

Corporate Unit Evaluation

Central Project Evaluation

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Central project evaluation

Global Alliance for Trade Facilitation (GATF), global
Project number 2015.6252.9

Evaluation Report

On behalf of GIZ by Dr Felipe Isidor-Serrano, Lukas von Petersdorff-Campen, Jadranka Zenic Zeljkovic, Agatha Nderitu, Tidjani Alaedine (Mainlevel Consulting AG)

Published: May 2022

Publication details

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH is a federal enterprise and supports the German Federal Government in achieving its objectives in the fields of international education and international cooperation for sustainable development.

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The Evaluation Unit commissioned external independent evaluators to conduct the evaluation. This evaluation report was written by these external evaluators. All opinions and assessments expressed in the report are those of the authors.

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Design/layout etc.:

DITHO Design GmbH, Cologne

Printing and Distribution:

GIZ, Bonn

Printed on 100 % recycled paper, certified to FSC standards.

Bonn, March 2022

This publication can be downloaded as a pdf file from the GIZ-Website at www.giz.de/evaluierung. For a printed report, please contact evaluierung@giz.de

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Abbreviation

AfT	Aid for Trade initiative
BMZ	German Federal Ministry for Economic Cooperation and Development
BMWi	German Federal Ministry for Economic Affairs and Energy
CPE	Central Project Evaluation
CEFTA	Central European Free Trade Agreement
DFID	Department for International Development
EAC	East African Community
EC	European Commission
ePhyto	Electronic phytosanitary certificate
EU	European Union
GDP	Gross domestic product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
ICR	International cooperation with regions for sustainable development
iCMS	Integrated customs management system
ISRM	Indonesia single risk management strategy
KfW	Kreditanstalt für Wiederaufbau
M&E	Monitoring and evaluation
SDGs	Sustainable Development Goals
TFA	Trade Facilitation Agreement
ToC	Theory of change
USAID	U.S. Agency for International Development
WTO	World Trade Organization



The project at a glance

International (Germany, Morocco, Montenegro, Serbia, Kenya/Indonesia, Ghana): Global Alliance for Trade Facilitation (GATF)

Project number	2015.6252.9
Creditor reporting system code	33120 - Trade facilitation
Project objective	The capacity of governments to implement trade facilitation measures involving the private sector is strengthened.
Project term	October 2015 to April 2019
Project volume	EUR 5,982,422
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ), International cooperation with regions for sustainable development (ICR) title
Lead executing agency	-
Implementing organisations in the partner countries	Public partners in project countries: Customs Administration of the Republic of Serbia as part of the Ministry of Finance, Customs Administration of Montenegro and Tax and Customs System Directorate as part of the Ministry of Finance Montenegro, the State Department of Trade in the Ministry of Industry, Trade and Cooperatives of the Republic of Kenya, the Import and Export Facilitation Directorate, the Consumer Protection and the Trade Compliance Directorate at the Ministry of Trade Indonesia, the Ministry of Trade and Industry in Ghana, Ministry of Foreign Trade Morocco
Other organisations involved	Donors of the Global Alliance for Trade Facilitation: U.S. Agency for International Development (USAID), Department for International Development, Global Affairs Canada, Australian Department of Foreign Affairs and Trade, Ministry of Foreign Affairs of Denmark
Target group(s)	Direct target group: public and private partners in developing countries and emerging economies Indirect target group: poor and marginalised population groups in developing countries and emerging economies

1 Evaluation objectives and questions

The evaluation unit of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH commissioned the independent consultancy Mainlevel Consulting AG to conduct the evaluation of the GIZ project Global Alliance for Trade Facilitation (PN 2015.6252.9). The following chapter introduces the objectives of the evaluation (chapter 1.1) and describes the development and use of the evaluation questions (chapter 1.2).

1.1 Objectives of the evaluation

The purpose of the evaluation is threefold. First, it aims to provide accountability. It is the project's final evaluation in relation to its end in April 2019 and it forms part of GIZ central project evaluation process. The project has been selected randomly following the guidelines of the GIZ Central Project Evaluation unit – a 50% random sample is selected annually.

The main **stakeholders** of this evaluation and their fields of interest are listed below.

- **GIZ corporate unit evaluation:** lessons learned in regard to the project's potential for replication in other contexts and the reputation of GIZ in the participating countries as well as accountability towards the public, as shown in the success rate of GIZ projects,
- **Federal Ministry for Economic Cooperation and Development (BMZ):** accountability towards the public by scrutinising the success rate of German development cooperation projects, and
- **Project team:** learning when it comes to best practice, undertaking successful initiatives that contribute to changed attitudes and behaviour from relevant stakeholders in all participating countries especially in regard to future decision-making.
- **Public sector stakeholders:**
 - a. **Donors of the Global Alliance for Trade Facilitation:** U.S. Agency for International Development (USAID), Department for International Development, Canadian International Development Agency, Australian Department of Foreign Affairs and Trade and Ministry of Foreign Affairs of Denmark. Based on interviews with the director of the Global Alliance for Trade Facilitation the political partners within the alliance have an interest in **lessons learned** and best practices from the implementation of trade facilitation measures and **accountability** towards the public to shore up the success of its activities.
 - b. **German Alliance for Trade Facilitation:** The German Federal Ministry for Economic Affairs and Energy (BMWi) has an interest in learning for decision-making in the future and for making similar interventions. In the initial interviews the BMWi representatives stressed their interest in finding out what should be improved in the intervention in order to scale it up. As a public institution the BMWi also has an interest in **accountability** towards the public to ensure the success of the organisation's activities.
 - c. **Project implementation at the local level:** Customs Administration of the Republic of Serbia as part of the Ministry of Finance; Customs Administration of Montenegro and Tax and Customs System Directorate as part of the Ministry of Finance Montenegro; the State Department of Trade in the Ministry of Industry, Trade and Cooperatives of the Republic of Kenya; the Import and Export Facilitation Directorate, the Consumer Protection and the Trade Compliance

Directorate at the Ministry of Trade Indonesia; the Ministry of Trade and Industry in Ghana; Ministry of Foreign Trade Morocco. Based on their role as project partners we assume that the local political partners mainly have an interest in **learning** when it comes to requirements for decision-making and also an interest in being **accountable** towards the public.

- **Private sector stakeholders:** The companies involved in the German and the Global Alliance for Trade Facilitation primarily have an interest in learning from the evaluation: what could be improved in order to make the alliances more effective?

1.2 Evaluation questions

The project was assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. This is based on the Organisation for Economic Co-operation and Development ([OECD/Development Assistance Committee \(DAC\) evaluation criteria](#) (updated 2020) for international cooperation and the [evaluation criteria for German bilateral cooperation \(in German\)](#): **relevance, efficiency, effectiveness, impact and sustainability**. Aspects regarding standards of coherence, complementarity and coordination were included in the other criteria. In addition, the contributions to the 2030 Agenda for Sustainable Development and its principles (universality, integrative approach, Leave No One Behind, multi-stakeholder partnerships) were also taken into account as well as cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Aspects regarding the quality of implementation were included in all OECD/DAC criteria. Specific assessment dimensions and analytical questions were derived from this given framework by GIZ and formed the basis for all central project evaluations.

During the inception mission the evaluation team identified the following additional interests of the project team:

- **Implementation principles:** Which principles have made a particular contribution to the success of the project?
- **Type of alliances:** What is the typical purpose of an alliance model? What works in the concept of alliances and what does not?
- **Methodology of the project:** What works, what should be adapted?
- **Digital transformation:** What does the concept of "digital by default" mean and what is the relevance of digital scaling up?
- The project team voiced a particular interest in **recommendations for the implementation** of the third phase of the project.
- The project team also wanted to receive recommendations on how to design and implement a **user friendly and robust monitoring system** that also includes monitoring data from partners.

However, the evaluation questions given within the framework of GIZ – as well as the additional knowledge interest of the team – needed to be broken down and used to provide a robust methodology in order to avoid misinterpretation and mere anecdotal evidence. Therefore, the evaluation team filled and used an evaluation matrix, including evaluation indicators, as the basis for this assessment (see Annex 1).

2 Object of the evaluation

This chapter summarises the evaluation object, presents the results model used as the methodological basis for this evaluation and describes its hypothesis. It also provides some additional information on the results models required by GIZ.

2.1 Definition of the evaluation object

The main object of the evaluation was the selected global project Global Alliance for Trade Facilitation identified by the project number (PN: 2015.6252.9). It will be subsequently referred to as “the project”.

Political, sectoral context and framework conditions

The international debates on the Financing for Development Initiative and the 2030 Agenda highlight the need to mobilise additional resources for financing development and achieving maximum leverage with the invested resources. The private sector would play a central role as a driver of development. Targeted trade policy measures such as the Aid for Trade Initiative are also an integral part of such a development agenda. They help create the necessary framework conditions and support developing and emerging countries, especially least developed countries, in their integration into global value chains.

In particular, the World Trade Organisation (WTO) Trade Facilitation Agreement (TFA), which all 160 member states have committed to implementing – subject to individual ratification – primarily aims to dismantle tariff barriers to trade. Simplifying complex customs procedures would reduce transaction costs for integrating developing countries into global value chains and the opportunities for international trade made accessible. Within the framework of the agreement, industrialised countries such as Germany have committed themselves to supporting developing countries through technical and financial cooperation. According to preliminary estimates by the WTO, the additional resources needed to implement the agreement amount to EUR 1 billion over a period of five years. Private sector actors are partners in overcoming development policy challenges and implementing sustainable economic and action processes. One starting point is the assumption that the private sector will also benefit from trade facilitation, such as the acceleration of customs procedures, and that trade facilitation can thus create a positive situation for all those involved. The OECD estimates that full implementation of the agreement will reduce the trade costs of developing and emerging countries by 13% to 15.5%. The International Chamber of Commerce assumes that the WTO TFA can generate growth of USD 1 trillion and create 21,000,000 new jobs, primarily in developing and emerging countries.¹

Political, sectoral context and framework conditions in selected project countries

- **Morocco's** foreign trade represented 87% of its gross domestic product (GDP) in 2019.² The country's foreign trade remains highly dependent on the EU with 78% of its imports and 82% of its exports achieved through free trade agreements. Morocco is already on the way towards improving its business environment and the government has committed to ambitious reforms, including those in line with the TFA.³ Morocco notified a list of 34 articles in category A in July 2014. Category B and C notifications were submitted to the WTO in February 2018. Morocco has recently managed to substantially reduce the time

¹ Angebot Global Trade Facilitation Allianz PN 2015.6252.9 vom 01.06.2015

² <https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS>

and cost of border compliance and strengthen its strategic position as a regional hub, attracting foreign direct investment.⁴

- **Kenya** is largely open to foreign trade, which accounted for around 33.4% of its GDP in 2019⁵. The country remains committed to trade liberalisation through its membership in the WTO, the Common Market for Eastern and Southern Africa and the East Africa Community. Trade, both domestic and export, is among the sectors that are expected to stimulate economic growth. Kenya submitted its notification of category B and C commitments to the WTO – under the WTO TFA – indicating a need for support. In regard to the articles under category C of the TFA, trade in Kenya is particularly challenged by issues in regard to clearing goods for import (Kenya Proposal Master).
- **Serbia** is open for foreign trade as indicated by a trade openness ratio of 112% the GDP in 2019.⁶ The country is pursuing membership in the WTO, with accession negotiations at an advanced stage. Serbia has submitted its application to the WTO in 2004 and has since undergone legal and structural reforms in order to meet the criteria for full membership in the organisation. The trade policy is further determined by the Stabilisation and Association Agreement between Serbia and the EU as well as by the Central European Free Trade Agreement (CEFTA), which links it with its Western Balkan neighbours. Furthermore, the CEFTA agreement fully conforms to the WTO rules and procedures.
- **Montenegro's** foreign trade represented 109 % of its GDP in 2019.⁷ The country has been a member of the WTO since 2012. The trade policy has been mainly determined by its membership in the WTO, the Stabilisation and Association Agreement with the European Union as well as by the CEFTA, which links it with other Western Balkan countries. Since the CEFTA parties have eliminated all their tariffs in their regional trade in goods, trade facilitation has become the sole means to promote trade in goods and utilise trade policy in support of an economic growth agenda.
- **Indonesia's** foreign trade represented 37% of its GDP in 2019.⁸ Indonesia's economy has been the largest in Southeast Asia and it is one of the emerging market economies of the world. Indonesia is a member of G20 and classified as a newly industrialised country. To further reduce time and costs of trading, the government of Indonesia has ratified the WTO's TFA.⁹ Indonesia submitted notifications on provisions under category A and category B. These notifications were concerned with three major issues: legal harmonisation, lack of infrastructure and readiness in human resources.¹⁰
- **Ghana** is highly open for foreign trade, which accounted for 70% of its GDP in 2019.¹¹ Ghana is already one of the largest economies in West Africa and an important hub for regional and international business. In January 2017 Ghana presented the country's ratification of the TFA to the WTO and submitted the notifications with five TFA measures under category A (Ghana Proposal Master 2017). Later in 2019 notification for TFA measures in categories B (6 measures) and C (24 measures) followed.¹²

⁴ <https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS>

⁵ Worldbank 2018, retrieved from <https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS>

⁶ Worldbank 2019, retrieved from https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS?name_desc=false

⁷ Worldbank 2019, retrieved from https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS?name_desc=false

⁸ Worldbank 2019, retrieved from https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS?name_desc=false

¹⁰ <https://www.tradefacilitation.de/en/projekte-en/planned-cooperation-towards-an-integrated-risk-management-system/>

¹¹ Worldbank 2019, retrieved from https://data.worldbank.org/indicator/NE.TRD.GNFS.ZS?name_desc=false

¹² FTA 2020, retrieved from <https://tfadatabase.org/uploads/notification/NGHA1A1.pdf>

The project

The project aimed therefore to stimulate growth in developing and emerging economies by decreasing the time and cost of moving goods across borders. This would be accomplished by reducing trade barriers. Many developing countries and emerging economies have been encumbered by trade constraints resulting from complicated customs documents and border procedures that lack transparency. On top of this, the high cost of managing and monitoring the transaction of goods has made it even more difficult for the local economy to access global markets. International companies thus have had little incentive to invest and create jobs in countries with an unfavourable trade and investment climate.

The partners in the Global Alliance for Trade Facilitation and the German Alliance for Trade Facilitation have been working on implementing trade facilitation measures. The sub-projects (further referred to as country projects) conducted by the alliances have aimed for a measurable reduction in the time required for customs procedures and the movement of goods. The reduction of transaction costs benefits all companies that export and import and above all, the partner countries themselves. Local suppliers have been strengthened and integrated into global supply chains, thus boosting the development of new markets. The alliances therefore made a significant contribution towards implementing the WTO TFA and the 2030 Agenda. Together, the two alliances have been implementing projects in more than 20 countries worldwide.

Temporal delineation: The subject of this evaluation was the project, which ran from July 2015 to April 2019.

Financial delimitation: The project was financed through funds from BMZ and implemented by GIZ. The evaluation covers funding from July 2015 to April 2019 – with an original overall budget of EUR 3,000,000. In 2016 the funding rose to 6,000,000. Due to underspending in 2015, EUR 17,578 was returned to BMZ. This resulted in a final cost of EUR 5,982,422 by the end of the project.

Geographical delineation: The project was implemented globally with specific national measures (country projects) in Serbia, Montenegro, Kenya, Ghana, Morocco and Indonesia. The experiences of all these countries were considered in the evaluation, with four looked at in detail: Montenegro, Serbia, Kenya and Morocco. Due to the travel restrictions related to the COVID 19 pandemic in the first half of 2020, the evaluation team conducted the evaluation missions remotely. All interviews were conducted online through video conference services. The country projects that were looked at and evaluated in detail were:

- Pre-arrival Processing for Express Consignments in Serbia
- Pre-arrival Processing for Express Consignments in Montenegro
- Expedite Release of Goods through Risk-based Pre-arrival Processing in Kenya
- Rationalise and Automate Import and Export Processes for the Agri-food Sector in Morocco

Cross-cutting issues: The countries subject to this evaluation did not encounter any severe conflicts that were relevant to the project context at the time of the inception report. Although not formally integrated into the project, participative development and good governance (PD and GG) and poverty (AO) issues were important cross-cutting issues examined during the evaluation. The methodological orientation and strategy of the project was based on a cooperative approach with the private sector (PPP). Gender as a cross-cutting issue received less prominence in this evaluation, as the project did not integrate specific measures in this area.

Levels of intervention: The project involved interventions mainly on the macro and meso level with support for the establishment of a German and Global Alliance for Trade Facilitation, simplifying trade procedures and involving the private sector through public-private dialogues in project countries. The follow-up project (PN 2019.6251.3) follows a similar results logic with interventions mainly on the macro and meso level.

The project's role within the stakeholder structure

The project's basic strategy was to create structures for economic cooperation in the context of the WTO Trade Facilitation Agreement. The Global Alliance for Trade Facilitation and the German Alliance for Trade Facilitation were being established to raise additional public and private funds to implement the WTO Trade

Facilitation Agreement. In addition, the project was implementing trade facilitation measures in six partner countries. This involved working with governments, local companies and business associations and international companies with local presence.

Direct target group of the project – public and private partners: The direct target group varied according to the country context. In most countries the target group is defined as customs agencies, trade ministries in the partner countries and other national agencies involved in cross-border trade. The projects aimed to strengthen capacities of these public participants in implementing trade facilitation policy. Other direct target groups were the technical and management staff of international companies, along with local companies in partner countries that were involved in the project. The project aimed to open new fields of business and enable potential for more efficient trading.

Indirect target group of the project: This group included traders and consumers, along with poor and marginalised population groups in developing countries and emerging economies. Among the indirect target group were traders and consumers that benefit poor and marginalised groups in developing countries and emerging economies. Through the successful implementation of trade facilitation measures, the integration of developing and emerging countries into world trade would be promoted. Integration into world trade presented an opportunity for economic growth, creating new employment and income opportunities that would also benefit women and disadvantaged population groups.

2.2 Results model including hypotheses

Introduction to GIZ's results model approach

Contribution analyses (following Mayne, 2011) formed a cornerstone to the underlying assessment design. A project's theory of change is central to a contribution analysis to make credible causal statements on interventions and their observable results. At GIZ theories of change are visualised in results models and complemented by a narrative with corresponding hypotheses. A results model is a graphical representation of the project. It describes the logical connection and interrelationship of results and how they contribute to the overall objective. A results model defines all possible outcomes, change hypotheses including multidimensional causalities, system boundaries, assumptions and risks and external factors affecting the project. A main added value of basing the evaluation on a results model is the enhanced visibility of causalities beyond linear and monodimensional relationships between results on different levels.

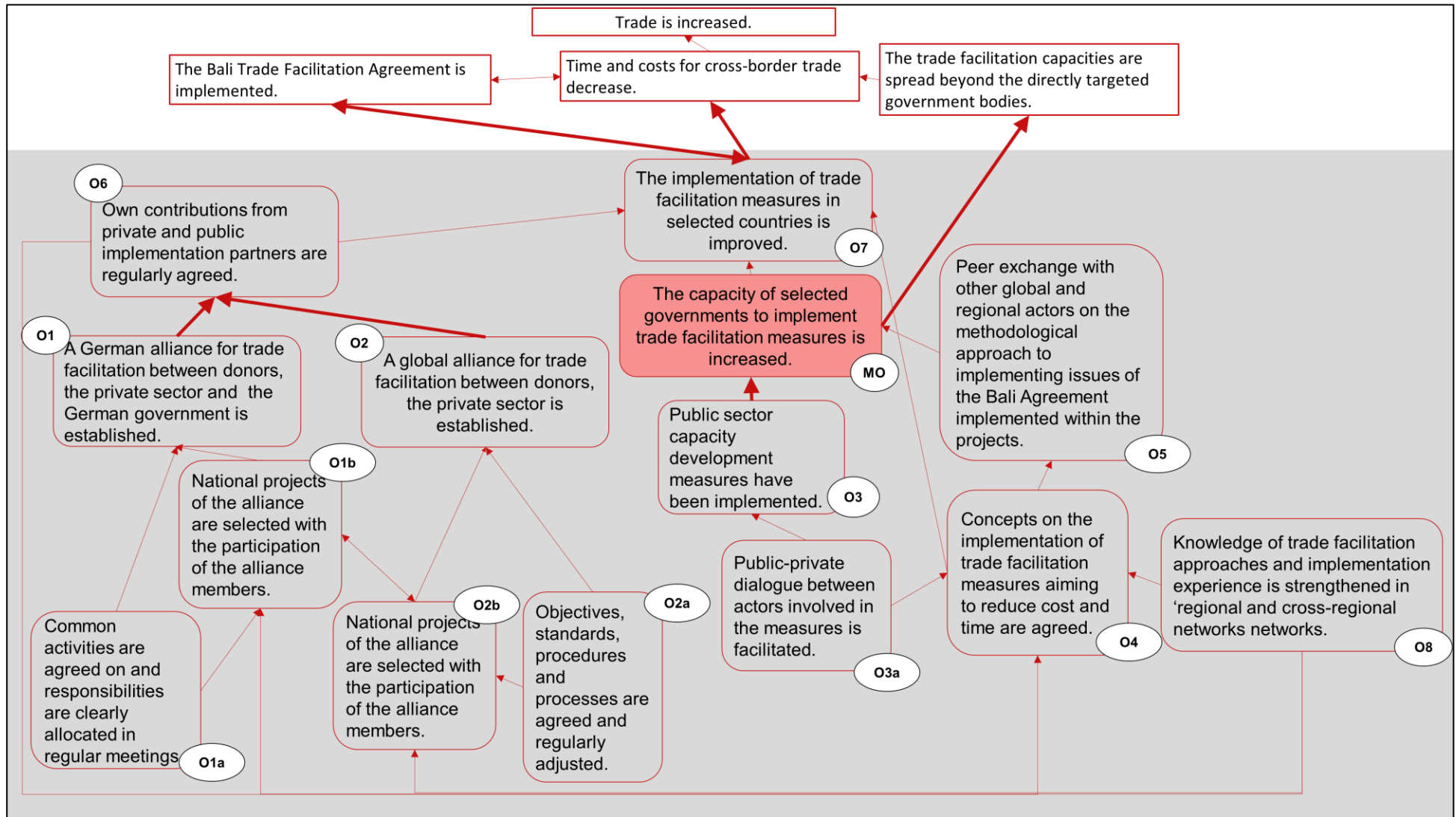
Finally, a results model is essential for assessing all five OECD/DAC criteria. The use of the results model also helps the evaluation team operationalise indicators for the evaluation questions, as described in the evaluation matrix (see Annex 1), and select hypotheses for the contribution analysis.

The project's results model

This model has been developed and discussed with parts of the GIZ project team in Germany in an initial workshop during the inception phase on 16 January 2020 and in separate discussions with project officials in March and April 2020. In the final round of commenting on the inception report, participants decided to conduct the evaluation based on the model in the figure below. However, at the time of the evaluation mission questions from project team members regarding the levels of some results (such as output and outcome) remained. It was agreed that the model would be finalised on the basis of insights from the evaluation mission. This was done in July 2020, again in cooperation with the project leader and monitoring and evaluation (M&E) officer.

Hypothesis underlying the current project design

Figure 1: Results Model



Project objective: The project aimed to strengthen the capacity of selected governments to implement trade facilitation measures. Originally the projects results model (as well as the *Wirkungsmatrix*) was split into the following three main outputs:

- **Output A:** A German Alliance for Trade Facilitation and a Global Alliance for Trade Facilitation between donors, the private sector, governments and academia is established.
- **Output B:** The implementation of trade facilitation measures in selected countries and regions is strengthened.
- **Output C:** Knowledge of trade facilitation approaches and implementation experience is strengthened in cross-regional networks.

In cooperation with the two alliances, the project implemented six trade facilitation measures on a national level.

Outputs: Based on the discussions with the project team and follow-up talks with project officials, the following five outputs were agreed for the results model to better represent the actual implementation of the project:

- **O1:** A German Alliance for Trade Facilitation between donors, the private sector and the German government is established.
- **O2:** A Global Alliance for Trade Facilitation between donors and the private sector is established.
- **O3:** Public sector capacity development measures have been implemented.
- **O4:** Concepts for implementing trade facilitation measures aiming to reduce cost and time are agreed.
- **O5:** Peer exchange with other global and regional parties on the methodological approach to issues in implementing the WTO Trade Facilitation Agreement has been instituted within the projects

Output 1 (O1) focused on establishing the German Alliance for Trade Facilitation. Main activities implemented by the GIZ project team referred to organisational support for structuring the work of the alliance. This was partly done through regular meetings or *arbeitstreffen* where activities were planned (see output O1a). The project facilitated the dialogue between the different stakeholders within the alliance – companies, associations and public institutions. The underlying hypothesis was that such activities led to an increase in active stakeholder participation in the alliance and implementation of trade facilitation measures. The close involvement of these stakeholders in the planning of projects would result in more relevance and an increased quality of project implementation (see output O1b). The underlying assumption is that the project's overall support in mobilising members and its encouragement of exchange in the German Alliance for Trade Facilitation led to the formal establishment of the alliance, and kept it functionable and active.

Output 2 (O2) focuses on the Global Alliance for Trade Facilitation. The alliance was established in cooperation with the donor organisations and private sector partners, benefiting from the support of the World Economic Forum, the International Chamber of Commerce and Centre for International Private Enterprise, which jointly form the secretariat. The methodological orientation and strategy of the project was based on strong cooperation with the private sector. Initially, the Global Alliance for Trade Facilitation aimed to develop an **alliance business engagement approach**, sourcing strategy and project selection criteria. The project supports the secretariat with financial means, personnel, conceptual inputs and in facilitating dialogue between the different stakeholders within the alliance – companies, associations and public institutions. A long-term expert financed by the project was seconded to the World Economic Forum. Objectives, standards, procedures and processes were agreed upon and regularly adjusted (see O2a). Further alliance national projects were selected with the participation of all members (O2b). The alliance aimed to enhance trade facilitation implementation by bringing together public and private sectors as equal partners to identify and deliver commercially meaningful reforms in developing and least developed countries. The underlying hypothesis posited that facilitation and financial support to the alliance led to the formation and active functioning of the Global Alliance for Trade Facilitation.

Output 3 (O3) focuses on the capacity development measures implemented as part of the national trade facilitation projects. The measures enable transfer of knowledge on trade facilitation to the partner institutions, companies and associations in the countries. A specified output of the capacity development (O3) is the public private dialogue facilitated in the project countries (O3a). The underlying hypothesis posits that capacity development of government institutions (partly through measures with the private sector) will increase the trade facilitation capabilities of selected governments and therefore improve the implementation of trade facilitation measures.

Output 4 (O4) focuses on agreeing concepts on the implementation of trade facilitation measures that aim to reduce cost and time. This is achieved through developing innovative approaches to implementing the WTO TFA measures. Developing these concepts will strengthen the implementation of trade facilitation measures (O7) and facilitate peer exchange with global and regional parties on reducing time and cost within the country projects (O5).

Output 5 (O5) focuses on peer exchange with global and regional actors on the methodological approach to implementing issues of the TFA within the national projects. Workshops and exchange processes with other global and regional actors facilitate this exchange (measured with indicator C1).

Output 8 (O8) Knowledge of trade facilitation approaches and implementation experience is strengthened in regional and cross-regional networks, with conferences providing forums for presenting papers and spreading implementation knowledge between alliance members and non-members. This helps to develop new concepts for implementation and further contributions to projects by alliance members (O6).

Outcome level: The above-mentioned outputs within the system boundary, in theory, will contribute to building capacity in selected governments to implement trade facilitation measures. Further medium-term outcomes identified include:

- Own contributions from private and public implementation partners are regularly agreed upon (outcome 6, O6).
- The implementation of trade facilitation measures in selected countries and regions is improved.
- The capacity of selected governments to implement trade facilitation measures is increased (former module objective MO).

At impact level, the application of the project could lead to the implementation of the WTO TFA and a decrease in time and costs for cross-border trade. The decrease in time and cost could also be facilitated by a spread of trade facilitation capacities and knowledge across government bodies that are not directly targeted. This could lead to a general boost in trade. A key assumption is that a decrease in trading cost and time for companies conducting cross-border trade will result in those companies reinvesting and therefore increasing trade. Following the logic of the project design, ultimately a higher amount of trade would result in more employment opportunities (SDG 8: sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all) and assist poverty reduction (SDG1: end poverty in all its forms everywhere).

Discussions on the results model during the evaluation often revolved on the more complex causes to outcome 6 (O6), rather than the processes and methods of the alliances (O1 and O2) leading to their own contributions from donors and companies. Own contributions could also result from many different approaches and opportunities created from the activities of the GIZ project team in the realm of trade facilitation (Int_1GLO). The most common path to achieving the module objective of increasing the capacity of selected governments to implement trade facilitation measures (MO) would be to encourage exchange with private sector partners and public sector capacity building in the context of the country projects (such as Kenya, Morocco, Montenegro and Serbia).

Additional information on the results model:

- **System boundary:** The system boundary of the results model was based on the scope of the project's control; results outside the system boundary are beyond the exclusive responsibility of the project and

indeed affected by other factors, stakeholders and interventions in the respective countries. The results that lie outside the system boundary of the project depend mainly on external factors and/or other interventions (such as policy regulations and country development). In a nutshell, all results related to final beneficiaries such as traders (cross-border oriented companies) and consumers – who can be targeted through this project only indirectly – are outside the system boundary.

- **Concept updates:** In the course of the project, there was a repeat offer (25 September 2015) and two amendment offers (3 March 2016 and 23 November 2017). A total budget of EUR 6,000,000 was promised in the November 2014 project appraisal mission. In response to this promise, a concept with this budget was developed during the appraisal mission. In order to enable the development of all new projects under the international cooperation with regions for sustainable development (ICR) title requested by BMZ in 2015, the value of the offers for an initial assignment period had to be reduced. It was decided to offer EUR 3,000,000, but keep the original EUR 6,000,000 in the concept. BMZ commented on the offer and requested a bid concept for EUR 3,000,000. Accordingly, a repeat offer for EUR 3,000,000 was submitted on 25 September 2015 with indicator values halved, with a note on the prospect of an increase in the programme proposal. On 3 March 2016, an amendment offer was submitted with the request to increase the contract value by EUR 3,000,000 minus unspent cash in 2015 of EUR 17,578 to a total of EUR 5,982,422. The indicator values halved in the initial offer were adjusted accordingly in the amendment offer. Apart from that, there were no other conceptual or methodological changes. The second amendment offer of 23 November 2017 was necessary due to additions in the programme proposal, a cost neutral extension of the programme period by six months (until April 2019), adjustments in objectives for output A and the addition of output indicator A3 and A4. In close coordination with the then BMZ Division 411, a new field of action was established to win German companies for cooperation in trade facilitation projects. Output indicator A was adjusted to reflect the establishment of the German Alliance for Trade Facilitation. No conceptual changes were made at module target level.

3 Evaluability, evaluation design and process

3.1 Data availability and quality

The evaluation relied on a mix of primary and secondary data sources, which are briefly summarised.

Internal documentation

This documentation included proposals, annual reports, minutes of meetings, protocols and presentations. In addition, it included a range of documents such as stakeholder maps and results models. All monitoring data collected by the project and its stakeholders was reviewed to improve understanding of the project design, results hypotheses, objectives and indicators. The data was also analysed in a disaggregated manner (by area of implementation) to provide insights on what worked for each country and target group. Finally, internal cost data was consulted for the efficiency analysis. See Annex 3 for a full list and quality assessment of the available project documents.

Secondary data

The project team identified secondary data centred on publications about trade facilitation. A full overview of these documents can be found in the list of references in Annex 2.

Interviews

The interviews were conducted with project staff, customs, ministries, associations and private companies. Interview partners were chosen in consultation with the GIZ project team before the evaluation mission in June 2020. They were selected for their ability to provide relevant information about the project and the sector where the project is operating.

Table 1: Stakeholder groups.

Stakeholder group	Numbers of interviewed people (aggregated by gender)
GIZ	10 (7 females, 3 males)
Public stakeholders (country project level)	22 (11 females, 11 males)
Private sector stakeholders (country project level)	14 (3 females, 11 males)
Global Stakeholders (alliance members)	8 (6 males, 2 female)
Other	2 (male)

Project monitoring system

A well-maintained monitoring system was in place. Indicators were tracked using standard MS Word templates saved in an internal file structure. The documents contain all categories necessary for a results-based management system (e.g. baseline, yearly status update, sources for verification, time and frequency of data collection, responsible person, costs, relevance for markers). Furthermore, the evaluation team can confirm that the importance of monitoring and evaluation (M&E). All interview partners from the projects acknowledge its role for managing and steering the project efficiently and effectively. All information available in the monitoring system was used for assessing the indicators; assessing effectiveness and additional efficiency criteria such as allocating roles and responsibilities, handling risks and considering lessons learned.

On a country project level project the M&E Masterfile and the Operational Plan were used to monitor activities on a regular basis and report on the implementation status of the project. In most countries indicators on an output and outcome level¹³ were monitored through surveys among the project's public and private sector implementation partners. However, data on these indicators is often collected only once at the beginning and at the end of a project and not followed up on regularly. Therefore, current data (after some activities were initiated) was only available for the two completed projects in Serbia and Montenegro. (Montenegro Project Operations Plan, Serbia Project Operations Plan, Ghana Project Operations Plan, Kenya Project M&E Masterfile, Morocco Project M&E Masterfile, Indonesia Project Plan. Hence, the relevance of these indicators to measuring the trade facilitation measures success is limited).

In most projects the outcomes of capacity building measures and the introduction of new systems were not regularly monitored. The project in Kenya followed up with partners such as Kenya Trade Network Agency (Ken-Trade) and agencies participating in workshops and training about changes in risk management processes and capacity building, but this was not done in a systematic or regular way. The average percentage of goods that were going through inspection has been recorded by GIZ but not regularly tracked (INT_11KE).¹⁴

¹³ e.g. the "PIR Indicator 1-1: Percentage of Alliance private sector stakeholders confirming that the dialogue mechanisms established by the Alliance are effective in leveraging public-private partnerships on TF reform.)

¹⁴ The last known value was reported to be at 13% of goods go through inspection.

Finally, there has been no evidence of a continuous, formal monitoring of risks and no formal evidence. According to project staff the monitoring system was regularly used to steer the project, but this has not been formally documented.

Baseline information: Endline data and baseline information for outcome and output indicators was provided by the project itself through the monitoring sheets. The evaluation team assessed the quality of reporting to be good. However, the focus of the indicators was often output focused (see chapter on effectiveness for more information).

Selection of countries visited: Serbia, Montenegro, Morocco and Kenya were chosen for the evaluation, based on discussions with the project team during the inception phase, interviews with stakeholders from both alliances along with donors (BMZ and BMWi) and the GIZ sectoral unit. The main reasons for choosing these countries were:

- **The stage of implementation** – for instance this is complete in Serbia and Montenegro, while the other projects are currently in progress.
- **An equal distribution between projects** initiated in the German and the Global Alliance for Trade Facilitation – for example, Serbia and Montenegro were initiated by the German Alliance for Trade Facilitation while Morocco and Kenya were initiated by the Global Alliance for Trade Facilitation.
- **The specific knowledge interest** of the project, as with Kenya.

Quality of data: Overall, the evaluation team considers the data underpinning this evaluation to be of good quality. Ample documentation on processes supported by the project was available. The team also found this information to be reliable, as it was in line with information provided by partners and external stakeholders in each country during the interviews in the evaluation mission.

3.2 Evaluation design and methods used

In line with the terms of reference, the evaluation team adopted an approach that relied on the project's theory of change as a basis for the analysis. Specifically, it implemented a contribution analysis related to the OECD/DAC criteria of effectiveness and impact. A contribution analysis examines the extent to which observed (positive or negative) results can be attributed to the project.¹⁵ Contribution analysis differs from other forms of theory-based evaluation in that it seeks to identify possible alternative explanations for observed results as well as analysing the hypotheses of the theory of change. Contribution analysis does not seek to prove that one factor "caused" the intended impact but analyses the extent of the project's contribution to the observed results. Data from various sources is collected to analyse the causal hypotheses between inputs, outputs, outcomes and impacts formulated in the theory of change. Contribution analysis thus seeks to construct a credible performance story to show whether the project was a relevant factor, possibly in combination with other factors, leading to change. Context factors that play a role in achieving or not achieving the project's objective are explicitly taken into account in contribution analysis.

Contribution analysis falls into the category of the generative or mechanisms approaches to causal inference. This approach relies on identifying the causal mechanisms that generate the desirable effects. In order to use this approach, the existence of one case with good quality data sources is sufficient. The approach is based on an existing theory for the project, which allows the evaluator to understand the factors that cause the observed effect. As a result, this approach permits an in-depth understanding of the case and its context, providing a detailed explanation of both (Stern et al, 2012).¹⁶ The evaluation team chose this approach over other

¹⁵ Maye, J., 2001, Addressing Attribution Through Contribution Analysis: Using Performance Measures Sensibly, Research Gate

¹⁶ Stern et al, 2012 Broadening the Ranges of Designs and Methods for Impact Evaluations, DFID Working Paper 38, London: Department for International Development

approaches to causal inference – such as the experiment or counterfactual approach, the regulatory approach or the multiple causation approach – because it was the most feasible.

The methods used in the evaluation included an analysis of internal documentation, secondary data and interviews conducted by the evaluation team. A systematic approach was used for document analysis. In the inception phase, the project proposals (several adapted versions) and the results model (restructured in discussions with the project team) were used to understand what the project intends to achieve and how. The progress reports were used to understand movement towards the project's objective and the contextual factors that affect progress. In addition, stakeholder maps were consulted to gain an understanding of the role of different participants. Since the stakeholder maps were not accompanied by a narrative, however, they could only be fully understood when the project team explained them during the evaluation mission. This proved useful for comprehending the project's context of operation. The internal documentation was continuously revisited during the evaluation mission and analysis phase; was triangulated and complemented with information from other sources. This was especially important because the project proposal and reporting did not fully capture the project's complexity.

The strength of the internal documentation resided in how it provided information directly related to the project's results model and the quality of the implementation process. However, internal documentation comes with a potential bias since most of the internal documentation was prepared for the commissioning party (BMZ), and there may have been an incentive to focus on successes rather than weaknesses. However, consultation with external evaluations and secondary data compensated for this bias. In the context of this evaluation, the strength of interviews was their provision of detailed information on the quality of processes and on political context factors that were highly relevant to the achieved results. Depending on the type of stakeholders, some interview partners may have also had a certain bias against addressing weaknesses in the project. The evaluation team found the project team itself to be open in talking about both strengths and weaknesses. It was useful, in this context, to take other stakeholder perceptions into account in order to gain a balanced perspective.

To obtain valid and reliable information, the evaluation team aimed for systematic data triangulation, taking into account the perspectives of different stakeholders on the same aspect along with method triangulation (using various methods of data collection to collect information on the same aspect) whenever possible. It was not always possible to do both for every aspect. Prospects for data triangulation were limited for some evaluation aspects because only the project team and the relevant partner in each area knew specifics about the project. Possibilities for method triangulation were also limited because the evaluation had to be conducted remotely. The evaluation matrix in Annex 1 and the chapter that presents the evaluation findings give the sources and methods of data collection for each finding in order to achieve transparency on how the evaluation team came to its conclusions.

In addition to data and method triangulation, the evaluation team carried out researcher triangulation. The local and international evaluators regularly communicated on their analysis of results during the evaluation mission. This analysis was carried out systematically in accordance with the evaluation matrix in Annex 1. During the evaluation mission, the team documented results in interview minutes. The final report was drafted jointly by local and international evaluators, which further consolidated the researcher triangulation.

Evaluation process

The evaluation included an inception phase, a data collection phase and an analysis and reporting phase. The inception phase lasted from 14 January 2020 until 26 February of that year (with a workshop in Bonn on 16 January and the submission of the first inception report draft on 26 February). It included the clarification of roles in the evaluation team, informational interviews with the project team and key stakeholders from the German and the Global Alliance for Trade Facilitation, a desk study and the preparation of the inception report. The data collection phase mainly revolved around the remotely conducted evaluation mission in Morocco, Serbia, Montenegro and Kenya, conducted between 8 June and 15 July 2020. Stakeholders were involved mostly through single interviews. In one case a larger focus group discussion with customs employees in Serbia was

conducted. The analysis and reporting phase started at the end of the field mission. Main results have been presented, verified, agreed and incorporated in this evaluation report. The final report was submitted to GIZ in August 2020.

In Serbia, Montenegro, Morocco and Kenya local consultants supported the data collection processes. The majority of the data collection was conducted semi-remotely with online calls, with international and local consultants joining the calls.

Overall, the evaluation team considers that the evaluation process went smoothly. As described in the previous chapters, relevant documentation was available for analysis and the evaluation team managed to talk to almost all relevant interview partners. However, the evaluation process encountered some challenges:

- Due to the COVID-19 crisis, the countries where projects were implemented could not be visited. The international evaluators conducted all evaluation interviews online. Therefore the interview period had to be extended due to the impossibility of conducting focus groups and the effects of distance in the uncertainty of this time.
- In Montenegro a consultant contracted by the project was already conducting an impact study at the time of the planned interviews. The project team raised concerns that the stakeholders could be overburdened and that asking them the same questions twice would be inefficient. Therefore, the selected interviews were dropped once it was ensured that all necessary information was being collected.
- The conduct of missions to four different countries presented a challenge – especially when dealing with remote settings and the need to jump between countries and projects. It was necessary to coordinate and ensure that all important stakeholders were reached . With the support of the project itself and well-documented monitoring this risk was mitigated.

4 Assessment of the project according to OECD/DAC criteria

4.1 Long term results of predecessors

Since there were no formal predecessor projects, the long-term effects of such projects could not be assessed in this evaluation.

4.2 Relevance

The relevance criterion examines the extent to which the objectives of a development intervention met beneficiaries' requirements, country needs and global priorities. An assessment was conducted on how the project's objectives stayed consistent with the key strategic reference frameworks, the priorities of the target groups and the policies of the partner country and the commissioning party. In contrast to past practice, more importance was awarded to the analysis of the design and the results logic (theory of change) of the underlying project.

Evaluation basis

In the first assessment dimension of the relevance criteria, the evaluation aimed at analysing whether the desired results at the project's outcome and impact level were in line with relevant strategic reference frameworks such as BMZ priorities and national strategies or international agreements such as the TFA. When it came to analysing the needs and potential benefits to the project's target group, the project's focus areas and activities

were contrasted with strategic reference documents as well as target groups' perceptions and expectations (relevance dimension 2). To assess the adequateness of the project design (relevance dimension 3), the project's results model was used. To understand changes during the implementation (relevance dimension 4), progress reports and other supporting documents were analysed with the project team and stakeholders.

Evaluation design and methods

As indicated in the evaluation matrix (Annex 1), the relevance criterion was mainly assessed through analysing secondary project data, which underwent qualitative content analysis. Additional strategic documents and primary data from stakeholders were also considered and triangulated. Interviews with the donor and GIZ management provided complementary information. The results model formed a solid base to understand the adequacy of the project design and it was discussed and verified during interviews and discussions with key stakeholders. Evidence is found to be strong for the dimensions of the relevance criteria.

Relevance dimension 1: alignment with relevant strategic reference frameworks

Among others, the evaluation aimed to analyse whether the project design (see results model and results matrix) was in line with relevant strategic reference frameworks. The major strategic reference frameworks for this global project were the TFA, BMZ's Aid for Trade Strategy, national strategies and trade-related policies that highlight trade and international integration as instruments for economic diversification and sustainable growth. Trade policies operated through an interrelated set of strategies and programmes and addressed WTO accession (Serbia) and TFA obligations (Montenegro, Morocco, Kenya, Ghana and Indonesia), EU accession (Serbia and Montenegro), and further integration with regional trade agreements (Central European Free Trade Agreement (CEFTA),¹⁷ Montenegro and Serbia), and trade agreements with other partners (Morocco's free trade agreements with US, Middle Eastern countries and Africa).

The project objectives were in line with the WTO TFA. The trade facilitation measures set out in the TFA were primarily aimed at dismantling non-tariff barriers to trade. Within the framework of the agreement, industrialised countries including Germany have committed themselves to supporting developing countries in implementing trade facilitation measures through technical and financial cooperation. Private sector parties were partners in overcoming development policy challenges and implementing sustainable economic and trade processes. As described in BMZ Strategy Paper 7 (2011) on aid for trade in German development policy, trade facilitation measures were applied at the interface of different policy fields such economic (especially trade and finance

policy), environmental and social (compliance with sustainability standards) and industrial. Beyond the TFA and the BMZ Aid for Trade strategy, relevant international and strategic reference frameworks include the EU "Trade for all Strategy" 2015¹⁸ and its *Agenda 2030 Strategie des BMZ*, BMZ's digital strategy and BMZ's blockchain strategy.

The United Nations Sustainable Development Goals (SDGs) represent the shared aspirations of countries and development participants that go well beyond poverty alleviation. They incorporate the need to promote prosperity and people's

Figure 2: SDGs Overview



¹⁷ economic space of more than 20 million people

¹⁸ <https://www.bmwi.de/Redaktion/DE/Dossier/handelspolitik.html>

wellbeing, reduce inequality and protect the environment. While the SDGs do not identify trade as an independent objective, they acknowledge that it is crucial to achieving many of them. Trade facilitation – reduced trading costs and improved competitiveness of exports – is considered to play an important role in progress towards SDGs 8, 16 and 17.

The most relevant strategies and programmes in **Serbia's** trade policies have been:

- Economic Reform Programme for the Period 2019–2021;
- World Bank Group recommendations on Serbia's New Growth Agenda;
- European Bank for Reconstruction and Development;
- Serbia Country Strategy 2018–2023,
- Strategic framework in the Republic of Serbia on social inclusion and poverty reduction;
- An investment plan for the future – Serbia 2025 – aims to boost the national economy, improve living standards and help bring vital infrastructure closer to standards in the European Union;
- National sustainable development strategy for the period 2009–2017, along with the accompanying action plan for its implementation (based on the 2030 Agenda);
- National Programme for Adoption of the Acquis 2018–2021,
- National Priorities for International Assistance 2014–2020 (Instrument for pre-accession assistance);
- Development Partnership Framework 2016–2020, signed by the Government of the Republic of Serbia and 19 UN agencies;
- Funds and programmes closely aligned with country's EU integration agenda and the 2030 Agenda for Sustainable Development, Development Plan of the Customs Service 2017–2020;
- Strategy on Development of Electronic Communications in the Republic of Serbia for the Period 2010–2020; and
- Strategy for Integrated Border Management in the Republic of Serbia for the Period 2017–2020 and the action plan for its implementation.

In addition, a variety of donors and programmes actively support trade facilitation efforts in Serbia directly and through CEFTA membership. This includes the EU-funded project Support for Trade Facilitation in the CEFTA region, which aims to strengthen trade among CEFTA participants, remove trade barriers by reducing or eliminating non-customs barriers to trading for two selected supply chains through simplifying and facilitating trade procedures. The Quality Infrastructure Project participated in a programme to monitor moves to eliminate national trade barriers among the CEFTA parties. Other participants included OECD, European Commission, International Finance Corporation, GIZ, World Bank, Trade and Competitiveness Global Practice, WTO, World Customs Organisation and the United Nations Conference on Trade and Development, Customs and technical agencies in the EU participated in the Western Balkans Trade Logistics Project; the EU implemented the Maintenance of the SEED System in the Western Balkans project;¹⁹ USAID and the World Bank Group's Trade and Competitiveness Global Practice have supported trade facilitation self-assessments in all CEFTA parties.

The most relevant strategies and programmes in the trade policies in **Montenegro** are:

- The Accession Programme of Montenegro (2014–2018), planning the legislative alignment and administrative capacity needed for Montenegro to be able to assume the obligations of membership in the EU²⁰ ;
- The Montenegro Development Directions 2013-2016, adopted by the government in March 2013 – a first attempt by Montenegro to prepare a national development plan;
- The Pre-accession Economic Programme 2014–2016, adopted in January 2014, aimed to determining the appropriate economic policy and structural reforms and develop institutional and analytical capacities for participating in the multilateral surveillance procedures of the Economic and Monetary Union;
- Montenegro's participation in the South East Europe 2020 Strategy for Jobs and Prosperity in a European

¹⁹ The project on Technical Assistance for Negotiations on Trade Facilitation and Creating CEFTA Management Information System Addressing and Eliminating the Most Trade Distortive Non-Tariff Barriers in CEFTA were jointly implemented by GIZ, the International Trade Center (ITC) and United Nations Conference on Trade and Development.

²⁰ file:///D:/Montenegro's%20Programme%20of%20Accession%20to%20the%20EU%20ENG-A.docx.pdf

Perspective; the National Strategy for Sustainable Development of Montenegro by 2030;²¹

- The Economic Reform Programme 2019–2021, Montenegro's most important document in its economic dialogue with the European Union, which contains an agenda of structural reforms for reducing or eliminating barriers to economic growth and strengthening the country's overall competitiveness;²²
- The National Strategy for the Information Society Development 2020;²³
- Montenegro's National Trade Facilitation Strategy, which identifies bottlenecks in cross-border trade and defines strategic goals, directions and priorities for action, as well as the roles and responsibilities of the competent state bodies and private sector associations in this process.^{24,25}

The most relevant national trade policies derive from the strategies and programmes drawn by the **Moroccan government** in various strategic sectors:

- Morocco's heavy investment in the development of the port sector and strengthening port strategy by adopting a constructive approach to full participatory involvement of stakeholders in the public and private sectors;²⁶
- The 2010 strategy and action plan for improving the country's logistic competitiveness, established in partnership with private sector representative organisations (General Confederation of Moroccan Enterprises), which aims to manage the flow of goods and reduce logistics costs;²⁷
- Morocco endorsed commitments to achieve the United Nations Sustainable Development Goals (SDGs) along with reforms meant to modernise the structure of the Moroccan economy initiated in the early 2000s;²⁸
- Morocco's devotion of one third of its GDP in the areas of economic infrastructure and reduction of social inequalities in order to implement SDGs;
- The partnership with the European Union with its "advanced status" and
- Free trade agreements with Middle Eastern countries, Africa and the U.S.²⁹

The most relevant strategies and programmes in the trade policies in **Kenya** are:

- The Kenya Vision 2030, launched in 2008 as a long-term development blueprint for the country, is motivated by a collective aspiration to create "a globally competitive and prosperous country with a high quality of life by 2030";³⁰
- Trade, both domestic and export, has been named as one of the six priority sectors of the Vision 2030 expected to stimulate economic growth by attaining a 10% per annum GDP growth rate;
- The government's Big 4 Agenda, which identifies manufacturing – including export of 60% of manufactured products – as one of the priorities for the period ending 2022;
- The Mombasa Port & Northern Corridor Charter (2018–2024) provides an interagency collaborative framework, removing unnecessary delays and cost elements by reducing the number of government agencies directly intervening in the flow of cargo at the port and inland container depot. The charter's goal 1 aims for an efficient and effective cargo inspection, verification and clearance process.

²¹ <https://www.sd-network.eu/?k=country%20profiles&s=single%20country%20profile&country=Montenegro>

²² https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/montenegro_erp_2019-2021.pdf

²³ file:///D:/StrategijaMID_finalENG.pdf

²⁴ National Trade Facilitation Strategy is a horizontal public policy document and the specific areas covered by this strategy are to a lesser extent covered by some existing national strategic documents (such as: the Economic Reform Program 2018-2020, the Integrated Border Management Strategy 2014-2018, and the Business Strategy of the Customs Administration 2016- 2018).

²⁵ file:///D:/Montenegro%20Trade%20Facilitation%20Strategy%20%202018-2022%20(ENG).pdf

²⁶ Source: www.equipement.gov.ma/

²⁷ Source: AFDB-MCC Morocco's growth diagnostic - Chapter 4 Logistics Infrastructures

²⁸ Source: Haut Commissariat au Plan - Morocco between Millennium Development Goals and Sustainable Development Goals- National Report 2015

²⁹ Source: www.invest.gov.ma/ / Logistics

³⁰ <https://vision2030.go.ke/about-vision-2030/>

Furthermore, the project activities – enhancing risk management and pre-arrival clearance – contributed directly to some of the key performance indicators of the Mombasa Port & Northern Corridor Charter:

- Expedited customs clearance: measured as the average time between registration, passing and issuance of release order on a customs entry from 80 hours in 2018 to 24 hours in 2024; and an increased number of entries passed without stoppage by customs from 70.2% in 2018 to 82% in 2024,
- Efficiency in submission of manifests from 60 minutes in 2018 to instant and
- Increased uptake of the authorised economic operator to 82% of all importers by 2024.

Relevance dimension 2: needs of target groups

As discussed above, trade facilitation was a common goal of active alliance members from both the public and private sector. Trade facilitation measures aim to reduce the procedural and administrative barriers to regional and international trade, and address the core problem in the project countries.

By signing the WTO TFA, members of the WTO – including the project countries Montenegro, Morocco, Indonesia, Ghana and Kenya – committed themselves to implementing trade facilitation measures and to the associated reduction of trade costs.³¹ However, cost-reducing trade facilitation measures have not been sufficiently implemented in favour of trade-oriented companies. Serbia was the only project country that was not a member of WTO and did not sign the TFA aims at WTO accession. Therefore, Serbia had a formal interest in implementing the TFA.

As already outlined above, the Global Alliance for Trade Facilitation as well as the German Alliance for Trade Facilitation aims to enhance trade facilitation implementation by bringing together the public and private sectors as equal partners to identify and deliver commercially meaningful reforms in developing and least developed countries. The alliances aim to act as a platform for participants to exchange on needs and kick-start a match-making process to implement trade facilitation measures and hence a better realisation of the TFA. The exchange and matchmaking process proved to be a successful instrument to address and incorporate core needs from the target groups:

- It involved ministries and representatives from border agencies. These participants benefit from practices and learning experiences of other jurisdictions in implementing trade facilitation regulations. This contributes to building up individual and institutional capacities and learning about the needs of cross-border companies.
- Trained border agencies benefit from the capacity building measures of the project.
- Technical and management staff from international companies as well as companies and small and medium-sized enterprises from countries where measures are implemented benefit, for from improved customs processes and regulations.

The project indirectly addressed disadvantaged groups such as the poor population of the project countries (AO1). It supported the successful implementation of trade facilitation measures and thus promoted the integration of emerging and developing countries into global trade. This created growth potential for the domestic economies, which contributes to positive income and employment effects. With the increase of trade activity the availability of goods at low prices was increased, which also benefited poorer consumer groups. Private companies gained from access to production factors, which in turn had a positive effect on their business results, leading to higher employment rates and reduction in poverty.

The project thus contributed indirectly to poverty reduction. The project was not categorized with a gender marker (GG-0)³² meaning that the project did not specifically consider topics of gender equality and did not

³² Later the follow up phase of the project PN 2019.6251.3 got a gender marker GG-1 (the port processes and the land traffic at large rather than the sole weighing process)

include gender-related project objectives. However, it was still obliged to consider how gender inequality could be avoided and advances in gender equality achieved. The project design briefly considered the role of women in trade and mentioned that businesswomen and female entrepreneurs particularly gained from more transparency in trade and a reduction in bureaucracy. However, the plausibility of this results claim is not underlined with any evidence. The country project in Morocco facilitated trade in the agrifood sector, which was an opportunity to support greater gender equality and empowerment of women, given that 50% of the workforce in this sector is female. Other country project designs failed to outline possible positive contributions to gender equality (Serbia, Montenegro, Kenya, Ghana and Indonesia).

When first looking at the results logic, some of the intended impacts such as increase in trade and spread of trade facilitation capacities only seemed realistic to a certain degree. The project operated in very different countries worldwide, with very different economy sizes and levels of trade. The level of TFA ratification and capacity in implementing TFA measures varies greatly as does the complexity of the institutional setups working on cross-border trade (set up of custom agencies) and trade-related policy (Int_1GLO, Int_4MON, Int_9SE, Int_2GLO, Int_5GLO). Considering this diverse complexity and the ambitious impact objectives in each country, the budget available (EUR 600,000 to EUR 750,000 per country) seems small. The duration of the project also appears too short to see a significant change on the impact level (Int_6SE, Int_11KE).

Relevance dimension 3: project design and project objective

According to the evaluators, the project objective is realistic given the focus on developing regulations and knowledge exchange platforms, although there were many influencing factors outside the sphere of the project's responsibilities.

The scope of each project output was broad and therefore activities in different dimensions were undertaken. The project facilitated exchange between participants and supported the formation of the Global Alliance for Trade Facilitation as well as the German Alliance for Trade Facilitation (output A). The realisation of concrete trade facilitation measures was supported in selected countries (output B) and increased knowledge on the issue of trade facilitation was supported (output C).

As shown in the effectiveness chapter, the hypotheses underlying the results logic were indeed plausible and coherent but the original results model required adaptations in order to fit the reality of the implementation. The results of the interventions under output A do not directly contribute to the module objective but rather feed in to output B (implementation of trade facilitation measures). Further, the contribution of output C (strengthening of knowledge) on the module objective seemed limited and depended on the successful implementation of output B. The most crucial pathways to achieving the module objective and the desired impact are through capacity building activities and public/private dialogue activities. GIZ support to building the capacities of the main stakeholders (ministries, border agencies and the private sector) included analysis, facilitating exchange, study tours, implementing studies and training workshops with international experts. The improved cooperation within the Global Alliance for Trade Facilitation and the German Alliance for Trade Facilitation allowed for information exchange, discussion of common problems and contributions from public and private participants.

The chosen system boundary of the project was plausible, as it clearly defined results that depended mainly on external factors or other interventions such as policy regulations or country development. All results related to final beneficiaries including traders (cross-border companies) and consumers – which could be targeted through this project only indirectly – were outside the system boundary. For instance, the degree of reduced trading costs to companies or reduced prices to consumers did not lie within the influence of the project's responsibility, thus it was located outside the system boundary at impact level.

Relevance dimension 4: project design adapted to changes

The project was adapted by the establishment of a German Alliance for Trade Facilitation and therefore adapted output objective A (adding indicators A3 and A4). Regarding further implementation after 2017, the evaluation team found no critical changes in the project context, implementation or methodology as the project worked in three areas indicated above. There was therefore no further need to update the project design.

According to some stakeholders, in Kenya a lack of political will and collaboration among partner government agencies presented an obstacle to successful implementation of the trade facilitation measures, which resulted in some delay (Int_1KE, Int_11KE, Int_3KE, Int_08KE, Int_9KE). Further challenging external factors in Kenya included the competitive relationship of the key stakeholders (Kenya Revenue Authority and KenTrade), the lack of a functional legal coordinating body for all border agencies and also a lack of personnel and institutional continuity, especially in attendance of project events, workshops and trainings (Int_1KE, Int_11KE). The initial targeted project steering partner, the National Trade Facilitation Committee, proved to be inactive, which led to the further delays in realisation (Int_11KE). The project eventually chose to cooperate more closely with another partner (KenTrade).

In Serbia the project implementation depended on the will of project partners (customs and express carriers) to take risk and adapt to organisational change. This proved challenging and resulted in delays (Int_10SE). In Montenegro on the other hand the political will and motivation on the side of customs as well as DHL Express contributed largely to timely project implementation. The delivery of the project in Morocco was affected by change in the project scope at the request of implementing partners as well as identification of further core issues³³ (Int_4MOR, Int_8MOR). Another influential factor was the involving of the port community in solving issues through a collaborative approach, which created a positive synergy (Int_4MOR, Int_7MOR, Int_1MOR).

Since the Covid-19 pandemic broke out in March 2020 – almost one year after the completion of the evaluated project – it did not have any direct impact on project activities. However, the pandemic did influence project outcomes. For example, in Serbia the final roll-out of the IT system was postponed (Int_1SE, Int_2SE, Int_5SE, Int_10SE).

Given the many influencing factors outside the sphere of the project's responsibilities – such as willingness to change regulations or everyday procedures, political developments and the changing priorities of each government – the project adapted its implementation methodology (scope of project, cooperating partners) or moved aspects of implementation to the follow-on phase.

Overall assessment of relevance

The evaluation team concluded that the project design fit into the relevant strategic reference frameworks on country level and is well-embedded in the global priorities on trade facilitation. It therefore awarded 30 out of 30 points in this dimension. As outlined in this chapter, the project is in line with the TFA as well as BMZs Aid for Trade strategy and other international practices on trade facilitation.

Regarding the suitability of the strategy to meet core needs of the target group, the intervention was considered highly relevant in terms of working towards trade facilitation – which addressed core needs of governments, the private sector and general population, and central problems faced in implementing TFA measures. The project design also reflected the needs and concerns of poor households through increase in economic activity. Overall, the evaluation team awarded 28 out of 30 points for the suitability of the strategy because the project addressed core needs of the immediate target groups – ministries, border agencies and private sector. Full marks were not awarded because of limitations to the results hypothesis on impact level and a lack of consideration for the different needs of men and women.

The evaluation team concluded that the project was adequately designed to achieve the chosen project objective and awarded 18 out of 20 points in this dimension. Full marks were not awarded because the outputs A and C did not directly contribute to the module objective.

Finally, the adaptation of the conceptual design to changes was assessed as successful, especially given that significant changes were addressed in an alteration of the project design. While the country projects were confronted with some challenging stakeholder constellations it is safe to say that the project team adapted to evolving partner needs and preferences. The evaluation team therefore allocated 18 out of 20 points in this dimension. Full marks were not given due to the challenges to adapt to difficult political cooperation structures in Kenya.

The overall score for the assessment criterion **relevance** adds up to 92 out of 100 points: highly successful.

Table 2: Rating of OECD/DAC criterion: relevance

Criterion	Assessment dimension	Score and rating
Relevance	The project design is in line with the relevant strategic reference frameworks.	30 out of 30 points
	The project design matches the needs of the target group(s).	28 out of 30 points
	The project design is adequately designed to achieve the chosen project objective.	18 out of 20 points
	The project design was adapted to changes in line with requirements and readapted where applicable.	18 out of 20 points
Relevance total score and rating		Score: 94 out of 100 points Rating: highly successful

4.3 Effectiveness

Under the **effectiveness** criterion the evaluation aimed to analyse the extent to which the project has achieved its desired objective according to the agreed indicators of success (effectiveness dimension 1) and the degree to which all its measures have contributed to its objectives based on the predefined indicators (effectiveness dimension 2). The latter was mainly based on a contribution analysis, with three key causal relations selected for in-depth scrutiny. Eventually, the assessment of effectiveness also examined positive or negative unintended results (effectiveness dimension 3).

During the inception phase for setting the basis for later assessment, the results model and the underlying results logic indicators were examined. Before examining the SMART criteria (specific, measurable, achievable, relevant, time-bound) of each individual indicator, the structure of the model was assessed, bottlenecks identified, and the results model adapted accordingly (see Chapter 2.2. above). In addition, the results matrix was assessed in terms of coherence.

The evaluation team reflected on the project indicators when finalising the inception report, together with the project lead and the project M&E officer. From a methodological point of view, most of the indicators provided in the results matrix fulfil the SMART principles. The following table shows the full assessment of the module objective indicators.

Table 3: Indicator assessment

Module objective	The capacity of selected governments in the implementation of trade facilitation measures is strengthened.	
Project objective indicator according to the offer/original indicator	Assessment according to SMART criteria	Operationalised indicators (explanation)
<p>MO1: Six trade facilitation measures have been implemented 70% on average in the project countries and regions. Base value: 0 % – 0 measures Target value: 70% – six measures Source: Indicator sheets – monitoring system</p>	<p>The indicator was operationalised further in order to be measurable in the monitoring system.</p>	<ul style="list-style-type: none"> • The indicator is measured by the level of implementation of the planned trade facilitation measures. The project operation plans serve as the basis for calculating the implementation status in percent based on all planned activities. • The average implementation rate is calculated across all projects (average implantation rate x number of projects / 0.7= current value). The total number of projects doesn't have to be six if average implementation rate is higher.
<p>MO2: 75% of participating firms and associations confirm that support measures carried out by the project focus on reducing trade costs to strengthen government performance. Base value: 0 % Target value: 75% Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> • Given that the objective to this indicator is an outcome objective, the indicator is much more focused on the input to the measures than the actual outcome: the decrease of cost for involved companies and associations. • The indicator is not specific in the sense that it is unclear what is meant by "focus on". 	<ul style="list-style-type: none"> • The indicator was operationalised through a survey conducted among private sector stakeholders involved in the country projects.
<p>MO3: Six own contributions by the private and public implementation partners of the project as well as other international actors are agreed with regard to the expansion and dissemination of the effects of the project. Base value: 0 Target value: Six own contributions Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> • The original indicator does not appear to fit SMART criteria. However, as with the other indicators the project operationalised it further by defining a threshold of EUR 30.000 for contributions • In addition to the operationalised indicator measuring financial contributions, the evaluation team suggests adding an indicator focusing on the contribution of the stakeholder's knowledge and ideas. 	<ul style="list-style-type: none"> • Own contribution is defined as the provision of financial or in-kind (such as expert days) resources from a company, public implementation partner or other international parties that contributes to the activities of the project and thus extend its impact. • The threshold for one significant own contribution is EUR 30,000. • All the contribution to one project are counted as one contribution.

Please see the full assessment of the quality and appropriateness of the project's indicators in Annex 3.

Assessment basis

As a first step, the evaluation team assessed to what extent the agreed project objective (outcome) had been achieved, measured against the objective indicators and any additional indicators needed to adequately reflect on the project objective (see assessment table above). This required a comparison between the current status and the targets of the outcome indicators. In a second step, a contribution analysis was conducted to assess to what extent the project activities and achieved results (outputs and outcomes) contributed substantially to its objective achievement. For this, three hypotheses were selected from the results model. Following Mayne, a contribution analysis was based on six steps. As mentioned in Chapter 3.2, the validated results-model guided the analysis (step 1). During a participatory exercise with the project management, three key causal links were identified from output to objective (step 2). Selection criteria for the hypotheses comprised key interests of the project team as well as the feasibility of implementing contribution analyses in the given time frame. As a third

step, the evaluation also assessed unintended changes under the effectiveness criteria. Unintended changes could, for instance, refer to aspects that have influenced positively or negatively the attitude, subjective norm or perceived behavioural control of national participants.

Evaluation design and methods:

To achieve conclusions about the effectiveness and the achievement of indicators, the evaluation team built on both secondary and primary data sources. During qualitative content analysis, key project documents as well as relevant external documents were reviewed and examined for evidence regarding the indicators. The consultants then collected and triangulated perceptions from major stakeholders including the project team management and team members, and key partners such as customs authorities and private companies. To collect evidence on influencing factors and conflicting explanations (step 3), the evaluation team built on a mixed-method approach and on a variety of data sources, collection and analysis methods. Qualitative data collection instruments were two-fold; they included semi-structured interviews with project partners at state bodies and in the private sector. Interviews with private sector companies was also set up. Elements of the most significant change techniques were integrated in the discussion, inquiring about key and unintended changes perceived by those involved. Eventually, a contribution story was compiled (step 4 of the contribution analysis). Step 5 entailed collecting further evidence for alternative hypotheses. A validation workshop at the end of data collection activities – with the project team as well as with the GIZ regional coordinator, country director and BMZ representative – supported the findings and revealed explaining factors for certain developments. Eventually, the contribution story was finalised (step 6).

Effectiveness dimension 1: the extent to which the indicators at the outcome level are fulfilled

The following information provides an overview of the achievement of the project’s objective based on indicators from the results matrix. The results at module level were not completely achieved. However, two out of three indicators were overachieved. It must also be noted that between the countries the achievement level differed greatly with some country performing better than others (see table below for individual results).

Module objective: The capacity of selected governments to implement trade facilitation measures is strengthened.

Indicator 1 at module objective (M1): Six trade facilitation measures have been implemented 70% on average in the project countries and regions
Baseline value: 0 % – 0 measures
Target value: 70% – six measures
Value at end of project: six measures are implemented 58,7 % on average

The completion rate of indicator 1 at module objective is 84% (58.7% of 70%).

Baseline (2017) and endline (2019) information for this indicator were provided by the project itself, and it was based on the completion of operational plans of the country projects. The table below contains details of the reporting on this indicator.

Table 4: Indicator 1 at country-level

Country	Measure	Source	Status
Montenegro	Pre-arrival processing	Project operations plan	1 measure implemented at 100% (Status June 2019)
Serbia	Pre-arrival processing	Project operations plan	1 measure implemented at 100% (Status June 2019)
Ghana	Pre-arrival processing	Project operations plan	1 measure implemented at 60% (Status April 2019)
Kenya	Pre-arrival processing	Project operations plan	1 measure implemented at 43% (Status April 2019)

Country	Measure	Source	Status
Morocco	Electronic phytosanitary certificates (ePhyto) and automated data exchange between weigh bridges at main ports	Project operations plan	1 measure implemented at 34% (Status April 2019)
Indonesia	Pre-arrival processing	Project plan	1 measure implemented at 15% (Status April 2019)

As can be seen only two of the six measures were fully implemented at the end of phase 1. The reasons for delay to implementation were numerous and diverse.

Montenegro: The project in Montenegro was the first to be implemented and completed, so it would serve as role model for similar implementation of measures in Serbia. The assessment and analysis phase of the project started in September 2016 and all activities were completed in the third quarter of 2018. All those involved seemed highly motivated and eager to implement planned improvements to pre-arrival processes for express consignments (Int_3MON, Int_4MON).

Serbia: Although the GIZ project activities were completed by April 2019 (SRB operational plan, Int_10SE, Int_1GLO), the main output of the project – the pre-arrival IT system for express consignments – was not ready for use until June 2020 (Int_1SE, Int_7SE, Int_8SE, Int_9SE, Int_10SE). In the interviews and focus group discussions, the participants gave different – sometimes contradicting – reasons for the delay. These included:

- technical IT issues on the customs side,
- implementation delays in developing the IT systems at DHL Express and FedEx, which were partly caused by FedEx merging with TNT (Int_7SE, Int_1SE),
- the application to authorise express carriers to the system was not answered by the Ministry of Finance within the defined 30-day response time (Int_7SE, Int_8SE, Int_9SE, Int_10SE) and
- express carrier application documents were incomplete (Int_1SE, Int_5SE).

The evaluators considered that all directly involved parties (customs as well as the express carriers) lacked a sense of pressure and urgency. The psychological factors of organisational change also represented a barrier that had to be overcome. This behaviour from public and private implementation partners made it difficult to implement the project in a shorter period of time (Int_7SE, Int_8SE, Int_9SE, Int_10SE, Int_1SE).

Kenya: According to the project M&E masterfile implementation of activities were slightly delayed (43% implementation by April 2019). The activities of the project were divided into three phases: the analysis and planning phase (86% of activities completed), the design and development phase (49% of activities completed) and the training and piloting phase (22% of activities completed). The analysis and planning started in 2017 and first real activities were implemented at the end of 2018 and beginning of 2019. What is particularly eye-catching is that the planned training measures were all implemented by less than 50% by April 2019, according to the Project M&E Masterfile: training customs officials (0%), training for other government agencies on pre-arrival processing (0%), training government agencies on risk management (50%), training private sector participants (20%).

Interviews with stakeholders suggested that the project faced a lack of political will to support activities agreed in the project design. These included implementation of an IT system for pre-arrival processing and data submission, the procedural and legal framework for pre-arrival release processing, and an e-payment system for payment of all duties, taxes, fees and charges supports release upon arrival. This was in part due to a competitive relationship between some of the project stakeholder and implementing agencies. The influence of the project partner agencies such as the Ministry of Trade and KenTrade on border agencies was often limited and activities could often only be implemented and pushed with much persuasion (Int_7KE, Int_11KE). Many project partners also felt that many of the issues targeted in the project design had already been addressed by

other measures of government (Int_6KE, Int_7KE, Int_8KE, Int_9KE, Int_10KE, Int_11KE). For example, the newly introduced integrated customs management system (iCMS) for cargo clearance already includes modules for pre-arrival processing and some stakeholders questioned the need for further adaption when the GIZ TFA measure had started in Kenya. The development of mapping and description of pre-arrival processing through GIZ was implemented after some delay, and agreement with the Kenya Revenue Authority on further adaption. On the other hand, activities and training focused on risk assessment for the partner government agencies were initiated before April 2019. This was originally expected for the third implementation phase of the Kenya project (Int_11KE).

Morocco: In April 2019 the project in Morocco was completed by 32%. It consists of two components: component 1, automated identification and data exchange processes; component 2, electronic phytosanitary certificate (ePhyto) certificate. Both components started with a preparation and kick-off phase in July 2018. While first measures of component 2 were implemented in early 2019, no measures were implemented for component 1 until November 2019 – after the end of the project. By the first quarter of 2019 the project team had conducted a business process analysis for both components, tested the technical specification for ePhyto web services and organised and led knowledge exchange visits of Moroccan officials and private sector representatives to Jordan and Spain (Morocco Project M&E Masterfile). Interview partners cited a high political interest in increasing process digitalisation along with the overall efficiency and attractiveness of the Port of Casablanca (Int_1MOR, Int_2MOR, Int_8MOR, Int_4MOR), but the project's implementation was affected by the change of scope from a focus on automatic data exchange at the weigh bridge station to improving land traffic within the port perimeter. This resulted from a lengthy and detailed analysis phase (Int_8MOR). Due to this change, project implementation took longer than first foreseen.

Ghana and Indonesia: The projects in Ghana and Indonesia were not selected as a “case study” for this evaluation so information on implementation status is limited. The project in Indonesia began in October 2018 and completed 15% in April 2019 (Indonesia project plan). The project in Ghana reached 60% in April 2019 after starting in 2017. First training measures were realised in Ghana in July 2018 (Ghana Project M&E Masterfile).

Indicator 2 at module objective: 75% of the participating companies and associations confirm that the support measures carried out by the project focused on reducing trade costs in order to strengthen government performance.

Baseline value: 0 %

Target value: 75%

Value at end of phase 1: 96,70%

The achievement rate for indicator 2 at module objective is 129%.

At the end of the project the percentage of participating companies and associations that confirmed its support measures focused on reducing trade costs in order to strengthen government performance was at 96.70 %. The surveys implemented by the GIZ country projects showed that a majority of the private sector partners saw the foreseen project results as “commercially relevant for their business”:

- in Ghana 100% (7/7) agree (Ghana Project M&E Masterfile, start of project June 2018);
- in Morocco 80% (4/5) agree (Morocco Project M&E Masterfile, start of project 2018);
- in Kenya 100% (6/6) agree (Kenya Project M&E Masterfile, start of project)
- in Montenegro 100% agree (private stakeholder survey – aggregate, end of project June 2019); and
- in Serbia 100% (4/4) agree (private stakeholder survey – aggregated, end of project June 2019).

It is important to note that most of the surveys took place at the start of the projects and therefore only cover stakeholder opinion on the project's strategic focus before implementation (relevance of the project).

Companies and associations involved in the project expressed mixed perceptions on project influence in the post-project interviews conducted by the evaluators. In Kenya some firms did not see a direct influence on a reduction of trade costs or better implementation of clearance and release regulations outlined in article 7 of the TFA (Int_6KE, Int_7KE, Int_9KE, Int_10KE). However, the TFA measure had not been fully realised at the

time, with the remaining Kenya TFA measures to be carried out in the project's follow-up phase (PN 2019.6251.3). From the perspective of these firms the project contributed to increasing the visibility and understanding of issues in risk management and pre-arrival processing; at the same time, the necessary actions to create changes and affect trade costs have not been undertaken (Int_6KE, Int_7KE, Int_08KE, Int_09KE, Int_10KE).

In Serbia the perception was very different. While complications and delays had occurred in the implementation, all participating express carriers agreed the new pre-arrival systems would reduce time, costs and efforts in releasing and clearing express consignments in clearance group 1 and 2.³⁴ The express carriers estimated that the percentage of consignment within groups 1 and 2 released within one hour would reach 80% by the middle of next year (Int_1SE, Int_2SE, Int_3SE). In Montenegro the percentage of consignments delivered on the day of arrival rose from 31% in September 2016 to 57% in December 2018 (German Alliance for Trade Facilitation Montenegro's Success Model, electronic pre-arrival customs clearance system). According to those involved the changes carried out by the project enabled express consignments to be cleared within one hour of the aircraft's arrival. This represented an enormous saving of time and costs (Int_4MON, Int_2MON). In summer 2019 (just after the completion of this evaluation mission) in Montenegro DHL Express alone reported 17,500 shipments through pre-arrival passed processing with five minutes of time saved by electronic instead of paper processing for each shipment. This equalled around 180 working days (Int_4MON). In Morocco the interviewed companies and associations anticipated a major reduction of cost and time through simplified procedures, the availability of dematerialised data and reinforcement of a common technological base in the port of Casablanca. This development however strongly depends on the installation of identification and control equipment in the near future (Int_6MOR, Int_7MOR).

Indicator 3 at module objective Six own contributions by the private and public implementation partners of the project as well as other international actors are agreed regarding the expansion and dissemination of the effects of the project.

Baseline value: Two own contributions (September 2016)

Target value: Six own contributions

Value at end of project: 7 (116.7%)

The achievement rate of indicator 3 at outcome objective is at 117%.

By April 2019 seven own contributions were made. The GIZ project team defined "own contribution" as the provision of financial or in-kind (such as expert days) resources of a company, public implementation partner or other international party that contributed to the country projects and thus extended their impact. The contributions were grouped into the following seven "significant own contributions" in April 2019.

- **Own contribution 1:** All contributions of implementation partners to the Global Alliance for Trade Facilitation: donor governments contributed USD 16,726,285 (April 2019) and the International Chamber of Commerce and the World Economic Forum contributed USD 1,730,000 in-kind to the Global Alliance Secretariat (Dec 2018).
- **Own contribution 2:** All private sector contributions to the German Alliance for Trade Facilitation: EUR 175,024 (All costs in Germany, mostly related to *arbeitstreffen* and workshops)
- **Own contribution 3:** All contributions from private and public implementation partners to project in Ghana: EUR 112,955
- **Own contribution 4:** All contributions from private and public implementation partners to project Kenya: EUR 73,647 EUR

³⁴ Groups 3 and 4 were explicitly not included in these predictions.

- **Own contribution 5:** All contributions from private and public implementation partners to project in Morocco EUR 48,223
- **Own contribution 6:** All contributions of private and public implementation partners to project in Serbia EUR 35,775
- **Own contribution 7:** All contributions of private and public implementation partners to project in Montenegro EUR 53,320

In order to be counted as a “significant own contribution” in the sense of the indicator, the threshold of EUR 30,000 must be passed; a significant contribution to enlarging the respective impacts must be identifiable. In-kind contributions (in the context of events) were registered in accordance with a fixed conversion table – one international expert day equals EUR 700. (quantification of contributions excel sheet, *Indikatorenblatt Modulzielindikator 3*). Furthermore, the majority of in-kind contributions on project level can be broken down to working days staff of the contributing members (quantification of contributions excel sheet).

During the evaluation project staff in the countries confirmed the importance of alliance members such as Maersk and DHL Express in Kenya, and DHL Express and UPS in Serbia and Montenegro. They state that at least one or more alliance members’ advice and ideas played a role in the successful implementation of the project. Each project has one or more companies from the respective alliance committing to participation in the implementation (see also output indicator B2). In the interviews several companies highlighted their role in carrying out the projects. However, it is important to notice that the level of involvement varied strongly depending on the country project (Int_1SE, Int_2SE, Int_3SE).

Evaluation dimension 2: extent to which the indicators at output level are fulfilled and contribution analysis

Fulfilment of output indicators

The following information provides an overview of the achievement of the project’s outputs based on the indicators from the results matrix. It can be stated that all indicators output level have been achieved.

Project output A: Global Alliance for Trade Facilitation between donors, the private sector and the German government – is established.

Indicator A1: The secretariat of the Global Alliance for Trade Facilitation with its core organisational and technical tasks is established.
Base value: 0
Target value: 1 (proposal)/ 70% (monitoring system/indicator sheets)
Value at end of phase 1: 77%

The achievement rate for indicator 1 at output A level is 110% (see text section b).

The indicator A1 with regard to the Global Alliance for Trade Facilitation was overachieved with a score of 77% from a targeted 70% (as per indicator A1 government score card). In order to measure the impact from the founding of the Global Alliance for Trade Facilitation, the indicator A1 was operationalised with the help of a scorecard. It measured the level of institutionalisation in accordance with the following core functions:

- public and legal accountability,
- strategy,
- operations,
- finance,
- coordination,
- audit,
- risk management,
- monitoring and evaluation,
- PR & communication,

- compliance and ethics,
- personnel, and
- member and stakeholder management, and
- conflict management and resolution (indicator A1 government score card).

The fulfilment of each function was rated on a scale 1 to 100%. The last scoring was undertaken in August 2018. Most noticeably the function of **risk management** was rated the lowest with a 30% scoring. While risks at project level were defined in logical frameworks and proposals on the global level, the status of the risk matrix was not clear and responsibilities not clearly defined. The functions with the highest fulfilment were **public and legal accountability** and **audit**.

Indicator A2: Needs, resources and expertise for matchmaking are coordinated between governments, donors and the private sector for the implementation of trade facilitation measures.
Base value: 0
Target value: 1
Value at end of phase 1: 0.85
Source: Indicator sheets – monitoring system

The achievement rate for indicator 2 at output A level is 85%.

Indicator A2 focused on the exchange of needs, resources and expertise for matchmaking between governments, donors and the private sector to implement trade facilitation measures within the Global Alliance for Trade Facilitation. This indicator was also operationalised with a scorecard, which was only partly achieved (0.85 from 1.00) due to the outstanding action still required on the project sourcing strategy and government engagement approach. No government engagement approach was finally defined by the end of the term. The in-country donor lead approach was first adopted by the Global Alliance for Trade Facilitation Steering Group but has since been deemed impractical. The project sourcing strategy and process was not defined in writing by the end of the first term but was based on the practice described in the indicator sheet. In the meantime, the process has been defined in an operation manual (Int_1GLO).

Indicator A3: The German Alliance for the Implementation of Trade Facilitation in Developing Countries with its core organisational and technical tasks is established
Base value: 0
Target value: 1 (proposal)/operationalised with 70% on scorecard (monitoring system/indicator sheets)
Value at end of phase 1: 91%
Source: Indicator sheets – monitoring system

The achievement rate for indicator 3 at output A level is 130%.

The indicator A3 with regard to the establishment of the German Alliance for Trade Facilitation was operationalised with the help of a scorecard. The indicator was overachieved with a score of 91% from a targeted 70%. The scoring followed the same logic as the one used to measure the establishment of the Global Alliance for Trade Facilitation. The weakest scoring functions were **risk management**, **coordination** and **operations** with a score 83,33%.

The country and project selection process has been established and formalised (Int_1GLO, Int_3GLO, Int_4GLO). The operational processes were partly defined but not spelled out in a written work plan. Implementation was supervised through biannual meetings in accordance with set milestones. Every year one new country was selected by the alliance members for a measure to implement the TFA. In discussion with the governments (customs authorities) and the private sector, it was then decided which project focus made sense. In the interviews all participants confirmed that active members had agreed on all measures and the steering committee fulfilled its anticipated advisory role as “ambassador” and “trouble shooter”, especially within the biannual meeting (Int_1GLO, Int_3GLO, Int_4GLO). The German Alliance for Trade facilitation regular meetings (*Arbeitsreffen*) are described as an efficient and productive instrument to steer the alliance (Int_4GLO, Int_5GLO).

Indicator A4: Needs, resources and expertise for matchmaking are coordinated between governments, donors and the private sector for the implementation of trade facilitation measures in the German Alliance for Trade Facilitation

Base value: 0

Target value: 1

Value at end of project: 1

Source: Indicator sheets – monitoring system

The achievement rate for indicator 4 at output A level is 100%.

Indicator A4 focused on the exchange of needs, resources and expertise for matching governments, donors and the private sector for implementing trade facilitation measures within the German Alliance for Trade Facilitation. This indicator was also operationalised with a list of milestones that was fully achieved (1.00 from 1.00). This included the achievement of the following milestones:

- A model for matchmaking emerged through the pilot projects in Montenegro and Serbia. It was later established as good practice for scaling up the measures in Bosnia Herzegovina, North Macedonia, Kosovo and Albania (Int_1GLO).
- A coordinated country and project initiation process has been established and the German Alliance has developed a project sourcing approach. This milestone was marked as achieved when the first results from its use to source partners in Argentina and South Africa were documented. It was adapted as the basis for future project sourcing processes (indicator sheet A4).
- A communication structure with companies, associations and the departments of the Federal Government of Germany for a matching process to select projects in the German alliance (work plan) was established (Int_1GLO).
- A structured approach has been established for project development – from decision on project country to start of implementation – within the German Alliance for Trade Facilitation. This milestone was fulfilled through discussions on how to standardise the process within the German alliance team. The project established and supported regular coordination with the departments of BMZ and BMWi involved with the TFA and the alliance.

The indicator may be seen as achieved but the way it was operationalised leaves some room for interpretation, which allows for a slightly more positive assessment of the indicator. For example, the foundation of a project development approach was marked as fulfilled, although only an exchange on standardising these processes has taken place so far (indicator sheet 4).

Project output B: The implementation of trade facilitation measures in selected countries and regions is strengthened.

Output B, which focused on strengthening the implementation of trade facilitation measures in selected countries and regions, has been fully achieved.

Indicator B1: Six consulting or training measures of German or European trade facilitation experts in Germany, developing or emerging countries are carried out.

Base value: 0

Target value: 6

Value at end of project: 6

The achievement rate for indicator 1 at output B level was 100%.

Indicator B1 measured the number of counselling or training measures conducted with the participation of German or European trade facilitation experts. The indicator was successfully completed with six out of six measures. The measures included study trips for customs and government officials to Germany, or travel to developing and emerging countries with the participation of German or European trade facilitation experts to learn about best practice examples on site. For example, Montenegro customs officials went on a study tour of

pre-arrival processing to Slovenia and Moroccan officials undertook a tour to analyse best-practice examples in process optimisation and digitalisation in ports. Many other forms of counselling or training measures were implemented but only the study tours were counted towards the indicator. Interview partners further confirmed that training or counselling measures included peer exchange; this resulted in more awareness, joint education and acquisition of knowledge of international best practice through benchmarking with systems of other countries (Int_6KE, Int_8KE , Int_9KE , , Int_3MOR, Int_8MOR, Int_1SE, Int_2SE, Int_7SE).

Indicator B2: Concepts or feasibility studies for the implementation of trade facilitation measures are developed together with the private sector.
Base value: 0
Target value: 4
Current value at end of project: 6

The achievement rate for indicator 2 at output B level is 150%.

Indicator B2 measured the successful completion of four concepts or feasibility studies for implementing trade facilitation measures that were developed together with the private sector. These included project proposals, where a detailed analysis of feasibility and viability was carried out in consultation with the private sector and government institutions (indicator sheet Indikator B2). This included the project proposal developed by the Kenya Revenue Authority, the Kenya Private Sector Alliance and the National Trade Facilitation Committee. Generally, concepts and feasibility studies for implementing trade facilitation measures were documented and made available on request. The level of detail in the concept notes varied and a standardised approach and format in these documents could only be found in the newer documents (Kenya Proposal Master and Ghana Proposal Master). Furthermore, the concepts were developed in collaboratively. However, the level of equal participation in this process was perceived very differently by those involved (see contribution stories below for more details).

Indicator B3: Four knowledge and network-oriented pilot measures (trade facilitation committees, regional monitoring systems, regional or global value chain studies) are implemented in cooperation with the business community in selected countries and regions.
Base value: 0
Target value: 4
Current value at end of project: 4

The achievement rate for indicator 3 at output B level was 100%.

Indicator B3 looked at the number of knowledge and network related pilot measures (trade facilitation committees, regional monitoring systems, regional or global value chain studies) carried out in cooperation with the business sector in selected countries and regions. Four out of four measures were completed. Examples included three studies on total trade and logistics costs in Kenya, Ghana and Nigeria, which were implemented with Maersk, DHL Express and local private sector companies in Nigeria. There were also exchanges on the use of blockchain technologies in trade and customs processes; participating partners included Siemens, DHL, Dräger, Kronos, Bosch, BMW, HP and Accenture.

Project output C: Knowledge of trade facilitation approaches and implementation experience is strengthened in cross-regional networks.

Output C focused on strengthening knowledge of trade facilitation approaches and implementation experience in cross-regional networks. Output 4 was fully achieved.

Indicator C1: The implementation experience from industrialised, newly industrialising and developing countries on three trade facilitation topics is prepared.
Base value: 0
Target value: 3
Current value: 3

The achievement rate for indicator 1 at output C level was 100%.

Indicator C1 measured the number of experiences from projects that were processed and shared with other GIZ projects. The preparation of the project resulted in concrete cooperation and extended the project's impact. The indicator was successfully achieved with three studies and approaches completed. Documentation (fact sheets, research papers and presentations) on experiences from industrialised, newly industrialising and developing countries was made available and exchanged in several workshops or took place in the form study tours. Implementation experience was well-documented and shared in conferences and regional economic communities.

Indicator C2: One new and innovative approach to implementing the Bali Trade Facilitation Agreement has been developed.
Base value: 0
Target value: 1
Current value: 1

The achievement rate for indicator 2 at output C level was 100%.

Indicator C2 was achieved with a collaborative creative approach to project development. This approach uses elements of **design thinking** (user perspective, idea development as a group process) for collaboration with the participating alliance members. During the inception mission the alliance-based project development was identified as a further innovative approach (see assessment table in Annex 4). Interview partners all acknowledged a focus on network-based project development, while some stated the inclusiveness could have been improved (Int_1GLO, Int_11TKE, Int_2GLO, Int_4GLO).

Indicator C3: The trade facilitation approaches were presented at five international conferences.
Base value: 0
Target value: 5
Current value: 11

The achievement rate for indicator 3 at output B level was 220%.

This indicator was highly overachieved with 11 trade facilitation approaches presented at more than 11 conferences. Some events where these approaches appeared were the WTO Global Review 2017 of Aid for Trade, Africa Opportunities Forum (G20) in Berlin (13 June 2017), WTO ministerial conference (11 to 14 December 2017) and the Borderless Alliance Annual Conference 2019 in Accra (26 to 26 April 2019).

Selected pathways for the contribution analysis

As mentioned above, a second important step in the effectiveness assessment would be to evaluate how the project activities and outputs contributed substantially to achieving the project objective (outcome measured against its indicators), in particular based on pathways selected by the project and evaluation teams in the inception mission for further in-depth analyses. Below the three most crucial pathways identified, selected and agreed upon by the project team in a participatory workshop are summarised.

Results hypotheses

O1 to O6: The established and institutionalised German Alliance for Trade Facilitation comprised of private sector organisations, donors and governments fosters exchange and cooperation, bringing up new concepts for trade facilitation projects in developing countries and emerging economies. This newly found cooperation will result in contributions from alliance members to trade facilitation projects. These contributions will increase the quality and strengthen the implementation of trade facilitation measures.

Additional remarks on pathway O1 to O6: In addition to the evidence under indicator 1 for the module objective concerning the own contribution of German alliance members, further evidence was collected on how the German Alliance for Trade Facilitation led to the own contribution of alliance members (private and public partners) towards implementing trade facilitation measures. The following bullet points outline the evidence on how own contributions were leveraged through the alliance and GIZ activities within the alliance (recruiting members, technical support and facilitation of exchange).

- The German Alliance for Trade Facilitation project guidelines on project sourcing for implementing trade facilitation measures outlined the following criteria: trade barriers were identified and prioritised by firms, at least one company agreed to take the lead (as "champion") in the project, there were prospects of success, synergies and opportunities for cooperation with existing German development cooperation projects, and clear contributions to implementing the TFA. Partner countries were selected in two ways: either the countries "C-notify" themselves³⁵ or they were selected because they held economic or strategic of interest (Int_1GLO).
- The first project proposal from the German Alliance for Trade Facilitation was conceptualised and brought forward by customs in Montenegro and DHL Express with support from the GIZ project. The initiative much came from DHL Express (Int_1GLO). DHL Express was interested in implementing pre-arrival processing in Montenegro, as the small country with a limited amount of express consignment imports presented an ideal testing ground and showed potential for scaling up to other West Balkan countries (Int_4MON). When the project proposal was not chosen for application within the Global Alliance for Trade Facilitation it provided the final impetus for forming the German Alliance for Trade Facilitation (Int_1GLO). A prerequisite for the project was assigning category C to the implementation of article 7.1 on pre-arrival processing. Montenegro's self-assessment required substantial assistance in human resource and IT development.
- The project design in Serbia was based on Montenegro's concepts and brought forward in the same constellation (with DHL Express). Implementation started six months after the Montenegro project. Serbia Customs pre-arrival processing was classified in category B in its June 2017 self-assessment. However, four specific measures were classified in category C: enquiry points, electronic payment, formalities and documentation requirements, and single window (Int_1SE).
- Stakeholders also reported examples of private sector partners "recruited" for alliance activities. For example, a project proposal for TFA implementation in the Ukraine was brought forward jointly by the German multinational company Metro AG and GIZ after GIZ had approached Metro (Int_1GLO). While private sector and government alliance members made contributions in different ways, the alliance had an important role in initiating dialogue, concept developments and matchmaking that resulted in the implementation of trade facilitation measures.

O2 to O6: An established and institutionalised Global Alliance for Trade Facilitation comprised of private sector organisations, donors, governments will foster exchange and cooperation, bringing up new concepts for trade

³⁵Under the TFA, which seeks to expedite the movement, release and clearance of goods across borders, developing countries and LDCs can self-designate which provisions they will implement either immediately (Category A), after a transition period (Category B), or upon receiving assistance and support for capacity building (Category C). They are required to communicate these choices within stipulated timeframes. Developed countries were required to implement all provisions of the TFA from its entry into force on 22 February 2017. (https://www.wto.org/english/news_e/news20_e/fac_11feb20_e.htm)

facilitation projects in developing countries and emerging economies. This newly found cooperation will result in alliance members contributing to trade facilitation projects, which will increase the quality and strengthen of trade facilitation measures.

Additional remarks on the pathway O2 to O6: In addition to the evidence reported under indicator M1, further evidence on the evolution of contributions in the Global Alliance for Trade Facilitation was collected:

- A matchmaking model was derived from Kenya, Ghana and Morocco project development experience (Indicator sheet, Indikator A3). Later the alliance secretariat defined and carried out an alliance business engagement approach serving project development and implementation. The project described the approach as “moderately effective”, but is used by some key stakeholders (indicator sheet, indikator A2). While an **alliance project sourcing strategy** was officially approved by the steering group, project sourcing was described as not following a fixed procedure; all donors actually bring their prioritised countries into the process (Int_1GLO).
- The Global Alliance for Trade Facilitation has developed the process of “co-creation” to enable the design and implementation of trade facilitation measures by public and private sectors working together, as shown on the figure from the Global Alliance for Trade Facilitation website below.
- In December 2018, the 88% cumulative average of the alliance’s private sector stakeholders confirmed that the dialogue mechanisms at the global and in-country level were effective in leveraging public-private partnerships on trade facilitation reform (*Global Alliance for Trade Facilitation Quarterly Report Q4 2018*)
- The project in Morocco, including its aims and expected results, was developed through co-creation with local and international business, associations, government representatives and online shipping hub PortNet in workshops, roundtables and debriefing meetings in December 2017 and January 2018 (Int_8MOR). Initial challenges in discussions with political partners were reported to result in a longer design phase (Int_1GLO).
- The involved stakeholders perceived the co-creation process very differently. On one hand, it was described as “top down” with a steering committee from the Global Alliance for Trade Facilitation, which determined who should implement which project. According to interview partners, in the case of Kenya there was no proposal for implementation. The decision was made by the steering group alone and scoping missions conducted after the decision was made (Int_11KE). On the other hand, the same creation process was described as “equal match making” by other alliance members (Int_6KE, Int_1GLO).

Figure 3: Co-creation process in the Global Alliance for Trade Facilitation



O3 to MO: The implementation of trade facilitation measures with public border agencies in developing countries and emerging economies will increase the capacities of selected governments to implement such measures.

Additional remarks on the pathway O3 to MO: In the evaluation, it became apparent that while the capacity of public border agencies was built in all countries the pathways were very different. In Montenegro and Serbia the customs officers gained new capacities in pre-arrival processing for express consignments by implementing the measure by upgrading and installing the IT system application and amending corresponding legislation together with the Ministry of Finance. In Kenya the focus was stronger on capacity building through direct workshop training and public-private dialogue. We therefore outline how different pathways capacity were built:

- **Workshops and stakeholder exchange on pre-arrival processes:** Most of the private sector stakeholders interviewed, as well as some public sector ones, noted the dialogue and collaboration established between the public and private sector through the project activities and consultative meetings. This collaboration and dialogue was deemed very useful in understanding the challenges both parties face in the importing process (Int_6KE, Int_7KE, Int_8KE, Int_9KE, Int_10KE). In Morocco, the implementation of component 1 (weighing process and land traffic) included a business process analysis workshop at the end of 2018 and several other capacity building workshops (Int_8MOR). For example, the project organised an expert workshop on port automation (January 2020) for over 50 port community members and two expert workshops on the weighing process (April 2019) at the port and the General Confederation of Moroccan Enterprises, facilitated by an external expert. Regarding component 2 in Morocco (ePhyto), reported events were only implemented after end of phase 1 in April 2019 (Int_3MOR, Int_8MOR). Participants in Serbia reported that the project included a very structured consultation and analysis workshop on the project design. This included a joint assessment of critical aspects of pre-arrival processing for express consignments, and the design of appropriate customs procedures and IT solutions (Int_1SE, Int_2SE, Int_7SE, Int_8SE). By making an effort to find common solutions, under the leadership of GIZ trade facilitation experts, they shared their knowledge and experience in workshops and other capacity building formats. Through this participants – especially customs and border agencies – were enabled to implement trade facilitation measures and develop their capacities to do so (Int_1SE, Int_2SE, Int_7SE, Int_8SE, Int_3MOR, Int_8MOR).
- **Studies and documented implementation knowledge:** In Kenya, a diagnosis was conducted by the GIZ Global Alliance for Trade Facilitation on pre-arrival processing with a view to understanding the flow and capacity gaps. The diagnosis focused on the main international airport and showed that the Kenya Revenue Authority staff and stakeholders were not well versed with pre-arrival processing – how it should be done, who qualified for it and its benefits for companies (Int_2KE). GIZ funded a study on risk assessment readiness among the partner government agencies, which also identified the capacity gaps. This was undertaken by a local consultant (Int_3KE). Based on lessons on risk management, KenTrade as the lead agency on the electronic national single window in turn facilitated knowledge exchange with other government agencies to help configure their risk profiles on the system (Int_3KE, Int_4KE, Int_5KE). These studies could lay the ground work for future trade facilitation improvements in Kenya.
- **Capacity building through implementation experience:** In Montenegro, the improved system allowed suitable authorised express carriers to lodge an electronic import declaration/consolidated manifest in advance – before the aircraft's arrival – to enable electronic risk analysis of goods and expedite their release; IT and software companies developed trade compliance solutions for the transport and logistics sector (Int_4MON). In Serbia the implemented customs IT application was able to monitor the project's progress and compare the results with customer feedback and survey data to confirm whether the needs of stakeholders have been addressed – currently this function is not yet used (Int_9SE, Int_10SE). In Morocco, the improvement of the IT system for pre-arrival processing, the introduction of ePhyto certificates, the new mapping of horizontal flow traffic were effective changes in the current port organisation and interaction between stakeholders (Int_4MOR, Int_5MOR, Int_6MOR, Int_7MOR, Int_8MOR). Through its engagement with the GIZ experts, the Customs Department in Kenya enhanced

its IT systems for pre-arrival processing and data submission (Int_2KE). Examples include system flows regarding levels of permits before goods are cleared, partial implementation of the paperless process in a single window, avoiding manifest delay during ground handling by reconfiguring the integrated customs management system (iCMS) to receive the manifest directly; configuration of partner government association risk profiles (Int_3KE, Int_4KE, Int_5KE).

- **Training on pre-arrival processes and risk management:** In Kenya, following diagnosis that showed customs staff were not well versed with pre-arrival processing, training has been offered to the customs department. Until April 2019 there were two training programmes on risk management (Int_11KE).
- **Study tours:** From Hungarian colleagues Serbian customs officers learned expedited shipment procedures at the airport and ways to achieve the basic goal of the project. The information and advice they received helped them upgrade the existing software for the electronic pre-arrival system in Serbia. Also, they learned how to achieve more efficiency with goods inspection and how to reduce the cost of the customs officers when inspecting (through cameras that can directly follow the procedure). Significant experience was also shared on the risk indicators for separating goods that must be inspected. The fact this procedure has been successfully simplified in Hungary has facilitated the decision of the customs administration to adopt this procedure in Serbia as well (Int_1SE).
- **Capacity building:** This was developed through bilateral direct contacts between members of the private and public sector (separate meetings of express operators with customs in the final stage of project testing) in the context of project implementation. This resulted in partnership, mutual trust and cooperation between customs and the private sector, which were crucial for the success of this project and trade facilitation (Int_1SE, Int_10SE, Int_9SE).

Counterfactual analysis and other factors

The question 'what would have happened without the project' was very difficult to answer, given that the scope of this evaluation mission did not allow for a sophisticated counterfactual analysis (see also the chapter on impact). The explanatory power of this evaluation was limited and based on individual perceptions and evaluator observations.

However, the project did indeed make a strong contribution to engaging and sensitising customs authorities and the private sector about trade facilitation. Without the project, this momentum of exchange and trust would not have been established (especially within the German Alliance for Trade Facilitation as well as in the country projects). This was shown in Serbia, where express carriers had been trying for more than 10 years to convince customs to adapt procedures indicates that influence from GIZ helped to create a "can do" atmosphere (Int_7SE).

It was difficult to assess whether the project's objective would have been achieved without the project. There were indications that a few countries (such Serbia) might have implemented trade facilitation measures such as a pre-arrival process without the project, given that they receive strong and regular support from other donors (USAID, EU). However, it appeared clear they also depended strongly on the implementation support of GIZ.

Effectiveness dimension 3: additional and unintended effects

Based on evaluators' observations and feedback provided by stakeholders, it appears that no unintended negative results have been produced by the project. On the positive side, many aspects have been mentioned in more detail above; these were important preconditions for the impact and sustainability of the project.

A well-maintained monitoring system at project level was in place. The evaluation team could confirm that the importance of M&E was acknowledged. However, formal risk mitigation measures (also for unintended

negative results at the output and outcome level) were not found in the project monitoring system. Given the close connections to the stakeholders, there did not appear to be any need to use conventional KOMPASS tools³⁶.

Potential unintended positive results at outcome level did not appear to be explicitly monitored. As highlighted, the evaluators suggested that webinars and websites for official information on trade-related aspects should be assessed regularly in terms of user-friendliness and quality, and regularly updated in response to stakeholder feedback.

Overall assessment of effectiveness

Since two indicators at outcome level were overachieved while one was partly achieved (M1: 84% M2: 129% M3: 116,7%), the project has achieved most of its outcome on time. The evaluation team therefore awarded 38 out of 40 points in this dimension.

For the contribution made by activities and outputs to the project objective, the evaluation team awarded 25 out of 30 points in this dimension. In terms of the output indicators, all but indicator A2 have been fully achieved or exceeded. The contribution analyses provided evidence that the majority of activities and outputs contributed to the project objective. However, the full score was not awarded because evidence from contribution stories showed the limited effect of some interventions on the desired results. The match-making process and business engagement approach established in the Global Alliance for Trade Facilitation were reported to be only moderately effective and not rigorously applied or “internalised. Furthermore, there was no evidence that capacity building activities in Kenya contributed to change in trade facilitation processes or capacities. Overall, there seemed to be some room for improvement.

Given the feedback provided by stakeholders and observations from the evaluators, it appeared that no negative results have been produced by the project. The evaluation team awarded 25 out of 30 points in this dimension. The full score was not awarded because the occurrence of additional (not formally agreed) positive results was not systemically monitored and additional effort could have gone into following up on how the developed knowledge product led to increased trade facilitation capacities.

The overall score for the assessment criterion **effectiveness** added up to 88 out of 100 points: successful.

Table 5: Rating of OECD/DAC criterion: effectiveness

Criterion	Assessment dimension	Score and rating
Effectiveness	The project achieved the objective (outcome) on time in accordance with the project objective’s indicators.	38 out of 40 points
	The activities and outputs of the project contributed substantially to the project objective achievement (outcome).	25 out of 30 points
	No project-related negative results have occurred – and if any negative results occurred, the project responded adequately.	25 out of 30 points
	The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized.	
Effectiveness score and rating		Score: 88 out of 100 points Rating: successful

³⁶ KOMPASS stands for “open recording of comparative perspectives of partners and target groups” and describes a procedure of results based management all GIZ projects should implement.

4.4 Impact

Evaluation basis

Within the scope of this impact criterion, the evaluation team assessed whether intended overarching development results have occurred or are foreseen that are displayed outside the system boundary. This also included a brief assessment of the assigned identifiers as an additional reference point for intended impacts, particularly in the following areas:

- trade development is a principal objective (TD2) of the development measure and crucial to its implementation,
- participatory development and good governance (PD/GG-1),
- poverty orientation (AO-1), and
- public-private partnership (PPP-1).

The evaluators also assessed the extent of the intervention's contribution to achieving the overarching development results. In this regard, the assessment related the contribution to the results models outside the system boundary and to the implementation of international development goals (SDGs). It also assessed how the general population, as the ultimate target group, was affected by the intervention. However, an attribution gap existed between the module objective and the general population and companies doing trade that was not considered by any indicator. Primary data at the population level was difficult to collect within the framework of this study, which draws more on secondary sources and relies on interview partners from express carriers or trading companies directly involved in the project implementation. The explanatory power of the analysis with regard to impact at population level was therefore limited.

Finally, the assessment of the impact criterion included an analysis of unintended results: if project-related negative results have occurred – and if so, to what extent the project responded adequately. It also looked at the extent to which positive unintended results were monitored and used as additional opportunities.

Evaluation design and methods

Despite the limitations, perceptions about potential contributions were identified during the evaluation. The evaluation team followed a similar methodological basis (contribution analysis) such as the one chosen for the effectiveness criteria. Key data sources were GIZ management and team, donors and partner perspectives. Several hypotheses from the results model were examined in more detail in order to explain causal relationships between the project outcome and impacts. Most significant change stories supported the verification of the hypotheses set. Tendencies of unintended impacts or results were identified through examining different data sources such as monitoring data, perception of the project team and perception of key partners and the target group.

According to the evaluators, for a fair grading the impact assessment must always be put into context (see also the sustainability criterion). For instance, it would be more challenging for a low-budget project to contribute to an impact than for a high-budget project. At the same time, the potential to contribute to impacts would also depend on proximity to partners and the number of partners and countries involved. It would be more demanding to create an impact in four countries than in one country. The assessment took the set up and budget of this project into account.

Contextualisation of findings

Within the limited scope of a central project evaluation, it was impossible to accurately measure the impact of a complex programme such as the Global Alliance for Trade Facilitation. As with other criteria, the assessment of impact in this evaluation is based on the perceptions of interviewed stakeholders. It cannot rely on the large

scale quantitative data required to assess the project impact on macro dimensions such as national trade volume or general economic development.

Impact dimension 1 and 2: overarching development results and contribution analyses

Perceptions about potential contributions to intended impact result– *the WTO TFA is implemented, time and costs for cross-border trade decreases, trade facilitation capacities are spread beyond the directly targeted government bodies and trade increases* – were also gathered during the evaluation missions.

Contribution to implementing the WTO TFA

The strengthened capacity of selected governments to carry out trade facilitation measures leads to increased implementation of the WTO TFA in the involved countries and the application of further measures. This in return also encourages an increase in trade facilitation knowledge and capacities on trade facilitation matters. In Serbia, the project improved the knowledge and experience of customs in electronic pre-arrival processing and risk assessment, which may benefit future trade facilitation initiatives. Customs has ambitions to spread these measures for postal traffic and all other operators, goods and modes of transport – not only express consignments but also to future trade facilitation projects that refer back to experiences made in this project. (Int_1SE, Int_2SE, Int_10SE). Morocco is fully committed to implementing trade facilitation agreements and the facilitation of foreign trade. The project addresses several issues in facilitating trade within TFA and WTO agreements and harmonising customs procedures (Int_1MOR). Through the project in Kenya, a critical mass of border agencies has been building capacity on the use of risk management to facilitate faster clearance and release of goods. In all countries the potential to implement further trade facilitation measures has been increased and the measures have resulted in commitments by governments to ensure further implementation of the TFA. However, further support might be needed to address identified needs under categories A, B and C of the TFA and include agencies not yet targeted (Int_3KE, Int_4KE, Int_5KE, Int_1MOR, Int_1SE, Int_2SE, Int_10SE).

Spread of trade facilitation capacities beyond the directly targeted government bodies

The evaluation found evidence that the increase of trade facilitation capacities (through the implementation of measures with GIZ) led to further ratification of the TFA in developing countries and emerging economies (through implementing further trade facilitation practices). Based on the experience in Serbia and Montenegro, the project became a role model for pre-arrival processing projects in the five other CEFTA countries. Such an outcome could yield substantial impact on global progress towards trade facilitation (Int_9SE, Int_10SE). The project in Serbia also required a high level of cooperation between the Ministry of Finance, Ministry of Trade, Tourism and Telecommunications and customs in order to be initiated and implemented. These organisations developed good relationships and developed more awareness of their respective needs; this is invaluable when considering options for further trade-oriented reforms. This pre-arrival processing project could serve as a reference model on how to launch similar trade facilitation initiatives, even beyond the West Balkan countries. In Kenya and Morocco, the evidence of trade facilitation capacities spreading to other (not directly targeted) government bodies was limited.

Contribution to decrease in cost and time for cross-border goods movement

During the evaluation, only limited evidence of strengthened capacity in trade facilitation leading to a decrease in the time and costs for customs and the business sector in cross-border goods movement could be found. The situation of course differed in each country. While the decrease in time for release and clearance of express consignments in Montenegro was already measurable, the effects of measures in Kenya in this regard was still unclear. However, private sector stakeholders in Serbia, Montenegro, and Morocco agreed that the measures should eventually lead to time reduction by facilitating efficient risk management, expedited release or electronic information sharing between border agencies. Further data on cost reduction should be produced by the end of implementation in Kenya, Morocco and in the next months in Serbia. The biggest obstacle to collecting reliable evidence on how the project contributed to this impact was the lack of reliable monitoring data

from customs systems. Therefore, the following “anecdotal evidence” and indications were collected to get a clearer picture of the project’s contributions to decrease in time and cost:

- According to stakeholders in Morocco trade facilitation measures and project improvements will positively affect both public and private stakeholders. They decrease the cost and time for processing cross-border goods through an up to 25% reduction of the port transit delays, reduction of foreign currency fees for exceeded franchise and improved land traffic with better control and efficiency within the port perimeter (Int_5MOR, Int_8MOR).
- In Serbia, the project objective to increase the number of consignments released in one hour of their arrival from 43% to 80% has not yet been achieved. While the implemented IT system allows customs to measure and review the performance no data about the present situation has been extracted yet. However, customs has been planning to configure the IT system to obtain data (Int_8SE, Int_1SE). Though the reliable data has not been available, the involved express carriers felt that the process became quicker for shipment groups 1 and 2. DHL for example expects clearance within one hour of arrival to increase from the current 38% to 50% within the year. Further increase is expected within the next years and reaching the objective of 80% is seen as feasible (UPS and DHL). Shipment group 3 was seen as more problematic and although it was included in the project, the express carriers were skeptical about the prospects of further speed up (Int_8SE, Int_1SE, Int_4SE, Int_5SE). In Serbia there has been no evidence on how pre-arrival arrangements have translated into lower shipping costs. However, customers are now more likely to receive their goods on the same day of arrival.
- In Kenya no notable decrease in time for pre-arrival processes has been measured. However, one respondent who participated in a risk management training and received support from GIZ in configuring the risk-management module on the single-window system indicated notable improvements from 14 days before the configuration, against a more recent 1-4 days to clear all documentation (average across all products). There has also been less non-compliance from the private sector along with faster approvals, therefore reducing time and cost for both the public and the private sector (Int_5KE). However, the measures in Kenya were not complete by the time of the evaluation, so it could not be assessed how future activities will affect the cost and time for cross-border goods movement.
- In Montenegro the percentage of consignments delivered on the day of arrival rose from 31% in September 2016 to 57% in December 2018 (*German Alliance for Trade Facilitation Montenegro’s Success Model, electronic pre-arrival customs clearance system*). According to those involved, in most cases the changes implemented by the project enabled clearing of express consignments within one hour of the aircraft’s arrival. This represents an enormous saving of time and costs (Int_4MON, Int_2MON). During summer 2019 (just after this evaluation mission was completed) in Montenegro, DHL alone reported that 17,500 shipments that went through pre-arrival processing had saved five minutes of time through electronic instead of paper processing for each shipment. This equals around 180 working days (Int_4MON).

Identifiers

The project took its identifier into account by targeting trade development (TD2) as a principal objective. While the status of implementation within the countries was very diverse, the positive results in trade such as lower costs and shorter release and clearance times were likely.

The project supported participatory development and good governance (PD/GG-1) through the multi-stakeholder dialogues in the alliances. The alliance serves as an exchange platform for state bodies and the private sector on needed improvements in trade facilitation, allowing collaboration on equal terms (Int_1GLO, Int_3GLO). The project strengthened state institutions and their professional and managerial staff (including ministries, customs, and other border agencies). The involvement of the private sector increased the transparency and accountability of government action. The dialogue structures within the alliances for trade facilitation

gave companies the opportunity to voice their legitimate interests and problems in regional/international trade and participate at the same time in shaping solutions and thus public decisions.

The project's methodological orientation and strategy is based on the approach of cooperation with the private sector (PPP-1). Output A supports the establishment of the two alliances that include governments, international organisations, globally operating companies and private sector associations. Output B is supported by development partnerships with local and global companies. Thus, the project has utilised the benefits of public-private partnerships by leveraging private sector contributions and giving the private sector a voice in public sector reforms in regard to trade facilitation.

In terms of poverty orientation, the project received the identifier AO-1. The project supported the successful realisation of trade facilitation measures and thus promoted the integration of emerging and developing countries into global trade. Evidence that the effects of the measures had an impact on companies doing trade and the economic development of the country could not be found. However, in the evaluator's assessment a contribution to poverty reduction in the long term is likely.

Counterfactual analysis

It would be very difficult to determine what would have happened without the project, especially given that the scope of this evaluation mission did not allow for sophisticated counterfactual analysis. The explanatory power of the findings below is limited and based on individual perceptions and observations from the evaluators.

However, the project has indeed made a strong contribution to increasing capacities in trade facilitation. Without the project, systems such as pre-arrival processing in Serbia and Montenegro, the ePhyto certificate in Morocco would not be in place. (Int_1 SE, Int_1Q, Int_1O, Int_1M). According to the evaluators, this contribution must be assessed positively given the small budget and limited opportunities to provide material or financial incentives.

Influencing the general conditions

Given the limited scope of the evaluation and the number of countries involved, it is almost impossible to robustly assess how the general conditions in the host countries – along with other policy areas, strategies or interests – have positively or negatively influenced the impact of the project. As noted in previous sections, the explanatory power of the findings below is limited and based on individual perceptions and evaluators' observations.

While the project has so far made little contribution to the impact goals, a contribution in the near future could be plausible. Evidence from Serbia, Montenegro, Kenya as well as Morocco has pointed to this.

Active and systematic contribution to widespread impact – four dimensions of relevance, quality, quantity, sustainability and scaling-up approaches of vertical, horizontal, functional or combined

Most of the measurable contributions at impact level have been described already in the previous sections in this chapter. Several other contributions with impact on sustainability were discussed in the sustainability chapter. Contributions to the quality and quantity dimensions and the relevance of widespread impact at impact level could not be identified robustly by this evaluation given the setup of the project and the evaluation itself. Even anecdotal evidence was difficult to gather at this level.

However, in terms of horizontal and vertical scaling up the project has made a major contribution to implementing further trade facilitation measures as seen above (Int_1GLO). Feedback has confirmed several times that GIZ has been a driving force in setting up alliance structures (Int_1GLO, Int_2GLO)

Impact dimension 3: unintended results

A positive unintended effect at the impact level involved triggering the implementation of further trade facilitation measures in Albania, Bosnia and Herzegovina, Kosovo and North Macedonia (Int_1GLO, Int_10SE). Further negative and positive unintended results should be mentioned at the national project level:

- In all countries but particularly in Kenya, unforeseen dialogue and collaboration was established between the public and private sector through the project activities and consultative meetings. This collaboration and dialogue was deemed very useful in understanding the various challenges both parties face in the importing process (Int_4KE, Int_5KE, Int_8KE, Int_9KE, Int_10KE).
- Another unintended effect in Kenya was that the capacity building on risk management was not only used on export / import related work, but on other areas of work. One respondent indicated that she used the training during the development of their organisation's information security management system (Int_5KE).

Given the complex global set up, carrying out the project included risks by its very nature. The assessment of the project's risk analysis and handling provided a mixed picture. On one hand, the evaluators have not found evidence that the project follows a specific strategy to address any risks. On the other, the project maintains close contact to many stakeholders through activities such as regular alliance meetings.

Potential synergies between the ecological, economic and social dimensions

Synergies between the three dimensions of sustainability – ecological, economic and social – were utilised as far as possible in the context of trade facilitation and promotion. If the poor population in rural areas, including women, indirectly benefit (social) from simplified trade procedures when exporting agricultural products (economic), the project has positively contributes to the 2030 Agenda goals for poverty reduction, gender equality and climate action (ecological). The evaluation mission could not determine whether the intended results have produced theoretically negative trade-offs or positive synergies with social or environmental aspects.

Overall assessment of impact

Several overarching development results have been defined in the results model (see above). In addition, the project received many identifiers as additional reference points for intended impacts, particularly in the following areas: participatory development and good governance (PD/GG-1), poverty orientation (AO-1) and public private partnership (PPP-1). Many positive results could be observed at the impact level. However, the positive achievements did not apply for all countries in the same way. Adaptations of relevant legislation and the evolution of capacities in trade facilitation in the countries require more time to see benefits, especially for companies and the general population (indirect target group). The evaluation team awards 30 out of 40 points in this dimension.

The evaluation team awarded 20 out of 30 points for the project's contribution to overarching development results. Full marks were not given due to the lack of evidence on the spread of trade facilitation capacities across other government bodies, plus a limited contribution to reducing release-time in Kenya, Morocco and Serbia.

Given the feedback provided by stakeholders and observations from the evaluators, it appeared that no significant negative results occurred. At the same time, the evaluators have not found evidence that the project followed a specific strategy to address any risks at impact level. Hence the evaluation awarded 24 out of 30 points in this dimension.

The overall score for the assessment criterion **impact** added up to 74 out of 100 points: moderately successful.

Table 6: Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score & Rating
Impact	The intended overarching development results have occurred or are foreseen.	30 out of 40 points
	The outcome of the project contributed to the overarching development results which occurred or are foreseen.	20 out of 30 points
	No project-related negative results at impact level have occurred – and if any negative results occurred the project responded adequately.	24 out of 30 points
	The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.	
Impact score and rating		Score: 74 out of 100 points Rating: moderately successful

4.5 Efficiency

The key issue under the criterion efficiency is the question of whether the project's use of resources is appropriate with regard to achieving both the outputs and the outcome (project objective). It was examined whether the level of resourcing (such as funding and expertise) has led to satisfactory results. Combining information on project costs and results – the approach adopted in all robust efficiency analyses – provided more insights than looking at those two components separately. Focusing on results alone would limit the use of data in strategic decision-making. Focusing on costs alone may detract from recommendations that aim to ensure quality in the results.

Evaluation basis

The concept of efficiency has been usually applied when a defined input is transformed into a result or used to describe the implementation of processes, procedures and structures. In the field of international cooperation, aligned with the OECD-DAC criteria, efficiency has been defined usually as 'a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results', as written in the GIZ guidelines on how to apply the 'follow the money' approach. In this definition, 'results' could be understood as the output, outcome or impact of a development measure. According to this definition, a project would be considered efficient if a given input is used to maximise the results of the development measure. Consequently, efficiency would be understood as transformation efficiency: inputs are transformed into results and effects whose relation to each other represents the efficiency of the measure.

Evaluation design and methods

A distinction would be made between two types: production and allocation efficiency. While the former would evaluate the transformation of inputs to outputs, the latter evaluates the transformation of inputs to effects at outcome and impact level. This would include analysis how even more results at output level could have been achieved with the same overall use of funds. It was therefore not only a question of investigating how costs could have been saved but rather of how existing resources could have been better used to achieve the desired results.

There could be many ways to evaluate a project's production efficiency. Following the GIZ guidelines on assessing efficiency, this central project evaluation applied the 'follow the money' approach as a standard method for analysing the project's production efficiency.

The evaluation team used an Excel tool developed by the GIZ Corporate Unit Evaluation to standardise the project's efficiency analysis. The Excel tool takes into account GIZ's recommendations on analysing a project's efficiency. It refers to sources that are available in the project. These are:

- the 'Kostenträger-Obligo' report for the project,
- the comparison of planned budget figures with actual figures,
- the results matrix, and
- the contracts for possible procurements and possible funding.

The Excel tool consists of six sheets: cockpit, costs, Co-Fi & Partner, target/actual planning, expert months and impact matrix.³⁷ The tool provides a good basis for evaluating the project's production efficiency criterion. Based on the tool numbers and relations are interpreted with the support of interviews conducted to allow for more robust statements on the project's efficiency.

In relation to allocation efficiency, the evaluation team envisaged an assessment of whether the project's use of resources was appropriate with regard to achieving its objective. However, the evaluation team would point out that assessing the allocation efficiency was one of the most demanding evaluation exercises. Given the length of this central project evaluation, the findings were based on plausible assumptions and anecdotal evidence.

Efficiency dimension 1: production efficiency

The following assessments are based on information extracted from the "Kosten-Obligo (costs and commitments) report" and further discussions with the project team and stakeholders, using GIZ's "follow-the-money" approach. The costs and commitments of the project are presented in the figure below.

Table 7: Cost overview.

Module objective	The Capacity of selected governments in the implementation of trade facilitation measures is strengthened
BMZ costs	EUR 4,968,790.62
Co-financing	0
Partner contribution	0
Total costs	EUR 4,968,790.62
Residual	EUR 18,099.45

³⁷ The five sheets are as follows:

- In the cockpit, the tool calculates the required distribution of costs to their respective outputs and puts this in relation to the achievement of objectives at indicator level.
- On the costs sheet, the 'Kostenträger-Obligo' report for the project is entered and the individual costs are allocated to the outputs.
- On the Co-Fi & Partners sheet, cofinancing and partner contributions are recorded and allocated to the outputs.
- On the target/actual planning sheet, the target/actual planning of the project and the planned costs of the future outputs are entered (starting at the date of the evaluation).
- On the expert months sheet, the person days for the project employees per output are documented. They serve as the calculation basis for distributing the human resource costs to the project outputs.
- In the results matrix sheet, the impact matrix from the most recent progress report for the project is included in order to provide state-of-the-art data in the cockpit

Deviations

Based on the feedback received by the project team and information provided to the evaluation team, the evaluation team could not find any deviations between the identified costs and the projected costs (Kosten-Obligo-report, BMZ final progress report 2019).

The evaluation team pointed out that deviations between the identified costs and the projected costs as a criterion for assessing the efficiency of a project could be misleading and give a strong bias to the efficiency results. There were numerous reasons for deviations that have no connections to the efficiency of a project.

Maximum principle and reallocation of funds

Given that most of the output indicators were fulfilled and some even exceeded, it was very likely that the outputs have been maximised with the given volume of resources (see effectiveness chapter) when compared with the initial plan and targets.

However, the output indicator A2 only reached an achievement rate of 85%. The government engagement approach, part of the indicator A2, was first adopted by the steering committee of the Global Alliance for Trade Facilitation but has since been found to be impractical. Similarly, it took longer than the planned term of the first phase to institutionalise a project sourcing strategy and process within the Global Alliance of Trade facilitation. This showed that although this indicator has been formulated at output level, the achievement did not fully lie in the control of the project. Therefore, the low achievement rate did not receive so much weighting in terms of assessing efficiency.

The findings were listed in the following tables.

Table 8: Indicator achievement.

A1) The secretariat of the Global Alliance for Trade Facilitation with its core organisational and technical tasks is institutionalised.	(B1) Six consulting or training measures of German or European trade facilitation experts in Germany, developing or emerging countries are carried out	C1) The implementation experience from industrialised, newly industrialising and developing countries on three trade facilitation topics is prepared.
110%	100%	100%
A2) Needs, resources and expertise for matchmaking are coordinated between governments, donors and the private sector for the implementation of trade facilitation measures.	(B2) Four concepts or feasibility studies for implementing trade facilitation measures are developed together with the private sector.	C2) One new and innovative approach to implementing the Bali Trade Facilitation Agreement has been developed Base value: 0
85%	150%	100%
A3) The German Alliance for the Implementation of Trade Facilitation in Developing Countries with its core organisational and technical tasks is established.	(B3) Four knowledge and network-oriented pilot measures (such as trade facilitation committees, regional monitoring systems, regional or global value chain studies) are implemented in cooperation with the business community in selected countries and regions.	C3) The trade facilitation approaches were presented at five international conferences.
130%	100%	220%
A4) Needs, resources and expertise for matchmaking are coordinated between governments, donors and the private sector for the implementation of trade facilitation measures in the German Alliance for Trade Facilitation		
100%		

It is difficult to provide the exact reasons for the high achievement rate at output and module levels (except A2). It might be explained by the existence of relatively low or conservative targets. Nevertheless, these

achievements appeared remarkable in terms of quantity (target achievements) and quality (trust, motivation, contribution to the project's objective) but also, according to the evaluators' analysis, in terms of efficiency. This is described below.

In general, the costs were concentrated largely on output B (68%) in the figure below. Output A is the second most expensive output (19%), followed by the least expensive output C (4%). In general, the relatively high costs of output B appear to be well aligned with the high fulfilment rate of its indicators (100%, 150% and 100%) as shown in the chart above.

Table 9: Costs by outputs.

	Output A	Output B	Output C
Outputs	A German and a Global Alliance for Trade Facilitation between donors, the private sector, governments and academia is established.	The implementation of trade facilitation measures in selected countries and regions is strengthened.	Knowledge of trade facilitation approaches and implementation experience is strengthened in cross-regional networks.
Cost including Obligo	EUR 922,236.43	EUR 3,375,205.69 €	EUR 198,999.47
Co-financing	0	0	0
Partner contributions	0	0	0
Total costs	EUR 922,236.43	EUR 3,375,205.69	EUR 198,999.47
Total costs in %	19%	68%	4%
BMZ total in % without co-financing	19%	68%	4%

As shown in the following table, all internationally seconded GIZ staff (two people altogether, but only one in post at a time), 10 national GIZ staff and 10 project staff based in Germany dedicated most of their working time to output B (65%, 97% and 45%), which made output B the most expensive output in terms of staff costs. However, the costs were most evenly distributed across the outputs for project staff based in Germany, which was the only staff group that has overarching costs. This could easily be explained by the fact that for a global project, almost all coordination work was done from Germany. National staff, on the other hand, was usually only employed for the implementation phases of the national projects and hence contributed 97% of their time on output B. In addition, overarching costs were relatively low, suggesting an efficient implementation.

Table 10: Costs by type of staff

	Output A	Output B	Output C	Overarching costs
International staff (AMA/PMA)	31%	65%	4%	0%
National staff	0%	97%	3%	0%
Project staff in Germany (PMI)	30%	45%	4%	20%

Output B was the costliest in terms of staff time dedicated to achieving this output. 97% of the national staff's time was dedicated to this output and project staff in Germany also contributed the biggest bulk of its time to this output (45%). Only 20% of the project staff in Germany was counted as overarching costs, which spoke for an efficient implementation of the project.

According to the evaluators' analysis, there were no robust indications that output B could have been maximised with the same volume of resources by considering a different setting or structure. The indicators assessed under output B largely focused on sub-steps of the project implementation: developing project designs with the private sector, realising knowledge and network-oriented pilot measures and carrying out capacity building initiatives (such consulting or training measures). The cooperative development of project designs with private sector partners showed potential for inefficiencies but also for the use of synergies. According to interview

partners, concept development included multiple feedback loops that took up time but it was still the most efficient measure to implement a co-creation process (Int_1GLO, Int_11KE). Output A depended even more on cooperation with the achievement of outputs linked closely with the Global Alliance for Trade Facilitation secretariat and the German Alliance for Trade Facilitation Steering Committee. While no evidence was found on whether output A could have been maximised, aspects measured in the indicators of output A were in fact outside of the system boundary and the direct influence of the project (such as the *Alliance Project Sourcing Strategy* and the *Alliance Government Engagement Approach*, which is approved by the German Alliance for Trade Facilitation Steering Committee). Limiting the measure of successful implementation to results that were under the direct influence of the project could increase efficiency. In general, the use of steering committees was seen as a positive contribution to the project's efficiency on a global and national level (Int_8MOR, Int_1GLO, Int_11KE, Int_5GLO). Collaboration within the steering group of the German Alliance for Trade Facilitation was emphasised especially as a fruitful contribution to an efficient implementation (Int_1GLO, Int_2GLO, Int_4GLO).

The higher volume of resources invested in output B appeared justified given that the application of capacity building measures in project countries made the strongest contribution to the module objective (increased capacities in the implementation of trade facilitation capacities).

Further positive aspects in terms of production efficiency

Roles and responsibilities: In relation to project management, many positive aspects were stressed within and outside the GIZ team: dialogue, openness, reactivity and good planning. All partners interviewed in the evaluation mission happily confirmed a smooth relationship and good bilateral collaboration with GIZ, showing that there were clear roles and responsibilities in place (Int_1GLO, Int_11KE, Int_10SE).

Monitoring system and handling risks: A monitoring system at project level was in place and well-maintained. However, risk mitigation strategies were applied and monitoring not used to steer the projects (Int_1GLO, Int_11KE, Int_10SE). It should also be highlighted that risks were not included in the monitoring on project level. (Indicator score card gov A3, Int_10SE, Int_11KE).

Consideration of planning parameters and lessons learned: Given that the project did not have a predecessor phase, it made good use of the lessons that were learned. For example, the knowledge gained from the first pre-arrival processing project in Montenegro proved useful in a very similar project in Serbia (Int_1GLO, Int_11KE, Int_10SE).

Outsourcing of activity packages: The evaluation team has not found any indication that activity packages could have been outsourced to local organisations to increase efficiency, given that GIZ had the overall coordinating role – which was difficult to delegate by its very nature. Its assumption of full responsibility for coordinating several events was probably the most efficient solution.

Efficiency dimension 2: allocation efficiency

In contrast to production efficiency, allocation efficiency describes the transformation of inputs to outcomes/impact. At module level, all indicators M2 and M3 have been overachieved while M1 was not fully achieved. The following table summarises the results described in more detail in the effectiveness chapter.

Given these achievement rates, allocation efficiency appears to be not quite satisfactory at first glance, especially considering that indicator M1 relates to outputs B, which the majority of budget went to (68%, see above). However, the project's approach to supporting the implementation of trade facilitation measures selected from within the alliances (supported through established project sourcing strategy and processes) often results in delays to project implementation. The evaluators recognised ambitions, especially within the German Alliance for Trade Facilitation, to increase recruitment and engagement for the private sector – especially small and medium-sized enterprises. While the increased private sector engagement is desirable and contributes to higher

motivation and momentum in implementation, lengthy project sourcing and matching processes can result in longer planning and design phases of projects (Int_2GLO, Int_3GLO, Int_4GLO)

Table 11: Outcome indicator achievement

<p>M1: Six trade facilitation measures have been implemented 70% on average in the project countries and regions</p>	<p>M2: 75% of the participating companies and associations confirm that the support measures implemented by the project are focused on reducing trade costs in order to strengthen government performance</p>	<p>M3: Six own contributions by the private and public implementation partners of the project as well as other international actors are agreed with regard to the expansion and dissemination of the effects of the project.</p>
<p>84%</p>	<p>129%</p>	<p>117%</p>

Not all countries have benefitted from the project deliverables in the same way. The question, however, to what extent the outcome could have been maximised with the same volume of resources would be difficult to answer in this evaluation setting. The traditional approach for such an analysis would be to monetise the added value of outcomes and results at impact level (with shadow price models, for example). With this project, the evaluation basis for such an approach was limited, since it was not possible to monetise the added value of the implementation of results at outcome and impact level. Another approach would have been to use reduction in time and cost contributed to the implementation of country projects as a “proxy” to calculate the efficiency in relation to the costs of the outcome. However, a regular monitoring of these numbers was not implemented in most project contexts (Int_5GLO, Int_1GLO). The evaluation team therefore undertook a very broad qualitative assessment of the allocation efficiency, assuming that the relatively high achievement rates in the module indicators speak for themselves in terms of maximising outputs. It then examined how the outcome has been maximised given the available resources – for example, through scaling-up and leveraging the resources of other organisations.

Several results were achieved through synergies and leveraging additional resources with the help of other bilateral and multilateral donors and organisations. The project has targeted use of the alliance structures and the methodological approaches by other development programmes, resulting in the initiation of 10 further measures in BMZ-financed bilateral and regional programmes.³⁸ Of these, five measures have been implemented in Albania, Kosovo, Macedonia, Bosnia and Moldova and five more undergoing preparation in Tunisia, Senegal, Brazil, Ukraine and Morocco. This result could be traced back to transregional exchange on implementing trade facilitation measures; it put the project’s exit strategy into practice. It was supported by a focus on digitisation that was not covered by the module objective (*Schlussbericht Globale Allianz für Handelserleichterungen*, Int_1GLO). Digital solutions were used in all alliance measures, such as the introduction of electronic pre-arrival customs clearance systems, paperless data exchange in weighing goods and the cross-regional exchange of ePhyto certificates. The alliances were cited as examples in the German government’s digitisation strategy and the German Aid for Trade strategy (*Schlussbericht Globale Allianz für Handelserleichterungen*).

As discussed above and based on feedback provided by the project team and the evaluators’ assessments, output A and C did not directly contribute to the module objective (Int_1GLO), which affects the allocation efficiency negatively because, by nature, the transformation of results to outcomes is higher if there is a direct link to the outcome.

³⁸In addition to the 6 agreed in module objective indicator M1

Overall assessment of efficiency

In general, production efficiency was assessed positively. There were several positive aspects, especially in terms of collaboration. The efficient overall management with little overarching costs was also seen as positive. The evaluation team awarded 65 out of 70 points in this dimension. Full marks were not awarded due to the project's limited control over the implementation of project outputs, which resulted in lengthy approval and implementation periods (such as the need for approval from alliance steering committees approval of the *Alliance Government Engagement Approach*).

The evaluation team awarded 23 out of 30 points in the dimension of **allocation efficiency**, given that few aspects could be found to maximise the outcomes. Full marks were not given because the outcome objective was not entirely fulfilled regarding the implementation of trade facilitation measures in the selected countries, mostly due to external influences. This affected the scoring proportionally because the budget for implementing the country projects (output B) made up 68% of the overall budget.

The overall score for the assessment criterion **efficiency** added up to 88 out of 100 points: successful.

Table 12: Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	The project's use of resources is appropriate with regard to the outputs achieved. (Production efficiency)	65 out of 70 points
	The project's use of resources is appropriate with regard to achieving the project's objective (outcome). (Allocation efficiency)	23 out of 30 points
Efficiency total score and rating		Score: 88 out of 100 points Rating: successful

4.6 Sustainability

The evaluation also aimed to analyse whether the project results were likely to be sustainable and if positive prerequisites for ensuring the long-term success of the project were in place. Given that the project's results logic consisted of many different results spread across the countries, the evaluation focused on the results that – according to the findings – made a real change and/or were neglected. It then marked these answers in the results model.

Evaluation basis

Since the analysis of sustainability also goes hand in hand with assessing the impact and effectiveness of the project, the evaluation team built on the methodology posed for the two criteria. The team scrutinised the findings of the impact and effectiveness chapters, and assessed the hindering and supporting factors for sustainability.

Evaluation design and methods

The evaluation team computed tendencies on the project's sustainability through perception questions posed in interviews and discussions to the project team, key partners and the private sector. Wherever possible perception-based findings supplemented hard facts: analyses of what approaches, methods, models and instruments

were in place, and what resources and capacities at the individual, organisational or societal/political level were available. As highlighted by several stakeholders during the evaluation mission, the sustainability of the results in project countries depended on the public sector's continued commitment to implementing the project's output. This would include the pre-arrival processing systems in Montenegro and Serbia, and further support and utilisation of established risk management in Kenya (Int_1GLO, Int_10SE, Int_11KE).

By the end of the first phase of the project in April 2019 the measures in many of the countries were not completed (Ghana, 60%; Kenya, 43%; Morocco, 34%; Indonesia, 15%) and hence needed further support to ensure sustainability. In all countries, the sustainability of the trade facilitation results depended on a continuous exchange between governments, private sector and associations in the project countries. On a global level, sustainability for the German and the Global Alliance for Trade Facilitation depended on their ability to self-govern and continue to initiate support to trade facilitation measures. The assessment of this criterion focused especially on what has been in place and whether it can operate without GIZ's support in future. The second aspect of the sustainability criterion consisted of a forecast of the durability of results. The evaluation team also looked at the GIZ contribution to the prerequisites for long-lasting results.

The findings below were based on feedback gathered in four examined countries. This assessment, therefore, did not claim to provide a full picture of all countries involved in the project. However, all countries in the region have faced similar issues, highlighted below.

Contextualisation of the findings

The basis for assessing sustainability were the evaluation questions under the two dimensions of sustainability and the individual perceptions of stakeholders on these questions. As a result, sustainability aspects that were important to the project may not have been sufficiently addressed. Considering the additional sustainability dimensions defined by the project and focusing on the internal durability of established mechanisms and methodologies could be an important incentive for future analyses.

Sustainability dimension 1: prerequisites

In all countries of implementation, the project partners highly praised GIZ's capacity building activities. They emphasised many positive changes that occurred as a result of the training (Int_1SE, Int_7SE, Int_8SE, Int_9SE, Int_2MON, Int_2KE, Int_3KE, Int_4KE, Int_5KE, Int_6MOR, Int_7MOR). Knowledge building and transfer appear crucial for the assessment of sustainability.

When assessing sustainability, it is important to note that most outputs of the first phase of project implementation (object of this evaluation) were continuously supported in its follow-up phases. Implementation support had been completed in April 2019 only for the country projects in Serbia and Montenegro. Hence, the sustainability of preliminary results in Kenya, Morocco, Indonesia and Ghana could be supported through the follow-on phase of the project itself.

In addition to developing trade facilitation measures, project activities include the establishment of the Global Alliance for Trade Facilitation, which is financed by six donors (Australia, Canada, Germany, USA, UK and since 2018 Denmark) and supported by 20 private sector partners. In total, nine measures were implemented through the Global Alliance for Trade Facilitation (three by GIZ, six by the Centre for International Private Enterprise) and seven have been in preparation (three by GIZ, four by the centre). During the module's implementation, the foundation of the German Alliance for Trade Facilitation was added as the main activity. This has been supported by the German Federal Government through BMZ and BMWi and includes 21 firms and business associations. Two projects have been completed in the German Alliance for Trade Facilitation and one project in each is currently being implemented and prepared. The project has therefore succeeded in mobilising the commitment of the private sector and it has helped to institutionalise and anchor a form of exchange and engagement in trade facilitation implementation. Interviewees especially in Kenya and Serbia characterised

GIZ as the glue that held everything together on the operational and policy levels. Perhaps this was the project's most important contribution to ensuring the sustainability of its results.

Implemented country projects inspired the initiation of further projects that have learned from their experience (Int_10SE, Int_3MON, Int_1GLO). In early 2018 Albania, Bosnia and Herzegovina, Kosovo and North Macedonia decided to introduce pre-arrival processing based on Montenegro's experience with the alliance approach. GIZ supports these reforms with its Open Regional Fund for South East Europe, and a further pre-arrival processing project has been planned in Moldova. The new partner countries could use the experience gained by Montenegro and Serbia and benefit from the tried and tested approach. The experience, principles and procedures of pre-arrival-processing applied in Montenegro and Serbia were shared with other CEFTA parties, starting from September 2017. With a few country-specific modifications, they could be implemented (Int_10SE, Int_1GLO, Int_6GLO).

In Serbia and Montenegro, the legal framework and the IT application for pre-arrival processing have been integrated in the customs administration system and policy.

In Serbia the government has confirmed that in the next three years following the project implementation necessary funds will be provided to upgrade and maintain the IT application – a three-year contract with the company that helped to develop and install the IT application has been signed (Int_10SE, Int_1SE). Furthermore, a concept was developed to maintain the IT system in future (Operational Plan Serbia).

In Montenegro the measure was developed in close consultation between the customs administration and express carriers, bringing benefits to both by:

- reducing the number of paper-based customs declarations that need to be checked, declared and administered;
- reducing the need for business operators with electronic compliance systems to convert their data into paper documents (mostly a manual undertaking) and for officers to rekey information contained within paper documents into the electronic customs computer to enable electronic risk analysis;
- eliminating the customs requirement for risk analysis to take place during office hours. In most cases, it enables shipment data to be assessed by customs in advance and cleared within one hour of the aircraft's arrival, providing a high motivation for further use of the system (Int_5MON, Int_2MON, Int_04MON).

In Morocco the project, through a participative approach, has responded to the respective needs and demands of the port operators. Beneficiaries and port users must use the port premises and register on its IT platform to perform the loading and unloading operations. They must register on Portnet, a port community system, and move through the horizontal flow scheme of the port (Int_8MO). A white book has been under preparation with a complete analysis of the re-engineered transit flow in the port of Casa Blanca along with the proposed hardware equipment and its respective specifications (Int_8MOR, Int_3MOR). So far, the ePhyto certificate has been in use with the United States and the European Union although both systems (paper and digital) have been maintained until the ePhyto certificate has been integrated into the legislation. Once the legislation is updated and the electronic signature operational, the ePhyto system should be continuously used. As a next step it would be important to include more countries into the ePhyto process (Int_3MOR).

In Kenya the main GIZ results included the capacity building among partner government agencies involved on single window platform (11 out of 37 in total), facilitation of policy dialogue and increase in awareness about manual inspections and time loss (Int_1KE, Int_2KE, Int_3KE, Int_4KE, Int_5KE, Int_6KE, Int_7KE, Int_8KE, Int_9KE, Int_10KE). Stakeholders agreed that while facilitated dialogue and awareness could have a lasting impact and result in improved communication, risk management module practices first had to be implemented well before they could be considered sustainable (Int_1KE, Int_5KE, Int_6KE, Int_7KE).

Within the country projects, there are plans and potentials to scale up and learn from implementation. In Serbia customs officials have expressed the intention to implement a pre-arrival processing project for postal services to speed up the procedure and increase safety and security. This could also include goods moved by transport

methods other than air freight to come into compliance with the EU import control system procedure due for introduction in 2021 (Int_10SE, Int_1SE). While border agencies would greatly profit from existing implementation, the biggest prerequisite for sustainability of results was the adaption of the Serbian customs law. The law has been aligned with the EU by 85%; this process was implemented in the EU accession negotiations for chapter 29, which provides a legal basis for the pre-arrival procedure for goods arriving by all modes of transport (Int_5MON, Int_2MON, Int_4MON).

Sustainability dimension 2: durability

According to the evaluators, the sustainability assessment must be put into context for a fair grading. It would be more challenging for a project to sustainably change the partners' behaviour than to support the development of a long-lasting policy. At the same time, sustainability depends on proximity to partners, the number of partners involved and the envisaged outreach. It could be more demanding to remotely create motivation and momentum, compared with an environment where it is possible to cooperate closely with partners on a regular basis. Furthermore, sustainability would also depend on the budget available to continuously support partners.

The evaluation team considers it important to highlight that the sustainability of this project appears to be limited by its design. The project operated in several countries with different economic and institutional conditions. It was frequently mentioned in the evaluation mission that its approaches and project management functioned independently for the most part. By dividing opportunities to secure sustainability rather than focusing efforts on fewer countries (building up institutional capacities, strengthening "champions", establishing new entities) are decreased. The budget for each country measure lies between EUR 600,000 and EUR 750,000. This could be considered minor when attempting to substantially and sustainably strengthen the capacity of border agencies to carry out trade facilitation measures and achieve behavioural change within agencies in handling cross-border trade and cooperating with the private sector. The durability of the project results depends on the durability of the new cooperation structures were enabled through the GIZ projects. Interviewees stated that sustaining and improving on the positive results achieved by the project might present a challenge without GIZ willing to take on a coordination role to bring the private sector and border agencies together in some countries – especially Serbia, Kenya and Morocco (Int_2GLO, Int_3GLO).

Sustaining the implemented IT system in **Serbia** and hence the predicted time reduction for release of consignments would depend on the fruitful and efficient cooperation between customs and the express-carriers. The new IT system needs upgrading to become fully compliant with the EU regulations.³⁹ However, there has been strong interest from customs to provide durability by developing software further to adjust it to the changes in EU regulations (Int_1SE). Commitment from customs has been considered high and pledges to make appropriate adjustments have been made; delays in implementing the IT system as well as difficulty in initiating collaboration before the project have shown that concerted action from stakeholders can present a challenge without the coordinating role of GIZ. Therefore, the lack of coordinating actors or continuous exchange mechanisms poses a real risk to the durability of trade facilitation measures and participants' trade facilitation capacities (Int_1SE, Int_10SE).

The durability of other results such as the increase in further trade facilitation capacities and public-private dialogues depends on continued cooperation and coordination between customs and the express carriers.

In **Montenegro**, project partners developed good relationships and are more aware of their respective needs. It would have been beneficial to document the implicit knowledge developed during the project's implementation to ensure sustainability of results and provide lessons for future trade facilitation efforts (Int_1MON). However, given the positive developments one year after the project (see sustainability dimension 1 above), the durability of project results in Montenegro is seen as likely.

³⁹ e.g. it is necessary to include tariff number, additional documents in the IT form (invoices) which are still submitted in the paper form

Once the automated identification and data exchange processes at the port of Casa Blanca have been fully established in **Morocco**, an agreement between the public and private stakeholders and all those involved in Portnet activities should commit formally to continued cooperation. This would also validate the work that has been achieved. Furthermore, the port operator would need to commit to investments in more equipment (Int_4MOR, Int_6MOR, Int_7MOR). Under the umbrella of these commitments, durability of results would be likely. However, in view of the long time it took to bring all relevant stakeholders to the table, risks to a continuous fruitful cooperation remain.

In **Kenya**, dialogues with the involvement of the private sector were especially seen as the key to successful implementation and ensuring sustainability of any further project results (such as reduced release times through pre-arrival processes). Both successful risk management and pre-arrival processing have depended on the compliance from the private sector. There would also need to be commitment from competing public stakeholders (specifically the Kenya Revenue Authority and KenTrade) to ensure that activities and results will be sustained and expanded. More partner government associations should adapt risk management practices, the Kenya Revenue Authority and KenTrade should integrate the single window system and the iCMS, and the Kenya Revenue Authority needs to expand pre-arrival processes to other areas such as sea freight (Int_1KE, Int_2KE, Int_3KE, Int_4KE, Int_5KE, Int_6KE, Int_7KE, Int_9KE).

During the interviews private sector partners voiced concerns that responsible government officers still lacked a certain orientation towards trade facilitation; larger efforts in change management on individual and organisational levels would be needed to sustain project results (Int_6KE, Int_8KE, Int_10KE). The fact that there is not one stakeholder taking overall responsibility (a “champion”) to steer implemented trade facilitation activities and monitor the progress of risk management and pre-arrival processing creates an even bigger challenge to sustainably anchoring the results in the government structures.

The need to establish effective partner monitoring systems as an instrument for sustaining project results was mentioned in all project contexts (*Report on KRA-GATF/GIZ Pre-Arrival Processing Mission*, Int_1KE, INT_11KE, Int_8MO, Int_10SE). On the other hand, little evidence could be found on concrete commitments to continuously monitor project results through partner systems. Functioning systems to monitor the reduction in cost and time of cross-border trade would provide a helpful instrument to make results more durable.

Preconditions for upholding some of the adapted and newly developed processes and systems results have been put in place. As two out of the four assessed country TFA measures have continued through the end of the project in April 2019 and also at the time of the evaluation in summer 2020, the durability of the final results of these projects could not be fully assessed. This would affect the overall sustainability assessment, as many of the necessary preconditions (documentation of processes and training contents) are typically put in place during or after the completion of activities. The evaluators therefore focused on risks to the durability of the results and made assumptions about whether these risks could still be met when finalising these measures. Overall, with the exception of Montenegro clear risks to the sustainability of country projects results have remained. The durability of the results in Kenya and Morocco will strongly depend on the commitments and established cooperation structures at the end of the measures.

Overall assessment of sustainability

As highlighted by several stakeholders during the evaluation mission, the sustainability of the results is likely if the engagement of the private and public sector continues. In Kenya and Serbia, stakeholders frequently mentioned that GIZ has been a kind of ‘glue’ that held everything together at both policy and operational level. Although positive prerequisites were in place in most of the countries, a lack of political will and coordination among participants might hamper the ability to sustain important trade facilitation measures. The evaluation team awarded 40 out of 50 points in dimension 1. Full marks were not given due to apparently limited measures to anchor results of project in partner structures in some countries beyond the GIZ project support.

Based on the positive feedback received by many interview partners on the strong connections established thanks to the project's role as a facilitator of exchange, some results in selected countries would be very likely to remain permanent and could serve as a basis for future initiatives. The evaluation team awarded 40 out of 50 points in sustainability dimension 2 with the assumption that the cited risks would be addressed in the running projects in Kenya and Morocco. Full marks were not given because the instability of some cooperation structures – already apparent during the implementation – raised questions on how this would affect the durability of results.

The overall score for the assessment criterion **sustainability** added up to 80 out of 100 points: moderately successful.

Table 13: Rating of OECD/DAC criterion: sustainability

Criterion	Assessment dimension	Score and rating
Sustainability	Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures.	40 out of 50 points
	Forecast of durability: Results of the project are permanent, stable and have long-term resilience.	40 out of 50 points
Sustainability score and rating		Score: 80 out of 100 points Rating: moderately successful

4.7 Key results and overall rating

The following chapter summarises the results of this report with the OECD/DAC criteria analysed above.

Relevance

The project design fit into the relevant strategic reference frameworks on country level and was well-embedded in the global priorities on trade facilitation. The project was in line with the TFA as well as the BMZ Aid for Trade strategy and other international practices on trade facilitation. The intervention was considered highly relevant in terms of working towards trade facilitation, which addressed core needs of the governments, the private sector and the general population, and core problems faced in implementing TFA measures. The project design also reflected the needs and concerns of poor households (through increase in economic activity). The evaluation team concluded that the project was adequately designed to achieve the chosen project objective.

Effectiveness :Overall, effectiveness was assessed positively. Since two indicators at outcome level were overachieved while one was partly achieved (M1: 84%, M2: 129%, M3: 116,7%), the project has achieved the majority of its outcome on time. In terms of the output indicators, all indicators but indicator A2 have been fully achieved or surpassed. The contribution analyses provided evidence that the activities and outputs contributed to the project objectives:

- The establishment of the German Alliance for Trade Facilitation as well as the Global Alliance for Trade Facilitation have contributed to and improved the implementation of trade facilitation measures.
- The implementation of trade facilitation measures with public border agencies in developing countries and emerging economies contributed to increased capacities of selected governments to implement such measures.

Based on feedback provided by stakeholders and evaluator observations, it appears that no negative results have been produced by the project.

Impact: While positive results were observed at the impact level the positive achievements did not apply for all countries in the same way. Adaptations of relevant legislations and evolution of trade facilitation capacities in the countries require more time to see benefits, especially for companies and the general population (indirect target group). While no significant negative results occurred, the evaluators have not found evidence that the project followed a specific strategy to address any risks at impact level.

Efficiency: In general, the production efficiency was assessed positively. There were several positive aspects, especially in terms of collaboration among stakeholders. The efficient overall management with few overarching costs was also seen as positive. The dimension of **allocation efficiency** was assessed as successful, due to the high achievement rates at the outcome level and a lack of evidence on how outcomes could have been maximised.

Sustainability: Overall the project was seen a sustainable. However, the sustainability of the results also depended strongly on continued engagement from private and public sector parties. It was frequently mentioned in Kenya and Serbia that GIZ was a 'glue' that held everything together at policy and operational level. Although positive prerequisites were in place, lack of political will and coordination among participants could hamper the ability to implement important trade facilitation measures in the future.

Overall rating: The table below summarises the ratings and provides an overall rating.

Table 14: Overall rating of OECD/DAC criteria and assessment dimensions

Criterion	Score	Rating
Relevance	94 out of 100 points	highly successful
Effectiveness	88 out of 100 points	Successful
Impact	74 out of 100 points	Moderately successful
Efficiency	88 out of 100 points	Successful
Sustainability	80 out of 100 points	Moderately successful
Overall score and rating for all criteria	85 out of 100 points	Successful

Table 15: Rating and score scales

100-point scale (score)	6-level scale (rating)
92–100	Level 1: highly successful
81–91	Level 2: successful
67–80	Level 3: moderately successful
50–66	Level 4: moderately unsuccessful
30–49	Level 5: unsuccessful
0–29	Level 6: highly unsuccessful

Overall rating: The criteria of effectiveness, impact and sustainability are knock-out criteria: If one of the criteria is rated at level 4 or lower, the overall rating cannot go beyond level 4 although the mean score may be higher.

5 Conclusions and Recommendations

5.1 Conclusions: factors of success or failure

As highlighted several times, the project is very complex given the number of stakeholders and countries involved. During the evaluation mission, it still became evident that key results (see chapter above) could centre on factors in five dimensions. Efforts and positive outcomes in these dimensions – which sometimes overlapped – showed the potential to leverage current achievements and mitigate risks.

- Alliance approach:** The alliance approach (German and global) proved to be adequate for building up networks across countries that jointly and effectively brought positive results forward. As different partner countries were obliged to fulfil WTO requirements and participate in regional cooperation initiatives (such as CEFTA), global links to foster trade opportunities were initiated. The project contributed to establishing the Alliances and institutionalising its core processes (project sourcing and **business engagement approaches**). The project fostered knowledge-sharing processes institutionalised through the alliances, regional events, seminars and training, which resulted in further initiatives on implementing the TFA. The lengthy project initiation and design process (**matchmaking** and **co-creation**) was sometimes considered a hindering factor to implementation efficiency. The process in the Global Alliance for Trade Facilitation was considered as “top down” and lacking in transparency by some stakeholders. This dimension affected the OECD/DAC criteria **relevance, efficiency, effectiveness, sustainability** and **impact**.
- Political and organisational context:** Fluctuation in levels of political support among ministries, custom and border agencies in project countries, lack of cooperation, and slow organisational change were common obstacles in the implementation of trade facilitation measures. This dimension affected the OECD/DAC criteria **sustainability** and **impact**.
- Efforts towards digitalisation:** Project activities such as capacity development activities and software updates in national customs and border agencies were likely to prove sustainable. Configuration of risk

management software, as well as digitalised pre-arrival processes, appeared to count among the most durable and impactful project outputs. The alliances were cited as examples in the German Government's digitalisation strategy and the German Aid for Trade strategy. This dimension affects the OECD/DAC criteria **sustainability** and **impact**.

- **Sustainable public-private dialogue on trade facilitation in developing countries:** The project contributed to improving involvement from the private sector in trade facilitation matters. As a result of the training and workshops provided in project countries, both the private and public sector have become more aware of each other's needs and the procedural problems in release and clearance of cross-border goods movement. However, there is still a risk that the dialogue initiated and facilitated between private and public stakeholders has not been continued since the project finished. Overall, the private sector will need both further support and capacity building. This dimension has affected the OECD/DAC criteria **effectiveness**, **impact** and **sustainability** (and to some extent **relevance**).
- **Networking and coordination role of GIZ:** It was mentioned frequently that GIZ plays an important role in bringing stakeholders together at the global as well as the national level of project implementation. Without GIZ, some of the exchange and cooperation between private and public parties would not have happened. This strongly justified the involvement of GIZ but at the same time it posed a major risk. This dimension affected the following OECD/DAC criteria of **efficiency** and **sustainability**.

5.2 Recommendations

Based on the analysis and conclusions drawn in previous chapters, nine recommendations were put forward in the five dimensions presented above. They were addressed to GIZ and to specific stakeholders within GIZ; they focus on implementing follow-up measures. While some recommendations might reflect activities that have already been implemented in selected countries, they highlight the importance of such activities and suggest further institutionalisation as best practice.

Recommendations on the alliance approach:

- **Recommendation 1: Optimise and enhance transparency in country selection and project approval processes.** To ensure that the right countries and best interventions are selected, the evaluators have recommended more transparent decision-making for steering groups (specifically in the Global Alliance for Trade Facilitation). This could be achieved by redeveloping selection criteria that are explicitly referenced when documenting and communicating decisions on trade facilitation measures. Most importantly, this criteria should include assessments of the political will and cooperation among involved stakeholders. The evaluators also recommend revisiting and if necessary, redeveloping the project sourcing strategy and enforcing its use in alliance processes.
- **Recommendation 2: Include "other" members (private and public) in the alliances to ensure more variety of perspectives in co-creating trade facilitation measures.** The evaluators recommended a process to identify, mobilise and empower disadvantaged groups to take part in co-creation and project steering mechanisms. This could mean including more private sector members from developing countries as well as small and medium-sized enterprises. It should aim to involve members of the indirect target groups active in cross-border trade to ensure they profit from the project. Another approach could be to improve inclusion of regional actors.

Recommendations on political and organisational context:

- **Recommendation 3: Continue to ensure flexibility and adaption to changing political contexts when planning measures.** Project designs should anticipate and document assessments of risks and related risk mitigation strategies to adapt to changing circumstances such as changes in cooperation or changing roles of implementing partners. Alternative approaches and cooperation structures should be

outlined in these strategies. Future country projects should follow the GIZ KOMPASS guidelines on results-based monitoring, continuously assessing risks and unintended results.

- **Recommendation 4: Ensure a deeper understanding of stakeholder systems in countries of implementation.** The evaluators recommended better use of peer review of project designs or proposals – preferably among the staff of different implementing partners – to challenge and learn from design and chosen solutions. Explicit alignment with national policy priorities and formal reconfirmation of interest from the relevant (political and/or agency) leadership should be ensured as part of project design and approval.
- **Recommendation 5: Include change management approaches in project methodology.** This would help tackle the psychological barriers of private partners and border agencies to adapting completely new ways of thinking and working.

Recommendations on efforts towards digitalisation

- **Recommendation 6: Introduce more digital opportunities and solutions – advanced digital systems could bring many benefits while facilitating legitimate trade.** The evaluators recommended use of implementation experience when introducing digital processes such as pre-arrival processing, risk management, and dematerialised and automated data exchange in ports. They also suggested documentation of steps taken in digital analysis along with technical requirement definitions; these would facilitate learning from these experiences for future initiatives.

Recommendations on sustainable public-private dialogue on trade facilitation in developing countries

- **Recommendation 7: Intensify the operational process-orientated public-private dialogue in the project countries.** Diagnosis and analysis workshops where stakeholders came together to “dissect” process steps proved to be one of the main initial drivers to success. This was often the first time real dialogue on operational questions occurred and when the “real” focus of the project determined. This form of detailed process-oriented dialogue – led by a trade facilitation expert – which zoomed in on specific processes or issues on the working level should be formalised as a “best practice”. It should be implemented as early as possible in projects. Private and public sector project stakeholders should be persuaded to commit to regular dialogue formats after the project finishes – if possible, under the guidance of external trade facilitation experts.

Recommendations on the networking and coordination role of GIZ:

- **Recommendation 8: Establish and support the consolidation of outcome-orientated monitoring systems on the part of public implementation partners.** Participants should aim to systematically measure the real changes for those involved as well as capture regular developments for indirect target groups – for example, the reduction in cost and time for companies doing trade. Support should include regular and robust impact studies that look precisely at indirect effects in terms of cost reduction and therefore their contribution to reducing poverty.
- **Recommendation 9: Identify future champions and delegate the coordination role.** Without GIZ or other champions willing to take the coordination role, it would be difficult to sustain the positive results achieved so far. It has appeared necessary to identify future champions within project contexts and build on them for future strategies. In this regard, it could make sense to assign more responsibilities to potential champions as early as possible to generate more commitment. The type of organisation that could serve as champion may vary from project to project but it should be determined early on in the conceptual phase. In some countries it could be a public agency with enough influence to ensure a level of sustainability that enables a written commitment to future responsibility for project results and

investments to uphold them. Other projects might favour a newly formed entity that combines public and private sector interests, thus upholds upholding the newly initiated dialogues.

List of resources

Secondary Data

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14. WTO, Trade Facilitation Agreement Faciliaty (TFAF), 20.07.2020. retrieved from <https://www.tfafacility.org/ratifications>

Project Documents

Angebot Global Trade Facilitation Allianz PN 2015.6252.9 vom 01.06.2015

Indicator sheets

Indikator A2.docx

Indikator A3 - GovScore Card AHE.xlsx

Indikator A4.docx

Indikator B1.docx

Indikator B2.docx

Indikator B3.docx

Indikator C1.docx

Indikator C2.docx

Indikator C3.docx

Modulzielindikator 1.docx

Modulzielindikator 3.docx

“Angebote / Wiederholungsangebote”

1. Änderungsangebot_März 2016.pdf

1. Phase_Genderstudie.pdf

1. Wiederholungsangebot September 2015.pdf

1. Wiederholungsangebot_Anlage B Wirkungsmatrix.pdf

2. Änderungsangebot_November 2017.pdf

2. Phase Angebot_Allianzen für Handelserleichterungen.pdf

2.Phase_AfH_Wirkungsmatrix.pdf

2.Phase_Gender Analysis.pdf

2015-06-01 Angebot.pdf

Progress reports and final reports

1. Fortschrittsbericht IZR Globale Allianz für Handelserleichterungen.pdf

2. Fortschrittsbericht IZR Globale Allianz für Handelserleichterungen.pdf

3. Fortschrittsbericht IZR Globale Allianz für Handelserleichterungen.pdf

Schlussbericht.pdf

Country projects documents

[AP5]_- _Ghana_Concept_Note.pdf

[AP5]_- _Ghana_Proposal_Master.pdf

08 AP14 - Nigeria country brief.pdf

2019-04 Revised Draft Project Indonesia concept.pdf

AP14 - Nigeria Concept Note.pdf

GHANA - Project M&E Masterfile.xlsx

Indonesia_Project_Plan(Feb2020).xlsx

KENYA - Project M&E Masterfile.xlsx

2016_06_13_Project Concept Paper Serbia.pdf

Montenegro_Alliance_for_Trade_Facilitation_final results.pdf

Montenegro_Pre-arrival_project_plan.pdf

Operational Plan_ ME project.xlsx

Operational Plan_SRB_2018-09.xlsx

AP6 - Morocco Proposal

Global Alliance for Trade Facilitation documents

GATF_QR4_2018.pdf

Global Alliance for Trade Facilitation Governance Charter.pdf

Global Alliance Logframe.pdf

German Alliance for Trade Facilitation documents

KONZEPT Allianz zur Umsetzung von HE.pdf

LEITLINIEN Allianz zur Umsetzung von HE.pdf

Protokoll 1. Arbeitstreffen AHE Erlangen_17.03.2017.pdf

Protokoll 2. Arbeitstreffen AHE (Leipzig)_07.09.2017.pdf

Protokoll 3. Arbeitstreffen AHE Neutraubling 01.03.2018.pdf

Protokoll 4. Arbeitstreffen der AHE_September 2018.pdf

Protokoll 5. Arbeitstreffen AHE_Luebeck_März 2019.pdf

Protokoll Gründungsworkshop Allianz zur Umsetzung von Handelserleichterungen_14.10.2016.pdf

Annex 1: Evaluation matrix

OECD-DAC Criterion RELEVANCE (max. 100 points)					
Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
The project concept (1) is in line with the relevant strategic reference frameworks. Max. 30 points	Which strategic reference frameworks exist for the project? (e.g. national strategies incl. national implementation strategy for 2030 agenda, regional and international strategies, sectoral, cross-sectoral change strategies, if bilateral project especially partner strategies, internal analysis frameworks e.g. safeguards and gender (2))	No / type of strategic reference frameworks	Document Review	TFA (siehe Dokumenten Übersicht), Digital Strategie BMZ, Blockchainstrategie der Bundesregierung - Agenda 2030 (Multitakteur, Handel), Teil des Marschall Plans. National Strategies	strong
	To what extent is the project concept in line with the relevant strategic reference frameworks?	Comparison of objectives and goals between project and frameworks	Document Review	see above + Änderungsangebot 2017	strong
	To what extent was the (conflict) context of the project adequately analysed and considered for the project concept (key documents: (Integrated) Peace and Conflict Assessment, Safeguard Conflict and Conflict Sensitivity documents)?	Comparison of objectives and goals between project and frameworks	Document Review	see above + Änderungsangebot 2017	strong
	To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project concept – also regarding the sustainability dimensions (ecological, economic and social)?	Comparison with other donors Synergies with other BMZ financed projects in other sectors	Document Review / Interviews	Sektorvorhaben Handel, Fond Handel, Developpp, EZ Scouts., SIAB, SV Zusammenarbeit mit der Wirtschaft, Dfid (Ghana, Nigeria), Trtrade Marc East Africa (Kenia), Business Hub (Indonesien), Globalvorhaben Qualitätsinfrastruktur (Indonesien, Brasilien)	strong
	To what extent is the project concept in line with the Development Cooperation (DC) programme (If applicable), the BMZ country strategy and BMZ sectoral concepts?	Comparison of objectives and goals between project and BMZ documents	Document Review / Interviews	BMZ's Country Strategies	strong
	To what extent is the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) is the project supposed to contribute?	Comparison with SDGs	Document Review / Interviews	Country SDGs, GIZ proposal	strong
	To what extent is the project concept subsidiary to partner efforts or efforts of other relevant organisations (subsidiarity and complementarity)?	Comparison with other donors e.g. Worldbank	Document Review / Interviews	GIZ proposal, Relevant documents from ministries and customs authorities	strong

<p>The project concept (1) matches the needs of the target group(s).</p> <p>Max. 30 points</p>	<p>To what extent is the chosen project concept geared to the core problems and needs of the target group(s)?</p>	<p>Perception of relevant stakeholders - mainly involved ministries and customs authorities</p>	<p>Interviews with stakeholders / document review</p>	<p>Target Groups: 1) Global: Companies, governments and associations, 2) Local: Companies, governments and associations/ Trade Agreement</p>	<p>strong</p>
	<p>How are the different perspectives, needs and concerns of women and men represented in the project concept?</p>	<p>GG1 criteria (BMZ and OECD)</p>	<p>Secondary data analysis</p>	<p>ToC Project documents</p>	<p>strong</p>
	<p><i>How were deescalating factors/ connectors (4) as well as escalating factors/ dividers (5) identified (e.g. see column I and II of the Peace and Conflict Assessment) and considered for the project concept (please list the factors)? (6)</i></p>	<p>GG1 criteria (BMZ and OECD)</p>	<p>Secondary data analysis</p>	<p>ToC Project documents</p>	<p>strong</p>
	<p>To what extent was the project concept designed to reach particularly disadvantaged groups (LNOB principle, as foreseen in the Agenda 2030)? How were identified risks and potentials for human rights and gender aspects included into the project concept?</p>	<p>GG1 criteria (BMZ and OECD)</p>	<p>Secondary data analysis</p>	<p>ToC Project documents</p>	<p>strong</p>
	<p><i>To what extent were potential (security) risks for (GIZ) staff, partners, target groups/final beneficiaries identified and considered?</i></p>	<p>Perception of relevant stakeholders</p>	<p>Interviews with stakeholders / document review</p>	<p>Target Groups: 1) Global: Unternehmen Regierungen und Verbände, 2) Lokal: Unternehmen, Regierung und Verbände / Trade Agreement</p>	<p>strong</p>
	<p>To what extent are the intended impacts regarding the target group(s) realistic from today's perspective and the given resources (time, financial, partner capacities)?</p>	<p>Comparison current status and goals Comparison countries' achievements Preception stakeholder (enabling policy environment, regulations developed, knowledge exchange platforms)</p>	<p>Interviews with Stakeholders / Document review of project studies</p>	<p>Columbia project - quantitative results are available (Columbia is not a direct GIZ project but evidence on the plausibility of results logic would be useful) Marrocco Project E-PHYTO Certificate - time and cost reduction. Presentations on the project. Also useful: Impact evaluation on Montenegro project (not started yet, but methodology and first results could be useful).</p>	<p>strong</p>

<p>The project concept (1) is adequately designed to achieve the chosen project objective.</p> <p>Max. 20 points</p>	<p>Assessment of current results model and results hypotheses (theory of change, ToC) of actual project logic:</p> <ul style="list-style-type: none"> - To what extent is the project objective realistic from today's perspective and the given resources (time, financial, partner capacities)? - To what extent are the activities, instruments and outputs adequately designed to achieve the project objective? - To what extent are the underlying results hypotheses of the project plausible? - To what extent is the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible? - Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered? - To what extent are the assumptions and risks for the project complete and plausible? 	<p>Consistency, coherence and quality of ToC</p>	<p>Project documents, progress reports to BMZ</p>	<p>Progress reports and protocols of regular meetings (German Alliance)</p>	<p>strong</p>
	<p>To what extent does the strategic orientation of the project address potential changes in its framework conditions?</p>	<p>Changes in legislation Changes in the perception of ministries and customs authorities</p>	<p>Secondary data analysis Primary data gathering: Interviews</p>	<p>Global Alliance (Quartalsberichte); deutsche Allianz: newsletter. Interview with project managers.</p>	<p>strong</p>
	<p>How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?</p>	<p>Risks / bottlenecks outside the sphere of responsibility mentioned by project staff</p>	<p>Secondary data analysis</p>	<p>Local: Effect of "Überarbeitung der Notifizierung an WTO", in global Alliance on governance and project concept. German Allianz: establishing and adaption of workplans. Framework Conditions: "Forderung zu Gender werden eingebracht von Gebern"</p>	<p>strong</p>
<p>The project concept (1) was adapted to changes in line with requirements and re-adapted where applicable.</p> <p>Max. 20 points</p>	<p>What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)?</p>	<p>Additional changes (not captured by ToC)</p>	<p>Secondary data analysis</p>	<p>Project documents</p>	<p>strong</p>
	<p>How were the changes dealt with regarding the project concept?</p>	<p>Activities conducted to address changes</p>	<p>Secondary data analysis</p>	<p>Project documents</p>	<p>strong</p>

OECD-DAC Criterion EFFECTIVENESS (max. 100 points)

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
The project achieved the objective (outcome) on time in accordance with the project objective indicators.(1)	To what extent has the agreed project objective (outcome) been achieved (or will be achieved until end of project), measured against the objective indicators? Are additional indicators needed to reflect the project objective adequately?	Perception of traders (cross-boarder oriented companies), member of associations	Interviews	Schlussbericht, Indicator sheets, experienced (to be defined before evaluation mission) trade-oriented companies (who are aware of the project and maybe other companies), members of associations Many different stakeholders-everyone involved in projects, making a difference between formal and informal trade Document analyses & interviews	strong
	To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?	Perception of traders (cross-boarder oriented companies), member of associations	Interviews	see above	strong
The activities and outputs of the project contributed substantially to the project objective achievement (outcome).(1)	To what extent have the agreed project outputs been achieved (or will be achieved until the end of the project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately?	Comparison current status and target of output indicators; in addition: Perception of traders (cross-boarder oriented companies), member of associations, results at output level	Secondary data analyses and interviews	see above	strong
	How does the project contribute via activities, instruments and outputs to the achievement of the project objective (outcome)? (contribution-analysis approach)	See hypotheses selected	Interviews	Perception of ministries, cross-boarder oriented companies and customs authorities	strong
	Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial setup of project and company, cooperation management)	Management structure (flexibility, effectiveness, able to adapt to changes, etc.); governance of regional projects (overlapping of responsibilities); regional approach (peer learning, etc) not supported by the GIZ division nor by the partners	Secondary data analyses, interviews	On the global level not relevant. Only on project level: Peer learning, Benchmarking, Global Alliance, Protocol of Ghana Study Tour , Interviews: Marrocco project staff, Serbia project staff, Kenya project staff	strong
	What other/alternative factors contributed to the fact that the project objective was achieved or not achieved?	General aspects of globalisation, political changes, protectionisms	Secondary data analyses, interviews	Perception of ministries, cross-boarder oriented companies and customs authorities, project staff	strong

	What would have happened without the project?	Perception of state partners, business associations, political partners (ministries)	Key partners mentioned	Alternatives: LDC Small States, Landlocked Countries Support - completely different outcome : different, smaller countries that might even need more support.	strong
No project-related (unintended) negative results have occurred – and if any negative results occurred the project responded adequately. The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized. Max. 30 points	Which (unintended) negative or (formally not agreed) positive results does the project produce at output and outcome level and why?	Scaled up projects that were not form (Regional programmes with replicated approaches) in Albanien, Kosovo, etc. Worldwide Upscaling (Vorabanmeldung Projekt) Compact (DHL, BMZ) Lack in cooperation of Actors and risk of lacking political drive	Secondary data analyses, interviews	Project staff	strong
	<i>To what extent was the project able to ensure that escalating factors/ dividers have not been strengthened (indirectly) by the project? Has the project unintentionally (indirectly) supported violent or 'dividing' actors?</i>	see above	see above	see above	strong
	How were risks and assumptions (see also GIZ Safeguards and Gender system) as well as (unintended) negative results at the output and outcome level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the concept phase?	Aspects covered by the monitoring system	Document analyses and interviews (+ maybe online survey)	GIZ monitoring system, additional observation by management team	strong
	<i>To what extent have risks in the context of conflict, fragility and violence (5) been monitored (context/conflict-sensitive monitoring) in a systematic way?</i>	see above	see above	see above	strong
	What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? To what extent were these measures adequate?	see risks in the progress report	Interviews	GIZ management team	strong
	To what extent were potential (not formally agreed) positive results at outcome level monitored and exploited?	Digitalisation aspects; regional cooperation, support to trade facilitation agreement	Document analyses	GIZ management team, business associations	strong

Assessment dimensions - IMPACT	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
The intended overarching development results have occurred or are foreseen (plausible reasons). (1)	To which overarching development results is the project supposed to contribute (cf. module and programme proposal with indicators/ identifiers if applicable, national strategy for implementing 2030 Agenda, SDGs)? Which of these intended results at the impact level can be observed or are plausible to be achieved in the future?	Implementation Bali Trade Agreement Effectiveness and efficiency of the customs agencies and other agencies involved in cross border trade. time and cost	Secondary data analyses and interviews	Strategic documents, Proposal BMZ, GIZ management team, customs officers and traders	good

		reduction			
	Indirect target group and 'Leave No One Behind' (LNOB): Is there evidence of results achieved at indirect target group level/specific groups of population? To what extent have targeted marginalised groups (such as women, children, young people, elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with HIV/AIDS and the poorest of the poor) been reached?	Anecdotes clients, perception of traders	Interviews/	Clients and traders	good
The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact).(1)	To what extent is it plausible that the results of the project on outcome level (project objective) contributed or will contribute to the overarching results? (contribution-analysis approach)	Impact on level of corruption, time and cost reduction, regional cooperation, digitalisation, consumer benefits	Interviews	GIZ management team, companies and business associations	good
	What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies)	Strategies of companies	Interviews	Companies	good
	To what extent is the impact of the project positively or negatively influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)? How did the project react to this?	Developments in countries / Political drive	Observations and interviews	GIZ management staff	good
	What would have happened without the project?	Impact on level of corruption, time and cost reduction, regional cooperation, digitalisation, consumer benefits	Interviews	GIZ management team, companies and business associations	good
	To what extent has the project made an active and systematic contribution to widespread impact and were scaling-up mechanisms applied (2)? If not, could there have been potential? Why was the potential not exploited?	see above	see above	see above	good
	No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred the project responded adequately. The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.	Which (unintended) negative or (formally not agreed) positive results at impact level can be observed? Are there negative trade-offs between the ecological, economic and social dimensions (according to the three dimensions of sustainability in the Agenda 2030)? Were positive synergies between the three dimensions exploited?	Impact on level of corruption, time and cost reduction, regional cooperation, digitalisation, consumer benefits. Lack of cooperation or political engagement	Interviews	GIZ management team, companies and business associations

<p>Max. 30 points</p> <p>The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized.</p> <p>Max. 30 points</p>	<p>To what extent did the project have (unintended) negative or escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)? To what extent did the project have positive or de-escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)?</p>	see above	see above	see above	good
	<p>To what extent were risks of (unintended) results at the impact level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the planning phase?</p>				good
	<p>What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)?</p>	coordination measures with other donors	Document analyses, interviews	GIZ management team	good
	<p>To what extent have the framework conditions played a role in regard to the negative results ? How did the project react to this?</p>	Developments in countries	Document analyses, interviews	GIZ management team	good
	<p>To what extent were potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?</p>	Data in the monitoring system, not applicable: ecological dimension; economic: volume of orders (link to revenues?), value cross-border trade; social: impact on ratio of urban/rich vs. poor/rural	Document analyses, interviews	Monitoring system, GIZ management team, macro data	good

Assessment dimensions - EFFICIENCY	Evaluation questions	Evaluation indicators (pilot phase for indicators - only available in German so far)	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
<p>The project's use of resources is appropriate with regard to the outputs achieved.</p> <p>[Production efficiency: Resources/Outputs]</p> <p>Max. 70 points</p>	<p>To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?</p>	<p>Das Vorhaben steuert seine Ressourcen gemäß des geplanten Kostenplans (Kostenzeilen). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen vom Kostenplan.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>	
	<p>Focus: To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality (maximum principle)? (methodological minimum standard: Follow-the-money approach)</p>	<p>Das Vorhaben reflektiert, ob die vereinbarten Wirkungen mit den vorhandenen Mitteln erreicht werden können.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>	
		<p>Das Vorhaben steuert seine Ressourcen gemäß der geplanten Kosten für die vereinbarten Leistungen (Outputs). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen von den Kosten.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>	

		Die übergreifenden Kosten des Vorhabens stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs.	Secondary data analyses, interviews with project staff	Project documents	
		Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.	Secondary data analyses, interviews with project staff	Project documents	
	Focus: To what extent could outputs have been maximised by reallocating resources between the outputs? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben steuert seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Schlussevaluierung). Oder: Das Vorhaben steuert und plant seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Zwischenevaluierung).	Secondary data analyses, interviews with project staff	Project documents	
	Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-money approach)	Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.	Secondary data analyses, interviews with project staff	Project documents	
		Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.	Secondary data analyses, interviews with project staff	Project documents	
		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.	Secondary data analyses, interviews with project staff	Project documents	
		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar.	Secondary data analyses, interviews with project staff	Project documents	
		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens voll realisiert werden.	Secondary data analyses, interviews with project staff	Project documents	
		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	Secondary data analyses, interviews with project staff	Project documents	
		For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs?	siehe oben	Secondary data analyses, interviews with project staff	Project documents
The project's use of resources is appropriate with regard to achieving the projects objective (outcome).	To what extent could the outcome (project objective) have been maximised with the same amount of resources and the same or better quality (maximum principle)?	Das Vorhaben orientiert sich an internen oder externen Vergleichsgrößen, um seine Wirkungen kosteneffizient zu erreichen.	Secondary data analyses, interviews with project staff	Project documents	

<p>[Allocation efficiency: Resources/Outcome]</p> <p>Max. 30 points</p>	<p>Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered?</p>	<p>Das Vorhaben steuert seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Schlussevaluierung)</p> <p>Oder: Das Vorhaben steuert und plant seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Zwischenevaluierung)</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>	
	<p>Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens voll realisiert werden.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich des zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>To what extent were more results achieved through synergies and/or leverage of more resources, with the help of other bilateral and multilateral donors and organisations (e.g. co-financing)? If so, was the relationship between costs and results appropriate?</p>	<p>Das Vorhaben unternimmt die notwendigen Schritte, um Synergien mit Interventionen anderer Geber auf der Wirkungsebene vollständig zu realisieren.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>	
	<p>Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		
	<p>Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten.</p>	<p>Secondary data analyses, interviews with project staff</p>	<p>Project documents</p>		

	Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen.	Secondary data analyses, interviews with project staff	Project documents	
	Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens.	Secondary data analyses, interviews with project staff	Project documents	

OECD-DAC Criterion SUSTAINABILITY (max. 100 points)

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures. Max. 50 points	What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves?	Perception of the members of the alliances	Document analyses, interviews	Members of the alliances	good
	In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system?	Perception of the members of the alliances	Document analyses, interviews	Members of the alliances	good
	To what extent are the results continuously used and/or further developed by the target group and/or implementing partners?	Perception of the members of the alliances	Document analyses, interviews	Members of the alliances	good
	To what extent are resources and capacities at the individual, organisational or societal/political level in the partner country available (long-term) to ensure the continuation of the results achieved?	Perception of the members of the alliances	Document analyses, interviews	Members of the alliances	good
	If no follow-on measure exists: What is the project's exit strategy? How are lessons learnt for partners and GIZ prepared and documented?	Perception of the members of the alliances	Document analyses, interviews	Members of the alliances	good
	<i>To what extent was the project able to ensure that escalating factors/dividers (1) in the context of conflict, fragility and violence have not been strengthened (indirectly) by the project in the long-term? To what extent was the project able to strengthen deescalating factors/connectors (2) in a sustainable way?</i>	Perception of the members of the alliances	Document analyses, interviews	Members of the alliances	good
Forecast of durability: Results of the project are permanent, stable and long-term resilient. Max. 50 points	To what extent are the results of the project durable, stable and resilient in the long-term under the given conditions?	Perception of partners, GIZ team	Document analyses, interviews		good
	What risks and potentials are emerging for the durability of the results and how likely are these factors to occur? What has the project done to reduce these risks?	Perception of partners, GIZ team	Document analyses, interviews		good

Annex 2: List of Documents

Basic document	Is available? (Yes/ No)	Good / high quality
Projects proposal and overarching programme/fonds proposal (etc.) and the "Ergänzende Hinweise zur Durchführung" / additional information on implementation	Yes	Yes
Modification offers where appropriate	Yes	Yes
Contextual analyses, political-economic analyses or capacity assessments to illuminate the social context	Yes	Yes
Peace and Conflict Assessment (PCA Matrix), Gender analyses, environmental and climate assessments, Safeguard & Gender etc.	Yes (partly)	Yes
Annual project progress reports and, if embedded, also programme reporting	Yes	Yes
Evaluation reports	Yes	Yes
Country strategy BMZ	No	
National strategies	Yes	Yes
Sectoral/ technical documents (please specify)	Yes	Yes
Results matrix	Yes	Yes
Results model(s), possibly with comments if no longer up-to-date	Yes	Yes
Data of the results-based monitoring system (WoM) ⁴⁰	Yes	Yes
Map of actors	Yes	Yes
Capacity development strategy/overall strategy (see webinars)	No	
Steering structure	Yes	Yes
Plan of operations	Yes	Yes
Cost data (at least current cost commitment report / Kostenträger-Obligo Bericht).	Yes	Yes
If available: cost data assigned to outputs		
Excel-sheet assigning working-months of staff to outputs	Yes	Yes
Documents regarding predecessor project(s) (please specify if applicable)	NA	
Documents regarding follow-on project (please specify if applicable)	Yes	Yes

⁴⁰ Mandatory for all projects based on "Quality Assurance in Line (Qsil)"

Annex 3: Assessment of Indicators

Module Objective	The Capacity of selected governments in the implementation of trade facilitation measures is strengthened	
Project objective indicator according to the offer / Original indicator	Assessment according to SMART criteria	Operationalized indicators (explanation)
<p>MO1: 6 Trade Facilitation measures have been implemented 70% on average in the project countries and regions Base value: 0 % -0 measures Target value: 70% - 6 measures Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> The indicator needs to be operationalised further in order to be measurable. This was done in the monitoring system of the project through the use of score cards and assessment criteria. 	<ul style="list-style-type: none"> The indicator is measured by the level of implementation of the planned trade facilitation measures. The project operation plans serve as the basis for calculating the implementation status in percent based on all planned activities. The average implementation rate is calculated across all projects ((average implantation rate x number of projects) / 0,7= Current value). The total number of projects doesn't necessarily have to be 6 if average implementation rate is higher.
<p>MO2: 75% of the participating companies and associations confirm that the support measures implemented by the project are focused on reducing trade costs in order to strengthen government performance Base value: 0 % Target value: 75% Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> Given that the objective to this indicator is an outcome objective, the indicator is much more focused on the input to the measures than the actual outcome: the decrease of cost for involved companies and associations. Furthermore, the indicator is not specific in the sense that it is unclear what is meant by "focus on ---". 	<ul style="list-style-type: none"> The indicator was operationalized through a survey conducted among private sector stakeholders involved in the country projects.
<p>MO3: 6 Own contributions by the private and public implementation partners of the project as well as other international actors are agreed with regard to the expansion and dissemination of the effects of the project. Base value: 0 Target value: 6 own contributions Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> The original indicator does not appear SMART. However, as with the other indicators the project operationalised it further, for example by defining a threshold of 30.000 EUR for contributions In addition to the operationalised indicator measuring financial contributions the evaluation team suggests adding an indicator looking at the contribution of the stakeholder's knowledge and ideas. 	<ul style="list-style-type: none"> Own contribution is defined as the provision of financial or in-kind (e.g. expert days) resources of a company, public implementation partner or other international actors that contribute to the activities of the project and thus extend its impact. The threshold for one significant own contribution is 30,000 EUR. All the contribution to one project are counted as one contribution.

1. Assessment on **output level A:**

Output A	A Global Alliance for trade facilitation between donors, the private sector and the German government is established.	
Project objective indicator according to the offer / Original indicator	Assessment according to SMART criteria	Operationalized indicators (explanation)
<p>O1.1: <i>The Secretariat of the Global Alliance for Trade Facilitation with its core organisational and technical tasks is institutionalised</i> Base value: 0 Target value: 1 (from final amendment proposal, Nov. 2017) Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> The original indicator does not appear to fulfil the SMART criteria, when it comes to “specific and measurable”. However, the project operationalised the indicator further by using a score card with criteria that need to be fulfilled for the alliance to be “institutionalised”. 	<ul style="list-style-type: none"> Assessment based on the following criteria: <i>Public & Legal Accountability, Strategy, Operations, Finance, Coordination, Audit, Risk Management, Monitoring & Evaluation, PR & Communication, Compliance & Ethics, Personnel Member & Stakeholder Mgt., Conflict Mgt. & Resolution</i>
<p>O1.2: <i>Needs, resources and expertise for matchmaking are coordinated between governments, donors and the private sector for the implementation of trade facilitation measures</i> Base value: 0 Target value: (from final amendment proposal, Nov. 2017) Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> The original indicator does not appear to fulfil the SMART criteria, when it comes to “specific and measurable”. However, the project operationalised the indicator further by using some sub-criteria. These sub criteria will be used as a basis for this evaluation. 	<ul style="list-style-type: none"> Assessment is based on the achievement of the following milestones: <ol style="list-style-type: none"> Matchmaking model is derived An Alliance Business Engagement Approach is defined and implemented An Alliance Government Engagement Approach serving project is defined and implemented An Alliance project sourcing strategy and process is approved Alliance Project selection criteria and process are approved
<p>O2.1. <i>The German Alliance for the Implementation of Trade Facilitation in Developing Countries with its core organisational and technical tasks is established</i> Base value: 0 Target value: 1 (from final amendment proposal, Nov. 2017) Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> The original indicator does not appear to fulfil the SMART criteria, when it comes to “specific and measurable”. However, the project operationalised the indicator further by using some sub-criteria. These sub criteria will be used as a basis for this evaluation. 	<ul style="list-style-type: none"> Assessment based on the following criteria: <i>Public & Legal Accountability, Strategy, Operations, Finance, Coordination, Audit, Risk Management, Monitoring & Evaluation, PR & Communication, Compliance & Ethics, Personnel Member & Stakeholder Mgt., Conflict Mgt. & Resolution</i>
<p>O2.2. <i>Needs, resources and expertise for matchmaking are coordinated between governments, donors and the private sector for the implementation of trade facilitation measures in the German Alliance for Trade Facilitation</i> Base value: 0 Target value: 1 (from final amendment proposal, Nov. 2017) Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> As with indicator O1.2 above the indicator was further operationalised based on the criteria developed by the project itself. 	<ul style="list-style-type: none"> Assessment is based on the achievement of the following milestones: <ol style="list-style-type: none"> A model for matchmaking is emerging. A coordinated country and project initiation process is established Establishment of a communication structure with companies, associations and the departments A structured approach has been established for the project development of the German alliance

		j. Regular coordination of the departments involved with the TFA and the alliance is established An Alliance project sourcing strategy and process is approved
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2. Assessment on output level B:

Output B	The implementation of Trade Facilitation Measures in selected countries and regions is strengthened	
Project objective indicator according to the offer / Original indicator	Assessment according to SMART criteria/Assessment	Operationalized indicators (explanation)
<p>O3.1: 6 Consulting or training measures of German or European trade facilitation experts in Germany, developing or emerging countries are carried out Base value: 0 Target value: 6 Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> All indicators appear to fulfil the SMART criteria but focus more on the inputs and activities and less on the outcomes or outputs 	<ul style="list-style-type: none"> The indicator measures the number of counselling or training measures in which German or European trade facilitation experts participate. This includes Study trips for customs and government officials and Capacity development workshops. Scoping missions and project planning workshops do not count as advisory or training measures.
<p>O3.2 Concepts or feasibility studies for the implementation of trade facilitation measures are developed together with the private sector. Base value: 0 Target value: 4 Source: Indicator sheets – monitoring system</p>		<ul style="list-style-type: none"> The indicator measures how many complete concepts or feasibility studies have been developed together with the private sector as a basis for a project. These include "project proposals" where a detailed analysis of feasibility and viability has been carried out in consultation with the private sector and government institutions. This includes: Analysis of the project environment and the Trade Facilitation landscape of a country, Organisational feasibility, Review of technical feasibility by Trade Facilitation experts and economic feasibility
<p>O3.3 4 knowledge- and network-oriented pilot measures (e.g. trade facilitation committees, regional monitoring systems, regional or global value chain studies, etc.) are implemented in cooperation with the business community in selected countries and regions Base value: 0 Target value: 4 Source: Indicator sheets – monitoring system</p>		<ul style="list-style-type: none"> 4 knowledge- and network-oriented pilot measures (e.g. Trade Facilitation Committees, regional monitoring systems, regional or global value chain studies, etc.) are implemented in cooperation with the business community in selected countries and regions

3. Assessment on output level C:

Output C	Knowledge of trade facilitation approaches and implementation experience is strengthened in cross-regional networks.	
Project objective indicator according to the offer / Original indicator	Assessment according to SMART criteria/Assessment	Operationalized indicators (explanation)
<p>O4.1.: <i>The implementation experience from industrialized, newly industrializing and developing countries on 3 Trade Facilitation topics is prepared.</i> Base value: 0 Target value: 3 Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> The indicator does not appear to be SMART as the form of documentation is not defined. The project however further operationalised this by defining the documentation in their indicator sheets. 	<ul style="list-style-type: none"> Experiences from projects of the project are processed and shared with other GIZ projects. The preparation of the project results in concrete cooperation and an extension of the project's impact.
<p>O4.2: <i>1 new, innovative approach to implementing the Bali Trade Facilitation Agreement has been developed</i> Base value: 0 Target value: 1 Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> The indicator does not appear to be SMART as it does not include a clear definition of an innovative approach. The indicator is also relevant for actual project implementation and no longer relevant in the adjusted results model. In discussion with the project it was decided that this indicator was irrelevant for the actual project implementation and a new angle of assessment was defined 	<ul style="list-style-type: none"> Number of involved project partners that confirm, that the focus on network based project development and co-creation was implemented.
<p>O4.3: <i>The Trade Facilitation approaches were presented at 5 international conferences.</i> Base value: 0 Target value: 5 Source: Indicator sheets – monitoring system</p>	<ul style="list-style-type: none"> The indicator appears to be unspecified but was further operationalised and assessed in more detail during the evaluation the eval 	<ul style="list-style-type: none"> The indicator counts all international conferences were trade facilitation measures were introduced



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