



European Union

Mid Term Evaluation of the Institutional Capacity Building for the Transport Sector in Uganda

Specific Contract No 2019/406140 – Version 1

FINAL REPORT

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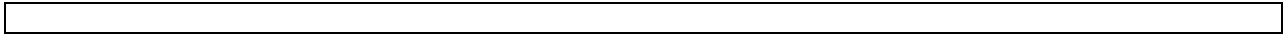
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Acronyms

ADF	African Development Fund
CAA	Civil Aviation Authority
DP	Development Partner
DEVCO	Directorate General for International Cooperation and Development
DfID	Department for International Development
DUCAR	District, Urban and Community Access Roads
CISCOT	Civil Society Coalition on Transport in Uganda
EDF	European Development Fund
EEAS	EU External Action Services
EQ	Evaluation Questions
EU	European Union
FA	Financing Agreement
GKMA	Transport Master Plan for the Greater Kampala Metropolitan Area
GTP	Graduate Training Programme
HOC	Head of Cooperation
IL	Intervention Logic
JC	Judgement Criteria
JICA	Japan International Cooperation Agency (JICA)
KCCA	Kampala Capital City Authority
MoFPED	The Ministry of Finance, Planning and Economic Development
MoWT	Ministry of Works and Transport
MTE	Mid Term Evaluation
NIP	National Indicative Programme
NTMP	National Transport Master Plan
ONAO	Office of the National Authorising Officer
PCD	Policy Coherence for Development
TA	Technical Assistance
TL	Team Leader
ToR	Terms of Reference
ToC	Theory of Change
UACE	Uganda Association of Consulting Engineers
UIPE	Uganda Institution of Professional Engineers
UNABCEC	Uganda National Association of Building and Civil Engineering
UNRA	Uganda National Roads Authority
URC	Uganda Railways Corporation
URF	Uganda Road Fund
WB	World Bank

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1. Introduction and overview

The objective of the assignment is to carry out a mid-term external assessment (Mid Term Evaluation or MTE) of the Programme “**Institutional Capacity Building for the Transport Sector in Uganda**” financed by EU Cooperation with Uganda under the 11th EDF. The total budget of the programme is €13.063.399, of which €12.000.000 is from the EDF, € 1.000.000 is from the Government of Uganda and € 63.399 is UIPE's contribution.

The evaluation is carried out for both **accountability** and **learning purposes**.

In consideration of its mid-term nature, the Evaluation will focus on processes and results (outputs and outcomes) as well as lessons and recommendations for the follow up. **Lesson learning** will address a) lessons for a positive conclusion of the programme, including for achieving sustainability and b) lessons to inform future transport sector Cooperation strategies.

The **legal scope** of the evaluation is defined by the 11th EDF instrument (with Cotonou Agreement and Annexes), the Programme Financing Agreement (FA) and contracts signed under the FA (service contracts for TA and grant).

The **temporal scope** is framed by the starting date of the service contracts (8 December 2017) to mid-way their implementation (May 2019).

Main users of the evaluation are beneficiary institutions Ministry of Works and Transport (MoWT), Uganda National Roads Authority (UNRA), Uganda Road Fund (URF), Uganda Institution of Professional Engineers (UIPE), transport sector stakeholders including the private sector, transport services final users, National Authorizing Officer (NAO), EU (Delegation, Directorate General for International Cooperation and Development (DEVCO) and European Union External Services (EEAS) and Development Partners (including World Bank (WB)).

Following a Framework Contract Request of Services¹, the contract was awarded to RAMBOLL - NIRAS (24 April 2019).

Field activities started on 27th May with the arrival in Kampala of the Team of three experts:

- Team Leader: Mette Visti
- Evaluation Specialist: Moses Murungi Nkojo
- Evaluation Specialist: Seamus Cleary
- Evaluation Specialist: Paolo Scalia – Paolo Scalia is stepping in instead of Seamus Cleary, who has health problems. Paolo Scalia knows the programme from Quality Assurance

This report constitutes the findings, analysis, conclusion and recommendations of the Evaluation.

The draft report was presented to the Reference Group on 2nd July and following Reference Group (RG) feedback a Draft Final Report was submitted on 9th July.

¹ Request for Services No. 2019/406140

2. Methodology and Approach

The purpose of the evaluation is to provide the EU with an independent analysis of its programme to strengthen the capacity and the institutional structures of the transport sector in Uganda, using the DAC evaluation criteria and the specific EU criteria.

An evaluation framework including 7 EQs and Judgment Criteria was agreed with the Reference Group during the inception phase.

Quantitative and qualitative methods were used to gather information about EQ and JCs:

- Documents review (see list of document consulted in Annex 3)
- Interviews with stakeholders (see list of interviews in Annex 4)
- Focus Group discussions
- Survey supported by electronic questionnaire
- Exchanges with the Reference Group and stakeholders

The MTE has substantial experience working with and evaluating capacity development. Organizational and individual capacity development assessment was informed by methodological guidance issued by the World Bank² and the analysis of the following parameters related to capacity development:

- Raised awareness
- Enhanced knowledge
- Enhanced skills
- Improved consensus and ability to enter into team work
- Strengthened coalitions
- Enhanced networks across staff and stakeholders
- New implementation know-how gained under the programme

3 Evaluation Findings for Evaluation Questions and Judgment Criteria

3.1 Relevance

EQ 1 - Relevance

To what extent is the Transport Sector Institutional Capacity Building Programme relevant to the needs of beneficiary institutions and organizations and aligned to national goals (NDPII) and EU Cooperation objectives?

Summary answer

The programme responds well to the needs and priorities of the sector and of the 3 targeted institutions (MoWT, UNRA and URF) (JC1).

The relevance to private sector competitiveness needs is supported by skill development result (not yet implemented); however the component relevance has been significantly diluted by changing the specific objective from "*increased competitiveness of the local construction industry*" (Financing Agreement) to "*increased relevance of UIPE to its members and partners and increased influence with stakeholders*": the support, largely focused on UIPE, bears less relevance to the private sector needs to sharpen its

²World Bank Institute; Guide to evaluating Capacity Development Results. WB December 2012, <http://documents.worldbank.org/curated/en/352241468163166112/pdf/762800WP0Box370evaluation0Results00.pdf>

competitiveness. Also the design and implementation of the component have a weaker relevance to the priorities set by the financing agreement (JC1). The change of focus finds its rationale in the preparation process and the decision to support UIPE as the component implementing partner. The evaluation could not find evidence that the Component design was built on private sector competitiveness assessment. Results related to UIPE support are not explicitly linked to competitiveness of the local transport industry. (JC1)

The Evaluation Team found full alignment of the goals of capacity development of the transport sector and with the priorities as expressed by Vision 2040 and NDPII (JC2).

The Institutional Capacity Building Programme is also fully relevant to EU Cooperation Goals defined by the National Indicative Programme with Uganda and is well aligned to major policy statements and international commitments of the EU (JC3).

JC1.1 The Programme responds well to sector and 4 beneficiary institutions needs and priorities.

The evaluation evidences a consistent relevance of the intervention to the needs of the transport sector institutions and specifically of MoWT, UNRA and URF.

The relevance to private sector competitiveness needs is supported by skill development result (not yet implemented); however the component relevance is weakened by results meant to strengthen UIPE and this result is not explicitly linked to the competitiveness of the local transport industry. It is assumed that this will increase the competitiveness of local transport industry.

The analysis of relevance to sector needs is based on the evaluation team's review of the pertinence of the design, including the definition of contractual deliverables expected for each component³. The following paragraphs discuss the relevance of the programme for each of its four Components.

3.1.1 Relevance to needs of MoWT

The capacity development services to the Ministry are intended to support its strategic planning and oversight in order to support the vision of developing a multimodal transport sector by reviewing the National Transport Master Plan (NTMP)⁴. The aim is to balance construction and maintenance.

In addition, in response to the WB's provisional intermediary decision to suspend financing to the country's transport sector, GoU recognized the need to integrate environmental and social safeguards into sector plans and policies. TA services have been relevant to these priorities.

TA services deliverable for Phase 1 have been highly relevant for the needs of overall planning of the sector. **The overall objective of the support** is to improve the transport sector in terms of sector governance, planning, implementation and sustainability of infrastructure. The **purpose of the contract** is to strengthen the capacity of the MoWT in gender responsive strategic planning and oversight in a multimodal transport environment, contributing to an appropriate investment-maintenance mix, climate change mitigation and building climate resilience of the sector.

³ The Logical Framework for the Programme is discussed in Annex 10

⁴ ToR for TA to support MoWT, Phase 1 p 7

Objective and purpose are only partially reflected results to be achieved by TA services, which for Phase 1 are focused on the Mid-term review of the sector's performance against the NTMP/GKMA (2008-2023)⁵.

Phase 1 review findings of NTMP/GKMA 2008 to 2023 indicate high relevance of its many policy objectives across all modes of transport covering road, rail, air, waterways, GKMA and oil pipeline⁶. The pertinence to the programme specific objective could have been strengthened by a more explicit and deeper participation of stakeholders and by including specific capacity building deliverables for strategic planning.⁷

Deliverables expected for Phase 2⁸ are expected to address accrued participation and capacity development.

3.1.2 Relevance to needs of UNRA

Programme services are highly relevant to UNRA needs. The TA is going to strengthen the ability of UNRA to maintain and expand the road network financed under the 8th, 9th, 10th and 11th EDF. Specific goals set for the Component are:

- Improved delivery of road projects
- Development of a culture of excellence with focus on individual accountability for results in UNRA⁹.

The relevance to needs has been heightened by the consultation of the need assessment with UNRA management, who supported the identification of a range of areas in need of capacity development and the definition of expected deliverables. Needs for capacity development in these areas are confirmed by the WB study of UNRA¹⁰.

Relevance to UNRA needs is strengthened by several factors:

- UNRA is a modern organization and the staff are interested in and willing to learn.
- The evaluation found evidence of management commitment in receiving training and TA support.

The contractual deliverables expected from UNRA support (see box 1 below) have been assessed as fully relevant to objectives of i) improved capacities (both individual and organizational) ii) improved sector governance, iii) improved institutional and individual performances and accountability and iv) improved delivery of road projects.

Box 1 – Contractual deliverables for UNRA support services

- Development of well-aligned corporate strategy and business plans, supported by balances score cards for individuals and their departments
- Establishment of a standardized M&E Framework
- Establishment of internal audit systems
- Improved procurement processes
- Improved Contract Management
- Improved environmental and social safeguards
- Improved operation and maintenance of axle load control infrastructure

⁵ToR for support to the MoWT

⁶ Review of the National Transport Master Plan including the Master Plan for Greater Kampala Metropolitan Area (NTMP/GKMA) 2008-23

⁷ The evaluation evidences that ToR for TA services to MoWT did not explicitly address the need to incorporate participatory approaches and capacity building deliverables in phase 1. The issue is to be imputed to the design of the Component.

⁸ Preparation of multimodal transport strategy

⁹ ToR for TA support to UNRA, p 5

¹⁰ Diagnostic Study of the UNRA Transformation, Draft Recommendations Report, 15. May 2019

- Tender evaluation strengthened
- Improved Land valuation
- Road development and maintenance
- Improved Claims management
- Cost estimation strengthened
- Capacity of staff developed in all above areas (Note: *TA ToRs did not specify capacity development as a specific output. This has been added by UNRA management and the Consultant to strengthen the relevance to programme goals*).

3.1.3 Relevance to needs of URF

The Programme maintains a strong relevance to URF's needs. The TA has delivered several outputs of relevance to URF, including a team building exercise which has been perceived by URF stakeholders as very relevant for strengthening cooperation in URF.

The review of the contractual deliverables expected from URF support (see box 2 below) evidences as well a good relevance to objectives of i) improved capacities (both individual and organizational) ii) improved sector governance, iii) improved institutional and individual performances and accountability and iv) improved efficiency of road maintenance (the evaluation notes however the limited direct responsibility of URF on "efficient road maintenance"¹¹.

Box 2 – Deliverable produced by URF support services (June 2019)

- Improved Data Management
- Improved Cost Estimation
- Updated Allocation Formula
- Study of Institutional and Funding Models for the URF

The relevance to the institutional needs (and the effectiveness of the support – see EQ 2) of some of these deliverables is weakened by the limited number of staff involved. The most relevant staff were selected for the training, but in most cases this was only two staff thus decreasing the relevance to long term institutional needs. It is understood that URF is a small organization, but this should have been taken into account when identifying candidates for training.

The support to URF is also aimed at strengthening the Technical Support Units (TSUs). The TSUs are planned to be rolled out to cover more than 100 District, Urban and Community Access Roads (DUCAR) Designated Agencies and benefitting the maintenance of rural roads. The need to strengthen District road maintenance has been agreed between URF and the EU from the start of the Programme. This component has been only partially implemented, but it keeps its pertinence to the needs.¹²

In order to be able to influence the dialogue on the development of URF, but also encouraged by the limited functioning of URF board and the delayed approval of TA

¹¹ URF's role is to disburse money to UNRA, KCCA and the other DUCAR DAs for road maintenance in a timely manner. As such, the current set up of URF really isn't capable of delivering "improved efficiency of road maintenance". This is largely the responsibility of the recipients of these funds.

¹² The consultant has assisted organizing a workshop in August, which will evaluate the experience from the present TSU. The agreement between EU and the URF is to set up additional four TSUs in the coming 6 months. If the plans are implemented EU will examine the need for funds for the postponed four outputs.

deliverables, it has been decided to postpone four of the outputs of the present contract and allocate the consultant to carry out a study of Institutional and Funding Models for the Uganda Road Fund to inform the policy reform process and policy dialogue in Uganda. It has been decided to postpone the acquisition of the Road Management and Monitoring System, Monitoring and Evaluation, support to Audit function and support for the Data Management. The MTE finds that this change in resource allocation and deliverables maintains the relevance of the Component.

3.1.4 Relevance to needs of Local Construction Industry in the Transport Sector to increase competitiveness

The Programme Financing Agreement defines the following objective for the fourth Component of the Programme:

"Increased competitiveness of the local construction industry in the transport sector".

However the design of TA Terms of reference changed the specific objective or outcomes of the Component to:

"Increased relevance of UIPE to its Members and increased influence of UIPE with stakeholders"

The rationale for the change builds on the assumption that strengthening of UIPE contributes to the strengthening of the private sector.

Although skills development results appear relevant to the component's specific objective, several results focus on UIPE strengthening and the evaluation mission did not find evidence of a verifiable result chain linking results for UIPE development to the specific objective of "increased private sector competitiveness"¹³.

This evidence should be founded on a private sector competitiveness assessment, defining challenges and opportunity for transport sector stakeholders competitiveness and employability. Competitiveness should be defined, also in relation to regional or international standards and project results should specifically aim to remove bottlenecks to competitiveness, leading to measurable changes in competitiveness.

The evaluation notes how two separate analyses were conducted, which led to the selection of UIPE to address the of private sector needs¹⁴. The studies evidenced that capacity development was needed to strengthen the sector. The studies recommended a continuation of the Crossroads programme with Department for International Development (DFID) focusing the second phase on advocacy through the Roads Industry Council (RIC) and access to equipment through the Cross Roads Guarantee Fund (CGF).

These studies did not specifically assess private sector competitiveness and did not orient the design of the intervention to address the private sector competitiveness.

The strategic choice to support UIPE and the decreased focus on the specific goal (private sector competitiveness) finds its rationale in the process of design of the intervention:

In 2016 it was not possible for the EUD to engage directly with the private sector. However EUD examined possibilities for implementation of the intervention through Delegation

¹³ The Logical Framework for the Programme is discussed in Annex 10

¹⁴ Ars Progetti, Consultancy Services to Identify Strategic Transport Priority projects in a Multimodal Environment, 2015, p 50 and Ars Progetti, the Final Evaluation Report of the EDF 10 Capacity Building Programme 2016.

Agreements with Pillar Assessed Organisations. Only DFID satisfied all the criteria for the transport sector in Uganda¹⁵. The EUD approached DFID to manage the programme, however, DFID decided on closing the programme, mainly due to issues on sustainability and exit strategy.¹⁶

As a result, a different leaner intervention was designed with UIPE. The rationale was the specific mandate of UIPE to support the construction sector. This compelled the EUD to orient the design to strengthen UIPE and focus on actions within UIPE's mandate.

The strategy and follow up design also built on the assumption that UIPE capacity development would contribute positively to private sector capacities. However the "private sector competitiveness" was not tackled directly through a measurable chain of results.

The evaluation finds that UIPE is an instrument (a means) and not the end of the support.

E.g. if UIPE's financial sustainability was improved, then it would give a positive outcome for the sustainability of those interventions with private sector participation. This meant that, for example, the graduate training programme, market based curricula, engineers' registration was relevant for the intervention¹⁷. UIPE became a tool rather than the goal of the intervention. Because the implementation of the intervention is much behind schedule it is difficult to analyse the immediate relevance of the support to UIPE to the private sector.¹⁸

As a startup of the support to UIPE, the consultant analyzed the capacity development needs of UIPE to strengthen the private sector needs.¹⁹

The fact that only 40% of members are up to date with their membership dues suggests that engineers perceive a low value for money for UIPE membership.²⁰ At present UIPE is not fulfilling the requirements of the engineers to be employed in the private sector and the TA support to UIPE should focus on fulfilling those needs. The TA should examine links that will strengthen the relevance of the engineers to the private sector. Many of the engineers running UIPE (in the Council) are private sector engineers, who are aware of the needs of the sector. These engineers need to be made aware of the need to open UIPE up for engineers from the private sector rather than to close it.

The MTE review of the outputs of the TA contract (see box below) shows how these are relevant to UIPE strengthening and sustainability, but lack of a verifiable link to private sector competitiveness outcomes.

¹⁵ Assessment of Working Partners for Institutional Support to the Transport Sector , FED/2016/039/149

¹⁶ Communication of the EU Delegation to the evaluation mission, June 2019

¹⁷ Financing Agreement p 5 and Contract Agreement for support to UIPE

¹⁸ Ibidem

¹⁹ A need assessment was carried out by TA services at their inception. The need assessment however covered UIPE and not the private sector and needs to increased competitiveness (Communication of EU Delegation to the Evaluation team)

²⁰ It should be noted that UIPE and membership of Engineers Registration board is compulsory for an engineer to practice in Uganda.

Box UIPE Component / TA expected deliverables

- Strengthen UIPE Secretariat and branch structures
- Developed and implementing debt collection recovering mechanism of arrears
- Improved follow-up system of UIPE member portfolio on dues and membership
- Creating a customer unit and a business plan
- Creating the requirement specifications for a data base
- Established and operationalized a communication strategy
- Secure power supply for UIPE
- Promoted UIPE collaboration with International organizations

The above measures are only relevant to private sector competitiveness if they are part of a broader strategy to give UIPE a stronger footing in Uganda and at the same time they should be part of a broader plan matching private sector priorities for increased competitiveness.

The issues of relevance are confirmed by the component's lack of definition and measurement of private sector competitiveness in Uganda

The following outputs appear directly relevant to strengthened competitiveness of the private sector, although measurability should be set and target outcomes in terms of competitiveness should be defined.

- Graduate Traineeship programme for young professionals in engineering
- Scaling up curricula for national and technical colleges and the public – relevance of these outputs should be supported by full alignment to employers and market needs;
- Implementing the Engineers Registration Enhancement Programme (EREP) – relevance also in this case should be built on private sector demands and needs.

The relevance of this second group of deliverables needs to be grounded on the alignment of the traineeship programme and curricula development to private sector needs and priorities, with clearly defined indicators of enhanced competitiveness.

The evaluation finds that relevant measures to strengthen private sector competitiveness are meant to be addressed by the programme, but due to the delay in implementation, these areas have not been touched yet. According to the third version of the Inception Report, these areas are going to be addressed²¹. They include: sector governance, policy and regulatory framework, alignment to regional and international standards and continuous training programmes for transport sector engineers.

It is important when the support to UIPE is started that these results are addressed effectively.

JC1.2 The capacity building programme is fully aligned to transport sector goals and priorities.

The Evaluation Team found full alignment of the goals of capacity development of the transport sector capacity development with the national priorities expressed for the transport sector by Vision 2040²² and NDPII²³.

²¹ Inception Report, Version 3

²² Vision 2040 identifies transport as one of the key areas to be worked in and it emphasizes human resource development as a key priority

The objectives of the development of capacity of the transport sector is also in line with the Plan of MoWT, which outlines how the capacity of staff in the sector shall be developed through training, participation and communication and other tools²⁴.

The evaluation evidenced strong involvement of Ugandan organizations in the process of design of the programme. The proposals for interventions were discussed with the targeted organizations and they had to be approved by the NAO before launching.

Civil society participated in the management of the Programme. Civil Society Coalition on Transport in Uganda (CISCOT) are members of the Steering Committee, and they discussed the interventions. Civil society is to contribute to the training to be delivered by UIPE, - through the Civil Society in Uganda Support Programme (CUSP) funded by EU contributing Euro 25 Million and the German Federal Ministry of Economic Cooperation and Development contributing Euro 1,9 Million²⁵.

EU has taken a proactive approach to the policy dialogue on the transport sector in Uganda. There may be a need for the policy dialogue to be more frequent and the dialogue to be presented more openly.

JC1.3 The Programme is pertinent to EU Cooperation goals National Indicative Plan (NIP)²⁶

The Institutional Capacity Building Programme is fully relevant to EU Cooperation Goals defined by the National Indicative Programme with Uganda²⁷.

THE 11th EDF NIP specific objectives of support for the Transport Sector were:

- To reinforce the sustainability of the national transport system, ensuring the necessary regulatory framework and applying low-cost maintenance costs in rural areas;
- To improve the development of multimodal transport network

The Institutional Support to Capacity Building of the Transport Sector in Uganda strengthens the achievements of the 8th, 9th and 10th EDFs.

The Programme is also well aligned with the following EU benchmark policy statements and international commitments:

- **EU – Africa Strategy;** The Strategy provides the framework for further developing the EU – Africa Partnership²⁸ and the Programme is aligned to the goals of the Partnership and its strategic approach²⁹.

²³ The NDPII prioritizes investments in five areas, two of them are Infrastructure development and Human Capital development.

²⁴ MoWT, National Transport Master Plan, including Transport Master Plan for the Greater Kampala Metropolitan Area, August 2009

²⁵ Launch of the Civil Society in Uganda Support Programme (CUSP), 31st May 2018, website of the Embassy on Germany in Uganda, <https://kampala.diplo.de/ug-en/aktuelles/-/2100904>

²⁶ ARES (2015)40467 07/01/2015

²⁷ The 11th EDF NIP

²⁸ <https://www.africa-eu-partnership.org/en/partnership-and-joint-africa-eu-strategy>, adopted at the second EU – Africa Summit held in Lisbon in 2007.

²⁹ The strategy is 'governed by strengthened political dialogue, co-management and co-responsibility in the bilateral cooperation and towards global issues, burden-sharing and mutual accountability, solidarity and mutual confidence, equality and justice, common and human security, respect for international law and agreements, gender equality and non-discrimination and, not least, along-term approach'.

- **EU Agenda for Change;** The Agenda second pillar is “Inclusive Sustainable Growth” and perceives transport development and regional integration as critical, particularly for landlocked countries like Uganda.
- **Communication, A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries**³⁰, placing support to private sector in development at the forefront of the EU’s approach, at the same time as committing the Commission to a deeper engagement with both local and European businesses to achieve impactful development outcomes. This approach promotes the use of innovative mechanisms to encourage greater international private financial in development, in support of Agenda 2030 and the post-2015 Sustainable Development Goals (SDGs).

The evaluation evidences that the relevance to the “Private Sector Communication” needs to be strengthened by a redesign of the 4th Component of the Programme.

3.2 Effectiveness

EQ 2 - Effectiveness

To what extent is the Transport Sector Institutional Capacity Building Programme achieving results of capacity building for MoWT, UNRA, URF and UIPE? And to what extent is the capacity building contributing to the improvement of institutional performances and public services?

Summary answer

The intervention contributed to increased capacities for the three institutions (MoWT, UNRA and URF). The Programme supported MoWT strategic planning, with a MTR of the National Transport Mater Plan including Transport Master Plan for the Greater Kampala Metropolitan Area (NTMP/GKMA 2008-2023). UNRA support was the most effective Component and highly appreciated by the beneficiary organization. Important deliverables included support to M&E, unit cost estimation and improvement of processes of managing contract claims. URF TA services included deliverables related to road maintenance monitoring, performance reviews, specific trainings e.g. on human resource management and support to visibility and communication and updating the allocation formula (JC1). Support to private sector competitiveness lacked effectiveness in consideration of inadequate design, weak relevance and poor performances (JC1).

Positive factors that contributed to the effectiveness of the Institutional Components include ownership and commitment both at senior and middle management levels. The review of the NTMP/GKMA (2008-2023) in MoWT identified as an important strong point that the masterplan covered the whole transport sector and all stakeholders. The weak points of the masterplan included:

- There was limited awareness of the plan amongst the stakeholders, such as UNRA, CAA, KCCA, and URC
- The masterplan did not take into account the most recent tools and development, for example the revised MoWT transport policy
- The masterplan did not give criteria to be taken into account when making investments, and it can’t be used for this purpose³¹.

³⁰ COM(2014) 263

³¹ Review of the National Transport Master Plan including the Master Plan for Greater Kampala Metropolitan Area (NTMP/GKMA) 2008-23

Factors which constrained the effectiveness are: i) limited focus during Phase 1 on MoWT human resources and organizational development, ii) insufficient focus on the overall outcomes from the Financing Agreement, iii) need to reinforce complementarities across components, iv) limited depth of the participation of MoWT and v) TA supporting the Ministry was not working within the Institution. Institutional commitments have not always been complied with, including the launch of the agreed financing of additional TSUs by the MoFPED as per EU financing Agreement. Policy dialogue needs to be reinforced to establish a conducive and sustainable transport sector institutional environment. (JC1)

At level of organizational performances the evaluation found evidence of positive improvements in UNRA, but the MTE could not gather evidence of quantitative changes in MoWT and URF. This assessment is made in consideration of lack of measurability at intermediate outcomes and impact level (JC2). Stakeholders' perceptions point to positive changes, related to strategic planning, project delivery, road maintenance and performance management (JC2)

Capacity development also supported an increased awareness of gender equity and environmental impacts. Capacities for improved governance have been enhanced thanks to improved processes and mechanisms (i.e. M&E systems) (JC2).

JC2.1 Programme support strengthened individual and organizational capacities for the 4 targeted institutions

The intervention contributed to increased capacities for the three institutions (MoWT, UNRA and URF).³² The MTE found that management and staff are more aware of the roles and responsibilities within each organization. The staff are prepared to play this role and they respect the role of the other organizations and their staff. The capacity development has focused on technical outputs and transport sector capacities and training has been linked to the outputs. A list of outputs for each of the components is included in Annex 8.

The Programme effectiveness across the three institutions was also supported by a good level of ownership and, to a variable extent, of participation in TA services.

The Programme support at middle management level is to be considered as a positive factor contributing to the effectiveness of institutional capacity development, as managers at middle level will move up in the hierarchies and will influence the sector in the future.³³

All outputs have been reviewed, discussed and approved by the organizations, although in some case the level of participation of Ministry staff could have been deeper.

The Ugandan partners were involved in the design of the Programme and the interventions designed to develop the capacity of their organization. However partners apparently feel less bound by these agreements than what would be expected. The partners need to be reminded of the agreements made.

Factors, which constrained the effectiveness, include:

- i) Although capacity development at sector level is something frequently wanted there is limited shared experience on such intervention.

³² Finding supported by review of Programme deliverables, interviews with stakeholders and Technical assistance and analysis of perceptions of institutions' staff and management.

³³ As an example in UNRA a stronger middle management shows strengthened communication and proactive management skills in communications and in meetings.

- ii) It is surprising that the 13 M EUR capacity development programme did not recruit a full time capacity development expert. The private sector component design was not founded on the needs and priorities for private sector competitiveness. Design did not support result orientation and measurability.
- iii) Limited focus, during Phase 1, on MoWT human resources development; the limitation is to be related to the design of the intervention which does not explicitly address capacity development of staff: the Terms of Reference for MoWT set as the overall objective to improve sector governance, planning and implementation, but the TA in Phase 1 did not specify capacity development activities, outputs and deliverables³⁴.
- iv) Limited attention to measurability of outcomes; Programme design and implementation did not adequately support measurability and management by results. Particularly at outcomes (direct and intermediate outcomes) and impacts level neither the design nor the implementation could establish an adequate attention to the measurement of results and the monitoring and assessment of changes³⁵. Limited measurability and management by results hampers contributions of the Programme to goals of good governance, accountability and institutional performances. It may be that the interventions contributed to these goals, but it is not possible to measure.
- v) Limited depth of the participation of MoWT and the fact that the TA supporting the Ministry was not working within premises of the Institution. The external location of the TA contributed to limit the knowledge of the project within the Ministry and constrained interface with counterpart staff, interactions and transfer of skills and expertise, thus limiting the effectiveness of services.
- vi) Institutional commitments have not always been complied with. The financing for and launch of additional TSUs, which was agreed before the start of the support to URF intervention to support the current single pilot TSU - has not been implemented. This is partly a result of delayed release of Euro 1 million as counterpart funding from GoU for rolling out the TSUs - which was also agreed in the Financing Agreement.
- vii) An external factor which may affect in the future the institutional performances of UNRA and URF is the Cabinet Decision announcing an Institutional reform that may end the autonomy of both organizations (see also EQ 5, Sustainability). Policy dialogue needs to be reinforced to promote a conducive and sustainable transport sector institutional environment where improved staff and organizational capacities may be expressed at an optimum level.
- viii) Need to reinforce complementarities across components, including building bridges between institutional support and private sector competitiveness support, e.g. the training of road designers and supervisors by UNRA to avoid costly misunderstandings.
- ix) Civil Society and users of transport facilities were involved in monitoring and directing the Programme, through CISCOTs participation in the Steering Committee.

³⁴ Finding supported by review of TA ToR and interviews with TA, Ministry staff and EU Delegation.

³⁵ Finding supported by review of preparatory documents, financing agreement log frame, components log frames attached to TA contracts, and interviews with sector stakeholders and TA

The following paragraphs review the effectiveness of the 4 Components of the Programme.

3.2.1 Effectiveness of the Support to MoWT

Phase 1 of the Programme TA's services supported the MTR of the National Transport Sector Master Plan, a result which was completed. The findings of the review of NTMP/GKMA 2008 to 2023 indicate that the work was effective. The review found that the Ugandan transport planning was weak and lacked research in several important areas³⁶.

Phase1 review findings of NTMP/GKMA 2008 to 2023 indicate high relevance of its many policy objectives across all modes of transport covering road, rail, air, waterways, GKMA and oil pipeline³⁷.

The evaluation demonstrated the need to strengthen measurability and lack of verifiable indicators for NTMP/GKMA.

Phase 2 is expected to address measurability by incorporating a Monitoring and Evaluation Framework where indicators for the different sub sectors are harmonized:

- Although the content of the Plan is positively appreciated by transport sector institutional stakeholders, the various transport agencies use it to a limited extent³⁸.
- Content of NTMP/GKMA (2008-2023) remains highly relevant but it is not a main source for planning in the transport sector. New planning instruments have superseded the NTMP/GKMA like MoWT development Plan 2015-2020 in addition to the National Transport Policy.
- NTMP/GKMA (2008-2023) has not been fully recognized and utilized as an investment tool because it does not include investment criteria, project ID, prioritization and preparation processes.

The new NTMP (2021-2040) needs to be harmonized with all other planning instruments to become effective in guiding the development of the transport sector across all the transport modes.

Several gaps identified in the review of NTMP/GKMA (2008-2023) compromised the completeness and coverage of the plan. This resulted in the recommendation of Phase 2 to formulate a new NTMP which will, for example, give criteria to be taken into account when making investments.

The staff of MoWT were involved in selecting partners to be met and they participated when local road maintenance and construction projects were visited. Their level of participation has however been limited.³⁹

The TA presented the outcome of the MTR of the NTMP/GKMA (2008-2023) to 142 staff, which contributed to consultation and discussion shared. Management did review the

³⁶ Review of the National Transport Master Plan including the Master Plan for Greater Kampala Metropolitan Area (NTMP/GKMA) 2008-23

³⁷ Review of the National Transport Master Plan including the Master Plan for Greater Kampala Metropolitan Area (NTMP/GKMA) 2008-23

³⁸ Finding supported MTE review of sector priorities, analysis of preparatory studies, of TA ToR and interviews with key sector stakeholders

³⁹ During interviews with the evaluation team, several staff brought evidence that they perceived that the Consultant did not support adequately their involvement.

outputs of the consultant. Management also perceived that the process contributed, to a limited extent, to strengthen the capacities of the Ministry.

Nevertheless the effectiveness of Phase 1 to individual and institutional capacity development could have benefitted more if explicit work on capacity development as part of the process of the MTR had been done.

Phase 2 of Technical Assistance is intended to support the development of a National Transport Master Plan, elaborating an inter and multi-modal transport strategy for Uganda (2021-2040) and develop capacity in all the stakeholders around these transport aims. Capacity building of counterpart staff has not yet started. On 4th July 2019 the MoWT wrote to COWI that 33 staff had been nominated to work with COWI on phase 2. 28 staff are from MoWT, two are from UNRA, two are from the Civil Aviation Authority and one is from Uganda Railways Corporation.⁴⁰ The availability and participation of these staff is one important factor to secure the effectiveness of Phase 2.

3.2.2 Effectiveness of the Support to UNRA

This component demonstrates the highest level of effectiveness of the Programme. The TA has completed a number of contractual deliverables, with more underway. Institutional ownership and a good level of management participation and commitment contributed positively to the effectiveness of TA services⁴¹.

MTE team received evidence that UNRA is highly satisfied with the delivery of technical assistance ⁴², including the consultant's long- and short term contributions, which have been perceived as highly relevant to UNRA core functions. Key to this satisfaction has been with the delivery of the following products and services:

- ✓ Business Unit and UNRA business strategic plan have been developed and international benchmarking visits carried out in UK.
- ✓ Unit cost estimation tools were developed and are running on a database to generate historic costs. This means that managers on their computers can find the cost of a given item and see how it has developed over time. At the same time user-friendly manuals have been developed. This deliverable is supporting transparency, good governance and cost effectiveness of the transport sector.
- ✓ Mechanisms for managing claims were developed and training in their application provided.
- ✓ As part of the STE's capacity building activities, the consultant supported UNRA internal Claims Committee in claims reviews for the Northern Bypass and Kamwenge road upgrading projects and successfully made substantial savings (UGX 4.5 billion on Kamwenge road) and resolved long standing claims disputes in respect of the Northern Bypass. This result is very important and contributed to improve the recognition of value for the TA in the organization.

⁴⁰ Written communication from the MoWT to the MTE..

⁴¹ During interviews with UNRA and TA the evaluation gathered evidence that UNRA management was involved in defining TA inputs and design of services; according to the TA the UNRA representatives sometimes have difficulty in identifying the professional profile of the assistance they need, for example the TA has to explain to them that road maintenance and social analysis requires different kinds of specializations

⁴² Perception analysis carried out by the evaluation team as part of the interviews of UNRA Component stakeholders

- ✓ The Monitoring and Evaluation framework is nearly complete for presentation to the Senior Management Team. The monitoring system encompasses personal and departmental performances. Also the M&E framework is supporting good governance and management by results, while optimizing lesson-learning capacities. As part of the strengthening of M&E, balanced score cards have been introduced to monitor individual staff and their Departments feeding in to the overall monitoring of the organization.
- ✓ Support to land acquisition, a major source of claims.⁴³

Capacity development activities within UNRA promoted complementarities and “overlaps” across the different result areas evidencing the organizational focus of TA services⁴⁴.

Box – Best practices

Amongst best practices should be evidenced the capacity development approach of organizing working groups around each of the result areas, enabling the staff to discuss and share lessons learned.

Annex 6 gives an overview of the training performed by the TA for UNRA. The MTE notes that for example the training on business development and assistance and training in improving the cooperation between directors as particularly relevant to strengthen the performances of UNRA.

The WB is implementing a study about the role of UNRA in the transport sector. The MoWT and the MTE believes that this study is going to feed into the debate about the future transport sector structure⁴⁵.

3.2.3 Effectiveness of the Support to URF

The TA services focused on the following areas, which are important to the organizational performance of URF:

- Road maintenance monitoring, this is to be transferred to a digital system, - specifications have been developed and tender is going to be launched,
- Annual performance reviews of each Department – with participation and feeding into the review of the performance of each Head of Department,
- Development of a system for cost estimates,
- Updating the allocation formula,
- Ad hoc support for capacity development,
- Visibility and communications.⁴⁶

The organization manifested the appreciation for the assistance provided. Some of the staff interviewed, including the HR manager, were very satisfied with the trainings. The list of Training Courses implemented for URF is attached in Annex 6.

Box – Best practices

Amongst capacity development best practices should be mentioned the one-day team building exercise that was highly appreciated within URF, improving capacities of URF to work together and build synergies.

⁴³ Support on land acquisition commenced during the implementation of the MTE (April – May 2019)

⁴⁴ Interview, MTE Kampala

⁴⁵ Interview, MTE Kampala

⁴⁶ IMC Worldwide, Institutional Capacity Building for the Transport Sector in Uganda, TA to URF, First Six Months Progress Report, July 2018 and interviews

Additional trainings highly appreciated within the organization include:

- Tender management
- Project management
- Business management accounting

Procurement of an IT system for road maintenance management (RMSS) has been an important result. Stakeholders shared the concern that the IT system is only going to be tested after the end of the present contract.

Another constraint to effectiveness is related to the slow processes within the organization, which is affecting TA performance⁴⁷. This observation supports the finding that institutional capacity development, particularly in the context of Uganda, needs an adequate timeline (and significantly more than 2 years) to achieve transformational and behavioral changes⁴⁸.

Another problem is the relatively high staff turn-over at URF, which means a high level of risk that capacity developed will not stay in the organization. However, staff generally leave for better paid jobs in the private sector, so it may be argued that individual capacities will not be lost to the sector⁴⁹. In view of the high turnover and the additional important limitation to the effectiveness of services is that in several cases only two staff participated, constraining significantly individual and institutional benefits and making the risk of loss of capacity intrusive.

The TA provided limited support to the pilot TSU developed, as this has been managed by a National consulting firm. However, the TA has supported a workshop on July 17 2019 that evaluated the performance of this pilot TSU and proposed a way forward in so far as rolling out the remaining TSUs. The TSUs have several problems – a major one is the limited capacity of the Districts. Only one TSU has been fully rolled out.⁵⁰

There is a discussion on how to assess the TSUs. The Financing Agreement emphasizes that five TSUs are to be financed by MoFPED. Some staff in URF was not aware of the Financing Agreement. However the development of the TSUs by URF were part of the original description of the intervention. The URF has emphasizes the effectiveness of the one TSU established, and does not appear to recognize the need to cover all districts with road maintenance. URF states that the TSU established underlines the need for money and time. There is a need for a meeting between the EU, the URF and the TA to clarify the need for and ways to cover road maintenance in all districts.

It has been decided that the TL is going to carry out a Study of Institutional and Funding Models for the URF so as to identify which Road Fund model is feasible and fits best to the context of Uganda. This will substitute some of the original outputs expected from the TA support to URF. The study will feed into the Cabinet decision making considerations about the autonomy of URF or its integration into the Ministry.

Effectiveness of the capacity building has been affected by the institutional and managerial context of URF, including the limited operation of URF board, contributing to delays in the review and approval of deliverables (see also EQ 3, efficiency).

⁴⁷ Including for instance the approval of CVs and or changes in deliverables

⁴⁸ Interview URF

⁴⁹ Interview MTE, Kampala

⁵⁰ Following lessons learned from the first pilot URF is planning to implement additional four TSUs.

3.2.4 Effectiveness of the Support to Private Sector Competitiveness

The objective of this TA is an increased competitiveness of the construction industry in the transport sector. UIPE has been selected as implementing partner and its role should be instrumental to improve competitiveness through increasing the competences of engineers and technicians in Uganda. The support provided has concentrated on developing the capacity of UIPE secretariat staff and no effect observed on private sector competitiveness.

TA services implemented only few activities supporting UIPE (see EQ3). The effectiveness of TA services goals of private sector competitiveness was limited by issues of

- i) design and relevance to private sector competitiveness (see EQ1),
 - ii) performances (EQ3)
- and
- iii) sustainability (EQ4)

The evaluation found a number of organizational issues affecting the effectiveness of the support to UIPE in contributing to private sector competitiveness:

- Very demanding process to incorporate new members which is perceived as prohibitive,
- A somewhat high turnover of the secretariat staff, which undermines sustaining achievements in individual and organizational capacity,
- Major governance issues, including need to reinforce financial management regulations and control, and clear definition of responsibilities between Council and the Secretariat,
- Excessively high number of Council meetings with payment of each Council member (around 20 meetings per year),
- Despite membership being a legal requirement for practicing as an engineering professional, members perceive few, if any, benefits from UIPE membership, resulting in reluctance to pay membership fees and leading to the organization's financial instability. This finding points as well to issues of UIPE's partial response to private sector needs and perceptions, raising questions about the relevance and the effectiveness of UIPE's role in supporting the competitiveness of the private sector.

A MoU between UIPE and private sector employers to co-fund EU grants for a Graduate Training programme, including a contribution to graduates salaries during training, has still to be negotiated⁵¹. A solution is being envisaged, where an employer will engage the graduate and will pay 50% of the salary of the trainee, with the balance coming from the EU. The MoU is a relevant and positive step, setting conditions for future work on skills development.

One of the outputs of the TA is the procurement of a new IT system, meant to make applications and registrations of membership easier. Improving application and registration mechanisms however will not address i) private sector competitiveness and b) underlying issues between the Secretariat and the Council^{52 53}. The new IT system is found to be relevant to the revised objective of the support to UIPE, which is: Increased relevance of UIPE to its Members and increased influence of UIPE with stakeholders.

Notwithstanding issues of relevance and performances the evaluation evidenced the high level of interest attached by UIPE to TA support. UIPE commitment is reflected in the provision of several offices for the TA staff and each of the TA staff being provided a counterpart in the UIPE secretariat. UIPE shared with the evaluation the belief that once

⁵¹ MTE interviews with UACE

⁵² MTE Interview UIPE

⁵³ The Council members are senior engineers, who meet regularly to appraise the applications for membership, receiving 120.000 UGX for each meeting. The Secretariat is the day-to-day management of UIPE.

underway, the Programme could benefit the organization significantly, resulting in greater capacity and relevance to the sector.

The evaluation evidenced different priorities perceived by UIPE and TA and not consistent understanding of how the intervention is meant to support private sector competitiveness.

This finding supports the rationale for an improved definition of the goals of the intervention, a clarification of the concept of “competitiveness” and a definition of measurable and sustainable results fully aligned to the intervention goals.

EU Cooperation is supporting Uganda Private Sector with significant complementary measures and instruments, including the promotion of a better enabling environment. Support to private sector competitiveness in the transport industry needs to take this broader action into account at level of design, complementarities and synergies.

JC2.2 Programme support is contributing to enhance institutional performances for the transport sector including:

Management, staff and external stakeholder’s perceptions point to qualitative changes across the three institutions targeted by the Programme. The changes include:

- Perception of improved delivery of road development projects;
- The TA has also strengthened the consciousness and oversight of a multimodal transport environment, which will influence transport policies planning and implementation;
- Perception of improved performances of road maintenance. It should be considered that the TA services are being delivered at a time with economic development, which accrues demands on road maintenance. When discussed with the Reference Group, participants pointed that is difficult to attribute benefits in road maintenance to the capacity development interventions supported by the Programme; however interviews pointed to improved road maintenance.
- Contribution to mechanisms for improved governance (including monitoring mechanisms). The managers from the different organizations testify that they have a greater understanding of the roles and responsibilities of the other organizations in the sector.
- Management and staff in the transport sector are more aware of the role of gender in strategic planning.

At programme level the MTE could not gather evidence of quantitative changes of organizational performance resulting from the programme. The programme has not established mechanisms to measure, monitor and assess outcomes of capacity development and how this affects institutional performances at Programme level.

Civil society has been involved in the capacity development effort, with CISCOT membership of the Steering Committee. This enables civil society to contribute to policy dialogue, sector planning and sector oversight, including monitoring and evaluation.

The analysis of institutional performances points to the urgency to shift the focus of the programme on outcomes and institutional performances. This increased attention will need

to be supported by full measurability and a result-oriented management of the programme and the different organizations⁵⁴.

3.3 Efficiency

EQ 3 - Efficiency

To what extent the Transport Sector Institutional Capacity Building Programme design and implementation has been conducive to an efficient delivery of expected results?

Summary Answer

Overall performances of TA services for institutional capacity development (support to MoWT, UNRA and URF) appear to be satisfactory, both in terms of product delivery and financial implementation. On the other hand support to UIPE (and to private sector competitiveness) has been severely lagging behind, with only few products delivered and an inception report accepted after 18 months. (JC1)

Performances have been positively affected by MoWT and UNRA institutional management and governance; on the other hand the organizational context of URF and UIPE constrained performances of TA services supporting those components. (JC1)

Implementation is supported by adequate programme governance and contract management by the EU Delegation and NAO.

Both governance and management are following contractual deliverables and financial performances, with limited attention to the achievement of expected outcomes. (JC2)

Steering Committee and management Committee roles and capacities need to be strengthened for pro-active guidance and follow up of programme outcomes. The role in inter service coordination and policy dialogue needs as well to be reinforced (JC2)

The Programme evidences critical gaps in terms of preparation (design, need assessment and measurability), constraining management by result and accountability, but also affecting relevance, effectiveness and performances of the programme. (JC3)

EU Delegation resources, both in terms of number and competences adequately support a proactive management of the contracts (JC4); the 11th EDF grant of EUR 12 M is a significant financial envelope to support sector capacity development in Uganda. However TA services can address only a fraction of the institutional capacity development needs and a very limited portion of private sector needs. (JC4). There is no possibility to appreciate the "value for money" of the EU grant in consideration of lack of measurability of outcomes.

All beneficiary institutions manifest a good level of ownership and commitment to programme goals. Levels of participation are variable, with scope for strengthening both the participatory approaches of TA services and the depth and breadth of management and staff involvement within the four organizations. (JC5)

JC3.1 Capacity building is efficiently delivered to the three organizations

A survey was carried out by the MTE to seize perceptions of institutional stakeholders of capacity building outcomes. The box summarizes main findings

⁵⁴ Annex 10 presents an assessment of the Logical Framework for the Programme,

Summary of the Results of the Questionnaire

The MTE conducted an electronic questionnaire with the participants in capacity development to obtain their views on the assistance.

The questionnaire confirms the results of the MTE. In MoWT staff are very satisfied with the work of the Consultants, but they see it as urgent that their own capacity is developed. In UNRA staff are satisfied with the TA and they see their organization as being strengthened. IN URF the staff see the TA as satisfactory, but they recognize that it has not yet been fully implemented. In UIPE the responses reflect the expectations to the consultancy, which the respondents see as not yet being implemented,

46 responses were achieved, and the number of responses from each organization were:

MoWT: 14

UNRA: 22

URF: 5

UIPE: 5

The high number of responses in MoWT suggests that although the capacity development was not implemented in the Ministry a high number of staff were affected.

38 or 82.6% of the respondents were male whereas 8 or 17.4% were female confirming that equal gender relations are difficult to achieve in the transport sector.

The questionnaire asked the participants to state how they participated in capacity development. 16 or 38% say they participated in training, whereas 26 or 62% say that they strengthened their capacity through cooperating with the TA. This underlines the need of the TAs to be present in the organization to give their partners an opportunity to learn from them on a day to day basis.

The responses illustrate that MoWT did not experience, that the organization was strengthened, but the staff foresee that the Ministry will be strengthened in the future. One response to whether the capacity development has strengthened his organization or the office is: *"YES and when it is done. It is critical for personal and organization performance improvement"*. Do you think the capacity development strengthened MoWT, the answer is: *"Not Yet for MoWT. It is yet to start"*. The respondent clearly realizes that the capacity development will strengthen the organization, but it has yet to start.

The responses illustrate that capacity development has been effective in UNRA. The staff of the different Departments state that the capacity of their department has been strengthened as a result of strengthening the capacity of their specific Department in M&E, claims or in cost estimation. As an example one answer to, whether the capacity has been strengthened is: *"The capacity building activities were directed towards areas where there is limited local expertise in the market e.g. Cost Estimation, claims management, Climate issues, PPP etc."* The answer to how the capacity of UNRA has been strengthened illustrates the focus on the weak areas of the organization, both in the training and capacity development implemented and in what is planned: *"Yes, the capacity of UNRA especially Directorate of Network Planning and Engineering has been strengthened. Cost Estimation tool and manual has been developed including staff training, training in Claims management, business development. Capacity building in PPPs, design of climate resilient infrastructure and environment and social safeguards management has been scheduled"*.

In URF the responses reflect satisfaction with the capacity development implemented and impatience about what is outstanding, the answer to whether the capacity was strengthened is: *"Strengthening both the office and URF team"*, however the respondent does not think the intervention has been fully implemented, to the question on whether the capacity of URF will be strengthened the response is: *"It will strengthen URF if all the project components are implemented"*. In other words there is confidence combined with impatience concerning the performance of the TA.

The responses from UIPE illustrate that the support has not really started, but that UIPE is expected to benefit once the support is implemented. The response to whether the capacity of the organization will be strengthened, the response is: *"It will enable better service delivery to the members"*, the explanation why the support has not been effective is: *"We are still at the inception stage"*. In other words UIPE is fully aware of having been let down by the Consultant.

The TA service contracts have a variable level of performances. Overall performances for organizational capacity development (support to MoWT, UNRA and URF) appear to be satisfactory, both in terms of product delivery and financial implementation.

On the other hand support to UIPE (and to private sector competitiveness) has been considerably lagging behind, with only few products delivered and an inception report accepted after 18 months. The following paragraphs review performances for each Programme Component.

3.3.1 Efficiency of the support to MoWT

Expected outputs including the report for Phase 1 have been completed and approved. Phase 2 supports the preparation of a multimodal transport strategy, aiming to improve effectiveness and functionality of the Transport Planning Office within MoWT. Capacity development⁵⁵ is yet to be started. TA performances are positively assessed by MoWT.

The following table summarizes the Component budget with its schedule of payments.

Table: MoWT Contract – Financial Implementation⁵⁶

Phase	Payments	€	Invoicing
Phase 1	Pre-financing	299 999	
	Approved Final Report	456 001	
Total Phase 1		756 000	
Phase 2	Pre-financing	1 222 000	
	Interim Payments	916 500	Annually
	Forecast Balance	916 500	
Total Phase 2		3 055 000	
Total Phase 1 & 2		3 811 000	

Overall both physical and financial implementation is progressing according to plans.

⁵⁵ Full-time TA working on basis of NEMA regulations and guidelines. Two STEs to assess appropriateness of SEA and transport modeling in Planning systems

⁵⁶ Contract Agreement, EuropeAid 138563/IH/SER/UG

The external location of TA services is not supporting effectiveness of capacity building. It has been agreed that the Technical Assistance will move within the MoWT premises.

Several managers and staff complained about one key consultant, who was not fluent in spoken English. This issue needs to be addressed by the TA.

3.3.2 Efficiency of the support to UNRA

TA services supporting UNRA have made a good progress in the achievement of expected products and services. The Component deliverables and the progress by the time of the evaluation is summarised in the following table.

Table: UNRA support – Progress against expected deliverables

Output	Progress
Development of well-aligned corporate strategy and business plans, supported by balances score cards for individuals and their departments	Based on a 'balanced scorecard', understanding of which has improved. Support for Performance Management addressing accountability and strengthened ability to deliver on UNRA's core mandate.
Establishment of a standardized M&E Framework	Draft has been developed (May 2019). Currently being reviewed. Plan to develop an M&E template to standardize the information delivery.
Establishment of internal audit systems	IT systems addressing issues of security and capability. Experiencing challenges identifying STE that meets UNRA qualification expectations. Possibility to contract two experts.
Improved procurement processes	Yet to be commenced. Discussing the desired structure and what is expected. Looking for an Engineer with procurement expertise. Possibility to contract two experts.
Improved Contract Management	Implemented in cooperation with Cost Unit, focused on maintenance. Considerable inputs provided on Cost Estimation and Contract Management. Support for Performance Management ongoing.
Improved environmental and social safeguards	STEs selected - pending approval.
Improved operation and maintenance of axle load control infrastructure	STE on site – working on improvement of processes with UNRA.
Tender evaluation strengthened	Capacity developed on FIDIC contract management
Improved Land valuation	Land acquisition STE in situ. Additional STE support to be sought.
Road development and maintenance	Development of skills on design, construction and maintenance
Improved Claims management	Majority of claims prepared for the Claims Committee
Cost estimation strengthened	Manual and online database prepared
Capacity of staff developed in all above areas	Coordinated with each of the technical outputs above

Strengthened capacity to respond to claims has also benefitted contract management since a historic analysis of claims supports the identification of future challenges, thereby avoiding delays and cost overruns.

The contract experienced implementation challenges in its early phase (delays experienced at the start because of the first TL's health issues, which resulted in a six months delay in contract start up), however by the time of the evaluation the contract appears on track.

Both UNRA and the EU Delegation share the perception of a positive delivery and performances.

The institutional context and management support provide a positive environment for the delivery of TA services.

Factors which strengthened performance	Factors which constrained performance
UNRA is a modern organization with ambitious staff, who are willing and interested in learning	Management and staff have a heavy workload and it is difficult for them to get time for learning and changing
Management delegates responsibility to staff and trust them	Staff and consultants have to get used to and learn from each-others different performance

The following table summarizes UNRA Component budget with its schedule of payments.

Table: UNRA Support Contract (IMC Worldwide) - Financial Implementation⁵⁷

Payment	€	Comment
Pre-financing	299 999	9%
Interim Payments	2 849 929	Bi-annually
Forecast Balance (Month 37)	349 992	10% (of contract value)
Total	3 499 920	

Payment is behind schedule for this component, also in consideration of delays of auditing reports.

3.3.3 Efficiency of the support to URF

TA to URF delivered a significant part of expected outputs. The progress of support to URF is summarized in the table below.

According to the TA, with six months remaining on the contract, 75% of "achievable" results (output delivery) have been completed⁵⁸. However, this represents only approximately 50% of expected results initially planned.

Both URF and the EU Delegation are satisfied with performances of TA service and the timely submission of reports.

Table: URF Progress Achieved

Output	Comment
Improved Data Management	The Contract for Road Maintenance Management System has to be signed.
Improved Programme Preparation	TA has prepared a five-year strategic plan, which is under review.
Improved Audit	URF believes it must audit agencies despite them all having

⁵⁷ Service Contract, FED/2017/390-845

⁵⁸ For example, URF's progress to achieve a 2nd Generation Fund with its legislative amendments have stalled because of lack of support from the Ministry of Finance, Planning and Economic Development.

Output		Comment
Function Agencies	over	an internal audit function.
Improved Function Agencies	M&E over	To be started. URF currently does not evaluate despite extensive monitoring being undertaken.
Improved Estimation	Cost	MoWT is procuring a study covering both upgrading and maintenance costing. As a result, there will be no upgrade of the unit cost model until the results of the MoWT study are known.
Updated Formula	Allocation	Complete
Study of Road Funds in neighboring countries		This is feeding into the discussion of the status of URF, but has not started yet.
Support to be given to TSUs		The TA is supporting a workshop to evaluate the present TSU. The financing agreement foresees the implementation of 5 TSU. At this stage stakeholders agree that quality of TSU support should be prioritized and current URF plans foresee the establishment of two additional TSUs in the coming year.

Performances have been partially slowed down by the institutional context. MoFPED also has not been supportive to the transformation of URF into a second generation fund. This affected the completion of Corporate Plan and Strategic Plan of URF.

Improved data management and cost estimation await development of RMMS and completion of the study on Unit cost in the MoWT.

Positive performances have been constrained by a mixed reception of assistance. There has been a conflict between the Board and the Executive Director, which means the Board has not been functioning in recent months. The Executive Director's contract ends this autumn so he lacks motivation for major changes.

Factors which strengthened performance	Factors which constrained performance
The TA has a very open and understanding attitude	The Executive Director is not motivated for change
The staff of the URF are very interested in and appreciate the TA support	The Board has not been functioning for the last months

The following table summarizes URF Component budget, with its schedule of payments.

Table: URF Contract (IMC Worldwide) – Financial Implementation

Payment	€	Comment
Pre-financing	299 999	20%
Interim Payments	1 139 816	Biannually
Forecast Balance (Month 25)	159 980	10% (Rounded) of Contract Value
Total	1 599 795	

Source: Service Contract, FED/2017/392254

By the time of the evaluation the rate of financial disbursement is low, with only around 30% of the payments made. The reason is that IMCs forwarding of invoices has been delayed by a non-performing auditor.

3.3.4 Efficiency of the support to UIPE

Performances of TA services attached to the fourth Component of the Programme have been very low:

- The majority of expected products has not been delivered (see table of physical implementation below)
- The inception report has been approved 18 months after commencement

The majority of result areas have not been achieved, in some cases with some activities started, but without or with limited results.

Table: Progress achieved for Private Sector Competitiveness support

TA Expected Results	Delivery	Comment
Increasing Relevance of UIPE to its members and partners	Strengthen UIPE Secretariat and branch structures	Activities implemented between TA and individual staff members
	Developed debt collection recovering mechanism of arrears	Some activities of capacity development done of finance management
	Follow-up system of UIPE members on dues and membership	Not started
	Creating a customer unit and a business plan	Not started
	Requirement specifications for data base	Work done to launch tender
	Operationalized a communication strategy	Not started
	Secure power supply for UIPE	Will be included in the tender for IT to UIPE
	Promoted international collaboration	International study visit performed
Capacity built in young professionals	Graduate Traineeship for young professionals	Being discussed
Increased relevance of tertiary institutions to the market demand	Scaling up curricula for national and technical colleges and the public	Not started Technical colleges visited
Improved human resource capacity in the engineering and construction sector	Implemented the Engineers Registration Enhancement Programme (EREP)	Started

Although the contract appears to be lagging behind schedule, the evaluation assesses as critical the delays accumulated in the last three results, the ones directly addressing private sector competitiveness:

- Capacity built in young professionals,

- Increased relevance of tertiary institutions to the market demand,
- Improved human resource capacity in the engineering and construction sector.

These results require a timeline of several years to achieve desired changes. The lack of performances of the component is likely to affect the programme capacity to achieve such changes.

The assistance to UIPE lacked efficiency also in consideration of the choice of the Consultant staff, whose qualifications and profile did not match with the requirements of the assignment. Moreover the context of UIPE offers challenges to capacity building support as *“the present mode of operation is very heavily integrated in UIPE Council and thus difficult to change”*⁵⁹. The MTE recognizes the inefficiency of the TA. However the MTE believes that the change of focus of the Council has to be supported by the Secretariat.

A number of concurring factors has been contributing to constrain the performances of the contract:

- Conservative Council, who believes they are to protect the engineering trade in Uganda,
- Inadequate TA follow up of Secretariat instructions for improved performances and effectiveness,
- The TL has been changed twice and the entire team has been changed causing the contract serious delays,
- Length of preparation and approval of inception report (18 months).

The following table summarizes UIPE Component budget, with its schedule of payments.

Table: UIPE Contract (IMC Worldwide) – Financial Implementation

Payment	€	Comment
Pre-financing (Maximum)	268 393	20%
Interim Payments	939 049	Bi-annually
Forecast Balance (Month 37)	134 160	10% (of contract value)
Total	1 341 603	

Source: Support to the Local Construction Industry Contract, FED/2017/392190

Because of the limited performance, the IMC have not sent invoices and only one payment (the pre-financing) has been made.

3.3.5 Programme financial implementation

The following table summarizes financial implementation for the four Components.

Table: Programme Financial Implementation

Contractor	disbursed (€)	Balance on Contract Value (€)	Outstanding (Rounded) (%)
IMC – URF	493 199	1 106 596	69
IMC – UNRA	299 999	2 799 936	91
IMC – UIPE	268 394	1 073 209	80
Sub-total IMC	1 061 592	5 379 726	84
COWI (Phases 1 & 2)	1 978 000	1 833 000	48.1

⁵⁹ Interviews UIPE staff and Consultant staff

TOTAL	3 039 592	7 212 726	70.4
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Source: EU Delegation and elaboration by the evaluation mission

Although the overall disbursement rate is low (around 30% of contracted amounts), the financial flow is affected by the delay in changing the auditor and the absence of satisfactorily audited accounts for interim payments to be invoiced⁶⁰.

JC3.2 Mechanisms (including governance, management, contractual arrangements and internal EU/management / EU/FCA – NAO and Institution coordination), are supporting an efficient implementation

Overall the programme is supported by adequate governance and management.

However the evaluation team finds critical gaps in terms of preparation (design, need assessment and measurability), constraining management by result and accountability.

MTE has reviewed private sector assessments which have been carried out and checked external factors that affected the preparation process for the private sector component.

The evaluation maintains that the component was not supported by adequate assessment of competitiveness bottlenecks and that design shortcomings are significantly affecting relevance and implementation.

3.3.6 Programme Governance

The Programme Steering Committee has been following up implementation and addressed key issues⁶¹. All the organizations of the Transport Sector have participated regularly in the Meetings. In some cases it appears that there was not adequate follow up on the indications of the Steering Committee:

- The Steering Committee asked UIPE for a plan to approach the private sector to achieve the goals, but this request does not appear to have been responded to.
- The Steering Committee took up the issue of the roll out of the TSUs, but again it appears a lack of follow up.
- The study of Institutional and Funding Models for the Uganda Road Fund – this has been followed up.

The Steering Committee has been following implementation in terms of contractual deliverables. The governance of the programme did not focus on the *steering* function of outcomes and expected changes of capacities and institutional performances.

3.3.7 Programme Management

The EU Delegation provides a proactive management of the contract and a close follow up of activities, delivery of contractual outputs with a constant liaison with beneficiary institutions and TA teams, supporting Programme positive performances, at least for the three institutional components.

⁶⁰ The MTE understands that the first invoices for six month interim payments have been received (5 June 2019). The UNRA one has had to be returned for minor corrections while the URF one appears satisfactory and has been paid (June 2019). Once the former is paid, the outstanding balance will be reduced by € 139 982 with subsequent six-month invoices expected to follow fairly quickly once these payments have been audited.

⁶¹ See Annex 9 for a detailed analysis of the work of the Steering Committee and the Project Steering Committees.

EU Delegation management needs to reinforce quality of design, support to measurability of outcomes and a management based on outcomes.

Issues of performances, relevance and effectiveness of the private sector competitiveness component need as well to be urgently addressed by EU management.

The NAO and national management are following the programme. In some cases there is a wish from the organizations that NAO – and EU – should approve changes of contracts and new CVs faster than they are doing at present.

JC3.3 Programme measurability and result orientation is supporting transparency, accountability and positive performances

The evaluation evidences a critical gap in the quality of the design of the programme. The Financing Agreement endorsed a grant envelop of EUR 12 M without the support of a comprehensive need assessment, which should have guided the design and the definition of results.

The preparation and design are shallow and the formulation of the four Components has not been adequate, including for lack of a baseline and definition of credible targets for expected changes. The organizations have sought to carry out studies of the organization in the sector, e.g. for UNRA, and to some extent the TA has tried to do this for URF and UIPE.

Important results for the attainment of programme goals, including for instance policy dialogue and governance (and related capacities), have not been addressed by the programme preparation.

Issues of measurability affected the result orientation of the programme, with a generalized limited attention at outcome level. The inadequate orientation towards outcomes affects performances, effectiveness, transparency, accountability and the possibility to appreciate the value for money of the Programme.

Consequences of inadequate design are also severely affecting the private sector competitiveness component. Although needs of the private sector have been studied, the support to UIPE was not designed in function of private sector competitiveness needs and priorities.

JC3.4 Resources allocated (financial and human) are adequate to achieve expected results

EU Delegation resources, both in terms of number and sector competences, adequately support the follow up and management of the contracts.

The evaluation evidences needs for additional support for a high level policy dialogue required to support transport sector enabling environment and its institutional framework. There is a need for high level political representatives of the EU to enter actively into the dialogue. There is likewise a need for high level Ugandan representatives to engage.

The 11th EDF grant of EUR 12 M is a significant financial envelope to support sector capacity development in Uganda. However TA services can address only a fraction of the institutional capacity development needs and a very limited portion of private sector needs. The lack of a sector needs baseline and the insufficient attention to results hinders the capacity to assess

the value for money of the programme (JC4). A good job has been done by consultants and partners, but the programme lacks the overall political attention.

JC3.5 Beneficiary Institutions ownership and commitment to capacity building is positively supporting programme performances

All beneficiary institutions manifest a good level of ownership and commitment to programme goals. Levels of participation are variable, with scope for strengthening both the participatory approaches of TA services and the depth and breadth of management and staff involvement within the four organizations.

Feed-back on cooperation between TA and organizations:

Partner Organization	Consultant
The MoWT was not sufficiently involved in Phase 1 – they need to be involved in Phase 2	The COWI team had some difficulty in engaging with the partner – that appears to be solved
The UNRA management and staff were willing and able to engage with the TAs	The TAs were excellent in their open communication with UNRA
URF senior middle management, more than senior management, proved to be involved and committed to the intervention	The consultant was open and willing to cooperate
The UIPE management and staff were committed, the Council was not active in adjusting to the numerous shortfalls of the project and does not address the rigid registration process.	The UIPE TA were simply inefficient

3.4 Impact Opportunities

EQ 4 - Impact

To what extent the Transport Sector Institutional Capacity Building Programme is contributing to opportunities for long-term changes?
Is the programme contributing to unintended changes?

Summary Answer

The limited duration of the programme and the short implementation period did not allow the achievement of long term changes (JC1). The Programme is not equipped to measure changes at impact level. (JC1)

Perception of stakeholders point to opportunities of impacts in some areas:

- Increased sector attention on multimodal strategies,
- Mechanisms in place supporting governance and accountability (M&E, auditing),
- Improved capacities affect positively road maintenance,
- Opportunities of targeting of middle management,
- Improved awareness on gender.

The evaluation did not find impact opportunities for the private sector competitiveness Component as a result of programme design and limited delivery (JC1)

Need of additional work on external factors that will support long term changes:

1. Policy environment and policy dialogue,

2. Alignment to private sector needs and priorities.

The evaluation has not evidenced unintended long term effects that could be imputed at the programme. (JC2)

JC-4.1 Increased capacities in policy making, strategic planning and implementation may contribute to long term changes for the organizations and the sector

Following 18 months of implementation a number of factors constrain the assessment of impacts:

- The limited timeline of the “Transport Sector Institutional Capacity Building Programme”) only allows limited basis for consolidating transformational changes at level of organization:
 - o MoWT has not changed,
 - o UNRA has changed,
 - o URF has not changed,
 - o UIPE has not changed.
- The capacity of individuals in all four organizations have been strengthened. But only in UNRA this is to a level enabling them to influence their organization. In the other organizations individuals have not been developed to influence their organization.
- Opportunities for individual capacity development to affect institutional performances in MoWT and URF have been identified for Phase 2
- The even shorter implementation period embraced by the evaluation (18 months) does not allow the achievement (and the assessment) of long-term changes.
- The programme is not equipped to follow up and measure changes at level of outcomes and impacts (see analysis of design and measurability, EQ 2 and 3).

The evaluation review of the opportunities of impacts related to the 4 Component evidences:

- Perception of stakeholders point to opportunities of impacts in some areas:
 - Increased sector attention on multimodal strategies,
 - Mechanisms in place supporting governance and accountability (M&E, auditing),
 - Improved capacities affect positively road maintenance,
 - Opportunities of targeting of middle management,
 - Improved awareness on gender.

The evaluation did not find impact opportunities for the private sector competitiveness Component as a result of programme design and limited delivery -

- The finding is based on issues of relevance, effectiveness, efficiency and sustainability raised for this component.
- Need to strengthen the focus of Phase 2 for MoWT and the time following this evaluation for the other Components, there needs to be a follow up of specific objectives and their contributions to impacts.
- Need of additional work on external factors that will support long term changes:
 - Policy environment and policy dialogue,

- Further alignment to private sector needs and priorities.
- The evaluation evidences as well the need to further support to long-term capacity building to achieve transformational and behavioral changes.

JC-4.2 Unintended effects (positive or negative) are caused by the implementation of the programme

The evaluation has not evidenced unintended long-term effects that could be imputed at the programme.

3.5 Sustainability

EQ 5 Sustainability

To what extent the flow of benefits for beneficiary organizations and the transport sector will continue after the end of EU Cooperation support?

And to what extent programme design and implementation mainstreamed policy priorities related to i) gender equity and women empowerment, ii) environmental impact and iii) good governance?

Short Answer

The flow of capacity building benefits is likely to be maintained for the three national institutions after the end of the programme support (JC1). The sector institutional framework and policy environment will need however to be reinforced through policy level dialogue to maintain the autonomy for UNRA and URF, the studies will contribute to that (JC1)

Limited relevance and lack of outcomes do not allow anticipating sustainability for the private sector competitiveness component (JC1).

Financial sustainability is supported by the three institutions' ownership of the programme (JC2). Exit strategies, including financial and implementation plans for continued training, need yet to be developed (JC2).

Crosscutting priorities have been addressed by the design of TA contracts for MoWT, UNRA and URF. The MTE found limited evidence of programme attention on governance, gender and environmental impacts for private sector competitiveness support (JC3). Focus on gender and sector good governance could be strengthened across the four components. Gender equity support needs to go beyond a balanced gender representation, supporting as well a transport sector addressing adequately women needs and priorities through its strategies, plans, implementation, monitoring and evaluation.

Sustainability may also be strengthened by an increased participation of civil society in sector dialogue, monitoring and oversight (JC3).

JC 5.1 Results achieved under the programme for the four organizations are sustainable from a) institutional and organizational perspectives b) policy environment perspective

The evaluation found evidence of adequate level of ownership by the four organizations⁶². In some cases the level of engagement (including the delivery of physical and financial resources) need to be strengthened, for instance for MoWT provision of adequate offices and appointment of staff has been covered during the evaluation. For URF there is a need for launching of a number of TSUs.

TA participatory mechanisms are in place, although these need to be reinforced. Interviews with staff evidenced an accrued scope of MoWT staff involvement in the Mid Term Review (MTR) (phase 1).

Issues of relevance (see EQ1), effectiveness (EQ2) and efficiency (EQ3) do not allow to foresee sustainability in the support to Private Sector competitiveness. The limited private sector engineers' interest in UIPE membership and cumbersome registration procedures needs to be addressed by the UIPE component.

Recent Cabinet Decision aiming at reducing number of public organizations and institutions across all sectors might alter the transport policy environment. However the autonomy of UNRA and URF, achieved as an effect of past reforms and dialogue with Partners, is an essential requirement for the sector operation. EU policy dialogue needs to address this important point, in full harmony with transport sector Development Partners, eventually supported by studies supporting evidence-based policy making⁶³. This sector structure should also be supported by civil society.

JC 5.2 The four organizations will be able to meet accrued operational costs after the end of EU Cooperation support.

The evaluation has not evidenced accrued financial costs related to additional staff, equipment and infrastructure maintenance as an effect of the delivery of the assistance.⁶⁴

However the reinforcement of financial sustainability depends also on the development of credible exit strategies, not yet designed, addressing needs for continued capacity development after the end of EU support, including training of trainers, training at decentralized level and additional staff training to respond to future staff mobility and turnover.

The organizations, with the support of the programme, need yet to develop sound financial and implementation plans addressing additional activities and resources required to maintain and develop the mechanisms supported by the programme, including for instance:

- Capacity for MoWT to cover the costs for a planning office including the updating of the model, the sustainability of NTMP cannot guaranteed as at present it largely depends on external development funding,
- Strengthened monitoring and evaluation functions including accrued measurability at outcome and impact levels,
- Strengthened strategic and participatory planning,
- Implementation of TSUs needs to be expanded and funded with a long term perspective.

⁶² Finding supported by interviews with the four organizations staff, management and TA and by Steering Committee contributions of organizational stakeholders.

⁶³ The WB study of UNRAs role in the sector recommends the present sector structure and recommends that the status of URF is strengthened to a second generation fund. It is anticipated that the study to be financed by EU of URF will also be an important input to the political discussion.

⁶⁴ Finding supported by analysis of outputs and interviews with institutional stakeholders.

Financial sustainability for private sector competitiveness needs to be addressed. The financial sustainability of private sector organizations needs to be taken into account. The sustainability of the support to UIPE should be hinged on the development of UIPE's capacity to provide value to private sector engineers and to be able to align to offer market demand. This will enable UIPE to attract and retain larger numbers of paying members.

The evaluation could not find evidence of how UIPE will meet accrued costs related to the operation and maintenance of the ICT equipment, software licenses, high speed internet and power supply. This will need to be considered by the TA to UIPE.

JC 5.3 Priorities of gender equality and women empowerment, environmental impact and good transport sector governance have been adequately mainstreamed through the different results and beneficiary institutions (MoWT, UNRA, URF and UIPE)

Crosscutting priorities have been addressed by the design of TA contracts for MoWT, UNRA and URF. Also TA assistance to UIPE had foreseen contributions to gender equity and environmental impacts.⁶⁵ However lack of progress in implementation and absence of results for the UIPE component (see EQ 2 and 3), did not allow to evidence benefits related to governance, gender and environmental impacts for the private sector competitiveness support.

Focus on gender and sector good governance could be strengthened across the four components. Gender equity needs to go beyond a balanced gender representation, supporting more importantly, a transport sector addressing adequately women needs and priorities through its strategies, plans, implementation, monitoring and evaluation.⁶⁶ This aim is also supported by civil society.

Limited contributions to good governance have been addressed by the programme as for instance for transport sector industry governance through training in corporate governance for the Council Members and Secretariat Management.

However sector governance support is not yet addressed as a main objective of the intervention across the four components, as it should be according to the financing agreement and logical framework formulation.⁶⁷

3.6 Value Added

EQ 6 – Added Value

To what extent EU Cooperation has a value Added for the Transport Sector Institutional Capacity Building Programme design and implementation, compared to what could have been achieved by Member States?

Summary answer

The evaluation evidenced a significant comparative advantage of the EU in its support to the capacity building for the Transport Sector compared to EU Member States. This Value Added builds on i) A historical partnership with the Government of Uganda, with a continuity of

⁶⁵ For instance GTP and NTC components foresee 30% of female representation.

⁶⁶ The finding is supported by analysis of TA ToR and deliverables, supported by interviews with staff and TA within the 4 organizations.

⁶⁷ Finding supported by the definition of the overall objectives of the Programme by its Financing Agreement and logical framework and the analysis of contractual deliverables expected up to this MTE.

transport sector cooperation over several decades, implemented through several rounds of EDF programming, ii) the significant financial envelop of EU Cooperation supporting transport and iii) the need for dialogue at high level in support of sector policies (JC1)

JC-6.1 EU has a Value Added for its support to capacity building for the transport sector

Interviews with transport sector stakeholders, including Member States and Development Partners, evidenced a common perception that EU has a distinct Value Added compared to Member States in the support to sector capacity building. Such value added stems from several factors:

- 1) A long record of cooperation partnership, consolidated by several decades of interventions targeting the transport sector in Uganda through several cycles of EDF programming,
- 2) A significant financial envelop, beyond the scope of individual Member States Cooperation,
- 3) EU is better positioned, in the perception of stakeholders, to hold a high-level dialogue supporting sector policies and promoting partners harmonization and alignment.

The evaluation could not find evidence that the EU has significantly capitalized on such positive Value Added, advancing a pro-active sector policy road map and dialogue, for a favorable policy and institutional environment for transport sector institutions (see also EQ 4, sustainability and policy environment).

JC-6.2 The programme established sound synergies and coordination with MS

The impression from interviews is that MS are very satisfied with the role that EU is playing in the transport sector. There are large commitments from EU to the transport sector in making MS investments in Governance rights and democracy or assistance to Uganda's refugee programmes sustainable

MTE interviews evidenced how Development Partners perceive that the EU is providing a substantial input into the strengthening of the transport sector and that they find that EU could be more proactive in the policy dialogue with a role of leadership for Member States.

3.7 Coherence

EQ 7 – Coherence

To what extent the Transport Sector Institutional Capacity Building Programme is aligned with evolving EU and Development Partners' strategies and is contributing to (or contradicting) EU policy priorities?

Summary answer

The Transport Sector Institutional Capacity Building Programme is well aligned with EU and Development Partners' strategies. Also the evaluation did not evidence contradictions with EU policy priorities (JC1).

The evaluation checked Policy Coherence for Development (PCD) as well possible contradictions of the Programme and EU support to the Transport Sector; such analysis evidenced a good level of coherence with several EU policies and priorities, including for instance:

- Private sector development especially if the Programme had been more effective,

- Regional integration - served by better capacities in the transport sector,
- Policy priorities related to gender and environmental impacts, aspects well covered by the programme,
- Economic, social and environmental dimensions of transport sector are adequately integrated by the programme,
- Good governance is addressed by the programme goals and several contractual outputs,
- The Programme global objectives are well aligned to SDGs.

The MTE could not find evidence that a specific PCD assessment toolkit was applied during design and implementation.

The evaluation analysis did not point to areas of contradictions between the programme and other EU policies.

A possible issue of coherence, which deserves to be further studied by the programme, is the extent to which the fourth component, supporting private sector competitiveness, may eventually promote protectionist measures, which may not play in favor of an open and competitive regional market of transport sector private operators.

4 Lessons, Conclusions and Recommendations

4.1 Lessons

To strengthen the capacity of a sector structure is a very ambitious programme. Never the less the EU has experienced some success in this venture, and EU should be proud of it.

Summary Answer In developing capacity there is a need to see individual, team, organizational and institutional capacity as interlinked. Each of these steps need to be developed to strengthen an organization/institution⁶⁸. Capacity development requires institutions and organizations that are motivated, with clear roles and responsibilities, with both senior and middle management and staff fully committed to change and interested and willing to learn.

A complex capacity development intervention should be supported by an excellent design, based on participatory need assessment, supporting measurability, accountability and appreciation of value for money. An intervention needs to be supported by a clear logical framework with well-defined objectives and fully measurable outputs, activities and input.

The overall lessons learned by the EU is, that it is extremely difficult to develop the institutional structures in another country. With this aim, the Partner – EU - has to remember:

- To be extremely proactive in the policy and other dialogue supporting the interventions,
- To recognise that success with institutional and organizational development is difficult. Because in the process other factors are influencing the partners worked with. Most important is that the institutional framework is interested in change. This appears to be the case in the transport sector in Uganda itself, but factors outside the transport sector may be working against it.
- To recognise that this requires very good consultants, who can work with individuals, groups and organizations at the same time.

The Transport Sector Institutional Capacity development Programme mid-term evaluation finds a number of lessons:

1. The design needs to link individual organizational and institutional capacity development.
2. Clear definition of responsibility, roles and deep participation of stakeholders are essential conditions to support capacity development and to strengthen the institutional structure in parallel.
3. The capacity development should be oriented towards functions and offices that are weak in the performance of the organization/institution. TA work should always support the development of capacities, even when working on specific offices, functions, products and mechanisms. Working on capacity development requires expertise on

⁶⁸ The reason, why we are using the concept organization/institution is: institutions is used about organizations, whose power is given by legislation – you may call them statutory bodies, however non statutory bodies like the UIPE does not have the status of an institutions. Never the less more or less the same rules are valid whether you work with an organization or an institution.

capacity development. If the consultant is working in a specific area - create a group to share the lessons learned and make use of them.

4. Capacity building should target both senior, middle management as well as operational level. If a new capacity is developed within an organization, special support needs to be given to bring the new capacity to work for the organization.
5. The design of the Programme should strengthen linkages and complementarities across Components. The external stakeholders should support the roles and responsibilities of each of the institutions or organizations in the sector.
6. The capacity development needs to be supported by dialogue between the organizations in the country and development partners.
7. Complex capacity development intervention should be supported by an excellent design, based on participatory needs assessment, supporting measurability, accountability and appreciation of value for money. Interventions need to be supported by a clear logical framework, with well-defined and fully measurable objectives, outcomes, outputs and activities.
8. The institutional context affects TA performances considerably either positively or negatively. Open management systems and delegation of responsibilities support capacity development favorably.
9. Institutional capacities and performances rely on strengthened skills but also on i) a governance and management supportive to changes, ii) a conducive policy and institutional framework, iii) adequate mechanisms and processes.
10. Capacity development should be supported by a "management by results" approach with full attention and measurability of outcomes and impacts.
11. When working with the private sector it is essential to align capacity development to private sector needs and priorities. The organization and the consultant in charge must understand and focus on the private sector.

4.2 Conclusions

Based on findings from the 7 Evaluation Questions, the Evaluation Team developed the following set of key conclusions for the Mid-Term Evaluation of the Transport Sector Institutional Development Programme:

C1 – Overall positive assessment of relevance, delivery and perceived benefits for the three Institutional Components; (MoWT, URF and UNRA).

Conclusion based on findings from EQ1,2 and 3

C2 - Need to improve need assessment and design;

Conclusion based on findings from EQ2 and 3

C3- Need for strengthening result orientation, measurability and monitoring of capacity development outcomes;

Also this conclusion is based on findings from EQ1, 2 and 3

C4 – Challenges related to the Private Sector Competitiveness Component design and implementation support the rationale for a profound adjustment of the Component

Conclusion based on findings from EQ1,2, 3, 4 and 5

Note to C4 – Following the presentation of the draft report, several stakeholders raised comments about the analysis of the Private Sector Component and its conclusions. Comments pointed to the difficult process of setting up a private sector component and how an initial strategy opted for a partnership agreement with DFID. When this hypothesis was discarded, the second best option for an implementing partner was found in UIPE. The choice of UIPE constrained the design to activities and results within the scope of UIPE mandate. Private sector assessments were carried out, first during the preparation and then by technical assistance after start up. EU Delegation is also supporting with complementary actions the broader Private Sector enabling environment in Uganda.

The Evaluation weighted carefully these elements so as to better understand the current situation of the Component and the rationale of the Delegation and stakeholders at the moment of the design. The evaluation is called to assess, based on evidence, criteria of relevance, effectiveness, efficiency, sustainability and impact. While the contextual analysis was adjusted, the evaluation team found a consensus that the assessment of criteria was correct and well based on available evidence: the Component has a weak relevance to private sector competitiveness goal, the intervention has not been effective, performance are extremely low and as of today, there are no signals of sustainability and impact opportunities.

This assessment should be taken constructively by stakeholders, in order to improve the component. Improvement needs to be based on a private sector competitiveness definition and analysis, redefining results, activities and an implementation plan. The evaluation finds that without a profound readjustment, including full redesign of services, there are very few chances of achieving sustainable improvements of private sector competitiveness.

C5 - Need to strengthen focus on institutional capacity development and transformational changes; this includes a reinforced focus on sector governance and gender equity

Conclusion based on findings from EQ2, 3 and 5

C6 - Reinforce ownership, commitment and broader participation with all organizations; a broader participation embracing the Private Sector is needed

Conclusion based on findings from EQ2 and 3

C7 - Need to strengthen the participatory approach in all TA services

Conclusion based on findings from EQ 2 and 3

C8 - Need to engage on policy dialogue supporting transport sector institutional framework

Conclusion based on findings from EQ2

4.3 Recommendations

Recommendations are based on and directly linked to Conclusions (§ 4.2) and are grouped in two clusters:

- a) General recommendations
- b) Specific recommendations for the follow up of MoWT, UNRA and URF Components ⁶⁹

A- General Recommendations

The Conclusions of the MTE allow for the definition the following key general recommendations:

R1 Support a positive conclusion of three Institutional Components (MoWT, URF and UNRA)

(recommendation based on Conclusion C1)

R2 Improve logical frameworks, with outcome specification and measurability (baselines and targets) **for all Component; increased attention to good governance and gender;** the design and planning effort should include the improvement of synergies and complementarities across components, while evidence results related to non-financial cooperation and sector dialogue

(participatory and external exercise)

(recommendation based on Conclusions C2 and C3)

See detailed recommendations in Annex 10.

R3 Substantial improvement of the design of the Private Sector Component supported by i) a definition of transport sector competitiveness and ii) participatory assessment and baseline of the competitiveness gap. The assessment should be facilitated by an external team to avoid issues of conflict of interest. UIPE support should be instrumental to increase competitiveness. Results with issues of relevance to private sector competitiveness should be trimmed down. Measurable targets should be set for each result and for competitiveness changes.

(participatory and external exercise)

(recommendation based on Conclusions C2 and C4).

The recommendation entails three steps:

1. Examine the component to make sure that it has focus on private sector needs,
2. Redesign the component to ensure that the private sector is sufficiently taken into account.

R4 Strengthen monitoring and management attention to outcomes and impacts

(recommendation based on Conclusion C3)

R5 - Strengthen focus on institutional capacity development and transformational changes

(Recommendation based on Conclusion C5)

R6 - Reinforce ownership, commitment and participation within each organization

(Recommendation based on Conclusion C6 and C7)

R7 Need to ensure a full participatory approach in all TA services

(Recommendation based on Conclusion C6 and C7)

R8 Develop exit strategies for all Components; exit strategies should be developed through a full participatory approach ensuring the ownership of the organization and its

⁶⁹ Recommendations for the Private Sector Competitiveness Component are presented amongst "general recommendations"

inclusion in its operational plans. Exit strategies will be designed to strengthen sustainability and impact opportunities.

(Recommendation based on Conclusion C6 and C7)

R9 Engage in evidence-based policy dialogue on transport sector; dialogue should be promoted in close coordination and harmonization with sector Development Partners. New and effective mechanisms of dialogue should be sought. Dialogue should promote amongst other issues the autonomy of UNRA and URF

(Recommendation based on Conclusion C6 and C8)

R10 For the Private Sector Component and for future interventions: ensure adequate design standards and due diligence

(recommendation based on Conclusion C1)

B- Specific Recommendations

B.1 Recommendations for the follow up of MoWT support services

- a) TA to be integrated within MoWT
- b) Deeper participation of the Ministry
- c) Strengthened participatory approach for TA services
- d) Identification of national counterparts to start phase 2

B.2 Recommendations for the follow up of UNRA support services

- a) 6 months extension with limited cost to facilitate training of supervisory and design consultants, - to make savings for the transport sector
- b) Facilitate further inputs from and capacity development of the Claims process
- c) Allow the proposed alignment of private and public design and supervision consultants' approach in accordance with UNRA's manual

B.3 Recommendations for the follow up of URF support services

- a) MoFPED is to launch the financing of additional TSUs,
- b) URF is to launch procurement for additional TSUs this year and the next financial year;
- c) TSU Consultants contracting to be well advanced by end of 2019;
- d) Once TSU consultants are contracted, a 6 months limited cost extension for the TA shall be granted
- e) EUD must receive request for an extension from NAO by 6 September 2019, three months before the TA contract is scheduled to end
- f) RMMS to be procured February 2020 and training in it - Training of Trainers – is to be provided to URF and existing and newly contracted TSUs, commencing March 2020.
- g) If not accepted and acted upon by URF and NAO within the timeframe, the contract should be brought to an end as scheduled (7 December 2019)

B.4 Recommendations for the follow up of UIPE support services

- a) Extending the contract by 18 months
- b) Support to revise the conservative dominance of the councils of UIPE
- c) Support to strengthen the secretariat managing UIPE
- d) Ensuring that training offered to graduate engineers and technicians includes a part of private sector financing
- e) Ensuring the communication of UIPE takes account of the private sector
- f) Ensuring that a cheap power supply is installed for UIPE, within the next 6 months supplying power at all times
- g) Ensuring the IT system installed supports UIPE needs, within the next 6 months

Annex 1- Terms of References

Annex 2- Evaluation Questions, Judgement Criteria and Indicators

Intervention logic levels	Evaluation Criteria	Evaluation Questions
A -Problems to B) Cooperation Response	Relevance	EQ 1
B) Cooperation response to C) Outputs	Efficiency Coordination and complementairities	EQ2 & EQ 3
C) Output to D) Direct Outcomes	Effectiveness and Sustainability	EQ4
D) Direct Outcomes to Intermediate Outcomes	Effectiveness and Sustainability	EQ5
E) Intermediate Outcomes to Impacts	Impact and Sustainability	EQ5 & EQ6

EQ 1 - Relevance

To what extent is the Transport Sector Institutional Capacity Building Programme relevant to the need of beneficiary institutions and organizations and aligned to national goals (NDPII) and EU Cooperation objectives?

JC	Indicators	Information sources
JC1.1 The Programme responds well to sector and 4 beneficiary institutions needs and priorities.	I-1.1.1 Respondents of MoWT, UNRA, URF and UIPE perceive relevance to needs and priorities	<ul style="list-style-type: none"> • Action Document • Financing agreement • NDP 2 • NIP and Addendum • Stakeholder engagement • Media • Interviews • Questionnaire Survey
JC1.2 The capacity building programme is fully aligned to transport sector goals and priorities	I-1.2.1 Programme goals match with NDP II objectives I-1.2.2 Evidence that the Action Document was developed with the participation of Institutional counterparts, taking into account national goals	
JC1.3 The Programme is pertinent to EU Cooperation goals	I-1.3.1 Programme goals match with PIN goals for transport sector I-1.3.2 Programme goals are relevant and contributing to to SDG	

EQ 2 - Effectiveness

To what extent is the Transport Sector Institutional Capacity Building Programme achieving results of capacity building for MoWT, UNRA, URF and UIPE? And to what extent is the capacity building contributing to the improvement of institutional performances and public services?

JC	Indicators	Information sources
JC2.1 Programme support strengthened individual and organizational capacities for the 4 targeted institutions	I 2.1.1 Capacity tests before and after training I 2.1.2 Capacity building beneficiaries' perception of improved capacities at organizational level	<ul style="list-style-type: none"> • Inception reports • Progress reports • Review of monitoring of institutional performances • Online survey • Stakeholder engagement

JC	Indicators	Information sources
<p>JC2.2 Programme support is contributing to enhance institutional performances for the transport sector including:</p> <ul style="list-style-type: none"> - Improved delivery of road development projects - Improved operational efficiency of road maintenance - Local construction industry in the transport sector enhanced competitiveness - Strengthened gender responsive strategic planning and oversight of a multimodal transport environment for MoWT 	<p>I 2.2.1 Evidence of changes in individual and organizational performances</p> <p>I 2.2.2 Stakeholders perceptions of improved performances</p>	<ul style="list-style-type: none"> • TA engagement • DPs engagement • Road users satisfaction surveys • Progress in comparison to time table • Interviews • Questionnaire Survey

EQ 3 - Efficiency

To what extent the Transport Sector Institutional Capacity Building Programme design and implementation has been conducive to an efficient delivery of expected results?

JC	Indicators	Information sources
JC3.1 Capacity building is efficiently delivered to the four institutions	I 3.1.1 Implementation according to timeline and financial plans	<ul style="list-style-type: none"> • Contracts • Stakeholder and TA engagement • Progress reports • DP engagement • Progress of support in comparison to plans • Interviews • Questionnaire Survey
JC3.2 Mechanisms (including governance, management, contractual arrangements and internal EU/management / EU/FCA – ONAO and Institution coordination), are supporting an efficient implementation	<p>I 3.2.1 Stakeholders perception of efficient mechanisms supporting positive performances of the Programme</p> <p>I 3.2.2 Number and type of governance, management and contractual issues raised by stakeholders</p>	
JC3.3 Programme measurability and result orientation is supporting transparency, accountability and positive performances	I 3.3.1 All four components have specific and measurable results (with baseline and targets) for capacity building and institutional performances	
JC3.4 Resources allocated (financial and human) are adequate to achieve expected results	I 3.4.1 Stakeholders perceive resources allocated (both financial and human) as adequate for implementation (applied to EU delegation, ONAO, TA and Institutional beneficiaries)	
JC3.5 Beneficiary Institutions ownership and commitment to capacity building is positively supporting programme performances	I 3.5.1 Evidence of 4 institutions commitment and ownership (including policy and management support and financial contributions)	

EQ 4 - Sustainability

To what extent the flow of benefits for beneficiary organizations and the transport sector will continue after the end of EU Cooperation support?

And to what extent programme design and implementation mainstreamed policy priorities related to i) gender equity and women empowerment, ii) environmental impact and iii) good governance?

JC	Indicators	Information sources
JC 4.1 Results achieved under the programme for the four organizations are sustainable from a) institutional and organizational perspectives b) policy environment perspective	I-411 Evidence of adequate behavioral and institutional changes that will allow benefits to continue well after the end of the program I-412 Adequate exit strategy plans have been prepared for the four organizations	<ul style="list-style-type: none"> • Budget allocations • Policy direction • Road user Satisfaction Surveys • Perceptions of the performance of the sector • Interviews • Questionnaire Survey
JC 4.2 The four organizations will be able to meet accrued operational costs after the end of EU Cooperation support	I-421 Evidence of financial arrangements in place to meet capacity building and additional operation costs after the end of the programme	
JC 4.3 Priorities of gender equality and women empowerment, environmental impact and good transport sector governance have been adequately mainstreamed through the different results and beneficiary institutions (MoWT, UNRA, URF and UIPE).	I-431 Evidence of gender mainstreaming in all results and for the four organizations (note: mainstreaming should go beyond a balanced participation of women to capacity building events) I-432 Evidence of improved capacities for environmental impact management in the 4 organizations I-433 Evidence for good governance and transparency arrangements in place for the four organizations	

EQ 5 - Impact

To what extent the Transport Sector Institutional Capacity Building Programme is contributing to opportunities for long-term changes?

Is the programme contributing to unintended changes?

JC	Indicators	Information sources
JC-51 Increased capacities in policy making, strategic planning and implementation may contribute to long term changes for the organisations and the sector	I-511 Evidence of behavioral or organizational changes that may produce long term impact on the transport sector, including road maintenance I-512 Organizational respondents perceive opportunities of impacts following the capacity building programme	<ul style="list-style-type: none"> • Progress reports • Stakeholder engagement and perception analysis • Road users' satisfaction surveys • Interviews • Questionnaire Survey
JC-52 No unintended effects (positive or negative) are caused by the implementation of the programme	I-522 Evidence (or lack of) unintended effects	

EQ 6 – Added Value

To what extent EU Cooperation has a value Added for the Transport Sector Institutional Capacity Building Programme design and implementation, compared to what could have been achieved by Member States?

JC	Indicators	Information sources
JC-61 EU has a Value Added for its support to capacity building for the transport sector	I-611 Positive perception of stakeholders of EU Value Added in relation to MS Cooperation I-612 Evidence of value added (ie financial envelops and or policy dialogue of EU compared to MS)	<ul style="list-style-type: none"> • Interviews with development partners and Member States • Stakeholder perception analysis of EU Value Added
JC-62 The programme established sound synergies and coordination with MS	I-621 Instances of synergies and complementarities with MS I-612 Joint programming in place for transport sector capacity building	

EQ 7 – Coherence

To what extent the Transport Sector Institutional Capacity Building Programme is aligned with evolving EU and Development Partners' strategies and is contributing to (or contradicting) EU policy priorities?

JC	Indicators	Information sources
JC-71 The capacity building programme is designed and implemented in full coherence with key EU policies	I-711 No policy contradictions are evidenced in a policy coherence checklist I	<ul style="list-style-type: none"> • Interviews with Delegation staff and development Partners • Review of checklist for policy coherence • Review of Action Document

Annex 3- Documents Consulted

MoWT

1. COWI: Draft Inception Report, Technical Assistance to the MoWT
2. Inception Report, Mid-term Review of the National Transport Master Plan, Greater Kampala Metropolitan Area, September 2018
3. Final Report, Mid-term Review of the National Transport Master Plan, Greater
4. Contract Agreement: Special Conditions with Annexes
5. Annex II: Terms of Reference for Phase 1 & 2
6. Annex IV: Key Experts CVs

URF

1. IMC: First 6-month Report, Technical Assistance to the URF, July 2018 IMC:
2. Inception Report, Technical Assistance to the URF, April & July 2018
3. IMC Contract, Technical Assistance to the Uganda Road Fund
4. Specific Terms of Reference for the Study of Institutional and Funding Models for the Uganda Road Fund
5. Annex II: CTR 392-254, Terms of Reference

UNRA

1. Diagnostic Study of the UNRA Transformation, May 2019
2. UNRA: Road Map 1 - 3, 2040
3. UNRA: Road Map, 4 - 7, 2040
4. IMC Contract, Institutional Capacity Building for the Transport Sector in Uganda, UG/FED/O39-149
5. Annex II: CTR 390-845. Terms of Reference
6. Annex IV: Key Experts, Addendum, CV
7. IMC: Draft 6-month Progress Report, No. 2, June 2018 – November 2018
8. IMC: Final Progress Report, No 1, September 2018
9. IMC: Final Quarterly Progress Report, October 2018

UIPE

1. Baseline Survey Report, Support to the Local Construction Industry, December 2018
2. Inception Report, Support to the Local Construction Industry, May 2019
3. IMC Contract, Support to the Local Construction Industry
4. Annex IV: Key Experts, Addendum, CV

OTHER

1. Action Document for Institutional Capacity Building for the Transport Sector in Uganda
2. Addendum No. 1 to the 11th EDF NIP for 2014 – 20
3. Steering Committee Minutes No. 1 and Draft Minutes Nos. 2 & 3
4. Financing Agreement
5. Final Evaluation of the Uganda Road Sector Capacity Building Component, Feb 2016
6. Mid-term Evaluation of the Uganda Road Sector Capacity Building Component, July 2013
7. Second National Development Plan, 2015/16 – 2019/20
8. 11th EDF NIP
9. Consultancy Services to Identify Strategic Transport Priority Projects, Phase 2, May 2015
10. Communication and Visibility Plan, Terms of Reference

Annex 6 Training Planned and Implemented in UNRA

Table : TA Supported UNRA Training

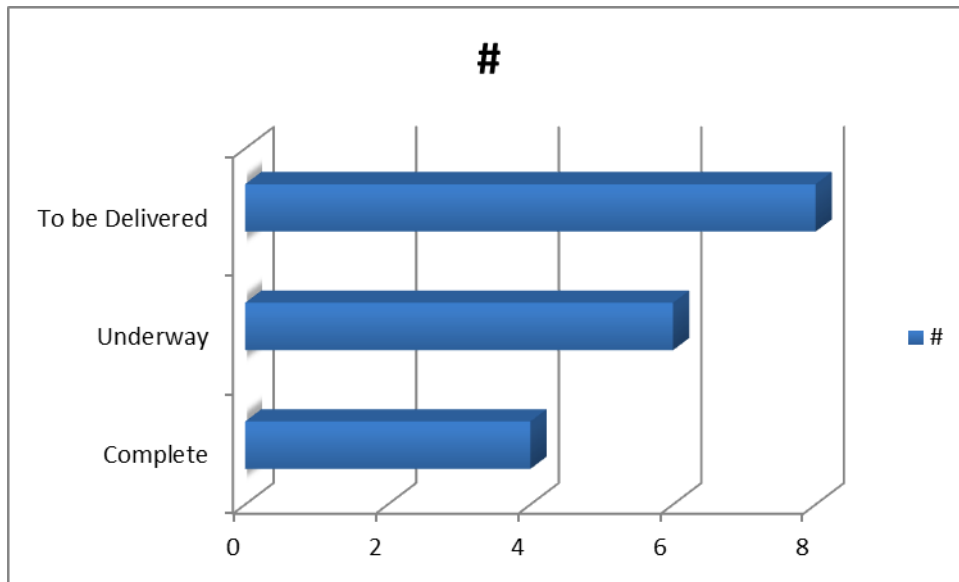
#	Course/Training	Target Directorate	Targeted Staff - #	Period	Status
1	Axle Load Control Strengthen capacity, improve axle load facilities	Roads & Bridges	12	STE just started	To be delivered
2	Business Development Enhance Business Development Strategy to improve Business Development Unit	Network Planning &	1	STE concluded	Complete
3	Claims and Training Resolve current claims and run training for UNRA to improve their capacity to resolve claims	DLS	70	Original work complete - requesting further assistance	First phase complete - requesting further assistance
4	Climate Resilient Roads	Network Planning &	4	STE not deployed	To be delivered
5	Contracts Management Improve UNRA ability to deliver projects on time to quality with reduced claims	Maintenance	115		
6	Additional training - not specifically in ToR	Roads and Bridges	22	Ad hoc - TL provides	Ad hoc responses
7	Cost Estimation Improve estimation of project costs to improve budgeting, may also use in Claims analysis	Roads and Bridges	6	STE concluded	Complete
8	ESS Environment & Social Improve systems and manuals, train staff in improved practises including valuation natural resources	Network Planning &	10	Not started	To be delivered
9	Internal Audit IT Implement and maintain penetration testing and vulnerability assessment tools	Internal Audit	No estimate	Not started	To be delivered
10	Land Acquisition Improve UNRA ability in acquiring land in reasonable timescales with minimal grievances	Roads and Bridges	20	STE just arrived	To be delivered
11	Monitoring & Evaluation Develop a framework that monitors UNRA	Corporate Services Management	12	Second input August 2019 for Presentation to senior	Largely complete - still to be adopted

#	Course/Training	Target Directorate	Targeted Staff - #	Period	Status
	outputs and provides appropriate data to UNRA Management and Stakeholders			management	
12	Performance Management & BSC Enhance HR capacity to cascade PM system to UNRA	Human Resources	220	STE in situ - underway	Underway
13	PPP Improved Provide technical advice on O&M arrangement	Network Planning &	5	Discussions	To be delivered
14	Procurement Improve departments ability to produce contract efficiently and improve governance	P	5	Discussions	To be delivered
15	Rehabilitation Design Train specific staff in optimisation of flexible pavement design, to include field data collection, analysis and interpretation, material testing, design and HDMIV	Network Planning &	6	Underway	Underway - to be finalised
16	Risk Management Assist UNRA implementing a system to enable reduction of risks and ensure availability of the national road infrastructure and a crisis management plan	ED	15	Underway	Underway - to be finalized
17	Traffic Safety Advise training in road safety audits, inspections and reviews	RIP	3	Just started	To be delivered
18	Assist in improving end to end process (interface between Directorates) in UNRA building on work UNRA has done i.e. As Is Process	UNRA - all directorates	No estimate	As is process	Ongoing
19	Joint Training UNRA + Private Sector Design Consultants Supervision Consultants		100	Assumes we have enough money in Incidental Expenditure for one day training on Key design Areas and Key Supervision areas	Discussions
20	Training Private Sector To ensure improved alignment on approach between UNRA and Private Sector.	Potential Subjects (specific areas of issue e.g. swamp		Can easily run into hundreds of training days	Discussions

#	Course/Training	Target Directorate	Targeted Staff - #	Period	Status
	To improve key areas such a Road Safety design, risk analysis of projects Companies May Include Design Consultants Supervision Consultants Materials Laboratories Environmental Cons' Land Acquisition	design) Design Upgrading Roads Design Rehabilitation Project Risk Analysis and Mitigation Design Road Safety Claim Analysis Materials testing and reporting Environmental Impact Analysis Valuation lands			

Source: TA Input to the MTE

Fig. : Training - Complete, Underway and To be Delivered



Source: Table of Input to the MTE

Annex 7 Training Planned and Implemented in URF

Table : URF TA Supported Planned Training, 2018/19 – 2019/20

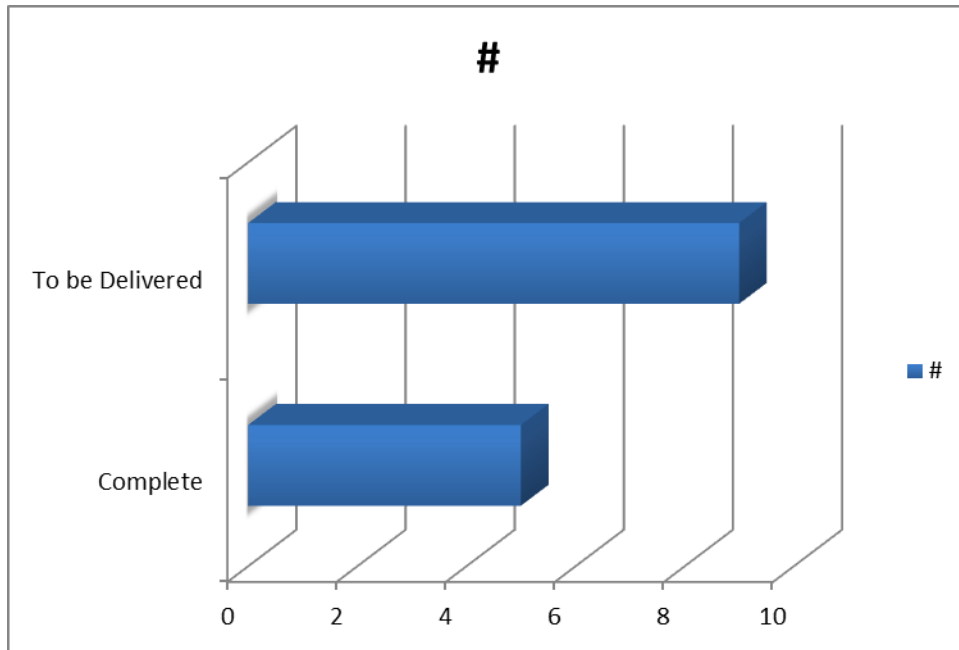
#	Course/Training	Target Department	Targeted Staff	Training Institution	Period	Status
1	Leadership & Management	All	Managers (RF 2) Officers (RF 3)	CEMM	May 2019	Rescheduled for July 2019
2	Document Review & Control	All	Managers (RF 2) Officers (RF 3) Technical Staff	African Capacity Development Research Institute (ACADRI)	August 2019	To be delivered
3	Effective Stakeholder Engagement	All	Managers (RF 2) Officers (RF 3) Technical Staff	East & Southern African Management Institute (ESAMI)	November 2019	To be delivered
4	Trends in Road Fund Management	Corporate Services, Policy and Strategy	Managers (RF 2)	University of Birmingham	June 2019	To be delivered
5	Corporate Strategic Planning	Policy & Strategy	Manager (RF 2)	ESAMI	Sept 2019	To be delivered
6	Project Management for Professionals (IT Projects) [Rhoda Nattabi, Systems Administrator]	Corporate Services	Officer (RF 3)	KOENIG (Dubai)	April 2019	Completed
7	Policy Development	Corporate Services	Officers (RF 3)	ESAMI (Arusha)	Feb 2020	To be delivered
8	Resource Mobilisation & Proposal Writing	Corporate Services	Officers (RF 3)	Centre for Capacity Training and Development	April 2020	To be delivered
9	Performance Management: New Trends in HRM	Corporate Services	Officer (RF 3)	Centre for Capacity Training and Development	October 2019	To be delivered
10	Graphical Presentation of Data	Fund Management	Manger (RF 2) Officers (RF 3) Senior Professionals (RF 4)	Green Bridge School of Open Technologies	July - December 2019	To be delivered

#	Course/Training	Target Department	Targeted Staff	Training Institution	Period	Status
11	Team Building	All	All 31 Staff	ACADRI	January 2019	Complete
12	Tender Bidding, Evaluation and Award	Joseph George Etiang Nathan Byanyima	Manager, Internal Audit Board Member	Alintacorp Pty., South Africa	March 2019	Complete
13	Chartered Personal & Executive Assistants	Brenda Ninsiima	Procurement & Disposal (Assistant)	Access Business Management Conferencing International, Nairobi	May 2019	Complete
14	13 th Corporate Governance Conference	Ronald Namugera Alex Onen	Manager, Policy & Strategy Board Chair (Interim)	Bussynet Advanced Training, South Africa	June 2019	Complete

Source: Sylvia Namutebi, HR Officer, URF

In total, 14 trainings are envisaged, of which 5 (35.7%) (Fig. 1) had been completed at the time of the MTE (18 months (75%) of a 24 month contract). Thirty-seven persons had benefitted from the training offered, 31 of which participated in the two-day team building exercise, which interlocutors informed the MTE had proved beneficial as it had resulted in an increased understanding of internal processes and how staff could contribute effectively to these. Furthermore, it had contributed to improved communication and facilitated the development of Change Management skills, which is important given the conclusion of the current Executive Director's term of office in October 2019. A refresher training in this regard is scheduled for July 2019.

Fig. Complete and Outstanding Training



Source: Table of Input to the MTE

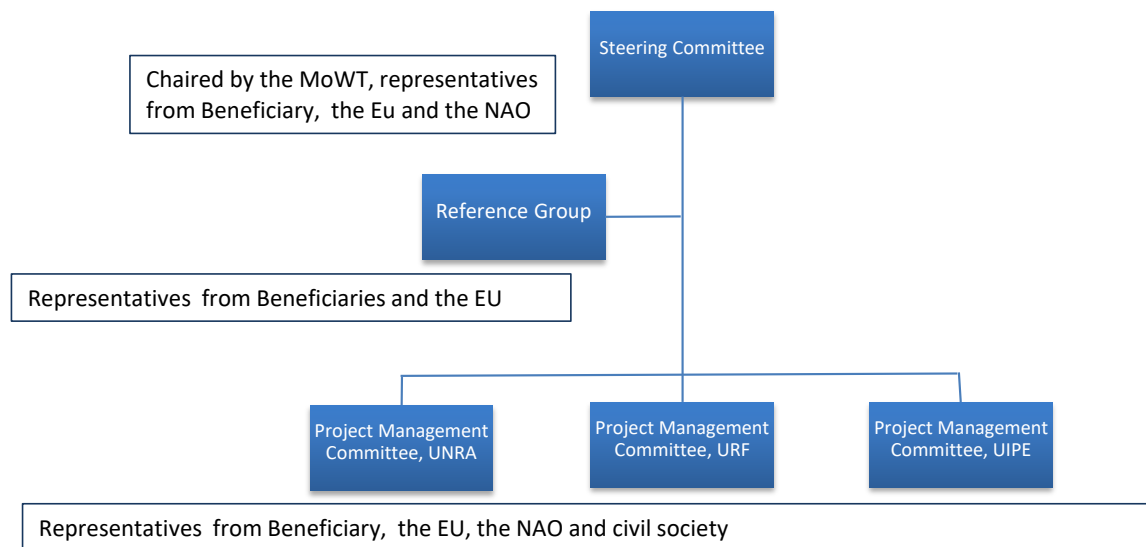
Annex 8 Outputs for the Programme Components

Company	Beneficiary	Services	Inception Report	Progress Reports
COWI	MoWT	<p>The purpose of TA is to strengthen the capacity of the MoWT in gender responsive strategic planning and oversight in a multimodal transport environment, contributing to an appropriate investment-maintenance mix, climate change mitigation and building climate resilience of the sector</p> <p>Outputs of the TA are expected to include:</p> <ul style="list-style-type: none"> • Mid-term review of the National Transport Plan/ Greater Kampala Metropolitan Area (NTMP/GKMA) 2008-2023 • The formulation of a new intermodal/multimodal NTMP (2021-2040) for Uganda • Setting up of a functional transport planning office at the MoWT • Mainstreaming Strategic Environmental Assessment in MoWT's planning systems so as to enhance the integration of Environmental and climate change considerations in MoWT's planning process <p>Plan and transport policies in MoWT</p>	<p>Feb 2018</p> <p>Phase 2: Feb 2019</p>	<p>Sept 2018 (Phase 1 – final report)</p>
IMC	UNRA	<p>The main purpose of the Technical Assistance is targeted towards improving the delivery of road development projects and develop a culture of excellence with a focus on individual accountability for results</p> <p>The outputs/ results of the TA are expected to include</p> <ul style="list-style-type: none"> • Improved procurement processes, • Improved contract management (more focus on land acquisition, unit cost and claims management) • Development of well-aligned corporate and business plan, • Establishment of a monitoring and evaluation framework • Establishment of internal audit systems • Improved environmental 	<p>July 2018</p>	<p>September 2018 November 2018</p>

Company	Beneficiary	Services	Inception Report	Progress Reports
		<p>and social safeguards management</p> <ul style="list-style-type: none"> • Climate resilient infrastructure drianage • Improved operation and maintenance of axle load control infrastructure 		
IMC	URF	<p>The purpose of this contract is improved institutional capacity and corporate governance of URF, resulting in improved operational efficiency of road maintenance. Outputs of the TA are expected to include:</p> <ul style="list-style-type: none"> ▪ Improved cooperate governance, especially at Fund Management Board level, ▪ Improved data management; ▪ Improved cost estimation ▪ Improved program preparation; ▪ Improved audit function over agencies; ▪ Improved M&E function over agencies; ▪ Updated Strategic and Corporate Plans ▪ Updated Allocation Formulae; ▪ Improved operational systems, capacity enhancement and staff skilling. 	April 2018	May 2019
IMC	UIPE	<p>The purpose of the Technical Assistance is to strengthen the UIPEs capacity in fostering the professional growth of both its student and professional members so as to increase competitiveness in the transport sector Outputs of the TA are expected to include:</p> <ul style="list-style-type: none"> • Increased relevance of the UIPE to its members and partners • Capacity built in young professionals • Increased relevance off tertiary institution's curricula to the market demand • Improved human resource capacity in the engineering /construction sector 	May 2019- Draft(V3)	Baseline Study (Dec 2018)

- PS-MoWT (Chair),
- NAO (MoFPED),
- Representatives from EUD,
- Chief Executives of UNRA, URF, UIPE,
- Uganda Association of Consulting Engineers (UACE),
- Uganda National Association of Building and Civil Engineering Contractors (UNABCEC) and
- Civil Society Coalition on Transport (CISCOT), and
- Secretariat provided by MoWT.

The diagram illustrates the management and governance structure set up for the Programme.



The Steering Committee appears to function as a forum enabling the MoWT to monitor progress in its sector institutions.

It is noteworthy that the first Steering Committee asked the **UIPE** for clarification on how the local construction industry was going to be supported. However the UIPE does not appear to have answered the question.

At the time of the MTE, a third Inception Report had been submitted, and it has just been approved. However, the UIPE has similar management plans in place to those of the other three beneficiaries, which draws on representatives of the private sector and UIPE's senior officers. Furthermore, at the initial Steering Committee meeting, the EUD informed the meeting that a grant will be signed with the UIPE, following the building of their financial capacity. Therefore, the UIPE, IMC success of the service contract is necessary for the signature of the grant contract. This may explain why the UIPE does not feel that it can control the TA.

In the course of the Steering Committee meetings, the three operational TA provided regular updates of progress achieved and challenges experienced. This was provided by the Ugandan partners in the cooperation, supported by the consultants.

The TA to UIPE was characterized by high staff turnover. By the third SC meeting, the entire TA team had been replaced including the two Team Leaders. The absence of any real progress in the UIPE contract was noted by the Steering Committee. But the Steering Committee did not take action on the lack of progress and the lack of a logical framework indicating how the private sector was going to be covered by the TA contract.

The first Steering Committee meeting also asked for clarification of **URF's** support to District Engineers through the roll out of planned Technical Support Units (TSUs). This topic was raised again in the third SC meeting. The URF undertook to write to the EUD communicating the organization's plans to establish more TSUs by December 2019. December 2019, which is when the current TA contract ends.

It appears that the progress in the **MoWT** TA has been noted on the Steering Committee, but no reaction is registered on this.

It appears that progress in the **UNRA** TA has been noted on the Steering Committee, but no reaction is registered on this.

It also appears that progress on the **URF** TA has been registered and the issue with the TSUs have been addressed. It is also not clear whether the planned study of the role of Road Funds in neighboring countries have been discussed.

Overall, the MTE is of the view that the SC performed its expected functions satisfactorily. However it is clear that the consultants are asking for reactions on progress and they are not getting it.

The challenges experienced with respect to the TSU roll out and the effective absence of progress in the UIPE component indicate that greater attention to micro-management than is the typical function of Steering Committees, may be advisable. Normally a Steering Committee which is to serve as 'a high level committee which oversees and monitors the Implementation of the Programme' and provide policy advice and guidance to the programme. The MTE believes that the Steering Committee should retain this function, but may take steps to assist UIPE in solving the problems on the TA.

The civil society were present in the Steering Committee, but their views are not reflected in the minutes. The civil society is discussed more vividly in the Project Management Committee.

All three Steering Committee meetings noted that the 30% female representation was not achieved. It remained unachieved by the April 2019 meeting and the EUD undertook to review the target.

Analysis the Project Management Committee Meetings

The MTE believes that the project's Project Management Committees (PMC) have functioned reasonably, ensuring that the respective organizations' departments are aware of the TA's role and the PMC is communicating information upward to the respective organizations senior management teams. However to be legal the NAO has to participate in the PSC and PMC meetings. The NAO participated in two PSC meetings, but did not

The PMC for UNRA functions effectively, the work of the consultants is discussed and progress is reported on. It is noteworthy that the Director, Network Planning UNRA explained that decision-making authority was delegated to the UNRA representatives of the PMC. The members of the PMC have discussed the direction of the assistance with senior management and have the right to make decisions. To the MTE this illustrates the effectiveness of modern management structures.

The PMC has seen considerable progress achieved in project oversight and, in

UNRA's case in particular, substantial progress towards the achievement of the expected capacity development outputs at both individual and at organizational development. In UNRA this has led to the development of a strategy to grow and strengthen the Business Development Unit, the establishment of the Cost Unit and the Costs systems to be used, as well as the formalization of the Claims Committee and the Claims processes to be utilized.

The PSC for URF monitors the performance closely. At the first PSC meeting on the TA to URF, the status of URF is discussed, and it is discussed why the MoFPED does not want to recognize URF as a second generation road fund. There is also discussion of the role that a study of other road funds may have, and there is discussion of the support to the TSUs. The TA appears to feel obliged to report on progress, but the PMC does not have authority to interact with URF.

The other PMC for UIPE also appears to monitor progress closely. The PSC meeting minutes give the impression that UIPE is simply not used to managing consultants of money coming into the organization. The minutes from the PSC meetings illustrate that the EU is frustrated about lack of progress, but it appears that the PSC meeting is not able to solve the situation. The IMC appears to have a somewhat leaned back reaction to the inquiries of the EU. In this sense the PSC meetings illustrate a lack of power.

The MoWT does not appear to have a PMC, and this may be why COWI is represented in the PSC meetings.

It is the MTE's opinion that the project management committees have made an important contribution to the smooth functioning of the TA implementation despite staff members heavy workloads, which, on occasion, has made interaction with the TA experts in practice a challenge.

Overall, the MTE finds that the PSC and PMC reflect the somewhat mixed structure of the TA to the transport sector. We find that the EU is very committed to its role as project manager, and EU is present at all the meetings. However the PSC and PMC meetings minutes reflects that there is uncertainty about who has the role to make decisions on the interventions.

Annex 10 The Logical Framework for the Support

This Annex to the Final report of the Mid-Term Evaluation of the “Institutional Capacity Building for the Transport Sector” Programme provides technical guidelines to the EU Delegation and Programme stakeholders supporting Conclusions C3 and C4:

C3- Need for strengthening result orientation, measurability and monitoring of capacity development outcomes;

C4 – Challenges related to the Private Sector Competitiveness Component design and implementation support the rationale for a profound adjustment of the Component

And recommendation R2

R2 Improve logical frameworks, with outcome specification and measurability (baselines and targets) for all Component; increased attention to good governance and gender; the design and planning effort should include the improvement of synergies and complementarities across components, while evidence results related to non-financial cooperation and sector dialogue

(participatory and external exercise)

The improvement of logical frameworks in its essence is an exercise of improved need assessment and design, supporting ownership, participation, measurability and accountability.

The main advise to all parties concerned is to avoid carrying out an “embellehishment” of existing logical frameworks, but to address gaps in design and measurability of the 4 components (with emphasis for the Private Sector Component), quantifying and specifying the following aspects:

- Outputs expected from TA activities,
- Direct outcomes result of TA outputs / deliverables,
- Intermediate outcomes derived from direct outcomes,
- Contributions to programme and 4 projects specific objectives.

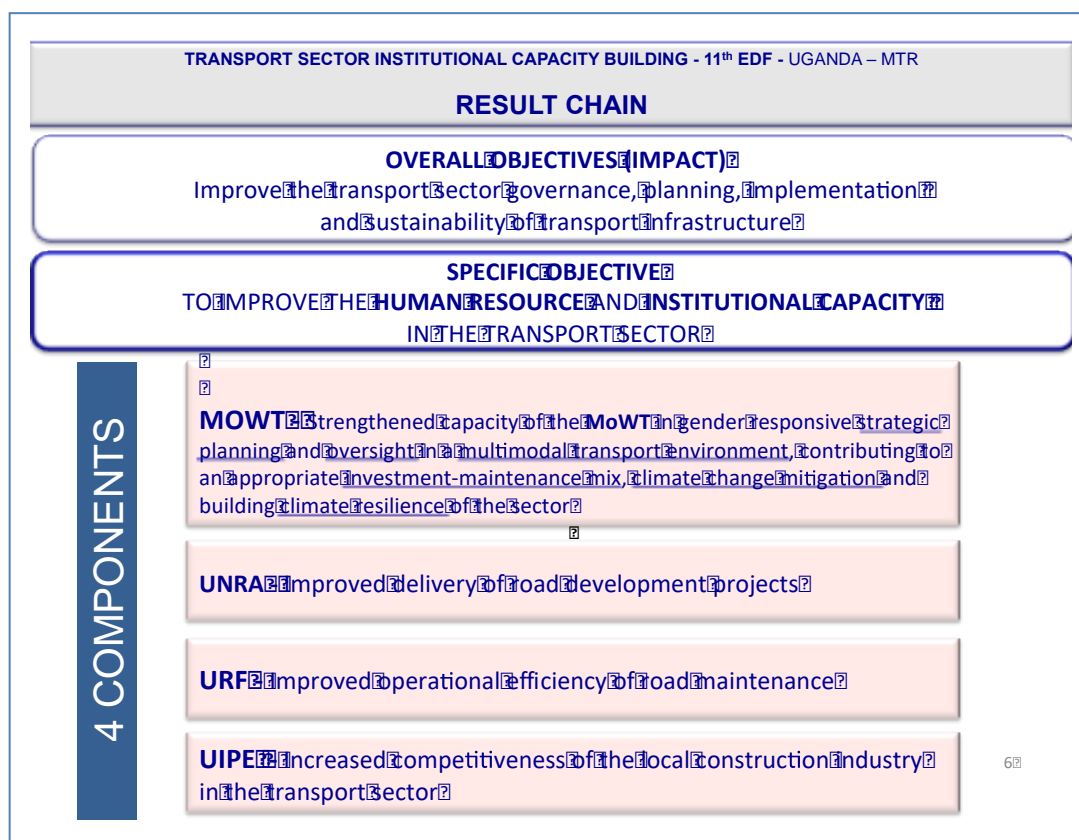
Objectives of the Programme and of the four Components should specifically refer to the financing agreement (see figure 1 below).

Specification and quantification of outcomes should build on a credible and **participatory assessment** of gaps constraining the achievement of the specific objectives of the four components.

The participatory assessment will provide as well the **baseline values** for the expected changes.

When this assessment is missing (see Private Sector Component), this should be carried out as a starting point. Existing assessments should be improved to specify the gaps and support the quantification of results.

Figure 1 – Programme goals (Financing Agreement)



As this is a capacity development programme, the following levels of the result chain shall be defined for each Result:

1. **Capacity building outputs** (trainings / workshops and other deliverables) specifying duration, number of beneficiaries and women participation.
2. **Individual capacity building outcomes** (number of staff supported with measurable increase of skills and measurable improved performances for individuals).
3. **Institutional improved performances.**
4. **Contributions to specific Objectives** (impacts).

Credible and simple indicators and data collection measures should be defined for each level.

Data collection should largely rely on an objective verification of individual skills (for instance tests) and performances and institutional performances.

Baseline and targets should be defined for each expected change.

As a result of the improvement of the design and the logical framework of the 4 Components, the **monitoring and evaluation systems** of the 4 components should be developed and reinforced to implement and follow up measurability at outcome level.

Programme level: design and measurability should be strengthened not only at Component level but also at Programme level.

- The four project-level logrames should be consolidated in a programme level logic,
- Programme level results should be developed and supported by design, including:
 - Policy dialogue
 - Coordination
 - Inter-institutional linkages
 - Likages between institutional and private sector component
 - Governance results
 - Sector and programme level M&E

Specific recommendations for the improvement of measurability and logical frameworks for the 4 Components

MoWT

The overall objective for the TA to MoWT is:

"To improve the transport sector in terms of sector governance, planning, implementation and sustainability of infrastructure"

The indicators suggest improved quality of transport and on the gender balance, - which is relevant.

Indicators are missing to specify how the MoWT manages its role as the leading policy agency in the transport sector. This change should be designed with appropriate indicators and measurable targets.

The Component purpose is:

"Strengthened capacity of the MoWT in gender responsive strategic planning and oversight in a multimodal transport environment, contributing to an appropriate investment-maintenance mix, climate mitigations and building climate resilience of the sector".

While this purpose states the direction for the development of the MoWT, it does not emphasize the policy role of the Ministry.

The indicators suggest that the planning abilities of the Ministry have improved, and that this is reflected in the sub-sector plans. These are relevant indicators, however it would be better if indicators has suggested, how MoWT would act to implement the NDP II. This may have been done by indicating the offices of particular importance to implementation of the plan and the number ad type of staff to be developed.

The results of the MoWT component are presented. The results for Phase 1, simply specify that the TA is going to review the National Transport Master Plan. The indicators do not present specific areas to be reviewed. It should also specify, how these activities contribute to the specific objective. As this TA has been implemented there is a limit to the effect of an update of the log frame, but the extent do which staff and office competences have been upgrade should be outlined. This should be used as the baseline for Phase 2.

The results for Phase 2 specify that a multimodal transport strategy has to be developed, a transport planning office has to be established and Strategic Environmental Assessment has to be mainstreamed in MoWT's planning system.

The indicators specify that the capacity of the Ministry has to be developed to manage the preparation of the plan, which is relevant. Furthermore the offices and functions to be strenghtened by the TA should be specified. Also the number and type of staff to be capacity developed or trained to develop this function in the Ministry and in what the capacities in which they should be strengthened - should be outlined.

The logframe should specify how and to which extent PHASE 1 activities have affected:

- staff skills
- staff performances
- Institutional performances

UNRA

The Logical Framework for UNRA provides a better framework than for the other interventions. It is easier to improve the specifications for this log frame than those of the other components. The log frame should be linked with the specific trainings planned under the Component, which provides a clear overview of all the capacity development to be delivered by the TA (see Annex 6).

The Overall Objective is defined as:

"Improved institutional capacity and corporate governance".

Indicators express the performance of the road network to indicate the change.

The Specific Objective specify two levels:

- i) *"Improved delivery of road development projects"* , and
- ii) *"Development of a culture of excellence with focus on individual accountability".*

The indicators for the first objective specify that projects have to be delivered on time, budget and to the specified quality, but the offices, functions and number of people to receive capacity development to achieve this objective is not specified.

Indicators specific to the different areas of performance of UNRA need to be developed.

Presumably these are the areas covered by the TA – however this is not clear from the log frame – moreover it should be clear how UNRA's ability to manage its role should be strengthened.

For the second objective the indicator "80% of the staff, meeting or exceeding performance expectations" is set. Although relevant also in this case design needs to improve, specifying and setting indicators for the different functions, in which capacity development is going to take place, specifying number and type of staff to be capacity developed.

The outputs define clearly what the TA has to deliver, from a well- aligned corporate strategy and business plan to M&E framework and UNRA information systems. We assume that these areas have been identified through an organizational study of UNRA, however these areas should be indicated as indicators for the log frame. The indicators specify the implementation of the output, e.g. role out of M&E framework to 70% of the organization. These indicators appear relevant, but should have been combined with an indication of the number of people to be trained for example in Business planning and M&E.

Under the Activity Indicators for Performance Management the number of staff to be trained are indicated for example 80% of the staff is going to be trained in performance management. For the other activities, number of staff to be trained is indicated. But the number of staff appears relatively low, for example four staff to be developed on M&E Systems and four staff to be developed on Business Processes. In improvement of the log frame the outputs of training (Annex 6) should be taken into account.

URF

The Log Frame for URF is very short.

The overall Objective is in line with the Programme objectives:

" Improved Institutional capacity and corporate governance of the URF"

The indicators to prove the achievement of this objective are focused on the transport network and the users satisfaction with them.

There is no linkage between this level and TA activities, including the offices and functions to be strengthened and the number of staff to be trained.

The specific objective for the TA to URF is:

"improved operational efficiency of road maintenance"

The indicators propose that this is to be checked against the percentage of accountability reports, but there is no percentage of the number or type of staff to be trained. There is also no indicator proposing, how the role of UIPE is to be strengthened.

The effort to improve design and measurability of URF Component should rely on a reconstruction of how TA activities, with their outputs, will affect the operational efficiency of road maintenance. This implies focusing on direct and indirect effects (outcomes) of TA efforts.

First should be identified URF constraints to contribute to the stated goal.

Then the result chain should be reconstructed, specifying

- a) Individual skills and performances to be improved
- b) Institutional performances to be improved
- c) How and to what extent improved performances will affect "operational efficiency of road maintenance)
- d) The offices and functions to be strengthened.

Private Sector Competitiveness Component

As defined by MTE recommendations, a substantial improvement of the design of the Private Sector Component is required, supported by:

- i) **A definition of transport sector competitiveness.** The definition of competitiveness is missing, leaving very unclear what this component intends to achieve. An adequate, measurable and well accepted definition should be facilitated by an external design. This should also develop and clarify the concept of "employability" identifying and quantifying skills required by the transport industry for employment.
- ii) **Participatory assessment and baseline of the competitiveness gap.** Gaps should be defined against defined standards (for instance skills and costs of non-Ugandan competitors)

The assessment should be facilitated by an external team to avoid issues of conflict of interest.

UIPE support should be instrumental to increase competitiveness. The design should specify (quantify) how each activity, output and outcome will contribute to strengthen private sector competitiveness. This should take into account: i) the need to do away with the conservative engineering approach dominating the applications process, ii) the need to strengthen the management role of the secretariat ii) the need for private sector payment of part of the salaries of the graduates iii) the need to strengthen the skills and performance of the managers and staff of the secretariat

Tip The objective of the logframe improvement should not be an ex-post endorsement of already defined TA activities, with formal (but unsubstantiated) links to private sector competitiveness goals; rather the new assessment and redesign should earnestly understand and address existing priority gaps, achievable within the scope of the intervention.

Results with limited or lack of relevance to private sector competitiveness should be trimmed.

Measurable targets should be set for each result and for competitiveness changes.

An inclusive participation of the private sector is an indispensable requisite for the redefinition of the Component.