

STRENGTHENING THE INSTITUTIONAL CAPACITY OF THE EAST AFRICAN COMMUNITY (EAC)



AFRICAN UNION CAPACITY DEVELOPMENT SUPPORT PROGRAMME TO RECs (M-CDP)



EAST AFRICAN COMMUNITY
ONE PEOPLE ONE DESTINY



African Union Commission



NEPAD AGENCY of the AFRICAN UNION
CAPACITY DEVELOPMENT DIVISION
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MEMBER COUNTRIES: 5

- Burundi
- Kenya
- Rwanda
- Tanzania
- Uganda



EAST AFRICAN COMMUNITY
ONE PEOPLE ONE DESTINY

BRIEF HIGHLIGHTS

- Treaty for the Establishment of the EAC signed 1999, entered into force in July 2000
- Officially launched in 2001
- Currently 5 member states from the initial 3 Countries
- Protocol to establish a Customs Union signed in 2004
- Customs Union launched in 2005 and became fully operational in 2010
- Protocol for the establishment of a Common Market signed in 2009
- Implementation of the EAC Common Market Protocol provisions launched in 2010
- Protocol on Monetary Union signed in 2013, now undergoing ratification
- Process of the establishment of the EA Political Federation underway
- Negotiations for the establishment of the EAC, COMESA, SADC Tripartite Free Trade Area, which would comprise 26 countries, were launched by the 1st Tripartite Summit in 2008.
- All Member States have a Ministry dedicated to East African Community Affairs.
- 1.82 million sq. km. of surface area including water,
- Population of 141.1 million.
- DGP per capita of \$ 727 and \$ 99.7 Billion GDP per market prices.

Good Practices

- EAC University Students Debate on regional integration, which brings students from universities, educational institutions;
- Periodic fora like the monthly Secretary General's Forum where he meets with the Private Sector and also fora for the Civil Society Organizations in the region; debating on the rationale, the benefits, the challenges of and way forward for political integration in East Africa;
- Annual thematic fora such as Meetings of Human Rights Commissions; those of Elections Management Bodies; those of Anti-corruption Agencies; Biennial Regional Conference on Peace and Security and the Inter-religious Conference;
- The level of ambition and progress towards the East African Political Federation with swift attainment of key milestones such as Customs Union and Common Market with associated free movement of people, goods, services and capital;
- Dedicated focus on tourism, arts and a culture industry (annual Jua Kali exhibition for the regional artisans) that is built on EAC countries cultural assets in contributing towards GDP;
- Strong independent Legislative Assembly that enforces the implementation of the EAC's protocols through binding legislation and policies by member states and EACJ on matters relating to interpretation of the Treaty;
- Each Partner State has a dedicated EAC Ministry responsible for integrating EAC agenda and priorities at national level.

Main Required Capacity

- A requirement to conduct an overarching institutional analysis to delineate roles and responsibilities, improve systems, processes, procedures and practices.
- Capacity development in the area of statistics and research supported by a harmonized framework for data collection, analysis and documentation towards setting up a Regional Statistical System.
- Look to reach out more effectively to the private sector, civil society and engage women, youth and other interest groups in the integration process. Capacity of these non-state stakeholders' requirements could be built to facilitate their participation.
- Well-defined mandates of the EAC institutions for timely administrative and financial decisions.
- Harmonized Capacity Development Plan in-line with the 5th EAC Development Strategy.
- A centralized knowledge sharing and learning platform across Partner States, as well as, EAC Organs and Specialized Institutions requirements to be developed and institutionalized.
- A commitment to intensify M&E and IMS to become integrated tools for decision making at all levels of Secretariat, other Organs and Institutions and Partner States.
- Human Resource Plan with relevant human –skills sets to adequately enable the EAC to deliver on its Regional Integration Mandates.

Recommendations

- Mainstreaming Capacity Development into EAC's structures for better coordination of CD intervention across the EAC Organs and Institutions;
- Constant review of existing protocols, policies, plans and strategies, procedures and processes to meet emerging challenges and mandates as well as fostering ownership and performance at all levels.
- Harnessing the utilization of existing human capacities within the EAC including Africans living in the diaspora;
- Developing across Partner States, evidence-based capacities to inform policy and implement decisions, harness the latest technologies for cost-effective connectivity and collaboration to support the efficient generation, capturing, sharing and application of knowledge for regional integration.

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ACRONYMS

AfDB	African Development Bank
AEC	African Economic Community
AMISOM	African Union Mission in Somalia
APDev	Africa Platform for Development Effectiveness
AU	African Union
AUC	African Union Commission
CASSOA	East African Community Civil Aviation Safety and Security Oversight Agency
CD	Capacity Development
CD-M&S	Capacity Development Mapping and Scoping Exercise
CDSF	Capacity Development Strategic Framework
COMESA	Common Market for Eastern and Southern Africa
CoPs	Communities of Practices
CSOs	Civil Society Organizations
DANIDA	Danish International Development Agency
DFID	United Kingdom Department for International Development
EAC	The East African Community
EACJ	East African Court of Justice
EADB	East African Development Bank
EALA	East African Legislative Assembly
EU	European Union
FAO	Food and Agriculture Organization
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
ICT	Information, Computer and Technology
IUCEA	Inter-University Council of East Africa
IT	Information Technology
LVBC	Lake Victoria Basin Commission
LVFO	Lake Victoria Fisheries Organization
MoU	Memorandum of Understanding

MINEAC	Ministry of East African Community Affairs
M&E	Monitoring and Evaluation
M-CDP	Multi-Agency Capacity Development Program
NEPAD	New Partnership for Africa's Development
NORAD	Norwegian Agency for Development
PPPs	Public-Private Partnerships
RECs	Regional Economic Communities
SADC	Southern Africa Development Community
SPSS	Statistical Package for the Social Sciences
UNDP	Nations Development Program
UNECA	United Nations Economic Commission for Africa

EXECUTIVE SUMMARY

Background: The African Union (AU) through its transformation agenda, and most recently Agenda 2063, prioritizes Capacity Development (CD) as a main driver in achieving inclusive growth and development. The New Partnership for Africa's Development (NEPAD) Agency and the African Union Commission (AUC) in collaboration with their partners – the United Nations Development Program (UNDP) and United Nations Economic Commission for Africa (UNECA) developed the AU Multi-Agency Capacity Development Support Programme to Regional Economic Communities (M-CDP) to enhance RECs capacity to deliver their regional integration mandates.

As part of that CD Agenda for Africa's renewal there is a need for effective institutions including within the AU Architecture in which RECs play a central role. Therefore the focus on the CD mapping and scoping exercise is on the RECs as a key component of the region integration and aims at providing evidence-based information that will assist in developing AU-RECs Capacity Development Strategy.

Highlights of the East African Community:

The East African Community (EAC) comprises the Republics of Burundi, Kenya, Rwanda, the United Republic of Tanzania, and the Republic of Uganda. It is one of eight Regional Economic Communities (RECs) recognized by the African Union (AU). Its headquarters are located in Arusha, Tanzania. According to 2013 EAC Facts and Figures, the EAC has 1.82 million sq km of surface area including water, a population of 141.1 million, a DGP per capita of \$ 727 and \$ 99.7 Billion GDP per market prices.

The EAC is part of the Tripartite, an umbrella organization consisting of three of Africa's Regional Economic Communities (REC's), namely The East African Community (EAC), the Common Market for Eastern and Southern Africa (COMESA) and the Southern African Development Community (SADC). The Tripartite Free Trade Area, which encompasses 26 countries, was launched at the 1st Tripartite Summit in 2008.

Key Major Achievements in Regional Integration: EAC has made remarkable achievements in regard to implementation of regional integration. For example, the protocols and Rules of Procedure were set for the Summit of Heads of State and for the Admission of other countries into the community (2001). The East

African Legislative Assembly and the East African Court of Justice were established (2001).

The Protocol to establish the EAC Customs Union was signed (2004) and the Customs Union was launched in 2005. Following a five-year transitional period, the Customs Union became fully operational (2010). Progressive removal of Non-tariff barriers (NTBs) has been registered, with new ones cumulatively resolved. The Single Customs Territory (SCT) has been launched, where the destination model of clearance of selected goods and assessment and collection of revenue done at first port of entry and revenues remitted to destination country taking shape. The Electronic Cargo Tracking system is operational and the SCT is reducing the cost of doing business drastically. The ICT Teams of all Partner States are working on full interface of all Revenue systems to totally eliminate non-migration of data amongst Partner States.

The Protocol for the Establishment of the EAC Common Market was signed in 2009, which took effect in 2010. The Partner States have enacted some key Bills and Acts aimed at removing restrictions on East Africans and improving the investment environment. All countries have abolished student visas for East Africans. Kenya and Rwanda have already abolished work permits for East Africans working in the country; Tanzania has effected amendments meant to remove Capital Account restrictions on free movement of capital to allow EAC residents to invest in other EAC Partner States and allow EAC residents participate in Tanzania Capital and Finance Markets; Other achievements include: Operationalization of the East African passport, which grants a passport-holder a six month free multiple-entry to countries within the region; implementation of a seven-day grace period for personal motor vehicles crossing national borders in the EAC Partner States; establishment of special immigration counters for East Africans at points of entry, harmonization of immigration forms at points of entry, and. Processes are underway toward establishment of Political Federation of the East African States.

The ratification of the Monetary Union Protocol, signed in November 2013, is ongoing, with the region committing to enter a single currency in 2024/25. Meantime, progress has already been made in harmonisation and coordination of monetary and exchange policy, banking supervision, payment systems, financial markets, information technology platforms and capacity

building - spearheaded by the region's Monetary Affairs Committee.

In preparation for the eventual political federation, and aware that peace and security are prerequisites for the attainment of EAC integration objectives, EAC Partner States concluded and are in the process of ratification of the Protocol on Defence; the Protocol on Peace and Security; and that on Foreign Policy Coordination. The Protocol on Good Governance, covering democratic governance, human rights, constitutionalism and rule of law as well economic governance is being negotiated. Notwithstanding these significant achievements, EAC still face budgetary, structural and managerial constraints, which required capacities such as: adequate mechanisms and machinery for enforcement, sanction, domesticating regional policies at Partner State level, decision-making systems and processes. Other capacity requirements for EAC to effectively deliver regional integration programs include a strong private sector involvement, timely and reliable provision of regional statistics; and information-sharing culture among the partner states.

On-going CD Interventions: The EAC's approach is an integrated and comprehensive capacity development response aimed at strengthening all core levels, namely institution building, system, human and knowledge of capacity development for the institution to deliver.

Regarding institution building, EAC has increased efforts to interface between planning and implementation of policies, protocol, strategies and programs. Examples of capacities at the interface included harmonization and alignment of key policies, regulatory instruments and programs to enhance coordination adequately utilization of resources. To delegate the management of the implementation, EAC has established key institutions, namely Organs, Specialized Institutions and Centers of Excellence both at Member State and Regional levels.

The Treaty defines roles and mandates of the EAC Organs and Institutions to implement or facilitate regional integration programs in collaboration with Partner States. The Organs include; the Summit, Council of Ministers, Coordination Committee of Permanent Secretaries, Sectoral Committees (sector specific), East African Court of Justice' East African Legislative Assembly and the Secretariat. Further, the Institutions include; Lake Victoria Basin Commission , Lake Victoria Fisheries Organization , Inter-University Council of East Africa, East African Community Civil Aviation Safety and Security Oversight Agency and East African Development Bank. Aspiral planning approach has

been applied to ensure that EAC Development Strategy and Annual Operational plans are drawn from the EAC Vision and priorities and are built upon its predecessor strategy.

Others important capacities that have contributed to an increase in the implementation of programmes including collaborative leadership, building synergies with other AU institutions and the establishment of institutions to enforce accountability and implementation of the protocols. EAC has established forums and conducted consultative meetings to engage key stakeholders, such as Development Partners, Private Sector and Civil Society Organizations (CSOs), in matters relating to regional integration. An increase in a number projects and programmes that are taking place at Partner State level, it is an indication that the Secretariat plays a role as a facilitator while the Partner States and EAC Institutions, including Civil Societies and Private Sectors are the main actors of the implementation.

The EAC has gone further to involve youth, especially university students, into the dialogue relating to political federation. In turn, the young people have used such opportunities to air their views and promote the integration agenda to their respective networks.. The Treaty gives the Organs such East African Legislative Assembly (EALA), East African Court of Justice (EACJ) and the Council - in particular the Ministries responsible for East African Community Affairs (MINEACs), to oversee and enforce accountability and performance as to the implementation of the protocols and related instruments and policies.

As far as system related capacity is concerned, the major capacity-building initiative that has contributed to the creation of an enabling environment for effective implementation has been the formalization and adoption of administrative and operational processes and manuals. Emphasis has been placed on improving financial management, staff performance, and mechanisms for reporting and accountability. As a result of functional financial and mutual accountability systems, EAC has been able to secure funding from Partner States and Development Partners for the implementation of its regional integration programs. The EAC has developed and implemented an Information Management System (IMS), monitoring and evaluation (M&E) and reporting frameworks to track results and inform the planning and decision-making processes.

On the human capacity, the EAC places special emphasis on performance, accountability, experience and competence for both professional and executive staff. Its current change management programmes have led to the establishment of performance contracts

and appraisal for executive and professional staff at EAC Organs and Specialized Institutions. The performance contract is not an end in itself but has been a means to create an environment that is conducive and promotes interaction between the EAC professional and executive staff in planning, implementation and being accountable to one another. A positive work environment, as well as, interaction between professional and executive staff in planning, implementation, open dialogue, monitoring and evaluation have increased commitment and performance of the employees.

Major CD Initiatives Required: Despite some good progress in applying capacity development in each core CD level, a complex mandate of implementation of regional integration lies ahead at institutional level, a harmonized CD programme and dedicated coordinating and an oversight body within the EAC structure. Capacity building of Partner States level is necessary so they can actively and effectively implement the integration agenda. The same applies to necessity for sustainable financial resources and active engagement of women, private sector and CSOs in matters relating to regional integration. At system level, machinery to obtain immediate feedback and include experience is critical for effectiveness of the evaluation process. On the human level, it was noted that a proper alignment of staff and skill sets with EAC's expansion and quantifiable mentorships, knowledge retention and human resource planning is required to harness human capital. Another capacity requirement is utilization of potential and creativity of men and women currently employed at EAC different institutions, intellectuals residing within the region and Africans living in diaspora. The capacity challenges that lie ahead relating to knowledge and communications include: adequate knowledge management plans to capture, distill and apply knowledge and a bottom-up communication that would lead citizens and stakeholders to become more active participants, engaged in and part of, the planning process for regional integration that will determine their futures.

Other CD aspects that require more attention include M&E, MIS, source of funding and human capital. M&E and MIS frameworks were developed and implemented to ensure that the implementation brings the expected results. There is a need to intensify M&E and IMS to become integrated tools for decision making at all levels of Secretariat and Partner State. Regarding funding sources, the main source of funding in the EAC include Development Partners and Partner States but the programs still rely on external funding. Mobilization of Africa resource becomes critical, as EAC regional integration mandates expands. Thus, innovative ways

of tapping non-conventional resources include: Public Private Partnership (PPP), Foreign Direct Investment (FDI), Diaspora Remittances and portfolio investment including leveraging available resources to mobilize additional funds to support regional development. The EAC has recruited committed and skilled employees at both executive and professional levels. Special emphasis was given to performance contracts and engagement of employment into decision and planning processes and the professional staff does most of Annual Operational tasks. Further attention is required to matters relating to human capital to unlock EAC's employees at all levels of the Secretariat, Organs and Institutions to ensure human capacity and skills match the emerging mandates of the EAC.

CD priorities for Post-2015 Development Agenda: As result of EAC's initiatives on capacity development, the assessment has identified on-going CD programs and practices, which may be scaled up as priorities for post 2015 development strategies. These include: Citizen engagement, forum for direct interaction with the stakeholders, self-re-evaluation for results, collaborative leadership, Centers of Excellence, integration of African systems and culture into regional integration processes, peer-to-peer learning, youth engagement in dialogue on regional integration matters, inter alia.

Key Intervention by EAC: The assessment proposes a number of CD interventions required for EAC to strengthen the interface of planning and implementation for results. In particular the following are key CD interventions to sustain what EAC has achieved so far:

- Mainstreaming Capacity Development into EAC' structures for better coordination of CD intervention across the EAC Organs and Institutions;
- Constant review of existing protocols, policies plans and strategies, procedures and process to meet emerging challenges and mandates as well as fostering ownership and performance at all levels.
- Harnessing the utilization of existing human capacities within the EAC including Africans living in the Diaspora;
- Developing across Partner States evidence-based capacities to inform policy and implement decisions, harness the latest technologies for cost-effective connectivity and collaboration

to support the efficient generation, capturing, sharing and application of knowledge for regional integration.

Action by NEPAD Agent: A collective effort is critical to utilize capacity development to help solve the EAC complex agenda to achieve lasting regional integration and make a real difference to people's lives. The interventions recommended could help the M-CDP to support strengthening capacity within the EAC to deliver core mandates and achieve regional integration goals. These include:

- Support efforts to mobilize resources by establishing an inter-REC implementation framework for resource mobilization and provide technical and financial support that the EAC will need during the process.
- Become actively involved in developing a comprehensive results-oriented CD program and the framework required to roll out the program.
- Engage in the process of revising and integrating MIS and M&E to assist the EAC in becoming a

more results-oriented organization.

- Support the assessment and planning of human and skill-sets development in line with the EAC's emerging mandates.
- Assist in the establishment of a CD technical-experts' pool and promote the development of an Africans in the Diaspora strategy to ensure that evidence-based knowledge will be part of in everything that the EAC does regarding regional integration.

The existing structures, frameworks and CD programs are the points of departure for AU-RECs CD program. It is also proposed that the African Platform for Development Effectiveness (APDev) be fully utilized as a knowledge exchange so that all RECs have a common place at which they can seek and share knowledge. Also, based on the Capacity Development Strategic Framework (CDSF) guidelines for planning, could be further developments so that RECs have the common indicators for monitoring and evaluation purposes and share common terminology.



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TABLE 1: SUMMARY OF KEY FINDINGS

No.	Kind of Capacity Intervention Required by REC	Performance Challenge Facing REC	Ongoing Capacity Development Programs and Projects		Scope/Coverage	Indicative Budget as per 4th Development Strategy 2011-2016	Input for RECs CD Strategy, Programme and Implementation Plan, 2015-2030			
			Activity	Current Status			Result of Intervention (Outcomes & Impact on EAC Performance)	Capacity Gap	Proposed Means of Intervention	
I	INSTITUTIONAL DEVELOPMENT CAPACITY	<ul style="list-style-type: none"> • Adequacy • Effectiveness • Efficiency 								
	<ul style="list-style-type: none"> • Organizational Structure 	EAC still unable to fully finance her operational costs	Harmonization and alignment	Ongoing	Partner State, Secretariat and Specialized institutions	EAC Budget	Coordination enhanced	Insufficient financial and administrative mandates to some of the Specialized institutions and Organs	Assess and build the capacity of institution Partner State	Enhance institutional capacity of local ministry dedicated to the Ministry of East Africa Community Affairs
	<ul style="list-style-type: none"> • Staffing and Skills Mix 	Inadequate skills mix, human resource limitations,	Human Planning strategy under the ongoing institutional review		Secretariat/Organs and Specialized Institution	Funded outside the budget	Not yet implemented	Financial resources	Support the implementation of programmes	
	<ul style="list-style-type: none"> • Management and Administration 	Effective guidelines and procedures	Guidelines and procedure established	Past/Ongoing	Secretariat/Organs and Specialized Institution	Refer to Support Sector	Operational cost and duplication reduced	Continuous assessment to determine the relevance of those processes	Engage in leadership transformation programmes	
	<ul style="list-style-type: none"> • HR Management 	Inadequate institutional memory planning,	Documenting skills		Secretariat/Organs and Specialized Institution	Refer to Support Sector	Yet to be determined	Strategy not yet established	Allocate financial resources for institutional memory and leadership development	
	<ul style="list-style-type: none"> • Performance Management 	Effective Performance contract	Implementation	Past	Secretariat/Organs and Specialized Institution	Support Sector	Commitment and productive assumed	Unclear financial and non financial motivation systems	Revise the current performance contract to include non-financial and financial incentives	

No.	Kind of Capacity Intervention Required by REC	Performance Challenge Facing REC	Ongoing Capacity Development Programs and Projects		Indicative Budget as per 4th Development Strategy 2011-2016	Input for RECs CD Strategy, Programme and Implementation Plan, 2015-2030		
			Activity	Current Status		Scope/Coverage	Result of Intervention (Outcomes & Impact on EAC Performance)	Capacity Gap
	<ul style="list-style-type: none"> Strategic Planning Resource Mobilization 	<ul style="list-style-type: none"> Information flow mechanism and statistics in place Plan in place but not sufficient 	<ul style="list-style-type: none"> Harmonizing statics and data base Compressive strategy developed 	<ul style="list-style-type: none"> Past Past 	<ul style="list-style-type: none"> Refer to Support Sector Refer to Support Sector 		<ul style="list-style-type: none"> Apply CDSF to align with vision and strategic plans Institutional framework in place 	
II	SYSTEMS, PROCESSES, PROCEDURES AND PRACTICES CAPACITY	<ul style="list-style-type: none"> Availability of Policy Framework and Operations Guidelines Effectiveness Efficiency 						
	<ul style="list-style-type: none"> Financial Management System Records Management System Communication System IT System M&E System 	<ul style="list-style-type: none"> Available and effective Systems in place but not integrated Present and effective In place but less effective In place but not integrated 	<ul style="list-style-type: none"> Financial management reformed and enhanced Programmes on improving data management are included in the strategic plan Strategy developed Being implemented Being implemented 	<ul style="list-style-type: none"> Ongoing Ongoing Past Ongoing Ongoing 	<ul style="list-style-type: none"> Refer to Support Sector 	<ul style="list-style-type: none"> Mismatch between Partner State and Secretariat financial systems Absence Common and robust system Absence of bottom-up communication a Absence Common and robust system Absence Common and robust system 	<ul style="list-style-type: none"> Enhance financial systems at Partner States Improve and implement a Common and robust system Assess to apply mobile technology Re-define to integrate and link both Secretariat and member states Redefine and integrate M&E 	

No.	Kind of Capacity Intervention Required by REC	Performance Challenge Facing REC	Ongoing Capacity Development Programs and Projects		Indicative Budget as per 4th Development Strategy 2011-2016	Input for RECs CD Strategy, Programme and Implementation Plan, 2015-2030			
			Activity	Current Status		Scope/Coverage	Result of Intervention (Outcomes & Impact on EAC Performance)	Capacity Gap	Proposed Means of Intervention
III	KNOWLEDGE-BASED CAPACITY <ul style="list-style-type: none"> Internal Knowledge Management System Regional Knowledge Sharing Mechanisms 	<ul style="list-style-type: none"> Existence of strategy and policy Effectiveness of system Efficiency of system Utility of system 							
			Informally practiced	Ongoing	Secretariat and institutions and organs	Knowledge leakages due to departing experts and executives Centres of Excellence available but recommend more capacity	KM strategy is not planned yet	Develop and implement KM strategy	
IV	PROGRAMME DEVELOPMENT AND MANAGEMENT CAPACITY <ul style="list-style-type: none"> Productive Sector 	<ul style="list-style-type: none"> Programme development and management Coordination Technical appraisal M&E of programme implementation 							
			Being implemented	Ongoing	Secretariat and institutions and organs and Partner States	Harmonization is critical. Capacity outcome mapping is critical	Human and financial resources	Address harmonization	
			Being implemented	Ongoing	Secretariat Partner States	Connecting people and good movement but Private Sector is not well connected	CD initiatives are unsystematically coordinated, sporadically implemented and dispersed across the pillars/programmes/sectors	Increase the capacity of local Private sectors so that they are effectively engaged	
	<ul style="list-style-type: none"> Trade and Customs 	Programme developed	Being implemented	Ongoing	Secretariat Partner States	13,520,000	Tariff barriers reduced, custom union launched	Harmonization still required and human capital required	Review and amend the process and polices in place

No.	Kind of Capacity Intervention Required by REC	Performance Challenge Facing REC	Ongoing Capacity Development Programs and Projects		Indicative Budget as per 4th Development Strategy 2011-2016	Input for RECs CD Strategy, Programme and Implementation Plan, 2015-2030			
			Activity	Current Status		Scope/Coverage	Result of Intervention (Outcomes & Impact on EAC Performance)	Capacity Gap	Proposed Means of Intervention
	• Common Market	Programme developed	Being implemented	Ongoing	75,287,800	Member states Specialized institutions	Harmonization and ratification of the protocols	Harmonization and still required and human capital required	Increase the capacity at partner State levels Increase awareness programmes
	• Social Sectors	Programmes developed	Being implemented	Ongoing	139,986,250	Member states and Secretariat		Financial, human, and coordination capacity required	Put in place human
	• Support Sector	Programmes developed	Being implemented	Ongoing	32,945,000	Secretariat	Key sector that provides services	Potential to host capacity development department	Revise the structure to incorporate CD Department
	• EAC organs and Institutions	Established with clear mandates	Institutional capacity being assessed	Ongoing	631,079,860	Organs an Specialized Institutions	Key partners in delivering the implementation plans and network with Partner States	Limited mandates to make decision making on financial and administrative matters	Revise the mandate to increase devolution
	• Secretariat	Coordination mechanisms in place	Being implemented	Ongoing	616,177,380	Secretariat	Key organ in managing the business of the EAC	Financial, human and institutional capacity	Comprehensive institutional assessment
	• Political federation	Systems and harmonization are being developed	Being implemented	Ongoing	15,590,730	Member states Specialized institutions	Security enhanced	Women and CSOs networks are not well engaged. Bottom-up communication is not well utilized toward political federation.	Put in place Communication Process strategy. Organize CSOs and women's network Harmonization and learning is vital.



African wood sculptures
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1. AN OVERVIEW OF THE STUDY AND BACKGROUND

1.1. Introduction

1.1.1. Background

The African Union (AU) through its transformation agenda and most recently Agenda 2063, prioritizes Capacity Development (CD) as a main driver in achieving inclusive growth and development. The NEPAD Agency and the African Union Commission (AUC) in collaboration with their partners – the United Nations Development Program (UNDP) and United Nations Economic Commission for Africa (UNECA) developed the AU Multi-Agency Capacity Development Support Programme to Regional Economic Communities (M-CDP), to enhance RECs capacity to deliver their regional integration mandates.

As part of that CD Agenda for Africa's renewal is there is a need for effective institutions including within the AU Architecture, in which RECs play a central role. Therefore, the focus on CD mapping and scoping exercise is on the RECs as a key component of the region integrations and aims to provide evidence-based information that would assist in developing an AU RECs Capacity Development Strategy.

1.1.2. Methods and Source of Information

From December 3-6, 2013, the Multi-Agency Capacity Development Team led by the NEPAD undertook a mapping and scoping exercise on past, current and planned projects and programs that have dimensions of capacity development for the East Africa Community (EAC).

In order to make the gathering, analysis and presentation of data more efficient, a framework (attached in Appendix 1) was developed to arrange indicators by which CD interventions were measured. These indicators were organized under four levels, namely institution building, human, system and knowledge. According to the NEPAD/AU Capacity Development Strategic Framework (CDSF), these four levels are essential for any African institutions to deliver results.

In addition to direct, open-ended questions administered in face-to-face interviews with directors, project managers, coordinators and high-level leaders the

assessment drew on multiple sources of information originating from the East African Community's Treaty, the 3rd and 4th Development Strategies, reports and sector strategic documents.

1.1.3. Scope and Structure of the Report

The report begins with a brief introduction to the purpose of the mapping and scoping exercise and includes a general description of the methodology used and the operational dimension. This is followed by Section I, which includes:

- An overview of the development context in which the EAC operates its strategic priorities and mandates;
- A broad mapping of the capacity development with respect to commendable practices, assets, gaps, scope and financing.

Section III summarizes the key findings and recommendations for the main CD areas of cooperation for the EAC to move forward with delivering and sustaining its regional integration mandates.

1.2. The East African Community in Brief

1.2.1. Brief Highlights

The East African Community (EAC), comprised of the Republics of Burundi, Kenya, Rwanda, the United Republic of Tanzania, and the Republic of Uganda, is one of eight Regional Economic Communities (RECs) recognized by the African Union (AU).

Its headquarters are located in Arusha, Tanzania. According to 2013 EAC Facts and Figures, the EAC has 1.82 million sq. km. of surface area including water, a population of 141.1 million, a DGP per capita of \$ 727 and \$ 99.7 Billion GDP per market prices. (see part 2.5.3)

Building on the broad pan-African momentum supported by the Abuja Treaty of 1991, which established the African Economic Community (AEC), the Heads of State of Kenya, Tanzania and Uganda were ready by 1993 to sign an Agreement for the Establishment of

the Permanent Tripartite Commission. In 1996 the Secretariat of the Commission was established in Arusha, Tanzania and work began in earnest to move forward on the plan to consolidate regional cooperation. At their Second Summit in Arusha in 1997 the three Heads of State instructed the Tripartite Commission to begin the process of upgrading the Agreement for East African Cooperation into a Treaty, and following negotiations among the member states and wide public participation, in November, 1999, the first three partner states, Kenya, Tanzania and Uganda, signed the Treaty for the Establishment of the East African Community.

1.2.2. The EAC Institutional Framework

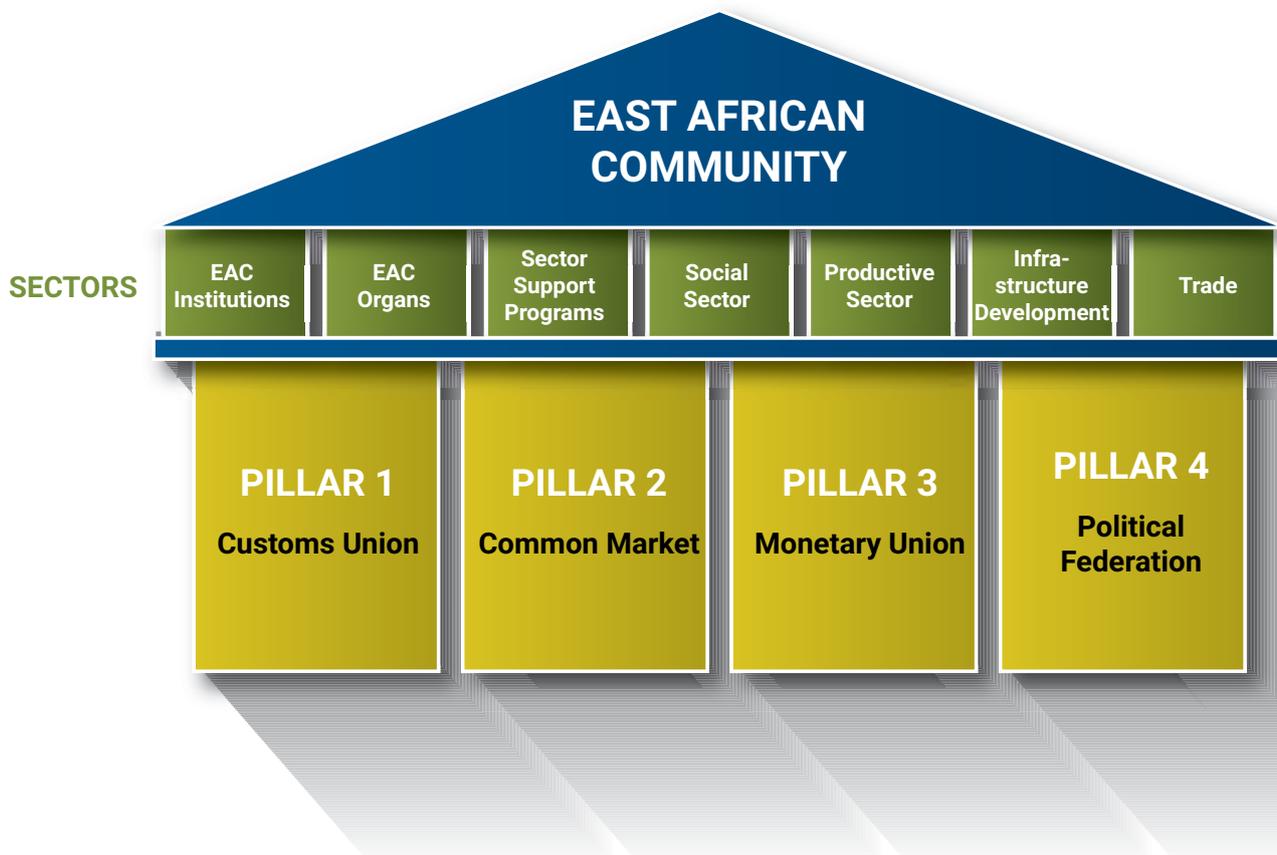
In accordance with Article 9 of the EAC Treaty, as it is summarized in the 4th Development Strategy (2011/12), the institutional framework of the Community consists of the Executive, Legislative and Judicial arms. The Executive arm is composed of the Summit of the Heads of the States (playing the broad vision-setting role), the Council as the policy-making organ, the Secretariat that is the executive

organ of the community and EAC Institutions . The Legislative and Judicial arms are made of up of the East Africa Legislative Assembly and the East African Court of Justice respectively. The functions, mandates and operational frameworks of the Organs and Institutions are set in the Treaty, relevant Protocols, and Rules of the Procedures.

1.2.3. The Vision, Mission and Mandate and Focused Areas

The Vision of the EAC “is a prosperous, competitive, secure, stable and politically united East Africa.” Its Mission statement is “to widen and deepen Economic, Political, Social and Cultural integration to improve the quality of life of the people of East Africa through increased competitiveness, value-added production, trade and investments.” A slogan on the official website sums up the aims: “One People One Destiny.” EAC policies, development strategies and annual operation plans are organized according to the Pillars and strategic sectors, as defined in Figure 1.

FIGURE 1: PILLARS AND STRATEGIC SECTORS OF THE EAC REGIONAL INTEGRATION POLICY



1.2.3.1. On-going EAC Priorities for implementation of the Regional Agenda

- Consolidation of the benefits of a fully-fledged Customs Union;
- Full implementation of the Common Market;
- Establishment of the East African Monetary Union;
- Laying the foundation for a Political Federation;
- Development of Regional Infrastructure;
- Development and strengthening of the Regional Productive Sectors;
- Strengthening of the EAC Organs and Institutions
- Wide stakeholder participation – Public and Private Partnership (PPP), Civil Society Organization (CSOs) – at the national, regional, continental, and international levels.

1.2.3.2. Challenges Based on the Assessment of the 3rd EAC Development Strategy (2006-2010)

- Regional and partner states development planning is mismatched;
- Budgetary constraints;
- National-level capacity to domesticate regional policies is inadequate;
- Supply-side constraints;
- Insufficient regulatory and settlement mechanisms;
- Inadequate enforcement machinery and sanction mechanisms;
- Lengthy decision-making systems and processes;
- Weak institutional infrastructure and inadequate

enforcement machinery and sanction mechanisms;

- Critical private sector constraints, including lack of capacity to supply and access;
- Underdeveloped regional infrastructure;
- Lack of timely and reliable provision of regional statistics;
- Weak information-sharing culture among the partner states.

1.2.3.3. The EAC Achievements Related to Regional Integration at a Glance

Even before the Treaty establishing the EAC was signed there were initiatives that directly fostered cooperation, including: the Tripartite Agreement on Avoidance of Double Taxation (1997); preparation of the 1st East African Cooperation Development Strategy (1997-2000); the launch of the East African Flag and Passport; a MOU on Cooperation in Defence; the Tripartite Agreement on Road Transport and the Inland Waterway Transport Agreement, amongst others.

The inter-governmental organization, established under Article 2 of the Treaty for the Establishment of the East African Community, came into force in July 2000. With the EAC's official launch in Arusha in 2001, Protocols and Rules of Procedure were set for the Summit of Heads of State and for the Admission of other countries into the community (2001). An East African Legislative Assembly and East African Court of Justice were established (2001). The Protocol to establish the EAC Customs Union was signed (2004) and the Customs Union was launched in 2005; following a five-year transitional period, the Customs Union became fully operational (2010). Another important step forward in implementing regional integration agenda was the signing of the Protocol for the Establishment of the EAC Common Market, which was established in 2010.

Further integration will be achieved when the bloc establishes a Monetary Union, whose Protocol is undergoing ratification and, ultimately becomes a Political Federation of the East African States.

TABLE 2: EAC'S ACHIEVEMENTS AT A GLANCE

EAC'S ACHIEVEMENTS AT A GLANCE

ECONOMIC

- Establishment of the East African Community Customs Union
- Establishment of the East African Community Common Market
- Convertibility of the currencies of Kenya, Tanzania and Uganda
- Development of capital markets and cross-listing of stocks
- Joint infrastructure development projects (e.g. Arusha-Namanga-Athi River Road)
- Harmonization of the EAC axle load (vehicle weight) limit
- Harmonization of standards for goods produced in East Africa
- Reduction of national trade barriers
- Implementation of preferential tariff discounts
- Free movement of stocks
- Harmonizing operations of Ministries of Finance and Central Banks during national budget preparation and presentation
- Mutual recognition of health certificates issued by national bodies for goods traded in East Africa

SOCIAL/CULTURAL

- Adoption of the EAC Anthem "Wimbo wa Jumuiya ya Afrika Mashariki" in 2010
- Operationalization of the East African passport, which grants a passport-holder a six month multiple-entry to countries within the region
- Implementation of a seven-day grace period for personal motor vehicles crossing national borders if within the EAC Partner States
- Establishment of special immigration counters for East Africans at points of entry
- Issuance of temporary travel documents to facilitate travel within the region by EAC citizens
- Harmonization of immigration forms at points of entry
- Abolition of student visas for East Africans
- Standardization of university fees for citizens of East Africans
- Implementation of student and lecturer exchange programs at the university level
- Implementation of cross-border disease control programs (EAIDSnet)
- Harmonization of procedures for granting work permits
- Conducting an annual EAC Students Essay Competition
- Conduct of the annual EAC Military Sports and Culture Week

POLITICAL/SECURITY/DEFENCE

- Signing of the Treaty for the Establishment of the East African Community in 1999
- Joint military exercises by EAC Partner States Defense Forces
- Establishment of fora for chiefs of Police, Directors of CID and Directors of Operations and Intelligence to coordinate peace and security matters
- Joint patrols, sharing of criminal intelligence and surveillance to combat cross-border crime
- Conclusion of Protocols on Defence; Peace & Security; and Foreign Policy Coordination

2. BROAD MAPPING OF CAPACITY DEVELOPMENT

This section summarizes past and on-going capacity development interventions from the evaluative report of the 3rd EAC Development Strategy (2006-2010) and planned activities in the 4th EAC Development Strategy (2011/12-2016). It extracts CD patterns with respect to available capacities as well as gaps that may be considered when prioritizing interventions to increase the effectiveness of the Secretariat as well as the Specialized Institutions and Organs to facilitate the integration agenda in collaboration with Partner States. Also, it identifies examples of different Programs or initiatives that may be considered as commendable CD practices; if scaled up, they can become good practices in enhancing results delivery.

2.1. Summary of Past and On-going Capacity Development

2.1.1. Capacity Development Interventions at Secretariat Level

Table 3, below summarizes CD interventions at the Secretariat level in respect to sectors which include the Custom Union, Trade, the Common Market, Monetary Union, Political Federation, Infrastructure Development, the Productive Sector, the Social Sector and Sector

Support Programs. Overall the Secretariat scored significantly well in system- and institution-building, indicating that the Secretariat has proficient capacities aimed at strengthening the institution to deliver results and creating an enabling environment to deliver those results. The score distribution across human and knowledge reveals comparatively poorer performance in both past and ongoing CD interventions.

TABLE 3: SUMMARY OF PAST AND ON-GOING CAPACITY DEVELOPMENT INTERVENTIONS OF THE EAC SECTORS AND PILLARS

Core CD Levels for	Key Components	CD Intervention Accumulative Score		Score Summary
		Past	Ongoing	
Institution-Building	Strategy, Policy & Planning (SPP)	4	9.4	Overall the Secretariat scored significantly well in system and institution building related interventions. But the score distribution across human and knowledge reveals comparatively less performance.
	Leadership, Engagement & Collaboration (LEC)	2.7	4.9	
System	Governance, Measurement & Operational Processes (GMO)	3.4	7.1	
Human Specify the CD	Skills, Experience and Knowledge (SEK)	0.9	1.7	
Knowledge	Capture, Retention & Transfer (KRT)	1.5	3.1	

Source: 4th EAC Development Strategy (2011/12-2015/16)

2.1.2. Capacity Development Interventions at Specialized Institutions and Organ Level

Table 4, below, summarizes the CD interventions of the EAC Specialized Institutions and Organs, which include the African Court of Justice, East African Legislative Assembly, Lake Victoria Basin Commission, Civil Aviation Safety and Security Oversight Agency

(CASSOA), Lake Victoria Fisheries Organization, Inter-University Council for East Africa. There are significant results in both institution building and system, indicating that the EAC specialized Institutions and Organs have consistently conducted substantial CD interventions for the last ten years. On the other hand, insignificant results on knowledge and human related intervention in both previous and current strategies indicate that more attention is required on interventions in this area.

TABLE 4: SUMMARY OF PAST AND ON-GOING CAPACITY DEVELOPMENT INTERVENTIONS OF THE EAC SPECIALIZED IN ALL INSTITUTIONS AND ORGANS

Core CD Levels for an Effective Institution	Key Components	CD Intervention Accumulative Score		Score Summary
		Past	Ongoing	
Institution-Building	Strategy, Policy & Planning (SPP)	1.50	1.00	Overall, the EAC Specialized Institution and Organs have significant capacity development related to system and institution building interventions. The performance on human and knowledge-components scored less CD interventions.
	Leadership, Engagement & Collaboration (LEC)	1.70	0.80	
System	Governance, Measurement & Operational Processes (GMO)	1.30	1.20	
Human	Skills, Experience and Knowledge (SEK)	0.10	0.40	
Knowledge	Capture, Retention & Transfer (KRT)	0.80	0.60	

Source: 4th EAC Development Strategy (2011/12-2015/16)

2.1.3. Details of CD Assets and Gaps in the EAC Secretariat, Specialized Institutions and Organs

The section below discusses the details of CD assets and gaps (summarized in Table 5) and specific examples of interventions will be provided under each core level of capacity development.

TABLE 5: SCORES OF CD COMPONENT-WIDE ON PAST AND ON-GOING CAPACITY DEVELOPMENT INTERVENTIONS IN ALL EAC SPECIALIZED INSTITUTIONS AND ORGANS

	Specialized Institutions and Organs		Secretariat (Sectors/ Pillar)	
	Past Overall Score 3.20	Ongoing Overall Score 1.8	Past Overall Score 3.1	Ongoing Overall Score 14.3
INSTITUTION BUILDING: Accumulative Score of CD Interventions Related to Strategy, Policy & Planning (SPP) and Leadership, Engagement & Collaboration (LEC)				
Main CD Interventions	Individual Risks/Heath (Scores from -4 to 4+) in %			
Develop and define strategies and programme	7.4	0	8.8	3.8
Harmonize and align programmes and priorities	7.4	12.5	14.4	14.1
Advance policy implementation	11.1	12.5	5.6	15.6
Develop Policies, protocols and legislations	1.9	0	3.2	2.3
Establishing institutions	7.4	2.5	8	6.9
Mandates, roles, and responsibility	3.7	5	1.6	0.4
Space for engagement	7.4	0	5.6	3.1
Championship, Collaboration, consultation	13	12.5	6.4	8.4

	Specialized Institutions and Organs		Secretariat (Sectors/ Pillar)	
	Past Overall Score	Ongoing Overall Score	Past Overall Score	Ongoing Overall Score
SYSTEM: Accumulative Score of CD Interventions Related to Governance, Measurement & Operational Processes (GMO)	Past Overall Score 1.3	Ongoing Overall Score 1.2	Past Overall Score 3.4	Ongoing Overall Score 7.1
Measuring progress/ milestones	3.7	15	8	4.6
Operational and administrative processes	11.1	7.5	10.4	9.9
Self-Evaluation for change, excellence and effectiveness	3.7	0	1.6	5
Systems for Finance. ICT management and resource planning	5.6	7.5	7.2	7.6
HUMAN: Accumulative Score of CD Interventions Related to Capacities Skills, Experience and Knowledge (SEK)	Past Overall Score 0.1	Ongoing Overall Score 0.4	Past Overall Score 0.9	Ongoing Overall Score 1.7
Multi-skill sets and experience	0	0	2.4	1.9
Leadership, innovation and commitment	0	0	1.6	1.5
Financial and non-financial incentives	0	2.5	0.8	1.5
Performance and accountability	1.9	7.5	2.4	1.5
KNOWLEDGE: Accumulative Score of CD Interventions Related to Capture, Retention & Transfer (CRT)	Past Overall Score 0.8	Ongoing Overall Score 10.6	Past Overall Score 1.5	Ongoing Overall Score 3.1
Knowledge exchange and feedback	1.9	0	1.6	0.4
Assessment, data collection	5.6	5	3.2	5.7
Knowledge and information network	0	2.5	0	1.5
Communication and Creating awareness	7.4	7.5	7.2	4.2

Source: 4th EAC Development Strategy (2011/12-2015/16)

2.1.3.1. Institution-building

When comparing CD interventions between planning and implementation, **one key finding noted in both past and ongoing interventions is that the EAC Institutions and Organs not only have established policies and regulatory frameworks but they have advanced the implementation of those policies and legal instruments.**

The following capacity interventions are associated with this notable achievement:

- Harmonization and alignment of the policies, protocols and legislations of the Community has increased effectiveness in coordination and reduced operational costs. For example, as a results of better coordination in the Pillar relating to Custom Union, intra-EAC total trade increased from US \$ 1, 979.2 million to US\$ 3,339.4: exports increased from US\$ 1,084.9 to US\$ 1,902.7 million while imports increased
- from 873.3 to 1,902.9 million millions during the implementation of 3rd EAC Development Strategy (4th EAC Development Strategy 2011, 32). However, the evaluation report of the 3rd EAC Strategic Plan indicates that EAC Specialized institutions, Organs and Sectors at the Secretariat still experience high cost of operations. Therefore, harmonization and alignment is work in progress and still requires time, patience and resources.
- Collaboration with key multi-stakeholders – Partner States, local and international organizations – exists. The Inter-University Council of East Africa (IUCEA) has a promising practice of engaging stakeholders. IUCEA collaborated with “local and international partners to support researchers, teaching staff and students to undertake research and

deliberate on pertinent and academic and governance issues in East African Universities” (4th EAC Development Strategy 2011, 51). A more strategic approach to involve private sector, Civil Societies Organizations (CSOs), women groups and other citizens’ representatives to take a leading and active role imposes various constraints;

- In addition to organs and specialized institutions, EAC has formally recognized quite a number of Centers of Excellence in the member states. Example of these include, the East African Community Regional Kidney Institute (EACKI), in Kenya, the East African Community Regional Heart Institute (EACHI) in Tanzania, the East African Community Regional Cancer Institute (EACCI) in Uganda and the East African Community Regional Nutritional Sciences

Institute (EACNSI) in Burundi. Additionally, there is the EAC Regional Centre of Excellence (RCE) for Health, Vaccines and Immunization Logistics in the East African Community Partner States, which is hosted in Rwanda. Financial and human capacity and define roles and mandates are required to enable these institutions to exercise fully their responsibilities and mandates.

- The mandates and lines of responsibility within each institution and organ have been defined in the EAC Treaty and its integral Protocols. As indicated in the 4th EAC Strategy document, it is important to revise current mandates or establish additional legal mandates to strengthen the roles and autonomy of managers to make decisions on financial and administrative issues based upon evidence and their experiences.



Nairobi City Kenya
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- The EAC has mechanisms, such as monthly/quarterly/bi and annual performance reports, to review ongoing documentation of changes and to review processes so that programmes and strategies stay current and relevant according to socio-economic, political, and technological environments. The EALA and other concerned bodies oversee the implementation of the EAC protocols and time-to-time reports on them to the Council.
- Long-term strategies and annual planning is in consonance with the mission and objectives. These long term strategies, for example the 4th EAC Development Strategy, is being annually reviewed by the Council, which makes adjustments depending upon the resources available and information provided from the field. Implementation faces inadequate financial resources coupled with insufficient processes to secure resources for the longer term.
- Reviewing the annual plan and following up the action is a continuous process. Although there is a review plan in place during implementation, revisions and amendments based on what is or is not working are rare. Progress reviews along with regular client and staff feedback and charting of the way forward need to be sustained;
- Monitoring and Evaluation is an essential component of all activities of the EAC. Reports generated are shared with the executive bodies and key stakeholders. However, the EALA report on General Purpose on the EAC Budget Estimates of Revenue and Expenditure for the financial year 2013 noted that M&E is largely not carried out across the board apart from some desk work e.g. compilation of facts and figures. Unfortunately, this is not supported by field experience of the facts and figures. Also, integrating and linking M&E processes with Partner States presents a challenge;

2.1.3.2. Systems – Enabling Environment

The EAC has put in place systems to create an enabling environment, such as institutional frameworks for units, committees or divisions, the creation of technical measures and coordination systems to facilitate institutional processes and management procedures for effective delivery of the mandates.

- Management systems and processes: for example, the East African Legislative Assembly (EALA) has established an EAC Bureau of Speakers, rotation of sitting Partner States, Inter-Parliamentary Liaison Committees amongst other initiatives (4th EAC Development Strategy 2011, 47). Workshops are organized to develop capacities of staff members at the Secretariat and Specialized Institutions and Organs to make them aware of and be better able to execute their responsibilities;
- Administrative procedures have been formalized and policies and manuals exist. They are being followed by all concerned bodies including the Council, the Coordination Committee, The East African Legislative Assembly, Sectoral Committees, the East African Court of Justice and at Secretariat levels and The Ministry of East African Community affair (MINEAC) at the Partner State level;
- The EAC has recognized the importance of Information Management Systems as a key factor for effective implementation of its integration goals. The IMS is yet to harmonize to the extent that every employee within EAC Institutions, organs and across Partner States accesses the same information when it is required. Also, there is a capacity challenge around acquiring, utilizing and regularly integrating and implementing information into a planning process;
- The current-term strategy is built upon the experience and achievements of the previous strategy and aligns with the vision and mission of the EAC. The long-term strategic plan (the 4th EAC Development Strategy) and the short-plan (annual implementation plan) are aligned the EAC's priorities, namely to accelerate the integration agenda, to implement fully the Custom Union and Common Market and to lay a foundation for the Monetary Union and the Political Federation.

The assessment constantly indicates that one of the factors that led to the effectiveness of these systems is that they are continuously reviewed and updated according to present needs and priorities. So a constant review is key in order to keep systems effective, updated and in line with emerging mandates of the EAC.

2.1.3.3. Human Capital

As was noted above, capacity development interventions relating to human were insignificant. This is supported by the Report to the EALA report on General Purpose on the EAC Budget Estimates of Revenue and Expenditure

for the financial year 2013, which confirms that there was lack of funding for staff development and improvement of Human Resource capacity. Therefore, further attention is required to matters related to human capital to unlock EAC's employees at all levels of Secretariat, Organs and Institutions.

TABLE 6: THE STATUS OF HUMAN RESOURCES IN THE EAC ORGANS AND SPECIALIZED INSTITUTIONS

EAC Institutions and Organs	Total of Current long-term Personnel (over two years)		Short Term Experts	Length of the contract by years					Age factor				Education Factors		
	F	M		2	3	5	Ended	Replaced	30	39-49	40-49	50	BA	MA	PhD
Secretariat	32	92	93	0	0	0	22	6	1	21	58	42	109	77	5
Specialized Institutions and Organs	58	110	9	0	0	54	17	12	5	1	20	29	21	19	28
Total	90	202	102	0	0	54	39	18	6	22	78	71	130	96	33

The figures were collected from individual Sectors, Organs, Specialized Institution and Compiled by the Office of Human Resources and Administration.

Table 6 shows that more than half of the employees at the Secretariat, Institutions and Organs are men – about 84% of them between 40 and above 50 years of age. About the same number BA degrees as those who have MA and PHD degrees combined. Over the last three years, whilst the contracts of 39 employees ended because of retirement, death or resignation, only half the number of open vacancies has been filled so far. During the implementation of EAC 4th Development Strategy, 102 experts or short-term consultants – almost one-third of the entire workforce – were recruited to support the work at the Secretariat, Specialization Institutions and Organs, mainly for implementation. Other areas that utilized short-term consultants are procurement, technical operation, assessment, monitoring and evaluation.

- Most functions at the operational level have been decentralized within the directorate and the implementation of annual operation plans is the responsibility of the staff. Staff meetings and workshops are conducted regularly to evaluate progress, develop plans and to get feedback and updates on overall operations;
- A staff appraisal system is based on performance.

Soft capacities, such as financial and non-financial motivations to increase creativity and better utilization of staff potential and enhance bonding systems need to be strengthened;

- Knowledge in the EAC comes through recruiting experienced and well-educated personnel as well as short-term consultants. The challenge is to have a quantifiable strategy for mentorship, knowledge retention, human resource planning and professional advancement;
- One of EAC's goals is to foster wide stakeholder participation – Public and Private Partnerships (PPP); Civil Society Organizations (CSOs) – at national, regional, continental and international levels and is on track. However, including women in the EAC work force and grooming young cadres (leadership development) pose great challenges;
- The EAC diaspora is expected to bid on consultancies offered as part of the implementation of the Development Strategy. It was observed that the EAC's plan to fully

utilize both African potential and the diaspora is inadequate;

- The EAC has well developed recruitment policies but there is no appropriate human resource planning to match the size and skill-sets of the workforce to correspond with the emerging demand due to advancing technology and EAC expansion;
- As was indicated, consultants comprise a large part of the work force. They have the knowledge and experience needed by the EAC to plan and implement its strategy. This also sends a signal that the EAC has a staff shortage in skill-sets that are needed by the Secretariat, Specialized Institutions, other Organs and Partner States in order to implement Development Strategies.

2.1.3.4. Knowledge

Interventions relating to human and knowledge have been insignificant during the implementation of the 4th Development Strategy. On the other hand, the assessment observed that EAC has realized that knowledge is an important ingredient to achieve its integration mandates and has significantly engaged in the real work of becoming a learning organization. For example, knowledge permeates EAC activities - in sharing meeting minutes, measuring impacts, through professional and decision-makers' conferences and forums, by constantly updating information on the website (including uploading studies and strategic and legislative documents) and through recruiting experienced and qualified long and short-term staff. With these and many other examples, it is evident that the EAC is becoming a learning organization and has re-branded to increase the visibility of regional integration plans in the Partner States.

- As a part of the implementation of the 4th EAC Development Strategy, EAC has introduced a mechanism to guide the process of collecting and documenting data and the agents responsible for handling information and how it will flow throughout both Secretariat and Partner States levels. However, planning how knowledge will be used to improve the implementation of the regional integration is inadequate;
- Efforts to share information to promote the EAC's programs and strategies and increase visibility in the Partner States are increasing, however,

there are insufficient networks (Community of Practices – CoPs) and no coordinating strategy to ensure that different users take ownership of the knowledge and responsibility for capturing, distilling and applying knowledge;

- The EAC has created a space for citizen and stakeholder engagement to increase awareness and the visibility of the organization's image and programs in the Partner States. The perception survey recently conducted by the Ministry of East African Community affair (MINEAC) Rwanda, showed that whilst 90% of respondents had heard about EAC integration they had less understanding of EAC projects and programs.¹ This implies that communication focused on dissemination of information in a bottom-up approach leads to stakeholders and citizens becoming little more than passive recipients of the information;
- Mobile technology is one of the few systems that have made connectivity simple for both rural and urban communities in East Africa. However neither the Partner States nor the Secretariat have taken advantage of this technology to initiate two-way communications between the citizens and authorities;
- The EAC has planned a number of showcase projects to communicate with interested groups about regional integration processes and what the various Organs and Institutions of the Community have achieved to date. However, This story has not been well communicated in ways that will enhance citizens' positive thinking and mindset about regional integration;
- ICT is growing at a fast rate throughout the region. The EAC is in the process of defining ICT statistics that are essential for social and economic development in the region. At the national level, Communication Regulatory Agencies and Statistic Bureaus are developing frameworks to integrate the completion of statistics. However, statistics and database mechanisms are not adequate to inform the decision-making process effectively.

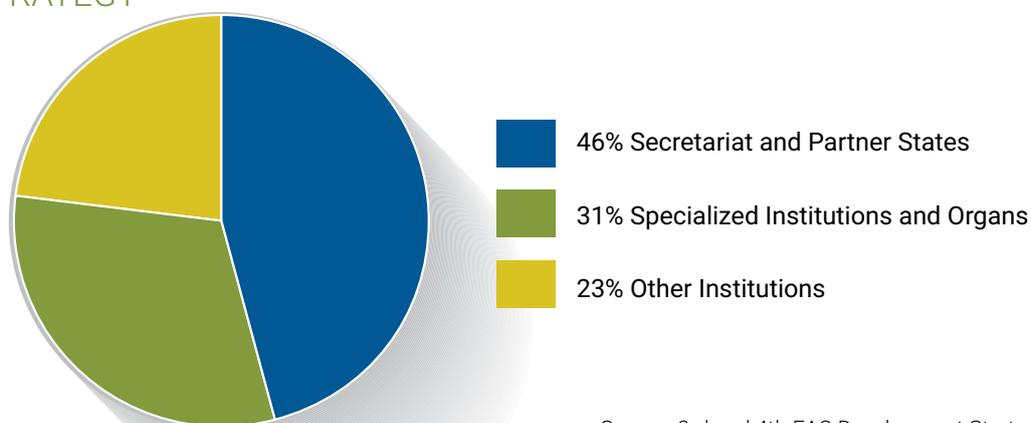
¹ <http://newsofrwanda.com/wp-content/uploads/2012/04/bank-of-kigali.jpg>

2.2. Scope of Capacity Development Interventions

The implementation framework for the 4th Development Strategy indicates that most development interventions are implemented at a national level alongside the national development programs, leaving a limited number of interventions to be implemented through inter and intra-regional frameworks, namely Specialized Institutions, Organs and Centres of Excellence (4th Development Strategy 2011-2015, 55).

Figure 2, below, confirms that most of the implementation is taking place at Partner State level and the Secretariat is the main coordinator to those programs. For example, the Ministries responsible (Trade, Investment, Finance and Customs) in Partner States are main actors with regard to the programmes related Sector on the Customs and Trade Partnership, while EAC Ministries and Secretariats are the coordinate agents. Other aspects regarding the implementation are noted in the following:

FIGURE 2: IMPLEMENTATION ARRANGEMENT OF EAC 4TH DEVELOPMENT STRATEGY



Source: 3rd and 4th EAC Development Strategies

- The Ministry of East African Community Affairs (MINEAC), in connection with the Minister in charge for the Ministry of East African Community affairs of each Partner State, is responsible for mobilization in the Partner States, monitoring and reporting on the success of 4th Development Strategy implementation to the Council;
- Regarding facilitation of the implementation, EAC organs, Specialised Institutions, Organs and Centres of Excellence are active participants in implementing the integration agenda;
- Partner States are anchors for the full realization of regional integration. Thus, enhancing the capacities of institutions of Partner States is one of the emerging capacities challenges to be addressed for the Partner States to assume ownership of the implementation of regional integration agenda;
- The EAC has realized the need to review and refine the current institutional arrangement of the Specialized Institutions, Organs and Partner States in order to enhance the effectiveness of regional integration implementation. However, human and financial resources are key obstacles to fully implementing and building the capacity of those institutions;
- Immediate results are one of the requirements to keep stakeholders fully engaged. Some of the planned outcomes – for example political federation – take time to be realized. To this effect, interventions with quick and tangible achievements could help to keep the stakeholders including the general public interested in and excited about the progress of the regional integration project;
- Figure 2 above, indicates that the 4th EAC Development Strategy considered other stakeholders (Private Sector and Civil Societies) as one of the implementation agents. This emphasizes the importance of increasing the capacity of these institutions fully participate in the implementation of the integration programs;

- The establishment of a ministry responsible for EAC Affairs at Partner State level gives the desired weight of importance and commitment to regional integration. Championship is the required capacity to exist at both political leadership and citizen leader level – non-state actors (Civil Society Organizations (CSOs), private sectors and higher education institutions – for effective implementation of the regional integration agenda.

2.3. Financial Resources

According to the Article 132 of the Treaty, the budget of the Community is a partnership endeavor. The sources of revenue for the work of the Community are supposed to be made up of equal contributions from the Partner States as well as from regional and international partners. The EAC Secretariat is responsible for the mobilization of resources from Development Partners and other sources in order to implement projects of the Community.

The EAC has maintained relationships with a variety of donors, including the World Bank, the European Union, the European Investment Bank, the African

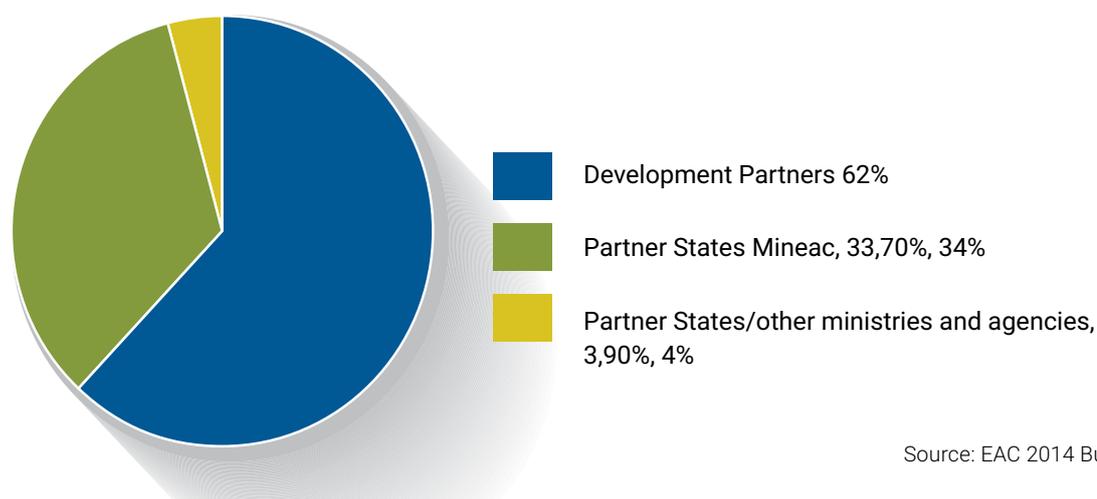
Development Bank, the Swedish International Development Cooperation Agency (SIDA), the United Nations Economic Commission for Africa (UNCEA), the German Agency for Technical Cooperation (GIZ), the East African Development Bank (EADB), the United Kingdom Department for International Development (DFID), the Norwegian Agency for Development (NORAD), the Commonwealth Secretariat and the Danish International Development Agency (DANIDA).

Memoranda of Understanding (MoUs) have been signed between the EAC and the following countries and organizations: France, India, Finland, Canada, Sweden, Norway, the International Labor Organization, the UN Food and Agriculture Organization (FAO), the Austrian Development Cooperation and the World Meteorological Organization.²

The total indicative budget for the EAC 4th Development Strategy (2010/11-15/6) is US\$ 1,288,538,790. This is a long-term financial protection to be implemented through annual budgets. Figure 3 shows that only 38% of the 2014 Budget is expected to come from member states or regional agencies; this leaves 62% to be funded by Development Partners (DPs).

² EAC. http://www.eac.int/index.php?option=com_content&view=article&id=45&Itemid=55. Accessed January 28, 2014.

FIGURE 3: SOURCE OF FUNDING FOR THE 2014 BUDGET



- The East Africa Legislative Assembly controls revenues and expenditures during the implementation of the EAC Development Strategy and reports to the Council on budget matters as per the Treaty. The Steering Committee of EAC Partnership Fund³ approves the financial reports and determines the funding of the annual operational plan;

³ The Steering Committee of EAC Partnership Fund comprises of representatives from UK/DFID, Germany, Finland, France, Sweden, Norway, European Union, USA, World Bank, Belgium, Canada, Japan, Denmark, Permanent Secretaries in charge of East African Community Affairs in the Partner States, and EAC Secretariat officials.

- Mechanisms are in place for resource mobilization, reporting, accountability and transparency for financial management. The EAC has adopted an outcome-based budget that is regularly used by management as an analysis tool. However, the centralization of the budget operation does not provide room for EAC Specialized Institutions to make adjustments during the implementation;
- The EAC prepares progress reports for respective decision-making bodies as well as for donors. This encourages donors to incorporate their own financial management processes and priorities to fit into EAC priorities and systems.
- EAC Partner States are increasing their funding for EAC integration activities but the programs still heavily rely on external funding. Partner States are strongly encouraged to increase their funding for core integration programs in order to entrench ownership of and sustainability for the programs;
- The EAC has developed a resource mobilization framework with an inclusive range of resource mobilization strategies but capacity is required to mobilize domestic resources to utilize the enormous natural resources that are available across the region;
- Donors annually contribute to EAC programs and projects that are geared toward regional integration through the EAC “Basket Fund” mechanism”. Whilst this mechanism gives EAC the flexibility to allocate donors’ funds according to its priorities, its strategies for utilizing such aid are inadequate to augment scarce African resources; more extensive efforts are to mobilize from within the region to sustain the expansion mandates of the integration agenda.
- The Council solicits financial resources to fund areas that are not covered when budgeting for the 4th EAC Development Strategy. These areas include: the entire social sector, Monitoring and Evaluation, initiation and printing of bills, conducting public hearings, training and capacity building (including in the Kiswahili language), sensitization programs and adherence to the 2008 EAC Budget Act, as well as the Rules of Procedure of the House with regard to the plenary and Committee allotted sitting days. Some of these areas are CD-related interventions. This indicates that interventions, CD in nature, are given less weight during the budget planning and process;
- The EAC has revised and expanded the operational scope, roles and mandates of the East African Development Bank (EADB) to facilitate its integration agenda. The EADB works with other financial institutions in Rwanda, Tanzania, Kenya, Uganda, and Rwanda to try to strengthen socioeconomic development and regional integration. However, the EADB itself faces institutional capacity challenges such as contending with an unfavorable market environment, the cost of doing business and infrastructural inadequacies;
- The EAC has established a number of reforms to create an environment that will increase foreign and portfolio investment. As indicated in the Evaluation Report of the 3rd EAC Development Strategy, private sector in the region requires capacity required to partner with foreign investors and be able to retain business, investment skills and knowledge in the region. It is critical that the strategies on Public Private Partnership and resource mobilization be fully implemented at Secretariat or Partner State levels.

2.4. EAC’s Response to Capacity Development

The EAC search engine holds fifty different listings of the term “capacity,” which, in the EAC context, is used to refer to institutional building, skills development, systems and process enhancement, or research and sensitization programs. A holistic approach is used to plan CD interventions for each sector, thus all four CD aspects – institution building, system, knowledge, and human are interlinked as critical to effective implementation of the goals in the respective sector. Example 1 illustrates the patterns of CD-intervention planning in the Productive Sector, which is the same in each sector in the EAC 4th Development Strategy.

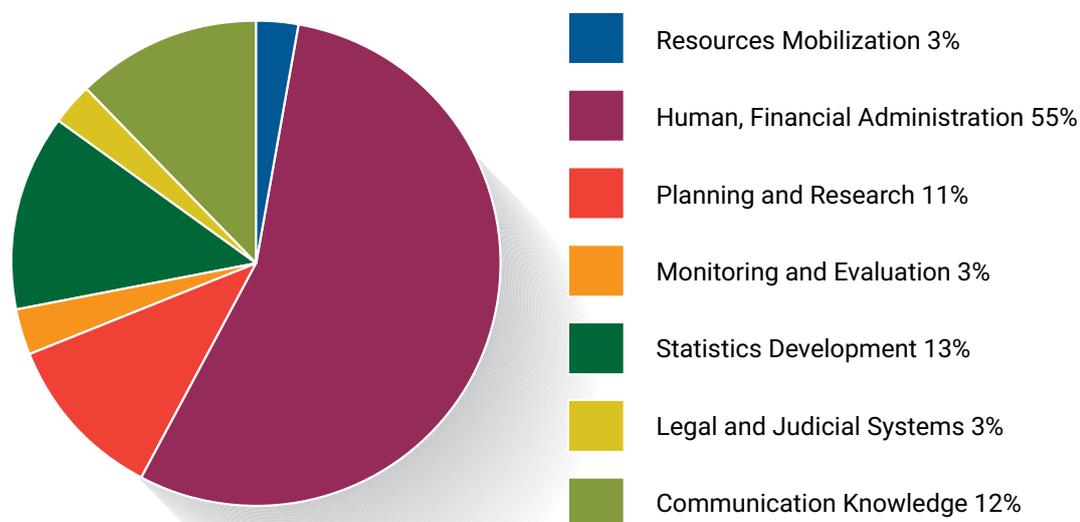
EXAMPLE 1: ILLUSTRATION OF INTEGRATED APPROACH TO CAPACITY DEVELOPMENT IN THE PRODUCTIVE SECTOR

Many of the components of sub-sector 7.3.2 – Industrial Development – of the Productive Sector focus on formulating policies and frameworks and developing regulatory frameworks; but other forms of capacity development are included. For example, Strategic Intervention (SI) #2 specifically includes training and capacity-building workshops or seminars on industrial mineral processing, prospecting policy reforms and prospecting as part of developing a regulatory and institutional framework in this sector. The mandate of SI #3, to enhance the competitive position and productive capacity of SMEs throughout the region, obviously requires human capacity development. Establishing regional information systems and databases to manage and monitor industrial policy implementation and performance more effectively (SI #5) also involves strengthening training in ITC database management in universities and other training institutions; the same is true for strengthening regional industrial R&D and technology and innovation systems. While the wording of SI #10 suggests that its focus is mainly on the formulation of a regional strategy to address industrial skill shortages for selected priority industrial sectors, it also requires that regional industrial training centres of excellence be identified and that a programme(s) be developed for skills development infrastructure (4th Development Strategy, 136-141)

Support for CD can also be traced in the Sector Support Programs, which were established to provide services to other sectors during implementation of the Development Strategy. The arrangement of sub-sectors in this sector incorporates four CD elements (system, institution-building, human, and knowledge) that are vital if institutions are to deliver results. The budget estimate for this sector is 1.4% of the total indicative budget of the 4th Development Strategy, of which

more than half of the budget is allocated for human development and financial management. Statistics and data development, communication, information and knowledge, and planning and research sub-sectors each have approximately the same percentages allocated (12%, 13% and 11% respectively). The sub-sectors that receive the least support are monitoring and evaluation, resource mobilization and legal and judicial systems – at only 3% each.

FIGURE 4: INDICATIVE BUDGET ALLOCATED INTERVENTIONS RELATED TO CD OF THE SECTOR SUPPORT PROGRAMS



Source: EAC 4th Development Strategy

The assessment noted the following:

- Capacity development is becoming a centre piece of EAC Organs, Specialized Institutions and Partner States as they try to deliver their regional integration mandates.
- The application of capacity development in the EAC extends beyond training to include institutional building, systems, human and knowledge.
- Support Sector Programs provide service related to various capacities but this is not a sector that is responsible for organizing and coordinating capacity programs within the EAC.
- The related CD components for knowledge, human, systems and institution building in the Support Sector Programs are also interventions allocated in other sectors during the implementation of the EAC 4th Development Strategy. Therefore, harmonization and

prioritization of capacity development programs remain critical for effective implementation of the program.

- Capacity development is recognized as a cross-cutting concern with the potential to make a difference in the way the EAC delivers results; the EAC has not yet established a department or sub-sector that coordinates or harmonizes capacity within EAC Organs, Specialized Institutionalized and Partner States.

2.5. Capacity Development Program – Commendable Practices

The assessment has observed several programs in the EAC. In other words, these can be termed as commendable capacity development practices, which can be scaled up to become benchmarks in the EAC



and a beacon to other RECs in implementing regional integration agenda.

2.5.1. Citizen Engagement

As indicated below in the study, the EAC has established mechanisms that directly engage with citizens and communicate with key stakeholders (Private Sectors Civil Society Organizations) on issues related to regional integration. Factors that highlight the EAC's distinctive progress in this regard include:

2.5.1.1. Creating a Space for Engagement

- In each member state there is a Ministry dedicated to Ministry East African Community Affairs, responsible for mobilizing and reporting on the implementation of regional integration plans and programs.
- The EAC has increased opportunities for the movement of people and goods in the region with measures that promote progress towards implementation of the East African Political Federation; key milestones include: the Customs Union and Common Market coupled with free movement of people, goods, services and capital. All of these have increased opportunities for people to engage and interact across the region.
- The EAC has established several forums in which stakeholders are directly engaged in face-to-face communication. Examples are the East African Petroleum Conference and Exhibition, the Annual African and Scientific Conference & International Health Exhibition and Trade Affairs, the annual Jua Kali Fair for artisans to across the region to exhibit their innovativeness; the EAC Secretary General's Forum for Private Sector, Civil Society and Other Interest Groups, EAC Annual Conference on Good Governance. The Annual Another important event is the EAC Conference on Inter-Religious Collaboration for Regional Peace and Security; Biennial Conference on Peace and Security.

2.5.1.2. Communicating with Citizens

- A previous survey conducted in the region to determine the public image and awareness of the EAC indicated that 90% of respondents

were aware of EAC programs and 75% had a positive image towards the institution. Currently the EAC Secretariat in collaboration with the Governments of Partner States is initiating a consultation process to solicit the views of citizens about the political federation.

The EAC Youth Ambassadors program has reached out to over 6,000 University students, creating 22 EAC Youth Clubs in Universities and secondary school in the region. The aim of the Clubs is to involve youth at an early age in issues related to regional integration and to equip them to participate in the process and contribute to overall development of the region. Clubs have been set up in some member states and are functioning.

- An annual EAC University Students' debate on regional integration brings together teams of debaters from all five Partner States. The debate also brought representation from youth councils, the private sector, Civil Society, media, technocrats and academia to engage in dialogue on topical issues related to the regional integration agenda. Each Debate is arranged under a specific theme— the current theme is "A federated Eastern African Community: A prerequisite for Economic Development and Sustainable Peace and Security in the EAC Region Africa." This initiative creates an important platform to share information and sensitize young people through writing articles, joining in debates on topical issues via social media, hosting talk shows on the successes and challenges of the EAC as well as holding sensitization forums at universities in the region. Secondary school debates are also in place and prizes given to winning students at every EAC Summit. Such debates inculcate integrationist mindsets.

- High-level delegations from the EAC Secretariat and other Organs visits the EAC Specialized Institutions, Centers of Excellence and communities in the Partner States to promote and learn at ground level about the implementation of the regional integration agenda. Recently, for example, during his visit to Uganda on the September 13, 2014, the EAC Secretary General Dr. Richard Sezibera held an awareness event at which he addressed residents and traders of Nakiwogo market in Entebbe Municipality in Uganda. He also participated in a community

cleaning-up exercise of Nakiwogo market, where he was joined by several officials from Entebbe Municipality as well as officials from the German Development Agency (GIZ), the East African Business Council and the East African Civil Society Organization.⁴

2.5.1.3. Use of Media and Awareness Creation

EAC has a growing social media presence amongst the region's citizens. About 10,000 Facebook and Twitter account holders interact with the EAC Secretariat out of a regional population of 104 million. Although the number of account holders is low relative to the population and also considering that non-member state citizens and development practitioners from outside the region may be included in the database, the participation level gives a healthy indication of the direction in which EAC is heading to engage with citizens. One reason why EAC's social media presence stands out is that it is the highest among all the RECs on the continent and much better in comparison with the performance of Caribbean Community and Common Market CARICOM, MERCOSUR and NAFTA in this area. Only ASEAN out-performs EAC in absolute terms.

The EAC provides live streaming of most of its conferences and meetings on its web site to enable those who are not physically present to be able to follow proceedings and possibly participate.

- To increase its recognition amongst citizens, EAC has created identity symbols including the EAC language (Kiswahili) anthem and EAC day on the 30th November, the date on which the Treaty was first signed. It has become a tradition that the Summit of EAC Heads of State is held on that day to make key decisions and give guidance on key strategic issues pertaining to EAC integration. Preliminary consideration is also being given to making it a "people's day" so that it might become a day when the people of East Africa engage in grass roots EAC related activities.
- The EAC has embarked upon initiatives aimed at repositioning African arts, knowledge, culture and heritage into strategies and systems in order to make the African integration processes more relevant to the world view of the citizens.

Through the Kiswahili Commission and the Culture and Sports Commission, the EAC also aims at promoting performing arts (traditional dances, drama, music and circus and painting, curving, weaving and pottery) and utilization of indigenous knowledge and systems. An annual EAC Arts and Culture Festival has been initiated – the first of which took place in 2013 in Rwanda to celebrate and acknowledge the importance of EAC cultural identity whilst appreciating the contribution of art and music to economic growth in the region and to show appreciation by coming together to interact and share experiences to foster social cohesion and unity.

2.5.2. Work Processes and Systems

The EAC has established several tools to ensure that the systems, processes, and structures of EAC Specialized Institutions Organs and institutions of the Partner States work effectively and productively in managing the implementation of the regional integration agenda.

2.5.2.1. Mechanism to Adopt the Change

To realize the concrete objectives of the 4th Development Strategy, EAC has established a number of measures to re-position the organization strategically with respect to its operational culture and internal and external factors. The creation of a legal framework to form a regional audit commission is a move to address challenges related to accountability, performance and transparency so that the financial sector can meet its obligations as the EAC expands. Also, there has been an increase in interventions to intensify the political will – especially the institutionalization of the Ministry of East Africa Affairs, which is responsible for the implementation of the regional integration programs at member states.

2.5.2.2. Monitoring and Evaluation, Reporting and Dissemination

EAC has designed and implemented the M&E framework to ensure that monitoring and evaluation as well as data collection, analysis and dissemination become a shared responsibility amongst stakeholders at all levels during the implementations of projects and programs. The EAC Treaty⁵ provides M&E framework which guides monitoring, evaluation, reporting and dissemination processes in the EAC:

⁴ <http://www.newvision.co.ug/news/659671-dr-sezibera-woos-ugandans-to-support-integration.html>

⁵ EAC Treaty (Articles 71 [c&g], 14 [2], 21 [b], 18, and 49 [2c]).

- The Council oversees monitoring and evaluation and constantly reviews it to ensure that EAC programs are functioning properly and effectively;
- From time to time the Coordination Committee submits to the Council reports and recommendation on the implementation of the Treaty;
- The East African Legislative Assembly annually reviews reports on the activities of the Community and annually reviews reports of the Audit Commission and any other reports referred to it by the Council;
- As part of its responsibility for planning, monitoring and evaluation of projects and programs, the Secretariat submits reports on activities to the Council through the Coordination Committees;
- The Secretariat oversees coordinates data collection, analysis and reporting from and to the Private Sector and Civil Society and within the Secretariat and Specialized Institutions/Organs and ensures it flows as expected;
- The Ministry of East Africa Affairs manages the collection and dissemination of information from and to Partner States and other EAC systems.

2.5.2.3. Existence of Regional Payments System

On May 15, 2014, the East African Payment System (EAPS) was formally launched. It uses currencies of all the member states to bring benefits of regional integration concretely to the citizens of the member states; it also promotes an upward thrust for development and participation of the private sector in the regional integration process. The absence of a guaranteed recently launched regional payments system is still weak and imposes significant constraints on the acceleration of regional integration on the continent. Although the EAPS first started on 25 November 2013 between Kenya, Tanzania and Uganda is yet to function effectively and efficiently, the encouraging cross-border payment system is expected to ease payments across member states and boost trade.

The system operates on a real time gross settlement basis by utilizing the linkage between the various member states' Real Time Gross Settlement (RTGS) systems using the SWIFT (Society for Worldwide Interbank Financial Telecommunication) messaging

network for safe and secure delivery of payments and settlement messages. The EAPS is currently operating between and successfully linking electronic payment systems of Kenya, Tanzania, Rwanda and Uganda. Rwanda is in the process of testing the linkage between its Integrated Payment Processing System (RIPPS) and EAPS. Burundi is in the process of implementing the RTGS system and is expected to join EAPS once that system is in place. EAPS is available in all the commercial banks' branch networks, offering same-day settlement. EAPS uses local currencies of the East African countries: the Kenya Shilling, Tanzania Shilling, Uganda Shilling, Rwanda Franc and Burundi Franc. It reduces the cost of transactions and the cost of doing business in the region.

2.5.2.4. Planning and Performance Contracting

As a part of transforming the Community into a performing institution that will deliver the desired results of integration, EAC has imbedded in its management system, performance contracting as a tool to assist the Secretariat to manage the performance of both executive and professional staff to deliver expected outcomes every financial year in connection with Annual Operational Plans and EAC 4th Strategic Plan. This tool, developed through collective and consultative meetings with multi-stakeholders, is clearly understood and owned by all staff in the EAC Organs and Institutions. The EAC Performance Contracts, first signed during the Financial Year 2011/2012, is now in its 3rd year. As a part of the incentive, the individual employment contract is renewed based on the performance report.

2.5.3. Creating Synergies with Other RECs: A Case of Tripartite

The Tripartite is a compelling example of how to strengthen relationships and forge initiatives amongst institutions within the African Union to expedite the implementation of the AU integration agenda. The COMESA-EAC-SADC Tripartite was established in 2005 with the main objective of strengthening and deepening economic integration of the southern and eastern Africa region. Significant progress is already being achieved to enhance trade facilitation, lower transit times and reduce the cost of trading among the 26 countries through the North-South Corridor that has been implemented as a pilot since 2007. Other programs that are planned and being implanted include infrastructure programs – mainly surface transportation projects (road, rail, border posts, seaports) as well as air transport, ICT and energy.

TABLE 8: TRIPARTITE PROGRAM IMPLEMENTATION MATRIX

Project	Beneficiary Country	Funder	Implementation Agent	Amount	Time-Frame
Trademark Programme	Region - SADC	UK Department of International Development DFID	COMESA TradeMark Southern Africa, DBSA	£73.6 M	2009 - 2014
Beira Corridor: The Study on development of Sena corridor	Malawi	Japan International Cooperation Agency (JICA)	Ministry of Transport and Public Infrastructure (MoTPI)		2010 - 2011
Trans Kalahari Corridor: One Stop Barrier Post (OSBP) at Mamuno	Namibia	JICA	Botswana Unified Revenue Service (BURS) Namibian Ministry of Finance	JPY210m	2010 - 2013
NSC: Construction of the Kazungula Bridge	Namibia	JICA	Ministry of Transport and Communications (Botswana)		2011 - 2015
Walvis Bay Corridor: Walvis Bay Container Terminal Upgrading	Namibia, Zambia	JICA	Ministry of Works and Supply (Zambia)		2011 - 2013
Support SADC	Region - SADC	EU/ KFW	DBSA	€12M	2010 - 2015
USAID Southern Africa Global Competitiveness Hub	Region - SADC	USAID	AECOM/Carana		2009 - 2014
Transport Corridors Institutional Development and Capacity Building	Region - SADC	USAID	USAID Trade Hub		2004 - 2010
Establishment and implementation of Corridor Performance Monitoring Systems (CPMS)	Trans Kalahari, Dar es Salaam and Maputo Corridors	USAID	USAID Trade Hub		2004 - 2010
Regional Infrastructure Development Plan	SADC Region	EU	SADC Secretariat	€574000	2009 - 2011
NSC: Construction of Chirundu Bridge	Zimbabwe, Zambia	JICA	Ministry of Works and Supply	JPY3b	2002
NSC: Chirundu One Stop Border Post (OSBP)	Zimbabwe, Zambia	JICA	Zambia & Zimbabwe Border agencies	\$0.47m	2006 - 2011
Trans Caprivi Corridor: Rundu - Eludu Road Upgrading	Namibia	JICA	Namibia Road Authority	JPY10b	2006 - 2012
Mtwara Corridor: Masashi-Mangaka Road Rehabilitation	Tanzania	JICA	Tanzania National Roads Agency	JPY1964m	2007 - 2011
Cairo-Gaborone Corridor: Arusha – Namanga - Athi River Road Development	Tanzania, Kenya	JICA/AfDB	Tanzania National Roads Agency	JPY8.857b	2007 - 2011
Cairo-Gaborone Corridor: One Stop Border Post (OSBP) at Namanga	Tanzania, Kenya	JICA	Kenya Revenue Authority		2007
Namibe Corridor: Namibe Port rehabilitation	Angola	JICA	Ministry of Transport Angola	JPY393.2m	2008 - 2011
Central Corridor: Construction of the Rusumo Bridge and One Stop Border Post (OSBP) facilities	Rwanda, Tanzania	JICA	Tanzania National Roads Agency		2009 - 2010
Nacala Corridor: Cuamba-Mandimba Road	Mozambique	JICA	National Road Administration (ANE)		2009 - 2010

Project	Beneficiary Country	Funder	Implementation Agent	Amount	Time-Frame
Mtwara Corridor: Road Sector Support Project	Tanzania	JICA	Tanzania National Roads Agency	PY7.119b	2010 - 2013
Dar es Salaam Corridor: Replacement of South Rukuru Bridge on the Main Road 001	Malawi	JICA	Ministry of Transport and Public Infrastructure (MoTPI)		2010 - 2012
Nacala Corridor: Upgrading of Nampula - Cuamba Road	Mozambique	JICA/AFDB and Korea EximBank	National Road Administration (ANE)	JPY59.78b (\$67m)	2010 - 2013
Nacala Corridor: Port Development	Mozambique	JICA	Ministry of Transport and Communications		2010 - 2011

Source: http://www.comesa-eac-sadc-tripartite.org/donor_matrix

Table 8 above, summarizes some past and ongoing projects of the Tripartite identifying the type of project, intended beneficiaries, funders, implementation agents and the financial envelope. The Tripartite Task Force, on behalf of the COMESA, EAC and SADC, oversees implementation in collaboration with the lead donor, such as the Department for International Development of the United Kingdom (DFID). The lead donor is responsible for providing financial, technical and institutional support and for working with other donors and international finance institutions to ensure that funding is available for implementation. The remarkable characteristics of these Tripartite programs is that financial resources are harmonized and aligned with the AU integration agenda and aimed at connecting people within an individual country or several countries within the Tripartite region and beyond. All beneficiaries at different levels are active participants of the implementation.

2.5.4. Connecting Urban and Rural Communities

In addition to EAC transport infrastructure projects intended to connect people in the region, mobile technology is rapidly expanding in the East Africa and has changed how people communicate and interact with information in both rural and urban areas. Table 9 indicates that by 2013 almost half of the population in each EAC Partner State subscribed to a mobile phone. Although this is not directly CD programme that is initiated by the EAC, it is an example of modern technology and communication systems that are available in all Partner States. Further exploration Mobile technology as tool of engagement is important so that the potential of mobile technology is tapped in to communicate regional integration agenda across age differences, gender, rural and urban communities in the region.

TABLE 9: MOBILE SUBSCRIBERS IN THE MILLIONS IN THE EAC PARTNER COUNTRIES PER MILLION

EAC Partner Countries	Number of Mobile Subscribers Per Year			
	2010	2011	2012	2013
Burundi	1.68	1.91	2.25	2.54
Kenya	24.97	28.08	30.73	31.31
Rwanda	3.55	4.45	5.69	6.69
Tanzania	20.98	25.67	27.22	27.44
Uganda	12.83	16.7	16.36	16.57

Source: Partner Country Economic Indicators in the www.theglobaleconomy.com

3. KEY FINDINGS, RECOMMENDATIONS AND COLLABORATION

3.1. Summary of Key Findings and Recommendations

The Matrix in Appendix 1, below, summarizes the key findings that emerged from the assessment; it draws on a range of sources to gauge capacity development assets, gaps and intentions for the African Union Multi-Agency Capacity Development Program” (M-CDP) and the East African Community (EAC) to prepare RECs’ integrated capacity development program for post 2015 and beyond.

3.1.1. Institution Building

EAC Institutions and Organs not only have established policies and regulatory frameworks but they have advanced the implementation of those policies and legal instruments.

The assessment noted that the EAC has increased efforts to interface between planning and implementation of policies, protocol, strategies and programs. Examples of capacities at the interface included harmonization and alignment of key policies, regulatory instruments and programs to enhance coordination adequately and utilization of resources. To delegate the management of the implementation, EAC established key structures, namely Organs, Specialized Institutions and Centers of Excellence both at Secretariat and Member State levels. The Treaty defines roles and mandates of these institutions to implement or facilitate regional integration programs in collaboration with Partner States. A spiral planning approach has been applied to ensure that EAC Development Strategy and Annual Operational plans are drawn from the EAC Vision and priorities and are built upon its predecessor strategy.

Others important capacities contributed to an increase in the implementation of programmes which included collaborative leadership, building synergies with other AU institutions and the establishment of institutions to enforce accountability and implementation of the protocols. EAC has established forums and conducted consultative meetings to engage key stakeholders, such as Development Partners, Private Sector and CSOs, in matters relating to regional integration. An increase in the number of regionally approved projects

and programmes that are taking place at Partner State level, is an indication that the Secretariat plays a role as a facilitator to the Partner States and EAC Institutions, including mobilization of Civil Societies and Private Sectors and therefore is becoming a main actor of the implementation process. The EAC has gone further to involve youth, especially university students, into the dialogue relating to political federation. In turn, young people have used these opportunities to air their views and promote the integration agenda to their respective networks. The Treaty gives the organs such as MINEAC, EALA, EACJ and Council the ability to enforce accountability and performance and to oversee that the implementation of the protocols.

Despite some strength at the interface of planning and implementation, the major challenge is to build capacity at all levels of the Partner States so that they are active and effective in implementing integration agenda. Other capacity requirements include harmonized CD programs and a dedicated coordinating and oversight body within EAC, well-defined mandates of the EAC institutions for timely administrative and financial decisions, sustainable financial resources and active engagement of women, private sector and CSOs in matters relating to regional integration. The following CD outputs may be necessary to enhance EAC’s efforts on integrating planning and implementation for the results.

- Dedicated and Mainstreamed CD planning and coordination Function to support both institutional and sector work
- Preparation of quantifiable and harmonized CD strategy in line with the 5th EAC Development Strategy.
- Addition policy is required to allow EAC institutions to make instant administrative and financial decisions.
- Enhance current review mechanisms to ensure policies and programmes are in line with emerging EAC mandates and current technology.
- Conduct an over arching institutional analysis to delineate roles and responsibilities and improve

systems, processes procedures and practices.

- Operationalize full implementation of CSOs and the Public Partnership Private strategies to increase active participation of demand-side institutions into regional integration agenda.
- Interventions to implement policies and legal tools relating to Tripartite to excel in promoting AU integration agenda.
- Optimization of the already-established networks and forums such as Inter-University Students Debate, EAC Youth Ambassadors to engage more citizens in the Partner States, including establishing new ones e.g. women's networks.
- Assessment of CD requirements will help to identify the capacity for effective implementation of regional integration of programmes at Partners State levels.

3.1.2. System

Constant review is the key to keeping systems effective, updated and in line with the emerging mandates of the EAC.

The major capacity-building initiative that has contributed to the creation of an enabling environment for effective implementation has been the formalization and adaptation of administrative and operational processes and manuals. Emphasis has been placed on financial management, staff performance and mechanisms for reporting and accountability. As a result of functional financial and mutual accountability systems, EAC has been able to secure funding from Partner States and Development Partners for the implementation of its regional integration programs. The EAC has developed and implemented an Information Management System (IMS), monitoring and evaluation (M&E) and reporting frameworks to track results and inform the planning and decision-making processes.

No system, process or mechanism functions perfectly at all times, so continuous reviews and amendments are recommended to ensure M&E and IMS remain integrated and serve all stakeholders at the Secretariat and Partner State levels, to include a process for immediate feedback and inclusion of experience in the field into the evaluation process. Also, attention required to CD related interventions (human development, awareness, etc.) during the annual budget exercise. To address these capacities the following interventions are required:

Improvement of the current Monitoring and Evaluation (M&E) and Management Information Systems (MIS), so they become integrated and robust and facilitate implementers, planners and decision-makers with easy access to the necessary information to enhance and implement policies and processes.

- Enhancement of EADB's capacity to champion the implementation of SEMs and African resource development and mobilization strategies.
- Monitoring coordination frameworks in place to involve stakeholders at field level to monitor, evaluate and solicit instant feedback from professional staff, beneficiaries and implementation agents.
- Enhancement of the capacity of accountability institutions (MEACA, EALA and EACJ) to encourage more accountability, transparency and performance, as a part of EAC's culture.
- A process in place for continuous review of programs and policies etc. to ensure these tools are in line with current mandates and socio-political and economic contexts of the EAC to avoid continuing investment in high operational-cost programs that are not bringing results.

3.1.3. Human Capital

Further attention is required to matters relating to human capital to unlock EAC's employees at all levels of Secretariat, Organs and Institutions.

The assessment of the remarkable CD interventions is that the EAC places special emphasis on performance, accountability, experience and competence for both professional and executive staff. Its current change management programs have led to the establishment of performance contracts and appraisals for executive and professional staff at EAC Organs and Specialized Institutions. The performance contract is not an end in itself but has been a means to create an environment that is conducive and promotes interaction between the EAC professional and executive staff in planning, implementation and accountability to one another. A positive work environment, as well as interactions between professional and executive staff in planning, implementation, open dialogue, monitoring and evaluation, has been factors that has increased commitment and performance of the employees.

Required capacity in regard to human resource include a proper alignment of staff and skill-sets with EAC's expansion and quantifiable mentorships, knowledge retention and human resource plans. Also, EAC would need a proper utilization of potential and creativity of men and women currently employed at EAC different institutions, intellectuals residing within the region and Africans living in diaspora. To move forward, the following interventions are recommended:

- Assessment of human capacity obligations in relation to expansion of EAC mandates.
- Creation of a CD technical expertise pool within EAC that is comprehensive in terms of skill-sets necessary for the implementation of Community Pillars.
- Increase of capacity of the IUCEA to coordinate innovation and skills development in collaboration with higher education institutions in the region.
- Development of mechanisms for peer-to-peer learning, retention and leadership development, especially for young cadres.
- Improvement of performance systems by introducing financial and non-financial incentives to increase commitment and trust of employees.
- Establishment of structures to exchange human capacities at national, regional as well as continent levels for knowledge exchange and cross learning.

3.1.4. Knowledge

EAC is becoming a learning organization and has re-branded to increase the visibility of regional integration plans in the Partner States.

Initiatives related to knowledge capacity development are demonstrating that the EAC is increasingly becoming a learning organization. For example there are a number of knowledge sites covering areas designed to help recruit experienced and skilled staff, for sharing information or appraising staff. Dissemination platforms are being created and regularly updated to engage and inform stakeholders including the general public. The utilization of African knowledge, culture and systems has helped the regional integration agenda to adapt to local contexts. The EAC is increasingly utilizing traditional and social media to communicate and increase visibility among

key stakeholders and citizens in the Partner States. Mobile technology is increasingly bridging the gap between rural and urban populations throughout the region. The capacity challenges that lie ahead relating to knowledge and communications include: adequate knowledge management plans to capture, distil and apply knowledge and a bottom-up communication that would lead citizens and stakeholders to become more active participants, engaged in and part of the planning processes for regional integration that will determine their futures. To scale knowledge and learning culture in the EAC, the assessment recommends the following:

- Enhancing capacity of the Nyerere Centre for Peace Research (NCPR) to coordinate knowledge generation and dissemination across the region.
- Develop and implement knowledge Management Strategy to ensure knowledge is well-captured, distilled, shared and used at all levels of EAC.
- Building of capacity of EAC Centers of Excellence to spear and activate Communities of Practices to disseminate and use knowledge within the Partner States.
- Identification of possibly utilizing mobile technology to engage citizens, especially those living in the rural areas in matters relating to regional integration.
- Identification of critical knowledge required for the effective implementation of regional integration.
- Implementation of a communications strategy to engage people in 'Storytelling' and lessons learned from the implementation of regional integration, and how it impacts people's lives throughout the region.

3.2. Areas of collaboration

There should be a collective effort to utilize capacity development to help implement a complex agenda and achieve lasting regional integration that will make a real difference to people's lives. The following interventions should help M-CDP support capacity strengthening within the EAC to deliver core mandates and achieve its regional integration goals:

- Organize resources by establishing an inter-

REC implementation framework for resource mobilization and provide technical and financial support that EAC can access.

- Become involved in developing a comprehensive results-oriented CD programme and help to roll out the programme. This will involve the provision of CD guides based on the Capacity Development Strategic Framework to help ensure that the planning and monitoring processes reference the same indicators.
- Engage in the process of revising and integrating MIS and M&E to assist EAC to become a more results-oriented organization.
- Support the assessment, planning and roll-over of programmes for human and skills-set development.
- Assist in the establishment of a CD technical experts' pool and the development of an Africans

in the Diaspora strategy to increase the utilization of evidence-based knowledge in everything that the EAC does regarding regional integration.

3.3. Conclusions

There are unlimited opportunities for EAC to improve the social and economic circumstances of the people of this region. There is little doubt that appropriate utilization of valuable African resources would go a long way towards freeing the Secretariat from its current dependency on foreign donors. Moreover, the experience gained by EAC through its programmes and strategies has provided a constructive foundation on which to build Multi-Agency Capacity Development initiatives. Thus, to maintain continuity, it is proposed that interventions are action-oriented and designed to support specific initiatives and to optimize existing strategies, programmes, structures, systems and mechanisms to deliver better results.



Zanzibar Nungwi Beach, Tanzania
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APPENDIX 1: MATRIX OF KEY FINDINGS, AVAILABLE AND REQUIRED CAPACITY, INTERVENTIONS AND OUTPUTS

Core CD Levels	Key findings	Available Capacity	Required Capacity	CD Intervention	CD Outputs
INSTITUTION BUILDING	<p><i>EAC Institutions and Organs have not only established policies and regulatory frameworks but they have advanced the implementation of those policies and legal instruments.</i></p>	<ul style="list-style-type: none"> Alignment/harmonization of policies, regulatory instruments and programs. Support Sector Program provides CD related services to other sectors during the implementation of Development Strategy. Building synergies with other RECs through Tripartite arrangements to advance the implementation of AU regional agenda. Stakeholder and citizen engagement at all levels. Voices of young people are being heard and they are involved in promoting integration agenda. Specialized Institutions, Organs and Centers of Excellence are established and functioning as implementation agents. Mandates and roles of EAC Institutions, Organs and Centers of Excellence are defined. Partner States are adequately involved in the implementation of the plans. Long-term strategies and Annual Operations align with the EAC vision and priorities. Institutions to enforce implementation and accountability are in place (MINEAC, EALA, EACJ Council). 	<ul style="list-style-type: none"> The presence of a dedicated CD Coordinating and Oversight Function. Active engagement of women, private sector, CSOs. Adequate institutional capacity and autonomy for EAC Institutions and Organs to carry out their mandates. Capacity development for national and sub-national Institutions of the Partner States is critical. Adequate processes for instant review and to adjust strategies according to implementation trends. Sustainable financial planning. 	<p>Mainstreaming CD Policy and Plan within EAC structure. Increase the capacity at the interface of planning and implementation.</p> <p>Increase the capacity at the interface of planning and implementation.</p>	<ol style="list-style-type: none"> Dedicated and Mainstreamed CD planning and coordination Function to support both institutional and sector work. Preparation of quantifiable and harmonized CD strategy in line with the 5th EAC Development Strategy. <ol style="list-style-type: none"> Additional policy is required to allow EAC institutions to make instant administrative and financial decisions. Enhance current review mechanisms to ensure policies and programs are in line with emerging EAC mandates and current technology. An over arching institutional analysis to delineate roles and responsibilities and improve systems, processes procedures and practices. Full implementation of CSOs and the Public Partnership Private strategies to increase active participation of demand-side institutions into regional integration agendas. Interventions to implement policies and legal tools relating to Tripartite to excel in promoting AU integration agendas. Optimization of the already-established networks and forums such as Inter-University Students Debate, EAC Youth Ambassadors to engage more citizens in the Partner States, including establishing new ones e.g. women's networks. Assessment of CD will help to identify capacity needs for effective implementation of regional integration of programs at Partners State levels.

Core CD Levels	Key findings	Available Capacity	Required Capacity	CD Intervention	CD Outputs
SYSTEM	<p>Constant review is an important capacity so that systems are updated and they correspond to the current needs and mandates of the EAC.</p>	<ul style="list-style-type: none"> Administrative and operational processes manuals are formalized. Annual operational plans are well budgeted. Financial management, accountability and transparency is in place Professional and Executive Staff are involved in the planning and implementation processes. Cordial relationships exist with Development partners. Resources are adequate to implement annual operational plans. An enabling environment for the micro-economy is in place. The Monitoring, Evaluation and reporting Framework is in place. Information Management Systems and ICT are developed and being implemented. 	<ul style="list-style-type: none"> Constant review on programmes, strategies, protocols and plans. CD related interventions (human development, awareness, etc.) included in the Community's annual budget. Effective and integrated M&E and reporting systems. Interventions to utilize African resources and find solutions from within. The evaluation report that includes desk review and compilation of facts/figures and 'ground level' experience. Integrated Management Information Systems are to support effective decision-making processes. 	<p>Constant review of existing protocols, policies plans and strategies, procedures and processes to meet emerging challenges and mandates as well as fostering ownership and performance at all levels.</p>	<ol style="list-style-type: none"> Improvement of the current Monitoring and Evaluation (M&E) and Management Information Systems (MIS), so they become integrated and robust and facilitate implementers, planners and decision makers with easy access to information to enhance the implement policies and processes. The enhancement of EADB's capacity to champion the implementation of SEMs and African resource development and mobilization strategies. A monitoring coordination framework in place to involve stakeholders at field level to monitor, evaluate and solicit instant feedback from professional staff, beneficiaries and implementation agents. Enhancement of the capacity of accountability institutions (MEACA, EALA and EACJ) to encourage more accountability, transparency and performance, as a part of EAC's culture. A process in place for continuous review of programmes and policies etc. to ensure these tools are in line with the current mandates and socio-political and economic contexts of the EAC to avoid continuing investment in high operational-cost programs that are not bringing results.
HUMAN	<p>Further attention is required to matters related to human capital to unlock EAC's employees at all levels of Secretariat, Organs and Institutions.</p>	<ul style="list-style-type: none"> The functions and annual operations are decentralized for directors and professional staff. Appraisal and performance contract systems exist. Well-experienced and educated staff are recruited. There has been an impressive utilization of short-term experts and consultants. Positive work environment. Executive and Professional interactions. 	<ul style="list-style-type: none"> Adequate processes to utilize staff potential and creativity. Quantifiable mentorships, knowledge retention and human resource plans. Gender inclusion in the EAC recruitment process. Diaspora and African potential in the region fully utilized. Staff in number and skill-sets, align with EAC's expansion. 	<p>Harnessing the utilization of existing human capacities within the EAC including Africans living in the diaspora.</p>	<ol style="list-style-type: none"> Assessment of human capacity obligations in relation to expansion of the EAC mandates. Creation of CD technical expertise pool within EAC that is comprehensive in terms of skill-sets necessary for the implementation of Community Pillars. Increase of capacity of the IUCEA to coordinate innovation and skills development in collaboration with higher education institutions in the region Development of mechanisms for peer-to-peer learning, retention and leadership development, especially for young cadres. Improvement of performance systems by introducing financial and non-financial incentives to increase commitment and the trust of employees. Establishment of structures to exchange human capacities at national, regional as well as continent levels for knowledge exchange and cross learning.

APPENDIX 2: DOCUMENTS REVIEWED

POLICY DOCUMENTS

AU-NEPAD, Africa's Capacity Development Strategic Framework, Midrand, 2012.

EAC, Treaty for the Establishment of the East African Community (As amended on 14 December, 2006 and 20 August, 2007).

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CASSOA, Five Year Strategic Plan 2010/11 – 2014/15.

EAC, 4th Development Strategy (2015-2010/11).

EAC, 4th Development Strategy (2011-2015/6).

EAC, 2014 Annual budget

EALA report on General Purpose on the EAC Budget Estimates of Revenue and Expenditure for the financial year 2013.

Inter-University Council for East Africa, "Rolling Strategic Plan 2011/12-2015/16," 2011.

AU, 2063 Draft Framework (Manuscript).

STUDIES

Davood, Hamid R (ed), "The East African Community after 10 Years – Deepening Integration." Proceedings of the high-level conference in Arusha, Tanzania, February 27-28, 2012, celebrating the first decade of the EAC.

Temmink, Cristien. "Measuring Results for Effective Institutions," Learning Network on Capacity Development Discussion paper 2013/02.

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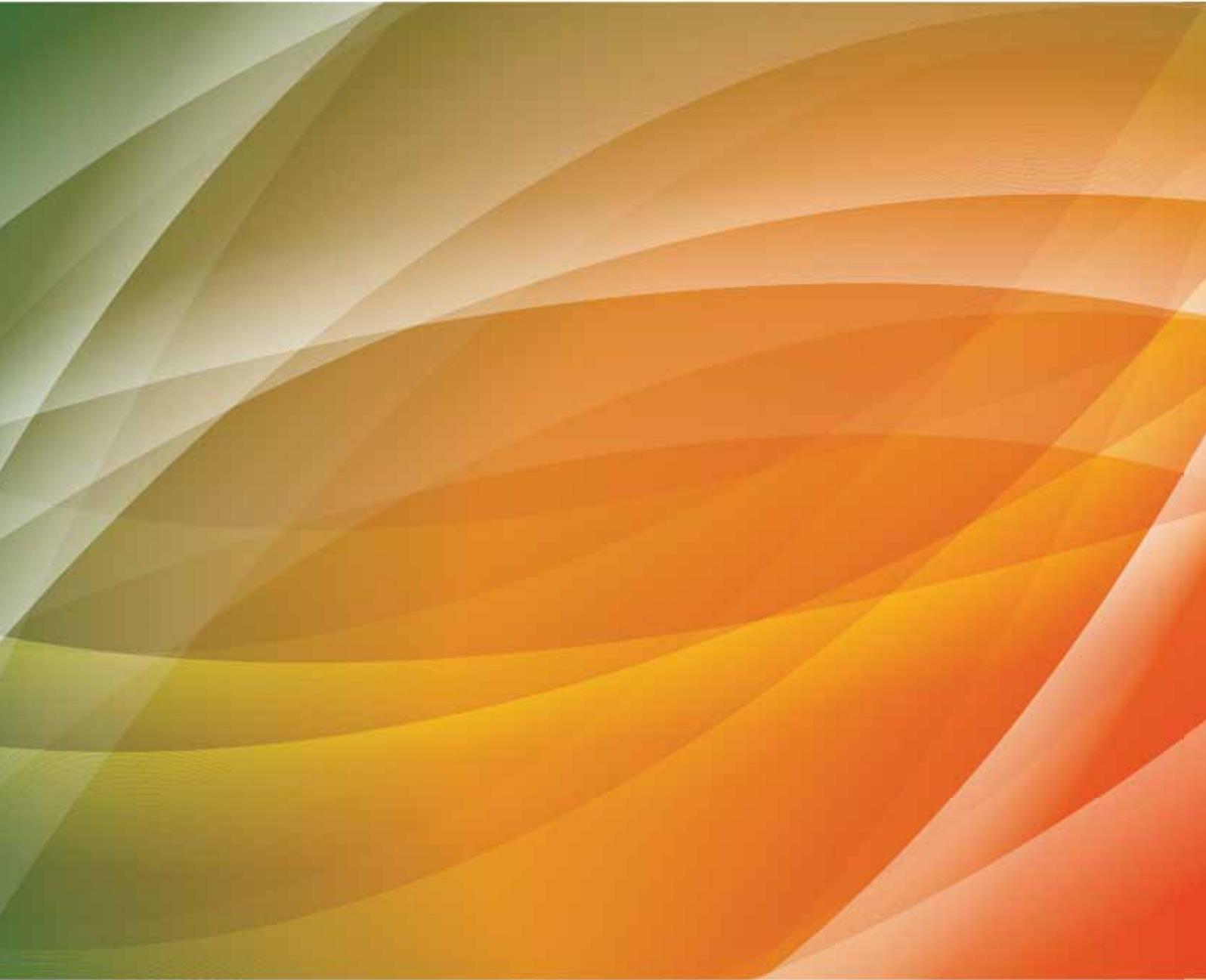
EAC Official website.

APPENDIX 3: LIST OF INTERVIEWEES

First Name	Last Name	Position
Charles Jackson	Njoroge	Deputy Secretary General (Political Federation)
Rehema J	Kerefu	Senior Legal Officer
Angela	Katama	Project Manager (WORLD BANK – Financial Sector Development & Regionalization Project)
Isabelle	Waffubwa	Principal Political Affairs Officer
Leonard M	Onyonyi	Peace and Security Expert
Peter	Kinuthia	Senior Energy Officer
Bernard B	Lubega	Principal Culture & Sports Officer
Dr. Stanley	Serser Sonoiya	Principal Health Officer
Joseph	Birungi	Principal International Relations Officer
Rebecca	Nanfuka	Organizational Development Expert
Algreacia	Akwi	Capacity Building Coordinator
Charlotte	Karungi	Training and Development Officer
Aggrey J	Nkondola	Principal Information Technology Officer
Tareto	Salay	Senior Budget Officer
Stephen	Mwilolezi	Budget Officer
Brenda	Mugambi	Marketing Assistant - Tourism
Eng Hosea	Nyangweso	Principal Civil Engineer



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United Nations
Economic Commission for Africa



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