects appear to 'hide' rural road components).

5. EQ coverage of evaluation criteria

The evaluation considers the five standard evaluation criteria – relevance, effectiveness, efficiency, impact and sustainability – plus assessment of added value of EU interventions and the ‘3Cs’ (coordination, complementarity⁴⁷ and coherence⁴⁸).

Table 2 Evaluation criteria covered by EQs

EQ	1	2	3	4	5	6	7	8	9	10
Relevance	X	X			X	X	X	X		
Efficiency				X				X	X	X
Effectiveness	X	X			X			X		
Impact			X	X	X	X	X			
Sustainability		X	X	X						
EU added value	X				X		X		X	X
3Cs	X				X		X		X	
Cross cutting			X							
Recommendations of previous evaluation	X		X	X				X		X

6. EQ coverage of transport modes

The chart below shows principal focus of coverage of transport modes by EQs although EQs are intended to give proportional coverage to all transport modes.

Table 3 Transport modes/areas covered by EQs

EQ	% total funding	1	2	3	4	5	6	7	8	9	10
Roads	83%		X	X	X	X	X				
Rail	3%			X		X					
Ports/Water	1%								X		
Air	1%			X							
Urban	<1%					X			X		
Multi-modal	<1%							X	X		
Transport Policy & Admin management	10%	X	X	X			X	X		X	X
Other	1.5%										

7. Intervention Logic

The EU strategy for development cooperation in the transport sector in Africa has been based on key Communications from the Commission to the Council and the European Parliament. These strategies have been reviewed and as a whole may be seen as a continuous (and continuing) development of support to the sector (i.e. national – inter/intra-Africa, Africa – EU linkages) with a transition from project based interventions to a sector-wide approach involving changed roles for government institutions and the private sector

⁴⁷ Coordination and complementarity of EU interventions with other donors' interventions.

⁴⁸ Coherence between EU interventions in support to the transport sector and other EU policies and partner government priorities and activities.

and increasing commercial management of transport infrastructure and services. 'Faithful' intervention logics (IL) were prepared for COM2000, COM2006, COM2009 and COM2012, which served as a basis for making a combined 'faithful' IL for COM2000, COM2006 and COM2009 for road sector support. These ILs were presented and discussed in detail during the workshop with DEVCO C5 when also a first version of a combined 'reconstructed' IL for EU transport sector support was prepared. The initial 'reconstructed' IL was discussed further during a subsequent meeting with the Reference Group in March 2014. The final version of that IL is presented here below (for more information on the faithful and reconstructed ILs, see annex 2.3).

The 'reconstructed' Intervention Logic can be taken as a representation of the intentions upon which EU support interventions were programmed. Given the varying scope and evolution of the successive Communications (i.e. national focus [COM2000] – inter/intra Africa [COM 2006] – Africa/EU linkages [COM 2009]), some simplification of stated results, outcomes and impacts has been made to remove duplication and hopefully clarify presentation without any explicit intention of ex-post rationalization of what was actually done.

The 'reconstructed' Intervention Logic consists of a series of colour-coded columns from left to right. Linkages are represented by arrows. Some further guidance for interpreting that Intervention Logic:

- Assumptions are presented at each stage; although yet to be confirmed, it is understood that a number of assumptions have not been fulfilled (these will be examined in the specific Evaluation Questions).
- EU areas of support and modalities are presented in the left-hand column (orange).
- EU inputs and activities are presented in the second column (blue). There is consequential linkage of some inputs and activities (e.g. technical cooperation and policy dialogue leading to preparation of sector policies) and thus there are two columns under 'Inputs/Activities'.
- Outputs are presented in the third column (yellow), again sub-divided into two columns of linked outputs (e.g. establishment of new sector agencies leading to better sector management).
- The fourth column lists outcomes (grey)⁴⁹, which lead towards expected 'impacts'. At impact level sustainable infrastructure and reduced toll on environment and society by way of axle load control, maintenance, better transport services, sector management, etc. are all noted.
- The fifth column on the right side of the chart (green) is sub-divided into two parts and details intended direct and indirect (or overall) impacts (although impacts are not necessarily designated in such a way in EU policy documents). EU interventions appear to contribute more immediately to direct impacts. Concentration is on improved transport services, reduced transport prices, access to services and regional integration and trade all leading to economic growth. Linkage to aggregate/overall impact is expected to only be generated in the longer term.

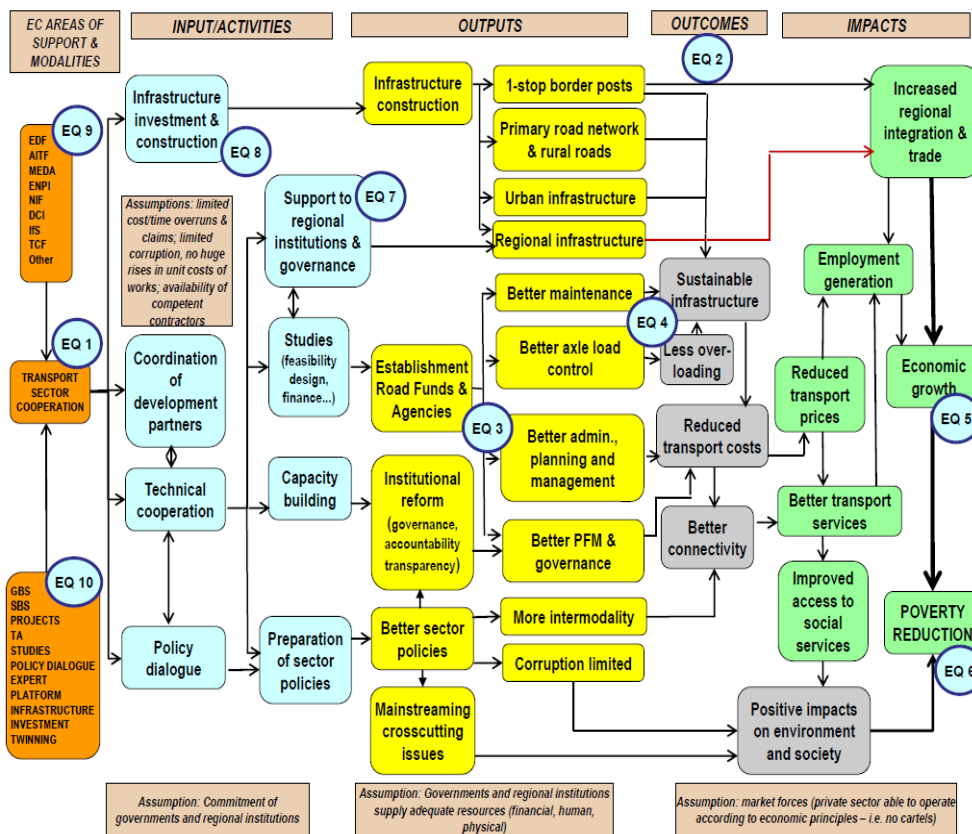
The positioning of the Evaluation Questions (see table 1) is also shown in the reconstructed IL.

The ultimate objective is 'Poverty Reduction' but, although there are other impacts mentioned in EU policy documents, the preceding 'economic growth' appears to be the actual end of the chain of results. There is no reference to Millennium Development Goals in this 'reconstructed Intervention Logic'.

The 'reconstructed' IL is clearly focussed on roads in SSA and inputs, activities and outputs are more focussed/limited than in the 'faithful' ILs. Overall, it can be observed from this 'reconstructed' IL, that the EU efforts are specifically focussed on accessible issues (e.g.

⁴⁹ The positioning of certain 'Outputs' and 'Outcomes' is arguably inter-changeable.

improving sector policies, one-stop border posts (OSBPs), maintenance) rather than less 'concrete' issues (e.g. privatisation, transport pricing, enforcement of traffic regulations). This focus may in part be linked to experience and qualifications of EUD personnel responsible for programme design and implementation⁵⁰.



⁵⁰ Un-attributed quote to Evaluation Team Leader 2014: 'All they submit are proposals for roads.....'.

Annex 2.3. EU strategy and Intervention logics

1. Main issues of faithful and reconstructed Intervention Logics.

ILs are presented for all major policy documents (i.e. COM 2000, COM 2006, COM 2009, and COM 2012). 'Faithful' ILs are presented (i.e. as an accurate representation of statements in these policy documents) following principles of:

- **Loyalty** with respect to official documents with, at this stage no ex-post rationalization of what has actually been carried out. Implicit causal chains identified in the reconstructed diagrams will be verified with key interlocutors interviewed during the evaluation in order to check their validity.
- **Easy to read:** The IL is displayed in such a way that it hopefully facilitates the understanding and the analysis of the EU's intervention logic.
- **Utility:** The diagram should be clear enough to facilitate the reading and understanding of the information it contains (for this reason some simplification has been inevitable to remove duplication and issues considered to be peripheral to main logical linkages).

COM 2000 is the widest ranging with subsequent Communications becoming increasingly focused (albeit that COM2006 identifies transport as one of four infrastructure pillars). Although the Intervention Logic (IL) have been divided into segmental stages (Inputs/activities – Outputs – Outcome Clusters – Intermediate Impacts – Global Impacts) the COM 2000 IL has immediate links in this logical chain due to the wide range of intervention coverage. All of the Communications (except COM 2012) make reference to contribution to MDGs and/or poverty alleviation as Impact, whilst COM 2012 aims at impacts of regional and social cohesion.

Each 'faithful' IL is accompanied by a brief commentary. It is noted in passing that none of the Communications was prepared as an expression of rigorously connected logical linkages. The documents are aspirational such that the 'faithful' ILs discussed below show linkages that may be implied from the Communications. No other rationalization has been carried out for the 'faithful' IL.

The timing of the various Communications and thus the phasing with EDF programme cycles is also noted as shown in the chart below.

Also a combined 'faithful' IL is presented for COM2000, COM2006 and COM2009 for roads sector support only.

Finally a 'combined reconstructed' IL is presented. Originally drafted during a workshop on 18/03/2014, this draft has been subsequently amended.

TIMING – EDF PROGRAMMES & POLICY DIRECTIVES

	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	
EDF 8																							
EDF 9																							
Signature CSPs/NIPs								X															
EDF 10																							
Signature CSPs/NIPs														X									
EDF 11																							
EU POLICY DIRECTIVES																							
Guidelines – Toward Sustainable Transport Infrastructure: A Sectoral Approach in Practise		X																					
Prioritising sustainable transport in development cooperation						422																	
Interconnecting Africa: EU-Africa Partnership on Infrastructure												376,896,963											
Partnership between EU and Africa: Connecting Africa and Europe															301								
Roadmap to a Single European Transport Area: Towards a competitive and resource efficient transport system																	144						
EU external Aviation Policy: Addressing Intra challenges																		556					
Developing the agenda for the EC external Aviation Policy											79												
Increasing the impact of EU Development Policy: Agenda for Change																	637 1172 1173						
Future approach to EU budget support in Third Countries																	638						
Development Consensus												X											
Backbone Strategy														X									
Roadmap 2014-2017 4 th EU-Africa Summit																					X		
INSTITUTIONAL																							
Joint Statement ICA											X												
Launch EU - AITF													X										
Joint Statement Fad - EC - WB															X								
PIDA for COM-EIB-MS																X							
Code of Conduct (division of labour)													X										

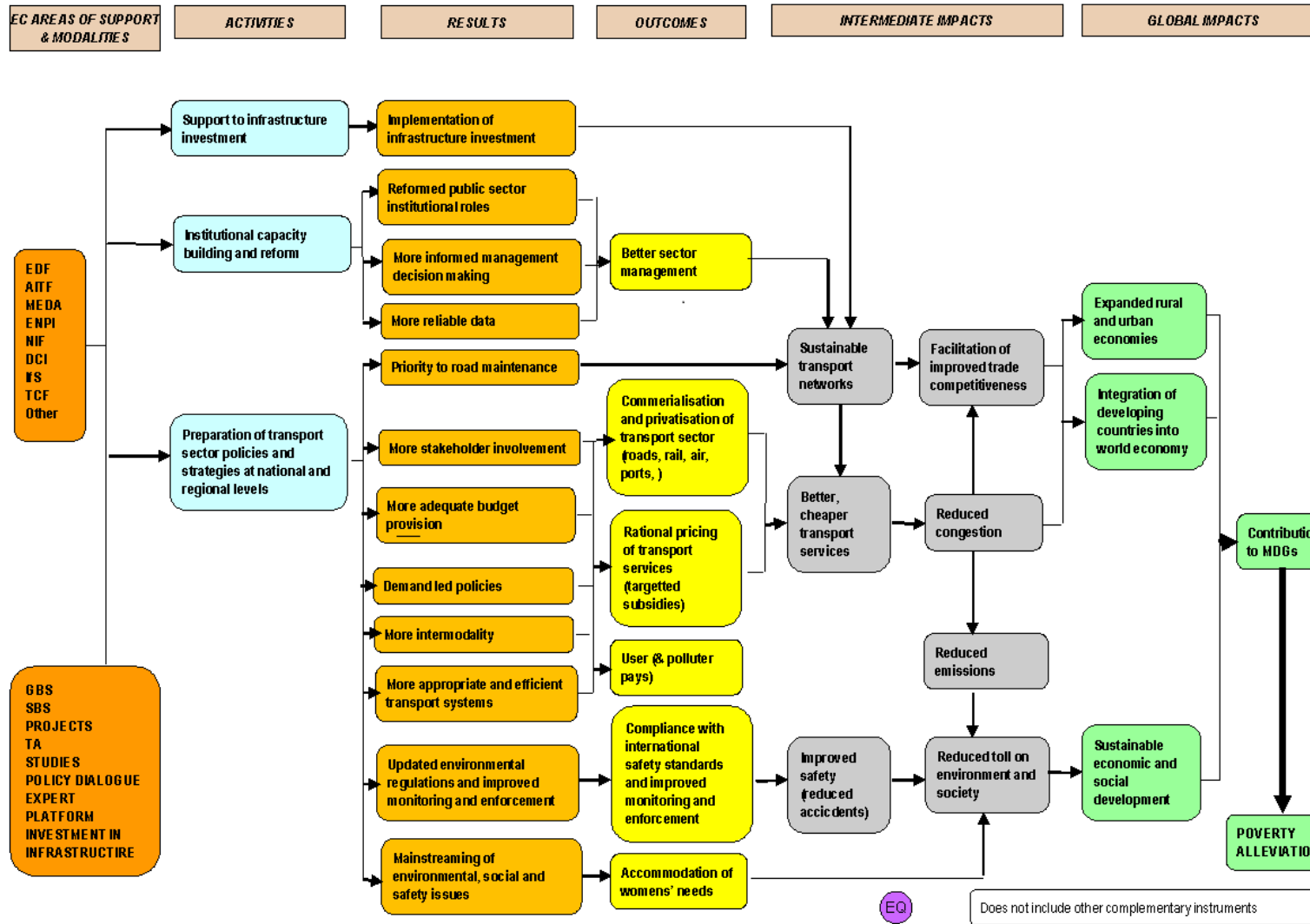
2. COM 2000 (422), Prioritizing sustainable transport in development cooperation

COM 2000 concentrates upon sector support mainly at national level developing and emphasizing the sectoral approach for all transport modes that was first set out in the 1996 sector guidelines 'Towards Sustainable Transport Infrastructure: A Sectoral Approach in Practice': EC, DGDEV (albeit that almost all support was in fact to roads). It is understood that COM 2000 was expected to shape implementation of EDF 9 programming and implementation, being made available (in a pre-approval draft format) to inform preparation of EDF 9 CSPs/NIPs and RSPs/RIPs. Unlike subsequent Communications, only three activity groupings were identified (infrastructure investment; capacity building and maintenance reform; and preparation of national and regional transport sector policies.⁵¹)

Differentiation between identified 'outcomes', 'intermediate impacts' and some 'global impacts' is not clearly described although expected impacts may be summarized as including expanded rural and urban economies, 'integration of developing countries into world economy', sustainable (social and economic) development by way of 'sustainable transport networks' (thus facilitating improved trade competitiveness) 'better transport services' (leading to reduction of emissions and congestion, also contributing to facilitation of competitiveness plus reduced negative environmental and social impacts). The overall target/global impact is 'poverty alleviation'.

⁵¹ although mainstreaming of cross cutting issues is arguably as much 'activity' as 'result'.

MAIN ISSUES OF 'FAITHFUL' INTERVENTION LOGIC
COM 2000 PROMOTING SUSTAINABLE TRANSPORT IN DEVELOPMENT COOPERATION



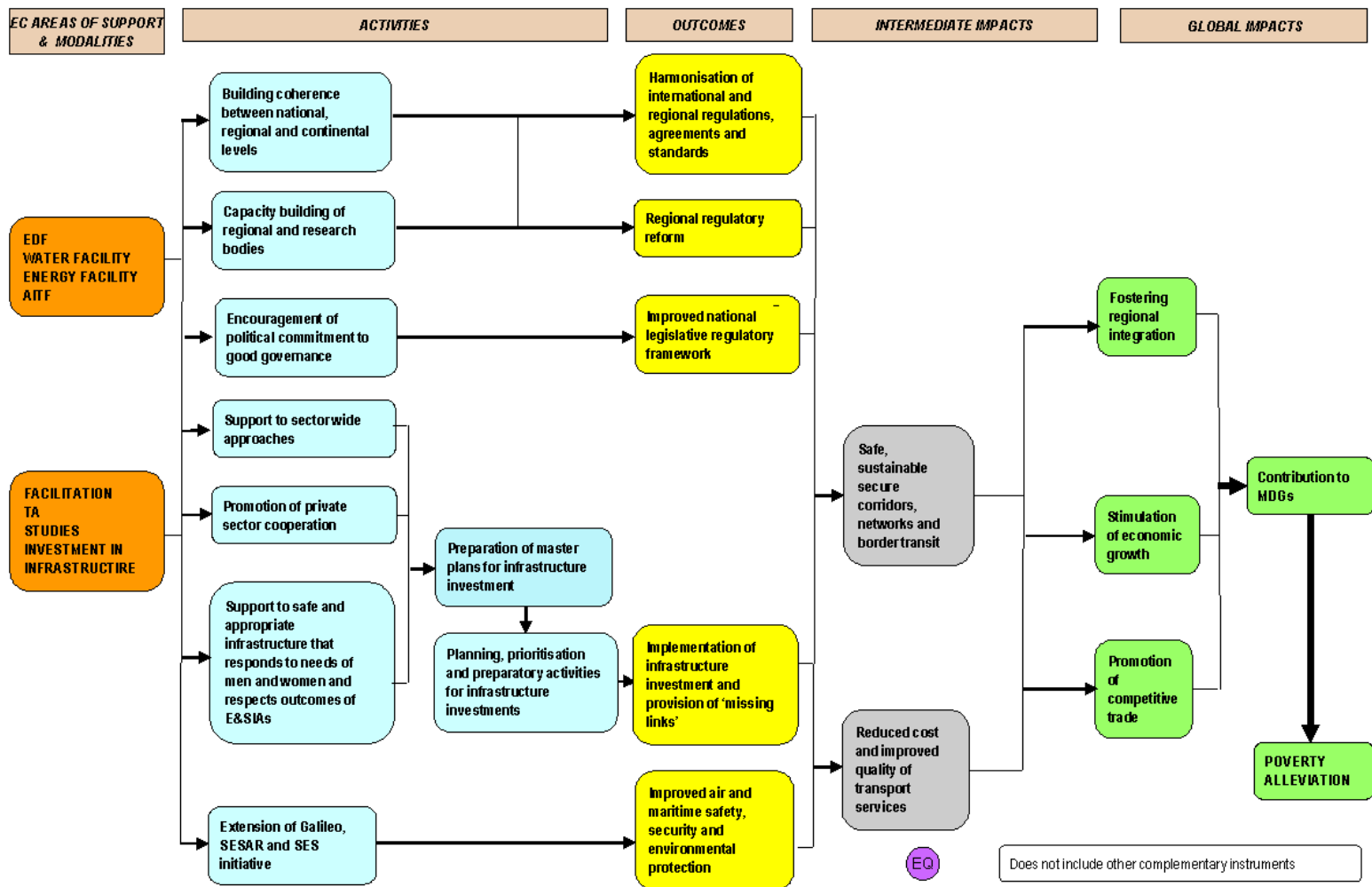
3. COM 2006 (376), Inter-connecting Africa: THE EU-Africa Partnership on Infrastructure

COM 2006 marks a shift in transport sector support from national focus to concentrate on regional linkages whilst considering not only transport infrastructure but also the water and energy sectors. It is understood that COM 2006 was expected to be taken into account in preparation of EDF10 CSPs/NIPs and, especially RSPs/RIPs and thus EDF10 programming and implementation of EU-sector support. Transport sector support objectives include removal of barriers to free movement of goods and people by way of better transport services, better operated and maintained transport infrastructure along trade corridors and facilitation of cross-border movements.

Although some specified activities are a combination of activities identified in COM 2000 (e.g. capacity building, infrastructure investment and preparation of master plans for investments) these have been widened to include promotion of private sector, encouragement of good sector governance (through increased policy dialogue) , greater coherence between regional and national levels and concentration on SWAp.

Intermediate impacts continue to include 'better transport services' (in terms of better quality and reduced costs), whilst 'better transit of borders and trade corridors' (in terms of safety and security of corridors, including transit of international borders) is introduced, leading to fostering of regional integration, stimulation of economic growth and promotion of competitive trade. Poverty alleviation continues to be the targeted 'Global Impact' (with contribution to MDGs).

MAIN ISSUES OF 'FAITHFUL' INTERVENTION LOGIC (- TRANSPORT ONLY)
COM 2006 INTERCONNECTING AFRICA: THE EU-AFRICA PARTNERSHIP ON INFRASTRUCTURE

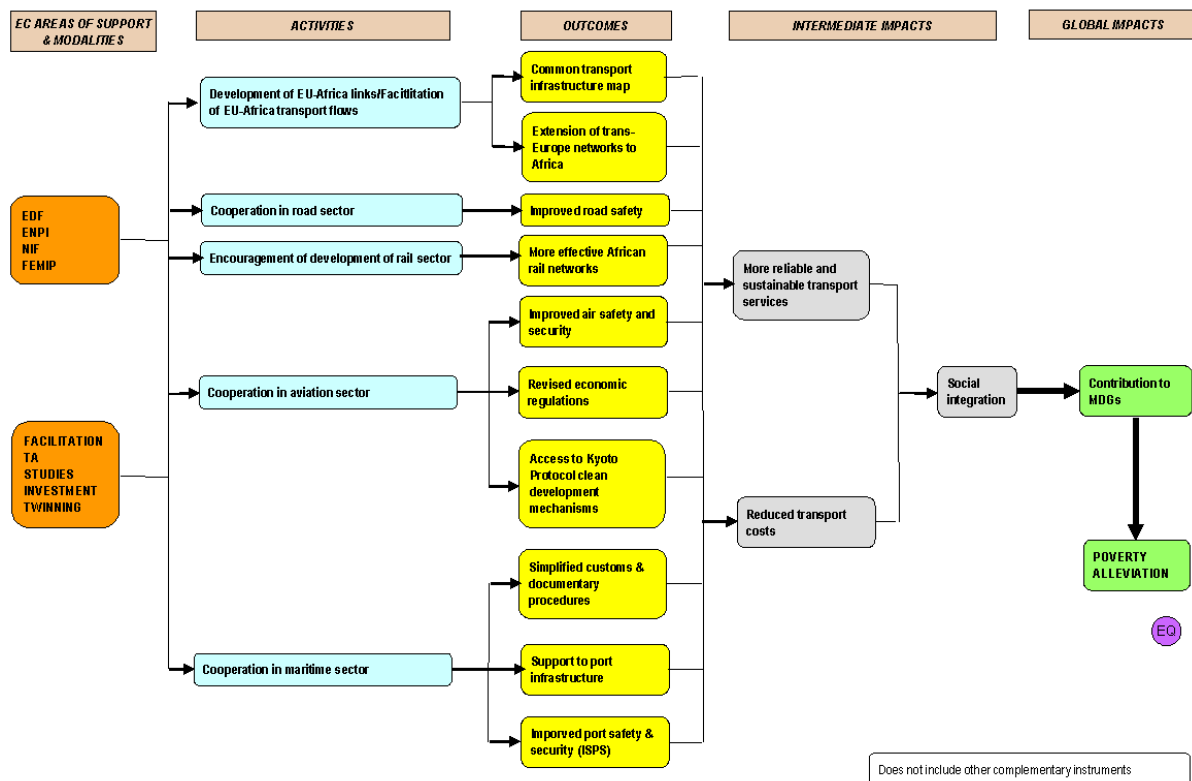


4. COM 2009 (301), Connecting Africa and Europe: working towards strengthening transport cooperation.

COM 2009 which is linked to the EU-Africa Infrastructure Partnership concentrates on development of EU-African transport links whilst explicitly noting cooperation in all transport sectors. Intermediate impacts expected are more reliable and sustainable transport services and reduced transport costs leading to social integration and thus to poverty alleviation (including contribution to MDGs). Is it understood that this Communication aims largely (but not entirely) at cooperation with the Neighbourhood South countries of North Africa it is not clear at this stage whether the Communication was intended to influence implementation of EDF 10 programmes.

For the first time EU experience in cross-border trans-European networks is explicitly identified as an 'EU added value'.

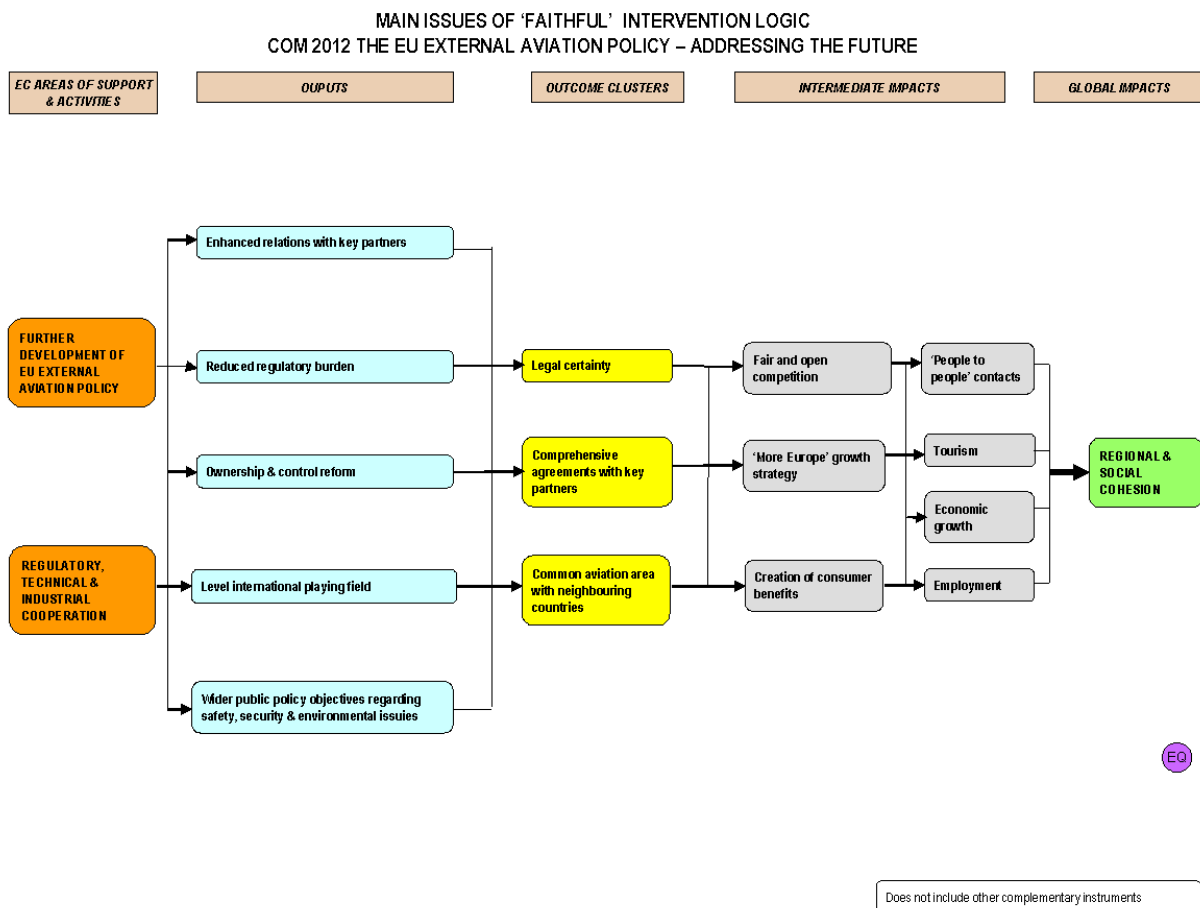
MAIN ISSUES OF 'FAITHFUL' INTERVENTION LOGIC
COM 2009 PARTNERSHIP BETWEEN EU & AFRICA – CONNECTION AFRICA & EUROPE:
WORKING TOWARDS STRENGTHENING TRANSPORT COOPERATION



5. COM 2012 (556): The EU external aviation policy: addressing future challenges

This Communication is something of an ‘outlier’ as it deals exclusively with a single transport mode (i.e. aviation) whilst the other Communications identified in the ToR cover all transport modes⁵² and it is actually an update of COM (2005) 79: Developing the Agenda for the Country’s External Aviation Policy.⁵³

The output clusters of COM 2005 (legal certainty, comprehensive agreements with key partners and common aviation areas with neighboring countries) are unchanged in COM 2012. Multiple expected intermediate impacts of COM 2012 (fair and open competition; ‘more Europe’ growth strategy and creation of consumer benefits leading to ‘People to People’ contacts; tourism, economic growth; and employment) contribute to a global impact of regional and social cohesion. This Communication is singular in not identifying poverty alleviation as a global (overall) impact, nor making reference to MDGs.



⁵² albeit that over 90% of EU support was actually to roads.

⁵³ COM (2005) is not identified in the ToR

6. Combined faithful Intervention Logic (COM 2000, COM 2006, COM 2009 – Road Sector Support Only)

The 'combined faithful' IL is presented below in a series of colour-coded columns from left to right. Linkages are represented by arrows.

- Assumptions are presented at each stage; although yet to be confirmed it is understood that a number of assumptions have not been fulfilled (to be confirmed by EQs).
- EU areas of support and modalities are presented in the left-hand column (orange).
- EU activities are presented in the second column (blue).
- Results are presented in the third column (brown).
- Outputs are presented in the fourth column (yellow),
- The fifth column lists Intermediate Impacts (grey), which lead towards expected 'Global Impacts' which is sub divided into two columns as there is some degree of consequential linkage.
- The fifth column on the right side of the chart (green) is sub-divided into two parts and details intended direct and indirect Global impacts (although impacts are not necessarily designated in such a way in EU policy documents). EU interventions appear to contribute more immediately to direct impacts. Concentration is on regional integration, integration of developing countries into the world economy and sustainable economic and social integration and development. Linkage to aggregate Global impact is expected to only be generated in the longer term.
- The ultimate objective is 'Poverty Reduction' but, although there are other impacts mentioned in EU policy documents, the preceding impacts appear to be the actual end of the chain of results.

The "combined faithful" IL is focussed on roads in SSA.

'Combined faithful'⁵⁴ Intervention Logic

This 'combined faithful' Intervention Logic can be taken as a summary of the intentions upon which EU support interventions were programmed. Given the varying scope and evolution of the successive Communications (i.e. national focus [COM2000] – inter/intra Africa [COM 2006] – Africa/EU linkages [COM 2009]), some simplification of stated results, outcomes and impacts has been made to remove duplication and hopefully clarify presentation without any explicit intention of ex-post rationalization of what was actually done. The draft 'combined faithful' IL is meant to be an accurate representation of the intentions of the combined communications.

Not surprisingly this combined faithful IL has the widest ranging scope of activities (facilitation of national, regional, continental and inter-continental linkages; infrastructure investment, promotion of private sector; sectoral approach; capacity building; institutional reform; transport services on efficient corridors; reduced transport costs; environmental benefits; easier border transit; facilitation of trade competitiveness) lead to global objectives, integration of African countries into the world economy; economic, regional and social integration and development), which are supposed to contribute to poverty alleviation.

Narrative of 'combined faithful' IL

Activities

Many of the activities are an integral part of the sectoral approach to EU sector support having roots in COM2000 and the preceding guidelines – promotion of private sector cooperation, encouragement of political commitment to good governance, institutional

⁵⁴ i.e. combines COM2000, COM2006 and COM2009.

capacity building and support to safe appropriate infrastructure investment that responds to the needs of men and women and respects outcomes of Economic and Social Impact Analyses. Continuing investment in infrastructure provision continues the project-based approach, albeit within the current sectoral umbrella. Trans-African connectivity (building coherence between national, regional and continental levels) is stressed and widened in scope under COM2006 whilst development of EU-Africa links and facilitation of EU-Africa transport flows are in accordance with COM2009. EQ2 considers the move from project based to the sector wide approach. EQ 3 examines transport sector institutions and management whilst EQ 8 analyses selection, planning and prioritisation of EU support to infrastructure investment.

Results

All expected results are anticipated to arise from the sector-wide approach. Preparation of realistic sector policies is expected to lead to adoption of demand-led policies, more inter-modality, updated environmental regulations, mainstreaming of environmental, social and safety issues, priority to road maintenance, more adequate budget provision and more stakeholder involvement. Institutional capacity building and reform is expected to result in reformed public sector institutional roles, better data and more informed management decision making, improved monitoring and enforcement of environmental regulations and more appropriate and efficient transport systems. Planning activities for infrastructure investment are expected to result in implementation of said investment and provision of 'missing links' in national and regional networks.

Outcomes

Better sector management is expected to result from a reformed, better capacitated sector institutions and better decision making based on better data which also contribute to rational pricing of transport services. Promotion of private sector cooperation and greater stakeholder involvement should lead to commercialisation and privatisation of the transport sector (all modes) whilst reform and harmonisation of international, regional and national regulations, agreements and standards should emerge from better coherence between national and regional levels (together with national level reforms). Updated environmental regulation and monitoring is expected to lead to compliance with international safety standards and improved monitoring of enforcement plus 'user (and polluter) pays' approaches. Better accommodation of women's needs in transport services and systems is expected to accrue from mainstreaming of social issues. Finally, at continental level, a common transport infrastructure map and extension of trans-Europe networks to Africa is the expected outcome of development of EU-African links and facilitation of EU-Africa transport flows.

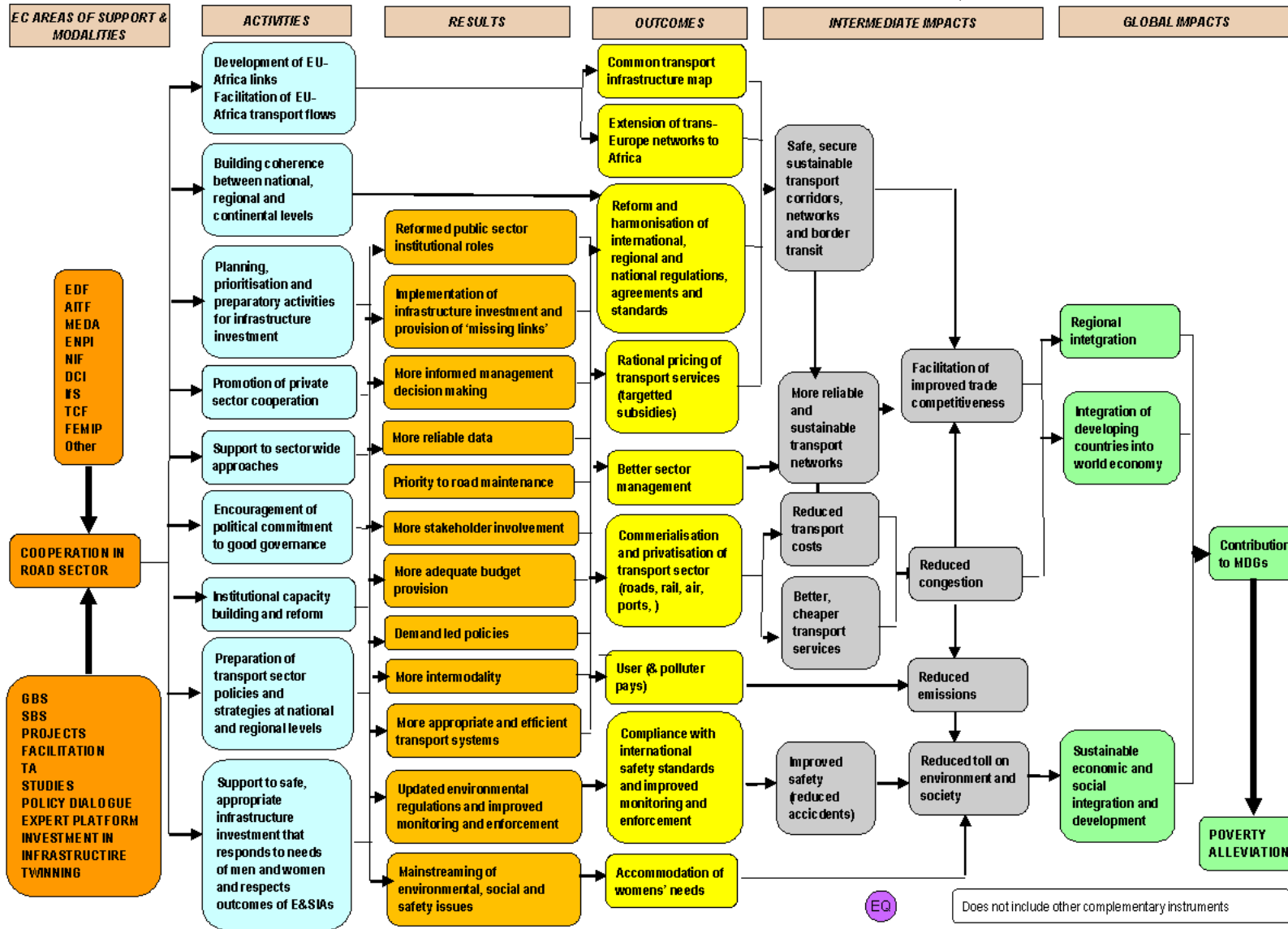
Intermediate Impacts

A number of sequential and linked intermediate impacts are expected. Facilitation of improved trade competitiveness is expected to result from reduced congestion (due to reduced transport costs and better, cheaper transport services), more reliable and sustainable transport networks and safer, secure, sustainable corridors, networks and better transit (resulting from improved international, regional and national networks, regulations, standards and agreements). Reduced toll on environment and society is expected to arise from improved safety, reduced emissions (due to reduced congestion and 'user/polluter pays' policies) and better accommodation of women's needs. EQ 4 considers infrastructure operation and maintenance while EQ 7 analyses support at regional level.

Global Impacts

Some overall impacts are expected to contribute to global objectives – contribution to MDGs and poverty alleviation. Regional integration (resulting from better transport corridor networks and border transit) contributes to integration of developing countries into the world economy thus contributing to MDGs and poverty alleviation. Likewise sustainable economic and social integration and development arising from reduced toll on environment and society (i.e. due to better safety, reduced emissions and better accommodation of women's needs). EQ 5 and EQ 6 consider the contribution of EU support to economic growth and poverty alleviation.

MAIN ISSUES OF 'FAITHFUL' INTERVENTION LOGIC - ROADS SECTOR - COMBINED COM 2000, COM 2006 & COM 2009



7. Combined Reconstructed Intervention Logic

The 'reconstructed' Intervention Logic can be taken as a representation of the intentions upon which EU support interventions were programmed. Given the varying scope and evolution of the successive Communications (i.e. national focus [COM2000] – inter/intra Africa [COM 2006] – Africa/EU linkages [COM 2009]), some simplification of stated results, outcomes and impacts has been made to remove duplication and hopefully clarify presentation without any explicit intention of ex-post rationalization of what was actually done.

The 'reconstructed' Intervention Logic as originally drafted at the workshop on the 18th March 2014 and subsequently amended, is presented below in a series of colour-coded columns from left to right. Linkages are represented by arrows. Some further guidance for interpreting that Intervention Logic:

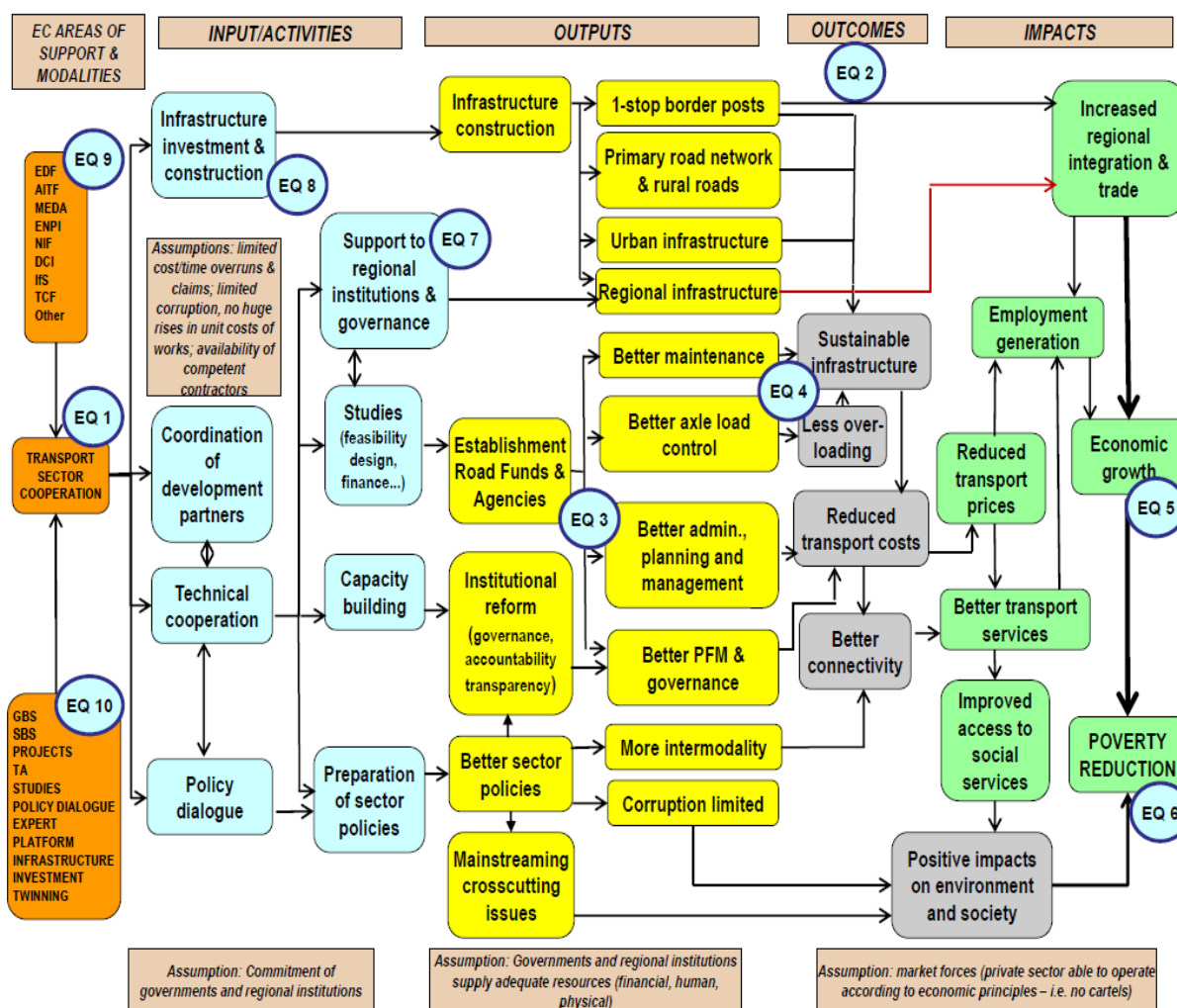
- Assumptions are presented at each stage; although yet to be confirmed, it is understood that a number of assumptions have not been fulfilled (these will be examined in EQs);
- EU areas of support and modalities are presented in the left-hand column (orange);
- EU inputs and activities are presented in the second column (blue). There is consequential linkage of some inputs and activities (e.g. technical cooperation and policy dialogue leading to preparation of sector policies) and thus there are two columns under 'Inputs/Activities';
- Outputs are presented in the third column (yellow), again sub-divided into two columns of linked outputs (e.g. establishment of new sector agencies leading to better sector management);
- The fourth column lists Outcomes (grey)⁵⁵, which lead towards expected 'Impacts'. At impact level sustainable infrastructure and reduced toll on environment and society by way of axle load control, maintenance, better transport services, sector management, etc. are all noted;
- The fifth column on the right side of the chart (green) is sub-divided into two parts and details intended direct and indirect (or overall) impacts (although impacts are not necessarily designated in such a way in EU policy documents). EU interventions appear to contribute more immediately to direct impacts. Concentration is on improved transport services, reduced transport prices, access to services and regional integration and trade all leading to economic growth. Linkage to aggregate/overall impact is expected to only be generated in the longer term.
- The ultimate objective is 'Poverty Reduction' but, although there are other impacts mentioned in EU policy documents, the preceding 'Economic Growth' appears to be the actual end of the chain of results. There is no reference to MDGs in this 'reconstructed Intervention Logic'.

The 'reconstructed' IL is clearly focussed on roads in SSA and Inputs, activities and outputs are more focussed/limited than in the 'faithful' ILs.

Overall, it can be observed from this 'reconstructed' IL, that the EU efforts are specifically focussed on accessible issues (e.g. improving sector policies, one-stop border posts (OSBPs), maintenance) rather than less 'concrete' issues (e.g. privatisation, transport pricing, enforcement of traffic regulations). This focus may in part be linked to experience

⁵⁵ The positioning of certain 'Outputs' and 'Outcomes' is arguably inter-changeable.

and qualifications of EUD personnel responsible for programme design and implementation⁵⁶.



The original 'reconstructed' Intervention Logic presented some logical and linkage difficulties in the original format. In order to clarify understanding of causal links and pathways this has been subsequently amended by means of repositioning some activities, outputs, outcomes and impacts plus a review of all linkages, but no major changes have been made to the originally identified content of the Intervention Logic.

Positioning of EQs is shown on the 'reconstructed' IL.

1. Narrative of the 'reconstructed' Intervention Logic

EC areas of support and modalities

EU policies for support to the transport sector have evolved from project approach to sectoral approach with a scope that has widened from national to regional to intercontinental horizons, whilst transiting from direct support to investment in infrastructure to considering such funding only in case commercial financing cannot be attracted. Over the same period there has been an increase in the numbers and widening of the remit of available aid modalities, cooperation frameworks, implementation mechanisms, procedures, legal

⁵⁶ Un-attributed quote to Evaluation Team Leader 2014: 'All they submit are proposals for roads.....'

instruments and resources which may be applied to EU development support. EQ1 considers the evolution of EU development policies and strategies in response to expressed transport sector needs. EQ8 examines the appropriate use of support modalities, cooperation framework mechanisms, procedures and resources. EQ 9 covers support modalities, cooperation frameworks and implementation mechanisms. EQ 10 covers EU procedures and resources.

Inputs and Activities

There are two main activities – investment and construction of infrastructure; and technical cooperation, the latter, informed by coordination with donor partners and policy dialogue, is involved with capacity building, studies, preparation of sector policies (all at national level) plus support to regional institutions. The primary assumption at this stage is that government is committed to institutional capacity building together with support and input to preparation of sector policies and studies. Similarly that regional institutions are committed to institutional support activities (assumptions are discussed below in greater detail). EQ 2 covers the move from project-based approach to SWAp; EQ 7 covers regional support; EQ 9 covers support modalities, cooperation framework and implementation mechanisms; EQ 10 covers EU procedures and resources.

Outputs

There are a number of sequential and linked outputs:

- Infrastructure construction includes OSBPs, rural, urban and regional infrastructure (the latter is also an output of support to regional institutions). Relevant assumptions at this stage are: limited cost/time over-runs and claims; limited corruption; unit costs of works not subject to huge increases; and availability of competent contractors (see below also);
- at national level, studies and capacity building lead to institutional reform (including issues of governance, accountability and transparency) and establishment of autonomous national road agencies and road funds, leading in turn to improved PFM, sector governance, management, planning and administration, which could deliver better axle load control and maintenance. Assumptions at this stage are: governments and regional organisations are committed not only towards institutional support activities, capacity building and institutional reform but also towards providing adequate support in terms of financial, human and physical resources;
- improved sector policies lead to more interconnectivity, mainstreaming of cross-cutting issues (gender, environment, climate change, health, HIV/AIDS, safety and security) and anti-corruption measures. Again the assumption of commitment of partner governments and regional organisations is key to effective delivery. EQ 3 covers transport sector management.

Outcomes

Infrastructure provision, better maintenance and better axle load control contribute to more sustainable infrastructure, which in turn leads to better connectivity and reduced transport costs. Reduced transport costs are also an outcome of better sector management and governance whilst more inter-modality also contributes to better connectivity. There are continuing assumptions of commitment of partner governments and regional organisations as regards provision of adequate financial, human and physical resources but also in terms of empowerment of new sector institutions. Also the assumption of private sector involvement according to economic principles (ie no cartels) now becomes relevant. EQ 4 covers infrastructure operation and maintenance.

Impacts

Reduced transport costs and better connectivity lead to reduced transport prices, while improved transport services in turn lead to improved access to services and thus to positive effects on environment and security (mainstreaming of cross-cutting issues and fighting corruption also contribute to this goal).

Infrastructure provision (at national and regional levels) and more assured sustainability of this infrastructure leads to increased regional integration and trade, economic growth and poverty reduction (overall objective). Activities and outputs are subject to assumptions regarding effectiveness of implementation of support, political and partner government commitments etc. EQ 5 covers economic and social development; EQ 6 covers contribution to poverty alleviation.

Assumptions

Assumptions have been identified in the intended change processes described in the above narrative. It is understood that a number of these assumptions have not been fulfilled.

- **Limited cost/time over runs and claims.** All sector donor funding agencies have suffered cost and time over-runs on construction contracts, some of which may be directly attributed to poor design and weak site investigation practises. Claims may arise from those design weaknesses but could also be part of a cynical bidding policy by some firms⁵⁷ confident in their ability to successfully pursue additional claims later on. Weak supervision, lack of experience/understanding on the part of the national contracting agency and selection of a contractor without the requisite capability can also be factors causing cost and time overruns (see also 'corruption' below).
- **Limited corruption**⁵⁸. Although most obviously linked to procurement irregularities (e.g. flawed contract award process; 'commission' payments) this issue can affect most stages in the contract cycle (approval of substandard works for payment, falsification of measured quantities, 'signature fees' for certification of Interim Payment Certificates (IPCs), approval of unjustified claims and/or extension of contract period, non-application of liquidated damages and so on). Various measures have been taken to mitigate such activities with varying levels of success.⁵⁹
- **Availability of competent contractors.** Fewer European construction firms are operating in SSA nowadays compared with say, a decade ago⁶⁰. This withdrawal has been due to the aggressive entry of 'cheaper' firms (e.g. China, RSA⁶¹) whilst also finding the difficulties of doing business in Africa increasingly onerous (and less profitable). Contractor capacity has become an increasing issue with greater numbers of contracts being awarded to national firms which generally lack the capacity which international contractors have.
- **Unit costs of works not subject to huge increases.** This is an issue which has been subject to a number of studies which have identified myriad reasons for large increases in tender prices but have (usually) not identified effective mitigation measures. The construction market in many SSA countries, particularly in the areas of road construction and maintenance, has experienced a rapid increase in prices during the past decade, whose explanation is not straightforward and can be partly attributed to international factors. In the last decade tender prices, in particular for periodic maintenance, rehabilitation and new construction of paved roads and bridges, have been perceived as

⁵⁷ (i.e. bid cheaply, win the job and claim for profits).

⁵⁸ Corruption is always likely given large value contracts. This assumption could also be expressed as 'levels of corruption are not high enough as to disrupt support programmes or seriously threaten value-for-money of sector support'.

⁵⁹ The author is aware of very few successful prosecutions for such activities.

⁶⁰ Although in recent years, European countries suffering from economic woes which have seriously affected the domestic construction market, have again started 'exporting' construction firms to SSA (e.g. Portuguese firms (re) establishing in Mozambique and Angola).

⁶¹ Although many RSA firms withdrew having been awarded 'easier' and more lucrative contracts in RSA with preparation for the World Cup in RSA, some of these firms are now returning to the wider SSA construction market.

very high. Tendered prices can be up to triple the engineer's cost estimates, thereby complicating budget planning and donor funding.⁶²

- **Government and regional institutional commitment to supply adequate resources (financial, human, physical).** Government commitment has often been equivocal. Institutional reform has been slower than expected (although there has been undoubted progress) and often not accompanied by corresponding changes in staffing structures, conditions of service, empowerment or decision making processes. Political involvement in what should be technical procedures continues. Allocations to operation and maintenance remain inadequate in many countries even as GDP increases.
- **Market forces (private sector to operate according to economic principles i.e. no cartels).** Cartels continue to be strong in many countries often with political support/protection. This situation is especially extant in road freight haulage.⁶³

⁶² e.g. in Mozambique over the ten year period 2000 - 2010 contracted prices increased three fold and exceeded the US CPI Index (28%) by an average of 113%. A similar situation prevails in many SSA countries.

⁶³ Examples include fixing of freight haulage rates, passenger fares or prohibition on use of foreign registered trucks or buses, punitive transit charges for foreign trucks, non-recognition of 3rd party insurance, etc.



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