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ECONOMIC COMMISSION FOR AFRICA

**A GENDER ASSESSMENT OF
AFRICAN REGIONAL ECONOMIC COMMUNITIES
DATABASES TO IDENTIFY GAPS IN CAPTURING THE ACTIVITIES OF WOMEN
IN INFORMAL CROSS BORDER TRADE**

By

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The study could not have come at a better time than this, when Africa is increasingly beginning to recognize the contribution of informal cross-border trade, which is dominated by women, to the overall trade and economic development of the continent. It is hoped that this report will go a long way in triggering policy measures and programmes aimed at facilitating the development of databases on WICBT activities, both at regional and national levels.

ACRONYMS AND ABBREVIATIONS

AEC	African Economic Community
AGOA	African Growth and Opportunities Act
AIDS	Acquired Immunodeficiency Syndrome
ASYCUDA	Automated System for Customs Data
AU	African Union
BOP	Balance of Payments
BOU	Bank of Uganda
CBI	Cross Border Initiatives
CBRI	Capacity Building for Regional Integration
CBT	Cross Border Trade
CBTA	Cross Border Trade Association
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CEPGL	Economic Community of the Great Lakes States
CIP	Cross-Border Initiative Programme
CLG	Common List of Goods
CM	Common Market
COMESA	Common Market for Eastern and Southern Africa
CoO	Certificate of Origin
CPCM	<i>Conseil Permanent Consultatif du Maghreb</i> (Permanent Consultative Council of the MAGHREB)
CPI	Consumer Price Index
CSO	Central Statistical Office
CZI	Confederation of Zimbabwe Industries
DFID	Department for International Development
DRC	Democratic Republic of the Congo
EAC	Economic African Community
EBA	Everything But Arms
ECA	Economic Commission for Africa
ECCAS	Economic Community of Central African States
ECOGO	ECOWAS Free Movement Policy and Governance
EDF	European Development Fund
EU	European Union
EUROSTAT	European Union Statistical Office
FEMCOM	Federation for Women in Business in Eastern and Southern Africa
FGD	Focus Group Discussion
FTA	Free Trade Area
GDP	Gross Domestic Product
GNI	Gross National Income
GTZ	<i>Deutsche Gesellschaft für Technische Zusammenarbeit</i> (German Technical Cooperation)
HIV	Human Immunodeficiency Virus
ICBT	Informal Trade
ICBTs	Informal Cross Border Traders
ICT	Information and Communications Technology
IGAD	Intergovernmental Authority on Development
ILO/SRO	International Labour Organization/ Subregional Office

IMF	International Monetary Fund
IOM	International Organization for Migration
ITSC	International Trade Statistics Committee
Kg	kilogrammes
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MFPED	Ministry of Finance, Planning and Economic Development
MIIT	Ministry of Industry and International Trade
MOED	Ministry of Economic Development
MOF	Ministry of Finance
MOWAGCD	Ministry of Women's Affairs, Gender & Community Development
MPSL&SW	Ministry of Public Service, Labour and Social Welfare
MSMEs	Micro, Small and Medium Enterprises
NCBTA	National Cross Border Trade Association
NEPAD	New Partnership for Africa's Development
NGOs	Non-governmental Organizations
NWG	National Working Group
OECD	Organisation for Economic Cooperation and Development
PTA	Preferential Trade Area
RBZ	Reserve Bank of Zimbabwe
RCBTA	Regional Cross Border Trade Association
REFORM	Regional Food Security and Risk Management
REM	Remitted
RISDIP	Regional Indicative Strategic Development Plan
RPRF	Regional Poverty Reduction Framework
RPRS	Regional Poverty Reduction Strategy
RSDS	Regional Statistical Development Strategy
SACU	Southern African Customs Union
SADCC	Southern African Development Coordination Conference
SADC	Southern African Development Community
SAP	Structural Adjustment Programme
SARDC	Southern African Research and Documentation Centre
SCBT	Small Scale Cross Border Trader
SCD	Simplified Customs Document
SEDCO	Small Enterprise Development Corporation
Shs	Shillings
SIPO	Strategic Indicative Plan of the Organ
SITC	Standard International Trade Classification
SMEs	Small and Medium Enterprises
SSA	Sub-Saharan Africa
STR	Simplified Trade Regime
TID	Trade Information Desk
TIDO	Trade Information Desk Officer
TPIN	Tax Pay Identification Number
UBS	Uganda Bureau of Statistics
UDEAC	Central African Customs and Economic Union
UEMAO	West African Economic and Monetary Union
UNCTAD	United Nations Conference on Trade and Development
UNECA	United Nations Economic Commission for Africa
UNIDO	United Nations Industrial Development Organization
UNIFEM	United Nations Fund for Women
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
URA	Uganda Revenue Authority

US\$	United States Dollar
USAID	United States Agency for International Development
WARP	West Africa Regional Programme
WIB	Women in Business
WICBTs	Women Informal Cross Border Traders
WICBT	Women in Informal Cross Border Trade
WIDTECH	Women in Development Technical Assistance Project
ZAMFI	Zimbabwe Association of Microfinance Institutions
ZCBTA	Zimbabwe Cross Border Traders Association
ZCIEA	Zimbabwe Chamber of Informal Economy Associations
ZIMRA	Zimbabwe Revenue Authority
ZIMTRADE	Zimbabwe Trading Corporation

EXECUTIVE SUMMARY

Why measure informal cross-border trade?

Informal Cross Border Trade (ICBT), also referred to as 'parallel trade', though informal, has implications for the broader national and global economy. It is informal in terms of the way business is organized, with low levels of capitalization and small numbers of employees. It is mostly owner operated, often unregistered, highly vulnerable to market and other forces and experiences a high rate of enterprise collapse. Most informal cross-border traders (ICBTs) are formal migrants in terms of emigration rules and customs and excise duty payments, among other regulations.

It is arguable that the real integration process of Africa is taking place at ICBT level more than in formal trade, since the populations of Africa are much more at ease in informal trade. It is therefore advantageous to maximize benefits from such trade as it is a cushion to the formal economy and to formal trade failures. ICBT is often driven by the need of the poor, particularly women, to improve their welfare. , Women Informal Cross Border Traders (WICBTs) constitute a significant proportion of the traders, estimated at about 70 per cent in Zimbabwe. ICBT is thus a survival as well as a wealth accumulation strategy. Some estimates have put ICBT at between 30 and 40 per cent of trade within the Southern African Development Community (SADC) and the Economic Community of Eastern and Southern Africa (COMESA). In this regard, ICBT can also be viewed as a force for political stability in Africa (United Nations Fund for Women (UNIFEM, 2009).

Despite its significant contribution to the economy, ICBT remains largely unrecognized and ignored by policymakers, and is undocumented and grossly underestimated. WICBTs face many challenges, such as lack of services and resources in support of their activities; violence and harassment; stigmatization; inadequate implementation of regional trading agreements and protocols; conflict; and weak trade-related institutions, among others. There is generally a disconnection between Regional Economic Communities (RECs) trade and gender policies and official trade regimes. The Cross Border Initiative (CBI) does not address ICBT (UNIFEM, 2009).

The challenge of attempting to assess non-existent WI CBT databases in RECs

The objective of the study is to strengthen the capacities of the statistical divisions of RECs and national statistical offices (NSOs) to better capture the activities of WICBTs in their statistical systems. In order to achieve this objective, the Economic Commission for Africa (ECA) carried out a gender assessment of REC databases to identify gaps in capturing the activities of WICBTs. Consultations were made with the RECs in Southern Africa, East Africa and West Africa, namely: COMESA, SADC, Economic Community of West African States (ECOWAS), Economic Community for Central African States

(ECCAS) and Arab Maghreb Union (AMU) during the period 9 August to 9 September 2011.

It is important to note that on the ground, RECs have not been collecting information on ICBT in general, let alone on the activities of WICBTs; hence, the non-existence of databases on women in Informal Cross Border Trade WICBT. What is available are ad hoc studies on WICBTs. However, COMESA has recently made commendable efforts in the collection of ICBT data through the Simplified Trade Regime (STR), 2007. SADC conducted a study on ICBT in 2008 followed by a SADC Advocacy Strategy on Informal Cross Border Trade in 2011. Though ECOWAS recently instituted a section on ICBT, there is still no specific research or database on WICBT in that REC. ECCAS, on the other hand, intended to launch an operation to collect data on informal cross-border trade in 2012.

Given this reality on the ground, the terms of reference of the study were translated into a broader context, to include a review of ICBT studies conducted by the RECs or by independent researchers on REC member States, as a general indication of the WICBT data required in a REC database. In addition, the reports highlighted conceptual issues on ICBT and WICBT, as key issues underlying any such measurement and creation of databases at both national and REC levels in the near future. It also became very clear that one cannot discuss REC databases without reference to national databases which are the key feeders of REC databases.

In this regard, national best practices, such as the case of Uganda, which is a COMESA member State, are highlighted. In the absence of WICBT databases in the RECs, the researchers had to find out what each REC was doing relating to compilation of WICBT data. In view of this, the report identifies the challenges, constraints and gaps in capturing the economic activities of WICBTs from a broader perspective and suggests strategies required to resolve all such problems until REC WICBT databases are established.

Africa is struggling to understand I CBT: literature review

A number of recent research studies have been conducted throughout Africa in an attempt to understand the growing ICBT economic phenomenon.. Some of the studies summarized in the report include the following:

- Malaba J. and J.T. Chipika (2009). The UNIFEM WICBT Study in Southern Africa: The case of Swaziland and Zimbabwe
- UNIFEM WICBT Studies in Cameroon and Liberia, 2007-2008
- SADC ICBT Study (2008). Conducted by the Southern African Research and Documentation Centre (SARDC)
- Nsolo J., N. Mijere, (2011). OSSREA Publications on ICBT.
- Muzvidziwa V. (2005). Women Without Borders.

- The Southern African Migration Programme Studies (2007).
- USAID West Africa Regional Programme (WARP) (2001). Study on Issues of WICBT in West Africa, covering Benin, Burkina Faso, Côte d'Ivoire, Ghana, Guinea, Guinea-Bissau, Mali, Nigeria, and Senegal.
- Ogalo, Victor (2010). Study on ICBT in the East African Community (EAC). CUTS African Resource Centre.

“What cannot be defined cannot be measured!”

There is a serious conceptual misunderstanding in professional circles, among trade macroeconomists and gender professionals and activists on what constitutes ICBT. The challenge basically emanates from whether one is looking at the recording of trade activities or at the agent of trade/trader. The conventional trade macroeconomist is concerned with whether trade is recorded or unrecorded irrespective of the status of the trader. In this regard, this group of professionals defines ICBT as unrecorded trade irrespective of who is conducting it (formal registered company or an unregistered trader).

In contrast, gender economists, other gender professionals and activists, including institutions that promote the welfare of women such as UN Women, and those who champion poverty reduction and eradication, among others, are concerned with the vulnerable, small, unregistered cross-border traders who derive their basic livelihood from this activity under harsh working conditions, the majority of whom are women. This divergence in ICBT conceptualization has been the fundamental constraint in the collection of WICBT data under the RECs and at national level.

Within the context of this ICBT conceptual problem, all the RECs have three major departments/units/commissions linked to the issue of ICBT, namely, gender, trade and research and statistics. While gender departments are generally weak in terms of capacity to articulate their gender data requirements, particularly in ICBT, they subscribe to the WICBT approach. Trade departments, which are generally technically strong and well-endowed in capacity, subscribe to the conventional approach to ICBT. Since the production of statistics is normally demand driven, the weaker gender departments in the RECs have not been able to clearly specify what data they need to advance the WICBT agenda from their perspective. In the meantime, trade statistics departments in the RECs and even at national level remain dominated by the economist's conventional approach, with no tangible efforts to capture data on WICBT or even to publish trade data according to whether the trader is registered or not which is already being captured under the Automated System for Customs Data (ASYCUDA).T

The methodological challenge in compiling WICBT data and preliminary best practices

As earlier highlighted, RECs have normally not been collecting information on ICBT in general, let alone specific ICBT data on the activities of women, and they do not have databases on ICBT and WICBT. The preliminary best practices in the different areas that are critical for capturing the economic activities of ICBTs in general and WICBTs in particular include the following:

- UGANDA Best Case of Estimating ICBT contribution
- COMESA Simplified Trade Regime (STR)
- ECOWAS Free Movement of Persons
- SADC Advocacy Strategy on Informal Cross Border Trade, and
- UNIFEM Study on Women in Informal Cross Border Trade in Southern Africa: The Case of Swaziland and Zimbabwe, 2009.

While the Uganda ICBT Survey, 2006, listed above was a best practice in estimating the quantitative volumes and values of ICBT, it was not designed to provide critical micro-information on the characteristics of ICBTs; their operational environment; impact of institutional, policy and legal frameworks; risks, challenges and constraints; and the rights and benefits derived from informal trade. The survey showed that, for example, Ugandan exports estimated at US\$ 962 million were underestimated by \$232 million from ICBT.

The UNIFEM Women in ICBT in Southern Africa Study of 2009 is a best practice in terms of collection of WICBT micro-information significantly absent in the Uganda survey. However, both aspects of these studies are needed and should be part of the ICBT databases, to effectively inform policies on ICBT in Africa.

The COMESA STR is a tool which was introduced to assist informal/small-scale cross-border traders (SCBTs) by simplifying the process of clearing goods through the introduction of a simplified certificate of origin and a simplified customs document. The STR also facilitates the collection of data on ICBT. In addition, COMESA is also supporting establishment of National Cross Border Traders Associations, which have risen in number from two in 2009 (Zambia and Zimbabwe) to seven in 2011 (Burundi, DR Congo, Kenya, Malawi, Rwanda, Zambia and Zimbabwe). ICBT associations are key in facilitating the collection of data on ICBT and WICBT for onward transmission to REC databases. Finally, the SADC Advocacy Strategy on Informal Cross Border Trade, if implemented as designed will put to rest most of the problems on the lack of information on the activities of ICBTs in general and WICBTs in particular in SADC.

The REC databases at the moment largely contain detailed formal trade statistics which are not disaggregated by gender. Furthermore, it is of great concern that even for the formal trade statistics, the databases are not centralized. Most of them are on the personal computers of the statisticians and are outdated. Similar constraints are noticed where attempts are made to collect ICBT data, for example, through the STR, as in COMESA. Another issue of major concern is that, generally, at both REC and national

level, ICBT data are not disaggregated by gender. This is true even for the current COMESA STR and the Uganda ICBT Survey.

Challenges, constraints and gaps in capturing the economic activities of women in ICBT in the regional and national statistical databases

There are many challenges, constraints and gaps relating to capturing the economic activities of women in ICBT in the regional and national statistical databases. These include:

- i. **Role of the informal economy in development not recognized:** There is a lack of official recognition of the role of the informal sector in general and ICBT in particular, as a key parallel economy in African economies, and its contribution to development, leading to lack of assessment.
- ii. **ICBT conceptual misunderstanding:** The divergence in ICBT conceptualization between trade macroeconomists and gender professionals has been one of the fundamental problems in the collection of data on activities of WICBT under the RECs and at national level.
- iii. **Weak REC institutional, policy and legal frameworks in relation to ICBT:** The lack of explicit ICBT policies in the RECs combined with the weak link between the three major departments/units/commissions linked to the issue of ICBT, namely Gender, Trade and Research and Statistics seriously undermine the collection of data and creation of databases on ICBT. The weak capacity of Gender Departments in the RECs, in terms of capacity to articulate their gender data requirements, particularly in ICBT, also compounds the problem.
- iv. **Lack of relevant institutional capacities to collect data on ICBT and WICBT and to compile the respective databases:** It is of serious concern that AMU has no department of statistics. The challenge of human resources in statistics within the institution remains major constraints in AMU and SADC and some ECCAS member States. Lack of financial resources to develop a database on ICBT and WICBT remains a constraint in most RECs with the exception of ECCAS and ECOWAS. All RECs and most member States lack the capacity to mainstream gender in data collection systems, in general, and ICBT and WICBT databases in particular.
- v. **No gender field in the COMESA Simplified Trade Regime (STR) and ASYCUDA:** Both the STR form and ASYCUDA do not have gender fields, which makes it impossible to identify WICBTs in official trade statistics.
- vi. **Technical challenge – lack of methodological guidelines on ICBT data collection:** The absence of clear and detailed methodological guidelines on how to capture data on WICBT including issues of the total ICBTs population, sample selection, questionnaire design, and analysis among others, remains a key challenge in the creation of WICBT databases in RECs and national statistical agencies.
- vii. **Harsh ICBT trading environment:** The harsh trading environment for ICBTs remains a major obstacle in the collection of WICBT data.

Strategies to address gaps, challenges and constraints

Below are the recommended key strategies to address the gaps, challenges and constraints in the collection of ICBT and WICBT data and the setting up of databases at both regional and national levels:

- a) Combining the Uganda, 2006 and UNIFEM Study on Women in ICBT in Southern Africa, 2009 methodologies in order to collect ideal data on ICBT in general and WICBT in particular.
- b) Advocate at a broader level, for the recognition of the role of the informal sector, as a key parallel economy in African economies, and its contribution to development including wealth creation, total trade, poverty reduction and general welfare (human development) of the majority of the population in Africa. Similarly, advocate for the recognition of the contribution of ICBT in general and WICBT in particular as has been initiated under the SADC Advocacy Strategy on ICBT, 2011.
- c) Resolve the divergence in ICBT conceptualization between conventional trade and macroeconomists and gender economists, professionals and activists. There is the need to collect data which provides a holistic picture of trade in the African economy. Given that the majority of ICBTs are women, it is also important to understand the gender dimensions to ICBT in particular.
- d) Formulate explicit ICBT policies in all RECs, similar to the SADC Advocacy Strategy on ICBT, 2011.
- e) Build capacity in member State national data collection agencies and capacity for coordinating the collection, analysis and setting up of databases at REC level.
- f) Establish as a matter of urgency a department/unit of statistics in AMU, with enough capacity to handle gender mainstreaming in the databases including those on ICBT and WICBT activities.
- g) While development partners should continue to support RECs and member States with financial resources to develop statistical databases in general, and those on ICBT and WICBT, in particular, member States should put substantive resources towards these important activities to ensure financial sustainability.
- h) The recently established, UN Women methodology for mainstreaming gender into statistical production systems, should be implemented throughout the RECs and member States, paying particular attention to issues of setting up ICBT and WICBT databases.

- i) Build the capacity of Gender Departments in the RECs and at national level so that they are better able to clearly specify what data they need to advance the WICBT agenda from their perspective.
- j) Improve intra-REC programme coordination particularly for the three major departments/units/commissions linked to the issue of ICBT, namely Gender, Trade and Research and Statistics.
- k) Institutionalize and regularize surveys on ICBT in most African countries in order to make the statistics official and up-to-date for use in estimating total trade, while at the same time informing policy on the holistic picture on the characteristics of ICBTs and their operating environment.
- l) Other RECs should come up with their STRs, modelled after that of COMESA, which has so far proved to be beneficial to ICBTs in general and WICBTs in particular.
- m) Urgently add gender fields to the current COMESA STR form and to ASYCUDA to enable gender disaggregation of ICBT data.
- n) Compile detailed methodological guidelines on how to capture data on WICBT which includes, determining the total population of ICBTs, sample selection, questionnaire design, and analysis among others.
- o) Facilitate the total free movement of persons through the introduction of common passports and traders' identity cards, and the removal of visa requirements, and ensure protection against harassment, among other measures, to promote ICBT.

1. INTRODUCTION

1.1 Why Measure Informal Cross Border Trade (ICBT)?

Informal Cross Border Trade (ICBT), also referred to as parallel trade, is informal but has implications for the broader national and global economy. It is argued that the real integration process of Africa might be taking place more in ICBT than in formal trade, and the populations of Africa are much more at ease with informal trade. It is advantageous to maximize benefits from such trade as it adds to the formal economy and decreases formal-trade failures. ICBT is often driven by the need to improve welfare on the part of the poor; it is a survival as well as a wealth accumulation strategy. In this regard, ICBT can be viewed as a force for political stability in Africa, (United Nations Fund for Women (UNIFEM), 2009).

ICBT constitutes a significant part of formal trade in African regions and is an important component of the economy and regional integration processes. It constitutes, a vital source of self-employment and income for poor populations, particularly women who constitute a significant proportion of informal cross border traders, estimated at about 70 per cent in Zimbabwe, for example. Some estimates have put ICBT at between 30 and 40 per cent of trade within SADC, and 30 per cent of trade within COMESA, suggesting that by ignoring ICBT, SADC and COMESA member States could be overlooking a significant proportion of their trade.

Despite its significant contribution to economy, ICBT remains unrecognized and ignored by policymakers, undocumented and grossly underestimated. In addition to these constraints, as identified by the baseline studies undertaken by UNIFEM (2009) on the issue, WICBTs are facing many challenges such as: lack of services and resources in support of their activities; violence and harassment; stigmatization; inadequate implementation of regional trading agreements and protocols; conflict; weak trade-related institutions; lack of information on the opportunities provided by regional trading protocols and agreements.

In fact, Regional Economic Communities (RECs), in charge of the regulation of cross border trade in Africa, have adopted various agreements and protocols on the movement of people, goods and services and have created gender related institutions, units or services. In this regard, many RECs have adopted gender policies and protocols, and have undertaken many initiatives for better mainstreaming of gender into their policies and programmes. They have also undertaken cross-border initiatives (Economic Community of West African States (ECOWAS) cross-border initiative programme (CIP, 2005), Southern and Eastern Africa cross-border initiatives (CBI), among others.

Despite these efforts and political will on the part of the RECs to address gender issues in trade and regional integration processes, there is a disconnection between RECs

trade and gender policies, (UNIFEM, 2009). Most gender divisions/units/services in the RECs do not focus their activities on gender-related issues in trade. In addition, official trade regime and the cross-border initiatives (CBI) do not address ICBT.

The lack of effective statistical documentation of ICBT appears as a major challenge in many research Studies. In this regard, this lack of capturing, analysing and monitoring the processes and dynamics of ICBT consequently overshadows its presence and recognition. This situation raises the need for rapid change in statistical documentation and data capturing for a greater recognition of the economic contribution of women as ICBTs.

1.2 Objectives of the assessment

The objective of the study is to strengthen the capacities of the statistical divisions of RECs and national statistical offices (NSOs) to better capture the activities of WICBTs in their statistical systems. In order to achieve this objective, the Economic Commission for Africa (ECA) undertook a gender assessment of databases of RECs to identify gaps in capturing the activities of WICBTs.

1.3 Methodology

Consultations were made with the following RECs in Southern, East and West Africa, namely: Common Market for Eastern and Southern Africa (COMESA), Southern African Development Community (SADC), Economic Community of West African States (ECOWAS), Economic Community for Central African States (ECCAS) and Arab Maghreb Union (AMU) to identify the following:

- a) Methodologies used by RECs to collect, compile and analyse data on activities of women in informal cross border trade;
- b) Ways and extent to which these activities of WICBTs are captured in the regional and national statistical databases;
- c) Gaps in capturing the economic activities of WICBTs in regional and national statistics;
- d) Challenges and constraints relating to capturing economic activities of WICBTs in the regional and national statistical databases;
- e) Best practices in capturing economic activities of WICBTs in the regional and national statistical databases; and
- f) Strategies to address the identified gaps, challenges and constraints.

Five instruments were designed for the five RECs and these were used during consultations with REC officials; see appendix A2 for COMESA, SADC and ECOWAS examples. The ECCAS and AMU instruments were designed basically using the same format and coverage, for harmonization and comparability purposes. Consultations were conducted with the RECs during the following periods in August 2011: ECOWAS - 9-12;

ECCAS – 15-23; SADC - 16-19; COMESA - 23-26 and AMU 5-9 September, 2011. High-ranking officials from key sections such as gender, research and statistics, trade, customs etc. were consulted as shown in table 1. For the Southern, East and West African regions, six officials from COMESA, seven from SADC and ten from ECOWAS, were interviewed. For -East and Central Africa, six officials from ECCAS were consulted and four from the Ministries of Economy, Trade, Industry and Tourism, Gabonese Directorate-the General of Customs, and the National Accounts Department of Statistics of Gabon. For North Africa, the consultant met three officials from AMU, an additional four officials from ECA Subregional Office for North Africa (SRO-NA) in Rabat, as well as Office of Statistics officials from the High Commission for Planning of Morocco.. A total of 40 senior officials were interviewed, 32 of whom were from the five RECs.

Table 1: Assessment of regional databases to identify gaps in the activities of women in informal cross-border trade: consultations with African RECs (COMESA, SADC, ECOWAS, ECCAS and AMU), 9 August - 9 September, 2011	
DESIGNATION	DIRECTORATE/UNIT/COMMISSION
COMESA, 23-26 August, 2011	
1. Director	Gender and Social Affairs
2. Senior Statistician and Head of Unit	Statistics Unit, Division of Trade, Customs and Monetary Affairs
3. Statistical Officer	Statistics Unit
4. Senior Trade Officer	Trade Policy
5. Private Sector Development Specialist	Cross Border Component of Regional Food Security and Risk Management (REFORM) Project
6. HIV and AIDS branch chairperson	Zambian National Cross Border Traders Association
SADC, 16-19 August, 2011	
7. Gender Expert	Gender Unit- Research Monitoring and Evaluation
8. Senior Officer	Statistics Unit
9. Statistics Officer	Statistics and Research
10. Senior Programme Officer	Customs, Trade, Industry, Finance and Investment (TIFI)
11. Programme Officer	Trade Industry, Finance and Investment Directorate – Capacity Building Customs
12. Advisor	Capacity Building for Regional Integration” (CBRI) project– Regional Statistics
13. Programme Officer	Trade, Industry, Finance and Investment (TIFI) - Regional Trade
ECOWAS, 9-12 August, 2011	
14. Director	Research and Statistics
15. Director	Gender Statistics
16. Director	Trade Department
17. Officer	Informal Cross Border Trade
18. Officer	Customs/Free Trade Area
19. Director	Private Sector
20. Officer	External Trade Research and Statistics
21. Commissioner	Macroeconomic Policies
22. Macroeconomist	Macroeconomic Policies
23. Director	Free Movement/Tourism
ECCAS, 15-23 August, 2011	
24. Director	ECCAS Macro-economic Policy, Trade, Customs and Industry

25. Macro-economist	ECCAS
26. Statistician	ECCAS
27. Regional Technical Adviser	<i>CCI-PACCIA II</i>
28. Tax-Customs Expert	ECCAS
29. Customs Expert	ECCAS
Other Officials, 15-23 August, 2011	
30. Statistician, Central Inspector of Customs	Gabonese Directorate General of Customs
31. Director General of Statistics	Ministries of Economy, Trade, Industry and Tourism
32. Deputy Director General of Statistics	Ministries of Economy, Trade, Industry and Tourism
33. Statistician	National Accounts Department, Directorate General of Statistics
AMU, 5-9 September, 2011	
34. Chief	AMU, Division of Economic Affairs
35. Director	AMU, Food Security Department
36. Customs Expert	AMU
Other Officials, 5-9 September, 2011	
37. Statistician	ECA Representation, Rabat
38. IT Officer	ECA Representation, Rabat
39. Chief 1	Division of Household Surveys at the Department of Statistics, High Commission for Planning
40. Chief 2	Division of Household Surveys at the Department of Statistics, High Commission for Planning

It is important to note that RECs have not been collecting information on ICBT in general, let alone on WICBT activities. They therefore have no databases on the economic activities of women in ICBT. What is available in the region are ad hoc studies of WICBTs. Nonetheless, COMESA has recently made commendable efforts in the collection of ICBT data through the STR, 2007. SADC also conducted a study on ICBT in 2008 followed by the SADC Advocacy Strategy on Informal Cross Border Trade in 2011.

Though ECOWAS recently instituted a section on ICBT, there is still no specific research or database on WICBT in that REC. ECCAS, on the other hand, intends to launch an operation to collect ICBT data in 2012.

Given this reality on the ground, the terms of reference of the study were translated to a broader context to include a review of ICBT studies conducted by the RECs or by independent researchers on REC member States as a general indication of the WICBT data required in a REC database. In addition, the report highlights ICBT and WICBT conceptual issues as key to any such measurement and creation of databases at either national or REC level in the near future. It also became very clear that one cannot discuss REC databases without reference to national databases which are their key feeders for data.

In this regard, national best practices such as the case of Uganda which is a COMESA member State are highlighted among others. In the absence of WICBT databases in the RECs, the researchers had to find out what each REC was doing which is related to

compiling WICBT databases. Given this reality on the ground, the report therefore, identifies the challenges, constraints and gaps in capturing the economic activities of WICBTs from a broader perspective and suggests strategies required to resolve all such problems until REC WICBT databases are established.

This report was compiled on the basis of REC consultations and other analyses of issues over the period August to September, 2011. The report does not only inform about the status of ICBT issues and databases and the way to address them, but also provides guidelines that explain the various processes and steps that need to be adopted for better collection and capturing of WICBT activities of in regional and national statistics and databases. The first drafts of the two initial reports used to produce this combined report were presented and adopted with minor modifications at an Africa Regional Expert Group Meeting on Gender Statistics, 13-17 December, 2011, Accra, Ghana. This consolidated report will be used at all levels to inform on how to better capture the activities of women informal cross-border traders in statistical systems.

2. LITERATURE REVIEW

Southern Africa

The UNIFEM WICBT Study in Southern Africa: The case of Swaziland and Zimbabwe, 2009 conducted by J. Malaba and J.T. Chipika had as its main objective to contribute to filling the critical gap in information and knowledge about the characteristics of WICBT. This includes their implications for economic growth; development and welfare at different levels; government revenue; income and employment generation; food security; and gender relations and women's empowerment. The main hypothesis was that ICBT is a viable strategy for women's empowerment through wealth creation leading to poverty reduction. The way this study was conducted is cited as one of the best practices identified in this report for RECs to follow and the detailed methodology is presented in section 6.5.

ICBT, also referred to as Parallel Trade is informal in the way business is conducted, with low levels of capitalization. It also has small numbers of employees, is mostly owner operated, often unregistered, highly vulnerable to market and other forces and high collapse. However, most ICBTs are formal migrants in terms of emigration rules, customs and excise duty payments etc. ICBT can take place within a sub-region, a region, or globally across continents. Informal Cross Border Trade (ICBT) does not take place in a vacuum, but rather within a broader highly complex global environment of trade and development, interacting with national, regional and international development processes.

The study showed that, ICBT was partly poverty induced (push factor) and traders were attracted to perceived 'greener pasture' countries (pull factor). In this regard, ICBT became both a small scale survival strategy under harsh socio-economic conditions as

well as a wealth creation activity. In addition, the majority of ICBTs participated in informal cross-border trade largely for income, food security and employment purposes. Contrary to expectation, educated people were engaging in ICBT, depicting the low levels of formal employment in the context of generally weak economic performance in some of the countries in Southern Africa. Overall, ICBT was not a simplistic economic activity as implied by the term "informal trade", as it involved export and import of a variety of goods, services and currencies (high diversification). It also involved extended trade; extensive market information; illegal/illicit trade; barter trade and movement of goods across borders without their owners.

It was of great concern though, to note that at the SADC and Southern African Customs Union (SACU) as well as national levels, there were no policies or instruments to facilitate the development of ICBT, apart from the COMESA initiatives. In addition, ICBTs were generally not aware of the existence of ICBT associations in their countries, neither were they informed on the advantages and disadvantages of joining an association.

ICBTs in Southern Africa were operating in a harsh and risky environment as regards raising initial capital, transport, accommodation and poor water and sanitation. Other factors were trading places, storage space, stiff competition from Asian and other goods, delays at borders, thefts, expensive health care, harassment by immigration/customs officials, arrests by municipal police and deportations, sexual harassment and HIV and AIDS, bribes, prostitution and xenophobia, among others. Most of these problems and constraints remained unresolved. On the business side the following problems were highlighted by ICBTs: highly restrictive visa procedures and fees; absence of clearly laid down policies and procedures for small scale traders; unfair application of the rules of origin resulting in the poor paying duty whereas large corporate are exempted. Other factors were the misconception that traders take away business opportunities from locals of the host country; stringent duty free rebates rules; goods and foreign currency left after the exporter's failure to produce necessary documents are stolen and vandalized and limited access and difficulty in accessing capital meant for small and medium enterprises (SMEs). However, ICBTs had a high level of resilience in conducting their business because of the strong poverty push factor.

Contrary to the common belief that females were disempowered in making economic decisions, females in ICBT in Southern Africa were overall empowered to the same extent as their male counterparts in making decisions on ICBT business and use of income. Among major achievements of ICBTs were; buying major household items, educating children, building and buying houses or plots, among others. A significant proportion of ICBTs in Southern Africa said they would continue with ICBT even if the economic situations in their respective countries improved, showing that ICBT will be with us in the region for some time to come and will remain female dominated.

Some of the key recommendations from this study are as follows:

- Need for recognition of ICBT followed the setting up of specific ICBT structures and policies;
- Removal of the dual categorization of trade into formal and informal and instead view trade as a continuum from small traders to large traders;
- Formation and consolidation of ICBT Associations as a way of formalizing/semi-formalizing ICBT which is critical for providing support to the sub-sector;
- Speeding up the implementation of the STR initiative under COMESA;
- Improving the operating environment of ICBTs in terms of access to capital, transport, accommodation, storage, trading places, environment at border posts, import and export duty regime, marketing and other business skills development, basic health rights and elimination of violence and harassment, among others;
- Issuance of REC passports and removal of visa requirements;
- Issuance of formal business identification documentation for ICBTs; and
- Improving data collection on ICBT in the region in order to capture the contribution of ICBTs to economic development as well as to inform policymakers on the activities and challenges of this sub-sector.

The SADC, 2008 ICBT study conducted by the Southern African Research and Documentation Centre (SARDC), had similar findings in measuring WICBT to the UNIFEM study above as reported in detail under the discussion on the SADC initiatives. The study concluded that overall, the positive benefits from ICBT outweighed the negative consequences. It was further noted that an interesting expanding feature of ICBT in the region was that of 'goods crossing borders without their owners', being ferried by 'runners' who were notorious for undervaluing declarations, bribing customs officials to evade customs duty or sometimes not declaring their goods at all. Even though the study is highly informative, its downside is that data was collected through a limited number of interviews with a wide spectrum of stakeholders. These included ICBTs, trade unions, trade associations, civil society organizations, government officials, financial institutions, transport operators, clearing agents and the SADC Secretariat. There was no mention of the sample of ICBTs interviewed and the number of institutions contacted for information. OSSREA Publications (J. Nsolo, N. Mijere, 2011) also drew similar conclusions in the UNIFEM and SADC studies on ICBT in SADC

In his book, 'Women Without Borders', V. Muzvidziwa (2005) concludes that ICBT compared to other types of informal trade, creates employment, raises incomes, leads to improvement in people's well-being, takes people away from non-productive enterprises to profit-making ventures and has a very high return on investment. Furthermore, ICBT empowers women as the women ICBTs invest in their children's education, health care and property, becoming the envy of their communities. However, looming large behind this optimistic view is the threat posed by the HIV and AIDS pandemic to these 'women without borders'.

This second picture of women ICBTs shows that cross-border trade can be difficult and in some instances a hazardous enterprise. ICBT involves prolonged absence from home causing marital stress and increasing the possibility of contracting HIV, risky transportation in which many lives have been lost, constant harassment from the police and other law enforcement agencies such as customs and immigration officers, security risks for both people and goods in foreign lands etc. The Southern African Migration Programme, 2007 confirms the above findings as it concludes that the major reason for sexual activities by female ICBTs was the desire to reduce expenses in foreign countries. This was because *"Accommodation in foreign countries is scarce and expensive and makes traders stay in unhealthy places or sleep in garages, buses and trucks"*.

Similar studies on women in ICBT were also conducted by UNIFEM during the period 2007-2008 in Cameroon and Liberia with generally similar findings except for region specific peculiarities, such as the post war situation in Liberia.

West Africa

Eliminating trade restrictions can lead to increased economic activity and trade in the region, ultimately benefiting half of the 260 million West African people who produce, trade, and consume local products. Women in West Africa are actively engaged in the production and trading of food and other commodities and have a great potential to contribute to increased cross-border trade. Given that women's cross-border trade is usually carried out informally, measuring their contribution to national and regional economic development is difficult. Women contribute to increasing food security by trading in food products from areas of surplus to areas of scarcity. Moreover, women's businesses engage a large number of people, formally (by using the services of other businesses, such as public and private transportation) and informally (by employing family members), thus creating livelihood for many who otherwise would be under or unemployed, (USAID, May 2001).

Recognizing the lack of information on the scope and magnitude of women's business activities in West Africa, the USAID West Africa Regional Programme (WARP) requested Women in Development Technical Assistance Project (WIDTECH) to undertake an assessment of women's cross-border trade. Fieldwork was conducted in Benin, Ghana, Mali, and Senegal and in the border areas of Burkina Faso, Côte d'Ivoire, and Nigeria. Women traders from Guinea and Guinea-Bissau were interviewed at the border markets in Senegal. Interviews were held with women cross-border traders, customs officials, freight forwarders and transporters, government officials, and members of commodity associations. The survey collected information on the kind of traders, type of commodities traded in, organization of trade, and methods for acquiring market information, changes in trade patterns, and business and social networks.

The findings were that WICBTs in West Africa are a heterogeneous group. Various socioeconomic and cultural variables can be used to differentiate between women cross-border traders. Based on the volume and value of their businesses, their buying and selling activities, their travel destinations, and the types of markets in which they operate, women cross-border traders are divided into three broad categories: retailers, wholesalers/retailers, and wholesalers. All three categories of women cross-border traders engage in trading in agricultural produce, agricultural processed goods, or light-manufacturing commodities. Seasonal price fluctuations for agricultural commodities increase profit margins for traders who store crops immediately after harvest and sell them later in the season. Women engage heavily in trading in local agricultural goods that have been processed using small-scale technologies.

The constraints women cross-border traders in West Africa face include inadequate public and private transportation, customs and other payments, lack of financial services, poor security, lack of business management skills, and limited market information. Women cross-border traders pay customs fees at several roadblocks set up within one country, irrespective of the value or the volume of goods they transport. Frequent inspections at roadblocks delay women in reaching their destinations. Many of these problems result from the slow implementation of regional trade agreements that were intended to eliminate tariff and non-tariff barriers to trade. Women cross-border traders are not informed about changes in trade policy that would affect tariff and non-tariff constraints to trade and consider the customs duties as part of the normal trading practice. In terms of security WICBTs reported increased incidents of physical assaults and robbery in trains and buses and at train and bus stations en route to markets across borders. The lack of effective police presence at railway stations increases the incidence of crime against women traders.

Specific recommendations were as follows:

- Promote dialogue and programmes at the regional and national levels, including standardization of customs rules and tariffs, provision of financial services and improvement of infrastructure to alleviate transportation constraints;
- Enhance the capacity of women engaged in cross-border trade by providing business skills training;
- Increase access to local, regional, and international market information systems and to trade policy and customs information through the mass media and other means;
- Conduct sub-sector research on dried fish and cloth so these commodities, which are traded in mostly by women can better compete in local and regional markets; and
- Strengthen organizations in which women have high memberships so they can voice gender-based concerns and negotiate better terms with local, national, and regional institutions to support their businesses.

East Africa

Victor Ogalo (2010) of CUTS African Resource Centre 2010 defines "informal cross-border trade" as imports and exports of legitimately produced goods and services (that is, legal goods and services), which directly or indirectly escape the regulatory framework for taxation and other procedures set by the government, and often go unrecorded or incorrectly recorded into official national statistics of the trading countries. This research is a typical example of the problems of concept and definition relating to the ICBT sub-sector, which will be discussed in more detail in section 3 on the conceptual framework. All the reviewed surveys in the research paper suggest that ICBT still represents a significant proportion of regional cross border trade in the East African Community (EAC).

Official statistics provided in this study indicate that in the case of Uganda, its negative trade balance with Kenya continues to increase. On the other hand, the ICBT statistics indicate a positive trade balance. If the two sets of data (both for ICBT and official trade) were to be added together, they would indicate that Uganda's official trade data actually falls short by more than 80 per cent of what should be Uganda's inter-EAC exports.

The study has established that those engaged in ICBT are from both informal (unregistered) and formal (registered) firms. In reality, the formal firms are stigmatizing and fighting the informal ones through the government. The formal firms engaging in ICBT are either totally disregarding trade regulations and evading duties by passing their commodities through "unofficial routes" or partly disregarding trade regulations and evading duties even when they pass their goods through official routes. These formal firms are involved in illegal practices such as under-declaration of the quantities, weight or value of goods so as to pay lower custom duties; falsifying the description of products (misclassification) so that they are treated as products subject to no or lower tariffs; wrong declaration of country of origin to avoid any taxes that may be applicable; and bribery of customs officials and police officers.

A large percentage of those engaged in ICBT are educated to at least secondary level of education. The study shows that ICBT in EAC involves almost all types of goods, staple food commodities and even food aid that have a direct impact on regional food security. Others are low quality consumer goods such as shoes, clothes, textile and vehicle and bicycle parts and even fake drugs; and some of the goods are imitations of the same ones that benefit from export promotion schemes, such as textiles.

Many ICBT traders were well aware of the various general provisions of the EAC Customs Union, including most of the regulatory requirements. However, some of them attribute their continued engagement in ICBT to the presence of physical and technical barriers in formal trade; others to the incentives inherent in ICBT; while others blame socio economic problems as the hindrance to profitable engagement in formal trading.

The main modes of transport used in ICBT are vehicles, bicycles, head/hand, motorcycles, wheel chairs, animals (donkeys), push carts, boats/canoe etc. People with disabilities, like those in wheel chairs are paid to help move small/light but valuable goods such as sugar, salt, soap, cooking oil and plastics. In most cases, the flow of ICBT goods appears to be in small quantities. Where big consignments are involved, they are usually divided into smaller quantities to avoid attention when crossing borders. Small quantities of goods are taken through official points which when put together account for a significant amount. These small quantities crossing the borders are not necessarily sold immediately; they are kept in stores which are jointly hired by the traders until a reasonable volume is obtained and they then jointly hire some means of transport to haul their consignment to the rest of the regions in the country.

ICBT in EAC pre-dates colonial and post-colonial state boundaries. The growth of ICBT generally represents a normal market response to the stringent conditions of formal trade. Other factors that push people towards ICBT are the weak economies of EAC that have seen formal employment shrink, especially, following Structural Adjustment Programmes (SAPs) of the early 1980s. ICBT contributes to the economies of EAC countries in various ways. It enables small scale entrepreneurs to escape poverty and to meet educational, housing and other basic needs. In addition, ICBT traders employ people in their home countries and in the countries where they source their goods, which is also a supplementary source of family income for people who are underemployed and a source of employment for people who were retrenched following economic restructuring.

The study concluded that, the fact that such important data on ICBT is missing from national statistics implies that what has always been stated as the GDP of EAC economies is often grossly underestimated. The consequences might actually be a wrong perception about the real trade balances of these economies with one other, the trade benefits accruing to them from regional integration, and might continue to give a wrong impression about the extent of the performance and direction of growth of regional trade in EAC. However, it has also been observed that during economic downturn when the formal private sector is shrinking and people are laid off from employment, the informal sector provides an alternative source of employment. It is mostly the formal firms that engage in ICBT and hurt the EAC economies rather than small informal traders, which are basically survivalist enterprises.

The following recommendations were drawn from the study:

- Since the informal economy is here to stay as an alternative to the shrinking formal sector, there is the need to provide it with an enabling environment where it can coexist with the formal economy without hurting the economy. By creating such supportive environment for the informal traders across EAC, both EAC countries and informal cross-border traders stand to benefit more;

- Creating a conducive environment for those involved in ICBT to operate in may mean the trader acquiring better knowledge about their rights as they trade across the region, so that cases of paying bribes to border officials and smuggling goods across borders will be reduced;
- It will also be important for EAC countries to encourage and promote trade exhibitions involving informal traders across EAC borders;
- It should be recognized that if statistics are missing on the informal sector then it will be difficult for the EAC governments to prescribe the sector suitable policies;
- The EAC countries should strive to have a common definition of what constitutes the informal sector such that it can be well developed with appropriate policies; and
- ICBT is a worldwide reality and requires official recognition including revising EAC Common Market (CM) to recognize it and provide it with an appropriate operational environment.

3. CONCEPTUAL FRAMEWORK

3.1 Definition of ICBT

There is a serious conceptual misunderstanding in professional circles on what constitutes ICBT. The problem emanates basically from whether one is looking at the recording of trade or at the agent of trade/trader. The 2009 OECD study defines informal cross-border trade as *“trade in legitimately produced goods and services, which escapes the regulatory framework set by the government, as such avoiding certain tax and regulatory burdens”*. This includes both big and small traders who are under-recording, wrong classification, or concealing goods in order to avoid duties and taxes. It also includes goods smuggled over borders outside of the border posts, see Table 2.

Table 2: Basic conceptualization of ICBT – types of informal cross border trade		
Category A	Category B	Category C
Informal (unregistered) traders or firms operating entirely outside the formal economy.	Formal (registered) firms Totally disregarding trade regulations and evading duties (e.g., avoiding official border-crossing posts).	Formal (registered) firms Partly disregarding trade regulations and evading duties by resorting to illegal practices (e.g., under-invoicing, wrong classification, wrong declaration of country of origin and/or bribery of border officials).
Source: Organisation for Economic Co-operation and Development (OECD), 2009.		

The conventional trade macroeconomist is concerned with whether trade is recorded or unrecorded irrespective of the status of the trader. In this regard, this group of professionals defines ICBT as unrecorded trade irrespective of who is conducting it (formal registered company or an unregistered trader). Accordingly, the trade

economist's concern is to maximally record trade for national accounting purposes (covering all categories A, B and C), with minimal concern as to who is trading and under what circumstances.

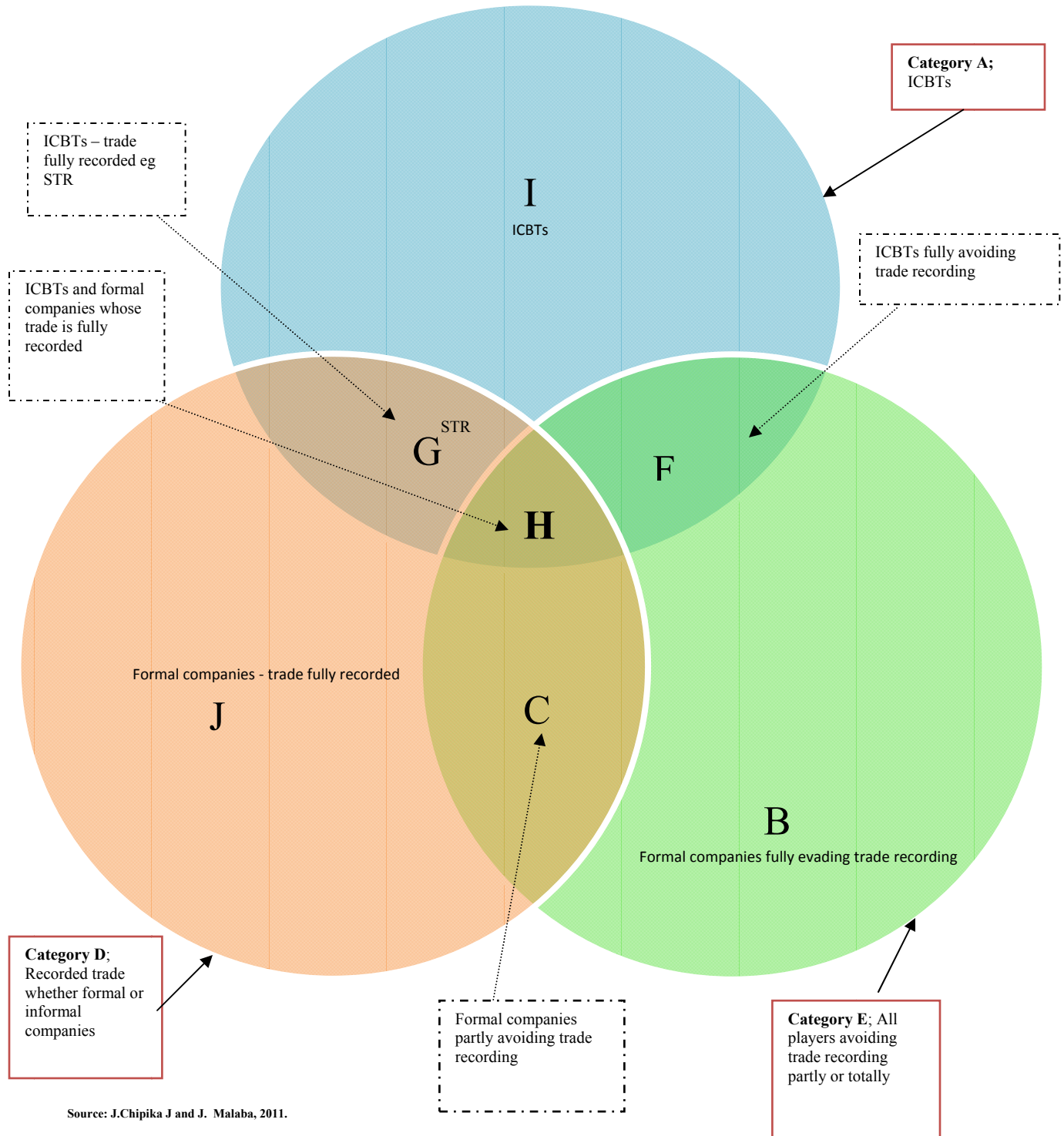
In contrast,, gender economists, other gender professionals and activists, including institutions that promote the welfare of women such as UN Women, and those who champion poverty reduction and eradication, among others, are concerned with the vulnerable, small, unregistered cross-border traders who derive their basic livelihood from this activity under harsh working conditions, the majority of whom are women. In this regard, this group of professionals is mainly concerned about WICBTs as in Category A, in terms of their trading conditions as well as the volumes of trade they are handling. Unlike the conventional trade economist, what the gender economist school of thought refers to as ICBT excludes formal registered companies which avoid being captured in trade records in various ways.

This divergence in ICBT conceptualization has been the fundamental problem in the collection of data on activities of WICBT under the RECs and at national level. Figure 1 presents a comprehensive conceptual framework of ICBT as follows:

- Category A Informal Cross Border Traders (ICBTs)
- Category D All Players (formal companies and informal players) whose trade is recorded
- Category E All Players (formal companies and informal players) avoiding trade recording either partly or totally
 - B Formal companies totally avoiding being captured in trade recording, for example, avoiding official borders (*they are difficult to capture*);
 - J Formal companies whose trade is fully recorded;
 - I ICBTs outside the officially recognized trading and policy system;
 - C Formal companies partly avoiding trade recording;
 - F ICBTs fully avoiding trade recording;
 - G ICBTs whose trade is fully recorded (for example, under the Simplified Trade Regime); and
 - H ICBTs and formal companies whose trade is fully recorded.

The combination of categories A, D, and E constitutes all the players in trade.

Figure 1: Informal Cross Border Trade Conceptual Framework, 2011



3.2 The ICBT definition dichotomy in sub-Saharan Africa RECs

Unfortunately, the ICBT conceptual dichotomy highlighted above is real on the ground in the sub-Saharan Africa (SSA) RECs. This has partly resulted in the lack of collection of data on the activities of WICBTs in the region. An interview with a COMESA trade economist revealed that the conventional approach is still overriding the trade statistics compilation in COMESA. The COMESA economist said:

"Informal cross-border trade is defined as trade that is unrecorded. Any trade, regardless of size and who the trader is, which is recorded through the official customs system of a country, is formal trade. This means that the trade of some of the small traders is formal, although the larger proportion of unrecorded trade is carried out by the small-scale cross-border traders".

However, it is worth noting that COMESA deliberately talks about small cross-border traders as opposed to informal cross-border trade to avoid stigmatizing these small traders with the informal label.

The same sentiment was clearly echoed in the interview with officials from SADC Trade Statistics who said:

"Informal cross-border trade is trade which is not registered by the formal system. The informality is about the trade itself and not the traders. It means that the trade from unregistered firms and individuals which is collected under the Automated System for Customs Data (ASYCUDA) trade system is formal in the sense that it is recorded".

An ECOWAS macroeconomist concurred with the above conventional definitions of ICBT.

This is in sharp contrast to the SADC Gender Unit conceptualization of ICBT which highlighted that in the *"High Level Policy Meeting On Informal Cross Border Trade In Southern Africa"*, held from 1 to 3 November, 2010 in Harare ICBT where it was defined as operating at various different levels. These were:

- (i) Formal-informal cross-border trade where the trader's business is formally registered and licensed in his/her country but is informal at the border.
- (ii) Informal-informal cross border trade where the business is unregistered/unlicensed and trading is informal in the country of origin and at the border.
- (iii) Informal-economically disadvantaged cross-border traders - individuals, the majority of whom are women, literate or illiterate, who trade in

- goods/services across borders without any official import/export license/permit, operating in small quantities of goods and services on a regular basis for livelihood/survival purposes.
- (iv) Women, men and youth traders/producers, who take consignments to countries where there is demand.
 - (v) Informal and illegal Cross-border traders who trade in illegal products and services (for example, prostitutions, drugs, etc.).

The SADC Advocacy Strategy on Informal Cross Border Trade, 2011 is focusing on the group as covered under (iii) and this category may also include producers who take consignments to countries where there is demand. However, the authors of this report feel that (ii) is also a group relevant to the WICBT statistical compilation.

ICBT, also referred to as parallel trade, is informal in the way business is organized, with low levels of capitalization. It also has a small number of employees, is mostly owner operated, often unregistered, is highly vulnerable to market and other forces and has a high mortality rate of collapse. However, most ICBTs are formal migrants in terms of emigration rules, customs and excise duty payments. ICBT can take place within a subregion, a region, or globally across continents (UNIFEM, 2010 and SADC 2011).

ICBT is vibrant as well as complex and its implications for national, regional and global economies cannot be underestimated. In Africa, the parallel/informal economy seems much larger than the formal economy in terms of share and impact (GDP, employment, etc.). ICBT is a survival strategy for the poor, in most instances women, who have been left vulnerable by floundering economies, the spiralling HIV and AIDS pandemic, and food insecurity brought about by harsh climate conditions, conflicts, political instability and many other factors. It has been argued that ICBT has been instrumental in forging the process of integration in Africa, as populations across the continent find it easier to trade informally. In this regard, ICBT can be viewed as a force for political stability in Africa (UNIFEM, 2010 and SADC, 2011).

Similarly, the COMESA REFORM Project defined cross-border traders as small and medium-sized enterprises, whose trade is largely informal, that is, unrecorded. The Uganda Informal Cross Border Trade Survey carried out by the Uganda Bureau of Statistics (UBS) and the Bank of Uganda (BOU), defined ICBT as trade transactions that involve residents and non-residents across the economic boundaries of two or more countries, and are largely not recorded by customs authorities.

Within the context of this ICBT conceptual problem, all the RECs have three major departments/units/commissions linked to the issue of ICBT, namely gender, trade and research and statistics. While gender departments, which are generally weak in terms of capacity to articulate their gender data requirements, particularly in ICBT, subscribe to the WICBT approach, the trade departments, which are generally technically strong and well-endowed with capacity, subscribe to the conventional approach to ICBT. Since

the production of statistics is normally demand driven, the weaker gender departments in the RECs have not been able to clearly specify what data they need to advance the WICBT agenda from their perspective. In the meantime, trade statistics in the RECs and even at national level, remain dominated by the economist's conventional approach, with no tangible efforts to capture data on WICBT or even to publish trade data according to whether the trader is registered or not, which is already being captured under ASYCUDA.

4. CURRENT STATUS AND METHODOLOGIES USED TO COLLECT, COMPILE AND ANALYSE DATA ON WICBT ACTIVITIES OF IN RECs

As highlighted earlier, generally, RECs have not been collecting information on ICBT in general, let alone on the activities of women in informal cross-border trade, and have therefore no databases on economic activities of women in ICBT. What are available in the region are ad hoc studies of WICBTs as highlighted in the literature review. However, COMESA has recently made commendable efforts in the collection of ICBT data through the STR, 2007. SADC in 2008 conducted a study on ICBT. Currently, SADC has put in place an Advocacy Strategy on Informal Cross Border Trade, 2011. Though ECOWAS recently instituted a section on ICBT, there is still no specific research or database on WICBT. ECCAS intends to launch an operation to collect ICBT data in 2012.

At national level, UGANDA provides an example of a best practice in the estimation of informal trade. As earlier noted, the country defines ICBT as trade transactions that involve residents and non-residents across the economic boundaries of two or more countries, and these are largely not recorded by customs authorities. ICBT Survey is an economic survey covering unrecorded trade transactions in goods across Uganda's borders that are not included in official customs data. It is conducted by the Uganda Bureau of Statistics and the Bank of Uganda with financial assistance from the Department for International Development (DFID/UK). So far, three ICBT studies have been conducted in Uganda, in 2003, 2004/2005 and 2006.

The REC databases at the moment largely contain detailed formal trade statistics which however, are not disaggregated by gender. However, it is of great concern that even for formal trade statistics, the databases are not centralized (most are on the personal computers of the statisticians and are outdated). Similar problems were noted with the attempts made to collect ICBT data, for example, through the STR as in COMESA. Another issue of major concern is that generally, at both REC and national level, ICBT data are not disaggregated by gender. This is true even for the current COMESA STR and the Uganda ICBT Survey.

Globally, there is a well-established formal trade information system in countries mainly using ASYCUDA. The ASYCUDA is a computerized system designed by United Nations Conference on Trade and Development (UNCTAD) to administer a country's customs or computerized customs data management and trade statistics system, introduced in

1993. Currently, there are three different generations of ASYCUDA in use: ASYCUDA 2.7, ASYCUDA++ and ASYCUDA World. All of these were designed using different paradigms and solutions available at the time of conception, with ASYCUDA World being the most recent and less used so far (early 2009).

The aim of UNCTAD was to build a computer system to assist customs authorities (or their local equivalent) all over the world to automate and control their core processes and obtain timely, accurate and valuable information to support government projections and planning. The use of ASYCUDA also helps to reduce the time taken to clear commercial consignments through customs. Data from ASYCUDA are transferred into EUROTRACE for trade statistics compilation. Most countries in the RECs use EUROTRACE to compile trade statistics.

In COMESA, 15 out of 19 member States have installed and are using the EUROTRACE system. However, in ECOWAS, countries such as Côte d'Ivoire, Ghana and Senegal use their own systems such as SYDAM, GAINDE and GCNET, respectively. Generally, data from customs do not cover ICBT comprehensively as they are mainly interested in revenue collection. As a result, 99 per cent of data on imports are captured because of the interest in revenues, whilst export data are captured to a lesser degree or not at all.

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The next section presents the REC institutional and policy frameworks, databases and other ICBT-related programmes that are currently available.

4.1 Common Market for Eastern and Southern Africa

4.1.1 COMESA institutional and policy framework

COMESA is a regional economic grouping made up of 19 member States, with an estimated population of 400 million people. The current COMESA member States include Burundi, Comoros, Democratic Republic of Congo (DRC), Djibouti, Egypt, Eritrea, Ethiopia, Kenya, Libya, Madagascar, Malawi, Mauritius, Rwanda, Seychelles, Sudan, Swaziland, Uganda, Zambia and Zimbabwe. COMESA was established in 1994 to succeed the Preferential Trade Area (PTA) for Eastern and Southern Africa that had been in existence since 1981. COMESA is one of the building blocks of the AEC under the Abuja Treaty and the African Union (AU) Constitutive Act. The principle focus of COMESA is outward-oriented with the vision of promoting regional integration through trade development, investment promotion and sustainable utilization of natural resources for the mutual benefit of all its citizens. Significant progress has been made over the years with tangible growth in trade and increased cross-border investment. For example, by 2009, intra-COMESA trade was estimated at \$15.2 billion from \$3.2 billion in 2000.

COMESA launched Africa's first Free Trade Area (FTA) with nine member States on 31 October 2000. Currently, the membership of the COMESA FTA has grown to 14 countries out of the 19 that have ratified. It has been steadily laying the foundation for a Customs Union, which was formally launched in June 2009, with a three-year transitional period. The fundamentals of the Customs Union are in place. These include a concrete agreement on the structure and rates of the Common External Tariff (0 per cent for both capital goods and raw materials, 10 per cent for intermediate goods, and 25 per cent for final goods), the principles for a Common Trade Policy, the Customs Management Regulations, the revenue collection and sharing mechanism, and the institutional and administrative structures. According to the COMESA Treaty, a Common Market should be established by 2015 and, ultimately, a Monetary Union by 2018.

After the FTA, the STR was introduced to assist SCBTs by simplifying the process of clearing goods through the introduction of a simplified Certificate of Origin (CoO) and a Simplified Customs Document (SCD). The COMESA STR is an example of a best practice in Africa, in terms of supporting small-scale traders and data collection in this area as will be elaborated below.

As part of the longer-term objective to establish a strong market, COMESA has adopted a Protocol on Free Movement of Persons, Labour, and the Right of Establishment and Residence. The REC is currently working to remove all the barriers to free movement in the region. These include policies on labour mobility, social welfare, immigration, and determination of the rights of migrants. Only four countries have to date signed the free movement protocol and only one has ratified it. COMESA desks have been established at most airports in member States to facilitate movement of COMESA residents across borders. However, it is still necessary to obtain visas to enter COMESA countries, for example, for Zimbabweans entering Egypt and Eritrea.

The COMESA Treaty talks about trade and gender in general but does not specifically talk about women in small or informal cross-border trade. There is no explicit framework which particularly covers small cross-border trade. However, the relevant issues can be considered in the COMESA Medium Term Strategic Plan, 2011-2015, under removal of barriers to trade.

According to the COMESA Treaty, in Article 154 Role of Women in Development and Article 155 Role of Women in Business (WIB) "Member States agree that women make significant contribution towards the process of socio-economic transformation and sustainable growth and that it is impossible to implement effective programmes for rural transformation and improvements in the informal sector without the full participation of women". Article 155 in particular has three provisions b, c and f which promote WICBTs They are as follows:

- a) Create an enabling environment for the effective participation of women in common market trade and development activities;

- b) Promote special programmes for women in small and medium-sized companies; and
- c) Recognize and support the Federation of National Associations of Women in Business established to promote the effective participation of women in the Common Market trade and development activities.

COMESA also has a COMESA Gender Policy formulated since 2002. Its main objective is to facilitate the mainstreaming of gender perspectives into all policies, structures, systems, programmes and activities of COMESA in order to make them gender-responsive and contribute to the effective achievement of sustainable socio-economic development. The policy also commits the Governments to fulfil their gender obligations under the various international and regional instruments and institutions such as CEDAW, the Social Summit for Sustainable Development, the African and Beijing Platforms for Action, the SADC Gender Declaration, the Millennium Development Goals (MDGs) and the commitments under the New Partnership for Africa's Development (NEPAD).

According to the COMESA Medium Term Strategic Plan - Towards an Integrated and Competitive Common Market, 2011-2015, gender is a cross cutting theme in the core integration agenda. The imperative underlying the gender and social development programme is the need for equal opportunity and treatment for all segments of the population, especially, women, youth and marginalized groups. The adoption of a gender policy, the establishment of the Federation for Women in Business in Eastern and Southern Africa (FEMCOM), and the continued implementation of a comprehensive Gender Mainstreaming Strategy and Action Plan (GMSAP), 2008 are laying the foundation for empowerment of women, youth and people living with HIV and AIDS. The Gender Policy is very explicit on the support for women in trade and also on the need to set up databases which are gender disaggregated.

The strategic objective for gender as a cross-cutting issue is seen as facilitation of its integration into the broader regional integration agenda. Under key strategies comes the need to foster the mainstreaming of gender perspectives in the secretariat and in COMESA programmes. This is also in line with to the aims to develop the COMESA social charter and mainstream social and cultural affairs, in order to promote economic growth and social development.

Current efforts are being made in COMESA under the Gender and Social Affairs division to mainstream gender in the different COMESA development programmes and activities especially those on Cross Border Trade (CBT). COMESA programmes include the Regional Food Security and Risk Management Programme for Eastern and Southern Africa. The COMESA component - CBT REFORM falls under the Investment Promotion Private Sector Development (IPPSD) Division. Others are the Trading for Peace (TFP) under the Legal Division, Women in Business Programme under the Gender and Social

Affairs Division, and the Trade and Customs Division. These and other specific programmes would be useful entry points in mainstreaming gender in CBT.

Despite these noble aspirations for women empowerment enshrined in the COMESA Treaty, and despite the Gender Policy and Medium Term Strategic Plan, 2011-2015 already on the ground, there are no operational budgets for any meaningful gender-empowerment initiatives, let alone WICBT activities. However, a gender directorate was created in 2009, with two staff members. The Gender Unit has been able to collaborate with the European Union under the REFORM STR Project to conduct a "Study on Cross Border Traders in Zambia, Rwanda and Malawi". Donors have not been forthcoming in this area as they need to see a higher COMESA commitment to this cause, in terms of an operational budget line. Some funds have been provided by the European Union for sensitization on HIV and AIDS issues (behavioural and attitudinal change), which touches on WICBTs. The Women in Business Federation conducted a "Study on Trading Houses" which recommended support to WICBTs and also to the one-stop-hop border post and STR concept.

4.1.2 COMESA databases

COMESA compiles detailed formal merchandise trade statistics and other economic data, with informal cross-border trade data beginning to come in through the STR. Formal trade and economic data are readily available on the online COMESA database called COMSTAT available from website www.comstat.comesa.int. Work is in progress to also create a COMESA Millennium Development Goals (MDGs) indicator database, COMESAINFO. This latter database is of the format of the global DEVINFO. Most countries worldwide already have MDG DEVINFO databases. The MDG databases aim at collecting data from member States and where the data are not available, they use the data in the United Nations Statistics Division MDG database.

The current COMSTAT database is being revamped to make it more user-friendly, robust and more comprehensive in terms of indicator content. By the end of 2011, it is hoped that both the improved and updated COMSTAT and the COMESAINFO databases will be readily available online. The current COMSTAT database covers all 19 COMESA member States for the period 1987 to 2008. It is very outdated, with the latest information that of 2008. For most of the indicators, the data are not available and sometimes they only go up to 2004/2005.

Furthermore, COMSTAT covers only formal trade and other economic indicators, with minimal social indicators. There are no immediate plans to include WICBT data. However, if member States begin to collect information on ICBT, it could be incorporated into the database.

Currently, COMSTAT covers three main areas; economic (1987-2008), trade integration (1980-2008) and infrastructure comprising energy (1980-2004), information and

communication technology (ICT) (2001-2005) and roads (only 2004)) indicators. Economic indicators include the Consumer Price Index (CPI); exchange rate; GDP at current prices; GDP at constant prices; inward foreign direct investment; labour force; and total population – with urban and rural breakdowns.

Merchandise trade data, which covers 1997-2010, includes aggregate trade, trade by sector, trade by product and trade flow analysis. Detailed trade integration indicators include the Export Intensity Index; Export Specialization Index for COMESA; Hirshmen Index; Intra-COMESA Export and Import Shares; Revealed Symmetric Comparative Advantage Index; Sector Export and Import Shares; and the Trade to GDP Ratio, among others. Thus, in COMSTAT there are no data on ICBT or on WICBT.

4.1.3 The COMESA STR

The COMESA STR is a tool which was introduced to assist informal/small-scale cross-border traders (SCBTs) by simplifying the process of clearing goods through the introduction of a simplified certificate of origin and a simplified customs document form. The STR was formulated by COMESA after SCBTs had advocated for it. The STR is not a new trade regime replacing the FTA. It is a simplified procedure which allows semi-literate and localized small traders to be able to apply customs procedures to enable them to benefit from duty-free facilities. It also allows Governments to easily take stock of small-scale trade that would otherwise be lost because of its informal means.

It has been argued that the STR does not lead to loss of revenue, but brings in additional revenue from those who would otherwise not trade through this formal channel. The STR is trying to create shortcut access to the Certificate of Origin (CoO) by developing a Common List of Goods (CLG) to avoid the current system whereby SCBTs are required to produce a CoO, which is in most cases obtained from the capital cities. The COMESA STR can be used by COMESA and non-COMESA SCBTs:

- a) Who are importing or exporting goods worth \$1,000 or less per consignment;
- b) With goods that are listed on the Common List that qualify under the COMESA STR;
- c) With goods that the trader will be going on to sell; and
- d) With goods that do not appear on the Common List but whose value is \$1,000 or less.

By removing customs duties and other practices that discourage trade, COMESA countries can increase trading opportunities and reduce the cost of goods for all types of traders. More trading opportunities and reduced costs mean more employment and money to be earned by its people. It also implies moving goods from surplus areas to areas of scarcity, especially food, which improves the general standard of living.

The implementation of the COMESA STR started on a pilot basis, with ten countries, namely, Burundi, Democratic Republic of Congo (DRC), Ethiopia, Kenya, Malawi,

Rwanda, Sudan, Uganda, Zambia and Zimbabwe and will later be extended to other countries. Each country has set up a National Working Group (NWG) of key government ministries and departments responsible for different aspects of cross-border trade as well as the traders themselves. The NWG is composed of main ministries and authorities relating to trade, agriculture, customs, plant and animal health, immigration, and civil society representatives, from associations of SCBTs, gender-related business programmes, and others. The objective is to promote simplified cross-border trade. The NWG is headed by a lead agency and has a focal point. The COMESA STR is currently being implemented between Malawi, Zambia and Zimbabwe at the following four border points: Mwami/Mchinji; Chirundu; Kariba and Livingstone/Victoria Falls. COMESA is currently supporting 12 trade information desks (TIDs).

COMESA launched the Regional Food Security and Risk Management (REFORM) Programme in April 2009, jointly implemented with IGAD and funded by EU. The project has four areas which deal with vulnerability in food security, namely, capacity-building, social protection, disaster risk management and cross-border trade. Under the cross-border trade initiative the main objective is to increase small-scale trade in agricultural food stuffs.

There are four sub-result areas under the COMESA cross-border initiative which are as follows:

- a) Institutionalization of SCBT by establishing an SCBT Unit;
- b) Strengthening and creation of cross-border associations at regional and national levels;
- c) Helping or facilitating member States to implement the STR; and
- d) Enhancing the capacity of small traders and border officials to influence trade policy, including the formalization of informal trade.

Having successfully established the Cross Border Trade Desk within the COMESA Secretariat, the Regional Food Security and Risk Management/Cross Border Trade (REFORM/CBT) has managed to further build the capacity of cross-border traders in the region by strengthening their associations. This has been done by introducing training programmes for their members, giving direct support to the secretariats, provision of office equipment (both hardware and software) and establishment of the trade information desks with staff complements. The programme has also managed to review the STR with the aim of improving its usefulness and applicability for small traders before broadening it geographically and rolling it out to other member States not covered in the first phase of its implementation.

The Simplified Customs Document (SCD)/STR Form (see appendix 3) has nine fields which are as follows:

- Name of exporter

- Port of clearance
- Name of importer
- Identification of transport
- Goods description, quantity
- Country of origin
- Country of destination
- Net weight/volume (kg/litres), and
- Value.

It is important to note that there is no gender field on the current SCD/STR form. The SCD is applicable for commercial trade with a threshold value not exceeding \$1,000 per consignment. SCBTs engaged in commercial trade fill these SCD in their country of origin when either exporting or importing goods and also in the country of destination when either importing or exporting goods. It means that an SCBT who is exporting goods from the country of origin and importing goods from country of destination fills in the SCD four times.

After the completion of the SCD the data on this instrument are entered into the ASYCUDA¹ by the Customs officials. In some countries, SCBTs are required to pay what is known as an ASYCUDA fee which ranges from zero in countries such as Zimbabwe to \$30 in Malawi, for inputting the SCD information into the ASYCUDA. SCBTs tend to avoid the STR because of this prohibitive fee, as reflected in the statistics collected from the Trade Information Desk Officers (TIDOs).

In addition, the TIDOs at the borders manually record additional data in their notebooks and these data are submitted to COMESA, the Regional Cross Border Trade Associations (RCBTAs) and the National Cross Border Trade Associations (NCBTAs) through the Trade Information Desk Monthly Report for each border post. The data which are recorded by TIDOs have the following fields:

- Name
- Sex
- Nationality
- Commodity
- Quantity
- Total value in local currency
- National duty rate
- US\$ value
- VAT
- Income tax
- TPIN REDP, that is, tax payer identification number registration²;

¹ This is an automated or computerized customs data management and trade statistics system, introduced in 1993. It reduces the time taken to clear commercial consignments through customs. So far 15 out of 19 member States have installed and are using the system.

² They record whether the trader is registered or not.

- AMOUNT REM, that is, amount remitted³, and
- Time spent.

These data manually collected by TIDOs on SCBTs can be disaggregated by gender and by type of goods exported/imported, country of origin/destination, net weight/volume and value. The CBT desk within the COMESA Secretariat analyses this duplicate record data from the TIDs and also looks at trends and implications, for the purposes of monitoring, evaluation and improvement of the STR.

Review of the COMESA STR

Following the launch of the STR between Malawi and Zambia and Zambia and Zimbabwe, the REFORM project commissioned a rapid assessment of its implementation and a workshop of stakeholders (Customs and Immigration Officers, TIDOs, CBTAs, etc.) was held to deliberate on findings of the study. It emerged that in Zimbabwe, for example, many small traders use the “travellers’ rebate system” whereby they can carry goods up to a value of \$300 duty free (regardless of origin) and pay tax for goods in excess of this “allowance”.

This is meant only for travellers not traders, though many use this system. Under the STR, goods of local origin are duty free, but other taxes are then applied as they are now recognized as commercial traders. In particular, if they are not registered for tax they are required to pay Advanced Income Tax or Presumptive Tax. On the Malawi border, the tendency is to revert to smuggling, and this is difficult to control. The trader’s main interest is to reduce the cost of trading by dealing in locally produced goods.

Customs officials have observed that the STR has not had any marked effect on revenues. They also noted that the trade information desks set up with assistance from COMESA had proved useful, and worked well with Customs. In addition, there had not been sufficient sensitization and education of traders on the potential benefits.

The recommendations for the improvement of the STR included, increasing the threshold, (which has already been implemented), regular revision of the common lists, and use of a single STR document. Further, recommendations focused on deepening awareness on the STR; developing a simplified and decentralized visa system; establishing a decentralized simplified visa system for traders; and issuing free one-year trade permits for cross-border traders. Another recommendation focused on rolling out the STR under the tripartite framework (COMESA, SADC and EAC) to allow smooth movement of cross-border traders and their goods in a grand FTA.

It is this review which partly convinced the COMESA Council of Ministers, in August 2011, to remove the need to complete a COMESA Simplified Certificate of Origin for

³Amount remitted means the savings accruing from non-payment of import duty. When goods qualify for the FTA, import duty is not paid. Accordingly, the amount is recorded.

goods already on the Common List, to increase the threshold from \$500 to \$1,000 and to reduce the ASYCUDA fee to \$1. The Council of Ministers also agreed to retain the SCD but to further simplify it, and to undertake regular reviewing of common lists by the NWG. Publishing the Common List at all border posts, and more aggressive sensitization on the STR, among other actions, were also agreed. The move to reduce trading costs to the SCBT should see the decreasing number of SCBTs passing through the TIDs increasing again.

The COMESA Trading for Peace/Cross-Border Trade Facilitation Programme has appreciated the activities of REFORM especially since some of the mandated activities have been in line with the objectives of Trading for Peace. The Trade Facilitation Programme has two inter-related and mutually supportive objectives:

- a) To create a better understanding of potential trading conflict situations to enhance the peace-building processes in COMESA cross-border regions; and
- b) To raise the living standards of people in COMESA cross-border regions using formal economic (trade) activities as catalysts for peace and security.

The REFORM and Trading for Peace programmes have been working together on the STR programme in activities such as setting up TIDs and also coming up with a booklet on the STR that describes to the layman the COMESA STR process and its benefits for traders. REFORM, which is currently in the lead on the COMESA STR process, has engaged Trading for Peace in facilitating the STR process, especially in the DRC.

There has been a similar STR initiative in the EAC since 2009. Under the EAC STR, they are also reviewing the use of the Simplified Co O, which has been in operation for two years. The main use of the EAC STR has been on the Kenya-Uganda border where 5,000 to 9,000 consignments per year are recorded. Rwanda only started using a STR in March 2010, and has recorded 1,000 consignments under the STR in trade with Uganda. Burundi and Tanzania are both considering introducing the STR in 2011. The mechanism of the EAC STR is almost identical to that operated by COMESA, except that they do not use a simplified customs document and they have not benefited from TIDs. The EAC and COMESA STR systems should be merged by the end of 2011, in line with the move towards a tripartite system.

Cross Border Traders Associations

Both the COMESA Treaty and the COMESA Medium Term Strategic Plan 2011-2015 emphasize the setting up of CBTAs at both regional and national levels. CBTAs are key in advocating for the recognition of ICBTs at both national and regional levels, making it easier for data on WICBTs to be captured, first at national level and then passed on to the REC databases for harmonization. In this regard, the emphasis of the CBT desk in COMESA is on establishing CBTAs where they do not exist and strengthening those in existence. The CBT desk also works closely with a regional body representative of all

national associations, and one of its main objectives is to engage governments and partners at the regional level. Under the REFORM/CBT programme, a legitimate and sustainable Regional Cross Border Traders' Association (RCBTA) has been set up with an Executive Committee to run it and a rotating chairmanship.

It was realized that the original RCBTA was not legitimate as it was a Zambian Association with membership from other countries. Although persons from different COMESA countries were in the Executive Committee they were not selected through transparent national processes and could not therefore legitimately represent their national CBTAs

In 2009, there were only two national CBTAs, in Zambia and Zimbabwe. Progress has been made in setting up such associations. COMESA had at least seven vibrant CBTAs in 2011 (see table 3). Focal points have also been set up mainly in Ministries of Trade and in SMEs to facilitate the work of SCBTs and their associations. A website on the Cross Border Trade Desk has also been set up to provide information on SCBT. The REFORM programme, after conducting some training and capacity needs assessment, has intervened to assist the CBTAs in various countries. The REFORM Project is assisting SCBTAs by supporting the recruitment of professional management, training in record keeping, customs procedures, the STR, policy, and advocacy and leadership skills, among others. Under the Zambian Cross Border Trade Association is the COMESA market, where, traders from COMESA member States and other countries can trade freely. However, the COMESA market is facing many challenges including those of poor infrastructure.

Table 3: COMESA National Cross Border Trade Associations as at August 2011

Burundi	A CBTA was founded in Burundi in December, 2009 and it has its headquarters in Bujumbura. The current membership is still low due to lack of sensitization on cross-border trade matters.
Congo DR	The CBTA was founded in 2004 in Katanga province in Lubumbashi. The association was founded with help from the Zambian CBTA based in Lusaka, in order to help lobby Governments for a favourable trade policy for small traders.
Kenya	The CBTA was established in July, 2010.
Malawi	The CBTA was established in 2005 but was registered in November 2009. It has its headquarters in Blantyre and has branches in Lilongwe, Mchinji, and Mulanje. The leadership is currently working to open 11 more branches across the country.
Rwanda	The Rwanda Cross Border Traders Cooperative Union was formed in 2010. It has a membership of over 1,000 from different cooperatives across the country. The CBTC-U has its headquarters in Kigali.
Zambia	This CBTA is the oldest. It was founded in 1999 and registered in 2000. It has its headquarters in Lusaka and has a membership of over 5,000, 60 per cent of whom are women. Its main achievements include advocating for STR, cheap trade visas and many other private-sector deals.
Zimbabwe	This CBTA followed that of Zambia in 2002, and has a membership of over 10,000 but only a few have paid up. This is a common problem in that CBTAs do not seem to offer the needed services to its members. Just like Zambia, the majority of its members are

	women (70 per cent). The association has been instrumental in the implementation of STR, and brokering of several deals with financial institutions and government.
Source: COMESA Cross Border Trade Desk - Website	

National training and capacity needs assessment for border institutions controlling trade and assessment for the establishment of CBTAs in member States

COMESA under the REFORM programme conducted national training and capacity needs assessment for border institutions controlling trade and assessment for the establishment of CBTAs in seven member States in 2010, namely Burundi, Democratic Republic of the Congo, Kenya, Malawi, Rwanda, Uganda, and Zambia (COMESA CBT/REFORM Project, July 2010). As earlier noted, the REFORM Project defined the CBT as small and medium- sized enterprises, whose trade is largely informal, that is, unrecorded. The main objective of the national assessments was to help build the capacity of the CBTAs and border institutions for improved cross-border trade. The assessments mainly involved qualitative data analysis. Some gender analysis was done and assessment of the needs of children, youth and the disabled was also carried out. These assessments provided basic information on ICBTs by gender in the seven countries that were assessed. Examples of the Kenya and Uganda assessments are provided below.

Kenya assessment

The assessment study was carried out at five of the main border posts between Kenya and other COMESA countries. In order to increase the number of respondents and thereby capture adequate coverage of various border posts, the research was extended to another three EAC border posts. The methodology employed in carrying out the assessment of the capacity/institutional development needs and training was a blend of desk reviews of existing reports and fieldwork targeting cross-border traders and trade associations, institutions managing cross-border trade (customs, immigration, standards, police, etc.), and border district trade officials and councils. The information collected covered challenges, training needs, obstacles, constraints and proposed solutions for specifically targeting the traders.

In all these stages, the Ministry of Trade Executive Committee was engaged in the selection of the border posts to be covered, validation of the questionnaire and provision of liaison and logistical support to the various trade-facilitating institutions. This was meant to ensure both capacity-building and skills transfer. The findings of the study were validated through a stakeholder workshop and through consultations with key implementers for purposes of ownership, institutionalization and subsequent implementation of the recommendations.

The study revealed that the daily number of traders crossing borders varied from about 300 in Namanga to just over 1,000 in Busia, with the membership of cross-border associations predominantly male. In addition, it found that institutions facilitating trade at the borders, as well as the small traders themselves face a number of challenges. These may be categorized as: those relating to the kind of information commonly requested by the business community; infrastructure; and high taxes and duties. Others are issuance of licenses/permits; business environment; transportation; access to trade information/services; products; trade facilitation; organizational issues; product pricing; and proposed solutions.

The issue of inadequate trade-related information at the border posts featured prominently as a bottleneck negatively affecting the conduct of business. Consequently, traders felt that there was an urgent need to establish trade information centres at the borders and, as a start, have them run by the public sector. However, in order to acquire ownership status, about half of the traders interviewed felt that eventually the centres should be under the aegis of a private sector institution, such as the Chamber of Commerce and Industry.

Regarding improvement of access to information by various stakeholders in cross-border trade, the main prerequisites included: sensitization of the traders and private sector trade facilitating institutions on benefits of forming trade associations along product/service line, modalities for establishing and operating associations, support and the role of individual members required to sustain an association. Others were sensitization on trade environment; establishing networks/partnerships with the support of institutions from both public and private sector and holding consultations on modalities for partnerships.

Other aspects of improving access to information were said to be registration of associations with the Department of Culture and Social Services, as well as exchange visits to border posts and neighbouring countries where CBTAs are functioning relatively well, for example, at Moyale, at the border with Ethiopia.

From the challenges faced by the traders and stakeholders, it was evident that there is a dire need for creation of CBTAs. However, there were challenges mentioned by the respondents regarding formation of a CBTA, with the main ones being access to information on a variety of issues such as taxation, tariff rates, non-taxable products, raw materials, and accessing markets.. Others were environment, banned products, security at the border, profit sharing and dividends in associations, financial services and how to access them, and trade regulations.

Additional needs for CBTA formation, as identified by respondents, related to education and capacity-building on trade issues, stability of businesses, modalities for establishing groups/associations, building better businesses and maintaining good business

practices. Partnerships with other traders were also mentioned, as well as eligibility criteria for starting a business association and how to work with and lobby government.

The study revealed a number of institutional capacity constraints that hinder the establishment of CBTAs. These include lack of markets and inadequate access to good sanitation, utilities (electricity, water) and roads. Inadequate institutional arrangements was mentioned, so also information on cross-border trade; networks and partnerships; sensitization of service providers and trade facilitators on good customer services for small traders.

In order to form a CBTA, stakeholders at the border felt that the important steps, support and procedures needed should include sensitization of the traders and private sector trade facilitating institutions on benefits of forming trade associations along product/service line and modalities for establishing and operating associations. They also mentioned support and the role of individual members required to sustain an association; sensitization on trade environment; preparing the articles of association; and registration of associations and in most cases with the Department of Culture and Social Services.

Uganda assessment

The five border areas considered under the study were Bibia, Busia, Katuna, Malaba and Mpondwe. Data used to produce the report were collected through review of secondary data, conducting key stakeholder interviews and observations during site visits. The findings from this study indicated that there were many challenges faced by CBT, the most outstanding being: lack of awareness and knowledge about the benefits of streamlined cross-border trade; high taxes and charges; lack of coordination among traders; bureaucracy at border points; poor relationships between traders and border officials; complicated language used by customs officials; inappropriate laws in Uganda, as well as lack of competitiveness due to export of products with no value added. Other challenges included lack of capital; differences in regulations among trading partner countries; discriminatory treatment across borders; lack of storage facilities; fluctuations in exchange rates; harassment by police and security officials as well as low levels of literacy among cross-border traders.

The study noted the existence of informal associations/groups among communities where CBT takes place but they do not focus on cross-border trade and they tend to be weak. However, there is a formal, national organization, the Uganda National Chamber of Commerce, whose primary purpose is to promote trade in general. This has a country-wide branch network but is largely unable to address most of the traders' needs, partly due to financial constraints. This, on top of key stakeholders' opinions heard, suggested that it was necessary to establish and strengthen a CBTA to specifically cater for the needs of cross-border traders. For the CBTA to be successful, existing gaps need to be bridged, namely, lack of awareness, organizational skills,

funding, a conducive environment for Ugandan traders as well as government support to traders at the grassroots. Appropriate infrastructure at the border posts is also needed, as well as lobbying for conducive conditions in trading partner countries. For purposes of facilitating CBT, institutions responsible for cross-border activities namely customs, immigration, police, security agencies as well as local administration authorities need to be trained on the benefits of STR and its implementation.

The study recommended that the following should be considered in order to make STR implementation successful:

- i. Establish and strengthen a CBTA as an organ through which cross-border traders' needs can be addressed;
- ii. Create awareness and sensitize key stakeholders about the benefits and implementation of STR;
- iii. Create grassroots coordination mechanisms between traders, policymakers and other players in CBT;
- iv. Establish information centres at border posts to provide the necessary information on trade; and
- v. Support Ugandan traders to add value to their exports to make them competitive in the market under STR.

The study also came up with a proposed programme for the training of key players in CBT namely cross-border traders, CBTA leaders and officials of border institutions including customs, immigration, police, security agencies and local administration.

4.1.4 Review of COMESA cross-border trade programmes

In line with other existing CBT programmes, COMESA through the division of Gender and Social Affairs carried out a review of COMESA cross-border trade programmes along the gender mainstreaming principles in a study on "Gender and Cross Border Trade Programmes in COMESA", the findings of which were presented to the Community in May 2011. The overall goal was to identify existing gaps in programmes for engendering CBT activities and identifying entry points.

Interviews were conducted with project officers and programme officers for COMESA CBT programmes, CBTA executive members, cross-border traders, particularly women and also with officers at the borders, mainly customs officers, immigration officers as well as TIDOs. The study mainly took place in Zambia and Rwanda; four CBTAs were consulted, three border posts were visited and FGDs conducted using a combined group of men and women and then women separately, as well as 16 in-depth interviews with women cross-border traders. Direct observations at borders were also useful.

The programme concluded that essentially, the design of the COMESA CBT programmes has taken into consideration the fact that the majority of informal cross-

border traders are women and that a number of factors impede the success of their business activities. One aspect of implementing the TFP project is the positive role of WICBT as a major cross-cutting theme. The project also highlights a number of challenges faced by WICBT in the Great Lakes Region such as sexual harassment and rape. On the other hand, the launch of the STR by the CBT-REFORM programme, which primarily targets informal cross-border traders in agricultural commodities, would primarily benefit women since they form the majority of these traders.

The profile of women in ICBT is similar to that presented in other studies conducted in Southern Africa and East Africa, with ICBT largely characterized by women aged between 25 and 40 years, who are mostly separated, divorced or widowed with low levels of education. They enter into these business activities to support themselves and their families. Interviews with the Associations' executive members revealed that there are relatively more women members of the associations than men. However, in terms of participation, men seem to be more active in the CBTA activities than women.

Further, over the past few years, there has been a declining trend in women joining and participating in the CBTA activities. To explain this trend, women cite lack of financial transparency and accountability, among other reasons for their declining participation. In addition, due to lack of proper information on CBTAs, many traders do not know how or where to join them.

Looking at the organizational structure of CBTAs, there are relatively fewer women in executive positions than men, and women are not well represented in key decision-making positions such as chairmanship. The majority of women occupy lower portfolios compared to men and may not be as influential as men even in CBTA activities that especially involve more women than men.

Women traders were generally found to be more disadvantaged than men due to their feminine character and lack of business and negotiation skills. There were more complaints of various types from women traders than from male traders. The CBTAs usually receive complaints from the women about the unfriendly attitude of the border officials, overvaluation of their commodities leading to higher tax payments, and lack of uniformity in the calculation of taxes. Women are often requested to pay bribes or are delayed unnecessarily to force them to succumb to the various kinds of pressures. Due to lack of proper security, women have been sexually assaulted or raped and even have their goods confiscated in the course of conducting their business.

Despite the high risk of ICBT business, women said they preferred to remain in it, as there were several challenges they would have to face if they were to opt to operate a small or medium-scale enterprise (SME). They prioritized the need for the provision of loans as well as for capacity-building in order to make small-scale, CBT activities an attractive employment. Lack of capital to support their business is a major constraint in the ICBT business and it therefore remains mostly a survivalist strategy. Due to the lack

of business entrepreneurship skills, there is a general tendency especially among women traders to replicate and trade in similar commodities that are perceived to produce maximum potential profits. This in turn leads to oversupply and a fall in prices.

The study reported that there was lack of sex-disaggregated data on gender and trade, which is a major obstacle to conducting gender analysis to assess trade links, particularly for WICBT. Efforts should be made to increase collection of sex-disaggregated data and these should be well harmonized with various ministries and departments in member States such as the Ministries of Trade, Gender, and with the NSO.

The study recommended formulation of gender-sensitive policies, to ensure that women are integrated into formal trade and are able to benefit from the larger market.

4.2 Southern African Development Community (SADC)

4.2.1 SADC institutional and policy framework

The main goals of SADC are to form common political interests and support greater trade and investment flows among member States. The SADC Treaty and Declaration to establish SADC was signed by Heads of State and Government of the Southern African Development Coordination Conference (SADCC) in August 1992. SADC is committed to removing all forms of gender inequalities at the regional and national levels through a series of goals and actions derived from legally binding international and continental instruments. The current 15 SADC members are Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe. The combined income of the SADC market in 2007 was \$431 billion, with a total population of 247 million.

The SADC commitment to gender equality is demonstrated through accession to and ratification of frameworks that promote women's human rights such as the Convention on Elimination of All Forms of Discrimination against Women (CEDAW) which became a SADC ratified Convention in March, 2004. SADC Governments are also party to the Solemn Declaration on Gender Equality in Africa through which they have reaffirmed their commitment to gender equality as enshrined in the Constitutive Act of the African Union, Article 4, Dakar Platform for Action (1994), Beijing Platform for Action (1995), United Nations Resolution 1325 (2000) on Women, Peace and Security and the Protocol to the African Charter on Human and People's Rights on the Rights of Women in Africa (2003), and the MDGs

In 1997, SADC member States adopted the Declaration on Gender and Development and its Addendum on the Prevention and Eradication of Violence against Women and Children adopted in 1998. A Plan of Action on Gender was developed in 1999 and in

2005, and it was consolidated into a Regional Strategic Implementation Framework on Gender and Development, 2006-2010. A Regional Gender Policy was developed under this to give strategic direction to SADC and its member States in achieving the purposes of the declaration. To date, SADC countries have seen improvements in terms of the development of national gender policies, structures, guidelines, action plans and programmes addressing gender inequities and raising awareness on gender equality, gender analysis and mainstreaming at both national and regional levels. However, in the area of women empowerment in trade and investment, and in particular WICBT, a lot still remains to be done.

According to SADC, there is no doubt about the importance of ICBT in the region as shown by research findings. Such trade has contributed immensely to the improvement of lives and standard of living of the majority of the poor, through contributing to food security and to poverty reduction, especially at household level. ICBTs face many difficulties and problems, chief among which is their need for recognition and protection through policy and legal frameworks both at regional and national levels.

The SADC legal and policy frameworks which have relevance for WICBT are mainly:

- SADC Protocol on Trade, 1996
- Protocol on the Facilitation of Free Movement of People
- Protocol on Gender and Development
- SADC Gender Policy
- Draft Protocol on Industry
- Draft SADC Regional Poverty Reduction Framework (RPRF), 2010.

The Protocol on Trade emphasizes formal trade and investment and is not gender sensitive. There is no specific mention of the ICBTs in the Protocol on Trade. In addition, there is no specific mention of women entrepreneurs. Enforcement of the protocol on the Facilitation of the Free Movement of People is crucial, to effectively facilitate ICBTs.

There is the need to review the protocol on trade to take into consideration those issues affecting women entrepreneurs, especially women in SMEs and ICBTs. There is also the need to lobby SADC to develop a Simplified Trading Regime similar to the COMESA STR to facilitate ICBT exports/imports within SADC. There is also the need to lobby at the national level for the ratification and entry into force of the Protocol on the Facilitation of Free Movement of People to lessen the burden to WICBTs, of the border formalities and abuse. At the national level, ICBT associations need strengthening or facilitation and formalization where they do not yet exist. ICBT associations help the traders to speak with one voice.

Further, they need to be incorporated into the formal structures to be able to benefit from all available resources. National policy and legal frameworks on trade and entrepreneurship should incorporate and assist ICBTs and their activities.

In the draft SADC Regional Poverty Reduction Framework (RPRF), 2010, sub-theme 1.2 on Trade and Development, one of the objectives is: "To promote the integration of the majority of the poor including small cross-border traders (SCBTs) and small-scale entrepreneurs, most of whom are women, into the mainstream of regional economic and trade activities".

SADC Free Trade Area

The Regional Indicative Strategic Development Plan (RISDIP) approved by the Summit in 2003, sets the regional integration targets as follows:

- An FTA: 85 per cent of trade in goods will be free by 2008;
- Completion of negotiations of the SADC Customs Union by 2010;
- Completion of negotiations of the SADC Common Market by 2015;
- SADC Monetary Union and SADC Central Bank by 2016; and
- Launch of a regional currency by 2018.

The legal basis of the FTA is the Protocol on Trade. An FTA is the most common form of integration and involves the elimination of tariffs among Member Countries whilst each country maintains its own tariff protection policy with the rest of the world. Trade restrictions have been removed on substantially all trade within the FTA and trade procedures and documentation within SADC have been harmonized. A programme to eliminate non-tariff barriers (NTBs) to trade is being implemented. Goods are admitted in each other's territory upon compliance of agreed rules of origin. Under an FTA, each country maintains its own external tariff.

Implementation of the Protocol commenced in 2000 when the first batch of the tariff reductions was effected. The 12 member States that established the FTA under the Protocol on Trade were Botswana, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe.

ICBTs can use the opportunities provided by the FTA to maximize production of goods that qualify for duty-free status and establish markets. They can source cheaper raw materials from within the region duty-free. The cumulative principle enables further processing and duty-free exports within the region.

The Gender Unit of SADC is mandated with the coordination and facilitation of the implementation of the SADC gender commitments through:

- Policy development and harmonization
- Gender mainstreaming
- Women's empowerment programmes

- Women in politics and decision-making
- Women's economic empowerment
- Information sharing, networking and communication; and
- Research, monitoring and evaluation.

The Women Economic Empowerment Programme is a capacity-building programme in collaboration with Inwent CHANCE PROGRAMME for Women in Business through the Women in Business (WIB) Associations. The Gender Unit organizes and coordinates the hosting of SADC Women in Business Trade Fairs and Investment Forum. Finding funding is challenging. The Gender Unit has come up with a SADC Advocacy Strategy on Informal Cross Border Trade, 2011 which is discussed in detail later as a best practice.

4.2.2 SADC databases

The SADC Statistics Unit is a very small unit, currently with two professionals and three programme staff members, the latter under the African Development Bank Capacity Building Programme and the European Union. The Unit relies on data from member States and its main function is to promote harmonization of these data so that they remain comparable among countries. It selects priority areas from the SADC development agenda, which are as follows:

- a) Harmonization of trade statistics
- b) Consumer Price Index
- c) Capacity-building type initiatives
- d) Currently developing databases.

Member States have not been adequately addressing ICBT issues. However, there is now increasing recognition that ICBT is significant and that more needs to be done.

Statistics issues in SADC are discussed under the SADC Statistical Committee which is composed of Heads of National Statistical Committees. There are member State focal points in priority areas, who are selected based on various criteria including best practices, exceptional capacity (technical and financial), and who can share their experiences, as follows:

- Foreign Trade - Zambia
- Population and Censuses - South Africa
- Investment Statistics - Tanzania
- Informal Sector Statistics - Botswana.

Currently there are no data on Informal Cross Border Trade. A number of databases exist in a disjointed and stand-alone format in the Directorates in the areas of Trade, Agriculture, Finance, Investment, Population, etc. The Statistics Unit was therefore

mandated to establish an integrated database in 2010. However, there are no plans to include data on ICBT let alone on WICBT. From the end of 2011 to the first quarter of 2012, an integrated database should have been established under the Capacity Building for Regional Integration (CBRI) Project.

SADC will define who will have user rights to this database. An assessment of user requirements has been done. Under the CBRI project funded by the European Development Fund (EDF), the SADC Secretariat is receiving assistance through Technical Assistance to Policy Development, Planning, Monitoring and Evaluation (M&E), Statistics and International Cooperation. This €12.5 million project is designed to support the overall capacity of the SADC Secretariat to drive and coordinate the regional integration agenda as outlined in the SADC Regional Indicative Strategic Development Plan (RISDP) and the Strategic Indicative Plan of the Organ (SIPO).

The Statistics Component under Lot 2 of the CBRI is designed to focus on strengthening the capacity of the Statistics Unit of the Policy, Planning and Resource Mobilization Directorate. The two key result areas include:

- Developing a Regional Statistical Development Strategy (RSDS); and
- Improving Statistical Services at the SADC Secretariat.

A Statistical Services Strategy at the Secretariat, a SADC Integrated Trade Statistics Database and a SADC Statistical Yearbook are currently being developed under this project and should be operational latest by the first quarter of 2012. The SADC Integrated Trade Statistics Database, which is a priority under the CBRI Regional Statistics terms of reference, will contain harmonized detailed trade data on values, volumes, flow of trade, modes of transport, among others.

The priority is formal trade statistics, with other statistics being included later. The second initiative in terms of data is the *Statistical Yearbook*. The *SADC Statistical Yearbook* will be a quantitative annual publication which contains all statistics that the SADC Directorates require under the following nine broad areas:

- Population
- Social services - education, health, housing and judicial system
- Poverty and income distribution
- Gender equality;
- Labour and employment
- Macroeconomy - national accounts and external sector
- Foreign direct investment

- Major industrial groups, transport and communication, tourism, agriculture, food security and forestry, manufacturing and construction, mining and quarrying, and energy and water.
- Environmental and sustainable development.

The *SADC Statistical Yearbook* will come in both hard and electronic copies, which will publish various statistics from specific areas including gender. The yearbook will be part of the SADC database. However, from its initial draft, information on ICBT, the informal economy, and the Micro, Small and Medium Enterprises (MSMEs) is not included.

Currently, SADC Secretariat has no institutional capacity to manage the overall SADC statistical database, which requires continuous updating. This further limits the prospects of collecting and developing a database on ICBT in general and WICBT in particular. Mechanisms for the management of this database need to be set up. There is currently one professional handling Trade Statistics and there at least one ICT professional is needed. The other three programme officers are not permanent. It is a consultancy team that is currently working on establishment of the database and this raises concerns about long-term sustainability.

A database on formal external trade (values, volumes, flow of trade, modes of transport, etc.) is kept in the Statistics Unit. However, no ICBT data are produced either at country level or at SADC level.

4.2.3 SADC Simplified Trade Regime

SADC has not yet established its Simplified Trade Regime (STR) unlike COMESA and EAC. The Trade Negotiating Forum (customs, private sector and trade institutions) has agreed in principle to implementation of the SADC STR. The Tripartite (SADC, COMESA and EAC) intends to harmonize their STRs, so SADC has to have one. The 'High Level Policy Meeting on Informal Cross Border Trade in Southern Africa', held from 1 to 3 November, 2010, in Harare supported the establishment of an STR. Heads of Customs in SADC member States have agreed to start with a study on the "*Implication of the STR for the SADC region, taking into consideration various developments and the possible risk of revenue loss*". This study is yet to be conducted but is expected to look at the current position, what needs to be done, and best practices elsewhere (which could but may not necessarily suit the STR).

4.2.4 SADC Advocacy Strategy on Informal Cross Border Trade , 2011

The SADC Secretariat's Gender Unit has developed "*A Regional Advocacy Strategy on Informal Cross Border Trade*" for mainstreaming ICBT issues in economic and trade-related policies and structures at national and regional levels. The Strategy is yet to be implemented. It was developed on the basis of recommendations from the SADC High Level Policy Regional Workshop on Informal Cross Border Trade held from 1 to 3 November, 2010 in Harare, which was mainly aimed at sensitizing policymakers on the plight of ICBTs. The workshop was attended by national gender departments, trade

ministries, private sector, women in business from SADC member States, and by development partners. The workshop was funded by UNIFEM and the European Union.

The ICBT Advocacy Strategy is anchored on the SADC Gender and Development Business Plan (2007-2011) (*Intervention Area 3: Women's Empowerment Programmes, Output 3B: Women's Economic Empowerment*). Major Activity 1 deals with developing a methodology for reviewing and assessing the level of gender sensitivity of economic and trade agreements, policies and programmes. This is also geared towards accelerated implementation of the MDGs.

ICBT is an important economic sector in SADC given its central role in poverty alleviation, employment creation and economic growth. SADC aims to work with member State line ministries, private sector and ICBTs to increase the collective ICBT voice on national issues. The Community plans to use all opportunities of subregional and regional trade to improve economic empowerment and gender inequality in trade and poverty reduction.

SADC will form partnerships with UNIFEM, Government institutions, and UNECA for enhanced leadership, commitment and accountability in addressing the issues facing WICBTs; and mainstream gender issues in trade agreements and processes. These measures are expected to support the efforts of RECs to harmonize their trade policies with their gender policies, simplifying and popularizing the provisions of regional protocols and agreements from a gender perspective, advocating for gender-sensitive border-control procedures and taxation systems, and systematizing collection and analysis of gender-disaggregated data on ICBT. SADC will also advocate for:

- a) Inclusion of the priorities of informal cross-border traders in national poverty reduction strategies, national development plans and national budget allocation;
- b) Production and dissemination of cutting edge knowledge products to ensure recognition of the contribution of informal cross-border traders to wealth creation, poverty reduction, employment creation and regional integration; and disseminate best practices in supporting women informal cross-border traders; and
- c) Fighting stigmatization and violence against women informal cross-border traders. Expansion of UNIFEM's work on gender and security sector reform to include customs and their regional unions, border police, security services and health inspectors for better implementation of regional protocols and agreements on movement of people, goods and services from a gender perspective. It will also be for their engagement in fighting various forms of violence against women cross-border traders such as: sexual harassment, rape, imprisonment or detention, confiscation of goods, and financial extortions.

This Advocacy Strategy is expected to achieve the following:

- a) Sustainable economic growth at local and regional levels that are inclusive and that ensure equal opportunities, benefits and access to resources;
- b) Institutionalization of ICBTs with improved and protected social rights;
- c) Conducive business environment for ICBTs; and

- d) Effective management and implementation of the ICBT Advocacy Framework.

This strategy will go a long way in filling the data gaps in WICBT activities in various ways as indicated below under the four outputs.

Output 1: Sustainable economic growth at local and regional levels that are inclusive and ensure equal opportunities, benefits and access to resources.

The ICBT regional and national apex bodies and the STR to be created and implemented under this output will go a long way in facilitating establishment of the WICBT databases.

Output 2: Institutionalization of ICBTs and improved functioning of ICBT.

Regarding improved ICBT data collection under this output, the proposed actions include creation of ICBT databases; provision of incentives for registration of ICBTs; categorization of products; creation of a one-stop information centre; and creation of an ICBT website at regional level.

Output 3: Conducive business environment for ICBTs. Under Trade Facilitation, Immigration and Customs, the proposed actions of relevance to the collection of WICBT data include creation of simplified customs documentation, Rules of Origin, and Certificate of Origin; implementation of a one-stop border post and speeding up implementation of the STR.

Output 4: Effective management and implementation of the ICBT Advocacy Framework. Under this output, proposed actions of relevance to the collection of WICBT data include collection of ICBT data; creation of a regional ICBT database; and documentation and dissemination of best ICBT practices and lessons learnt.

The ultimate results of the above outputs will include:

- Recognition of the huge economic contribution of ICBT activities.
- Promotion of a favourable tax regime.
- Transition of ICBT to the formal sector, for better access to market opportunities such as trade fairs, skills building, and trade-related services.
- Provision of entrepreneurial, negotiation and advocacy skills.
- Service delivery such as: credit, health care, transport, water and sanitation, foreign exchange, infrastructure for storage of goods and refrigeration of agricultural commodities in cross-border markets, and transport facilities.
- Access to social safety nets such as health insurance.
- Inclusion of ICBT priorities in national poverty reduction strategies, national development plans, and national budgets, and in mainstream trade processes.
- Facilitation of the right of ICBTs to information on regional trade agreements and on protocols on movement of persons, goods and services.
- Building solidarity networks in support of ICBT issues.

4.2.5 Assessing informal cross-border trade in the SADC study, 2008

In 2008, the SADC Secretariat commissioned the Southern African Research and Documentation Centre (SARDC) to conduct a study on ICBT in the SADC region. In its methodology of secondary literature gathering, this study drew heavily from the preliminary findings of the UNIFEM study on *"Women in Informal Cross Border Trade (ICBT) in Southern Africa: The case of Swaziland and Zimbabwe"*, 2008. The SADC ICBT study confirmed that the level of ICBT in Southern Africa remained high and that many people were making a decent living out of this form of business.

For many citizens of SADC, ICBT has become a profitable enterprise to the extent that some have dared to leave formal employment to concentrate on ICBT. Despite the lack of data, some estimates have put ICBT prevalence at between 30 and 40 per cent of intra-SADC trade, suggesting that by ignoring its existence, member States could be overlooking a significant proportion of their trade. The study explored the link between ICBT and poverty alleviation in SADC as well as the impact on ICBT of the current national and regional policy framework, including the SADC Trade Protocol.

The SADC study concluded that there was a lack of recognition of ICBT contribution to development in the region. ICBT contribute significantly to the well-being of citizens and if deliberate steps are taken to create an enabling policy and regulatory environment, the sector could have a positive impact on the attainment of the MDGs by 2015 in terms of poverty reduction. ICBT had contributed significantly towards employment creation and income generation in many SADC countries. The employment created has had a multiplier effect on the poor, helping to generate income, and enabling the ICBTs to access basic necessities including decent shelter, education and health care for themselves and their families.

ICBT has also played an important role in ensuring food security by moving agricultural produce and other foodstuffs from where they are in surplus to areas of scarcity and deficit. Further, ICBT has been a key source of empowerment for women who constitute the majority of the population. The findings showed that, on average, over 70 per cent of ICBTs in SADC were female.

However, ICBT has had its undesirable effects, primarily because it provides fertile ground for myriad illicit economic and social practices including drug trafficking, prostitution and smuggling of precious minerals such as gold and diamonds. Nonetheless, the study concluded that overall, the positive benefits from ICBT outweighed the negative consequences.

An interesting expanding feature of ICBT in the region is that of 'goods crossing borders without their owners' which happens in all sorts of ways. For example, some Zimbabwean traders who buy goods from South Africa use delivery agents known as *malayitshas* or "runners". These agents ferry the goods from places such as Johannesburg, clear them at Beitbridge Border Post and deliver them to destinations in Bulawayo and Harare. *Malayitshas* are notorious for undervaluing goods, bribing customs officials to evade customs duty, or at times not declaring their goods at all. In other cases, the ICBTs are mere "runners" for big business or influential members of the society who may be trying to evade customs duty and other taxes. Customs officials

at Beitbridge have reported cases where they received calls from politicians in Harare, Lusaka or Lilongwe if they tried to search certain ICBTs.

The SADC study also noted that ICBTs face serious operational challenges, including difficulties in obtaining passports and visas; refusal of entry into countries where visas may not even be required; excessive customs charges and unwarranted impounding of goods. Other challenges are unfair treatment of traders branded as smugglers and drug traffickers; numerous check-points; humiliating body searches; limited access to formal credit schemes; lack of reliable transport; weak associations; and a generally unfavourable policy and regulatory environment.

Even though the study is highly informative, the data were collected through a limited number of interviews, with a wide spectrum of stakeholders, among them ICBTs, trade unions, trade associations, civil society organizations, government officials, financial institutions, transport operators, clearing agents and the SADC Secretariat. There was no mention of a sample of ICBTs interviewed, or the number of ICBT-related institutions contacted for information.

4.3 Economic Community of West African States (ECOWAS)

4.3.1 ECOWAS institutional and policy framework

Fifteen West African countries signed the Treaty of Lagos) for an Economic Community of West African States on 28 May, 1975. The current member States of ECOWAS are Benin, Burkina Faso, Cape Verde, Côte d'Ivoire, the Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, and Togo. In July 1993, a revised ECOWAS Treaty designed to accelerate economic integration and increase political cooperation, was signed. ECOWAS has been designated as one of the five regional pillars of the AEC, together with COMESA, ECCAS, Intergovernmental Authority on Development (IGAD) and SADC.

ECOWAS signed the Protocol on Relations between the AEC and RECs in February 1998. This aimed to promote cooperation and integration in economic, social and cultural activities, ultimately leading to the establishment of an economic and monetary union through the total integration of the national economies of member States. It also aims to raise the living standards of its peoples, maintain and enhance economic stability, foster relations among member States and contribute to the progress and development of the African continent.

The ECOWAS Vision 2020 is "To move from an ECOWAS of States to an ECOWAS of people through the creation of a single economic space in which the people transact business and live in dignity and peace under the rule of law and good governance". ECOWAS integration policies and programmes are influenced by prevailing economic conditions in member States, the need to take the principal provisions of the AEC Treaty into account, and relevant developments on the international scene.

The revised treaty of 1993, which was to expand economic and political co-operation among member States, specifies the achievement of a common market and a single

currency as economic objectives. Meanwhile in the political sphere, it provides for a West African parliament, an Economic and Social Council and an ECOWAS Court of Justice to replace the existing Tribunal and enforce Community decisions. The Treaty also formally assigned the Community with the responsibility of preventing and settling subregional conflicts. By 2008, 11 protocols and conventions had entered into force provisionally, with 16 outstanding.

The ECOWAS Treaty contains provisions that support the promotion of women's interests in economic policy and trade. Article 63 of the treaty sets out the following commitments:

- a) Member States should formulate, harmonize, coordinate and establish appropriate policies and mechanisms to enhance the economic, social and cultural conditions of women.
- b) To this end, member States shall take the necessary measures to:
 - Identify and assess all constraints that inhibit women from maximizing their contribution to regional developmental efforts; and
 - Provide a framework within which these constraints will be addressed and incorporate women's concerns and needs into the normal operations of society.

A major success for regional integration was achieved in 2003 with the acceptance by ECOWAS member States of the principle of a Common External Customs Tariff.

The ECOWAS Treaty guarantees for citizens of the signatory countries freedom of movement and residence within the Community under the Agreement on the Free Movement of Persons between member States (1978) and the Protocol on the Free Movement of Persons, the Right of Residence and Establishment (1979). The Treaty exempts citizens from visa and residence permit requirements, and enshrines in it their right to employment and to undertake commercial and industrial activities in the countries of the Community. Articles 2(2d) and 27 (1, 2) of the Treaty recognize the need to facilitate, and indeed encourage, international migrations in the region. Migration is thus regarded as beneficial, as it allows for the optimal utilization of the labour force at regional level (Ndongko, 1991).

The ECOWAS Commission has set up monitoring units for the free movement of persons along the borders of member States and for information and awareness-building campaigns at the borders. In this regard, ECOWAS is preoccupied with the mobility of persons and workers across the gender divide. The Community has registered great improvement in the free movement of persons since citizens can move freely without visas and work in any member State. Business can be carried out across borders, in conformity with the national laws; and the common passport for ECOWAS will soon replace national passports.

However, problems still exist; for example, the issue of harassment at borders. In this regard, ECOWAS has embarked on some sensitization projects, such as the ECOWAS Free Movement Policy and Governance (ECOGO) in 2009. It is working on an ECOWAS common identity card to promote ECOWAS citizenship and there are also pamphlets to

raise awareness. The problem of member States being not yet ready to forgo their sovereignty is still outstanding.

According to the Gender Directorate in ECOWAS, most directorates are interested in ICBT. The two protocols relating to WICBT include, Free Movement of Persons, Right of Residence and Establishment and the Migration Protocol. Gender is also a cross-cutting issue in the Regional Poverty Reduction Strategy. Further, a "Gender Policy and Strategic Action Plan" has been completed.

However, there are no data on WICBT collected by ECOWAS as a REC. What is available are ad hoc statistics from ad hoc studies. There is, for example, one study by USAID, 2001, on "*Issues of WICBT in West Africa*", as detailed in the literature review section. Most of the ad hoc studies are descriptive with no hard facts and data. The "Gender and Migration Action Plan" has been formulated to focus on WICBTs, labourers, children, etc. The Gender Department is working with NEPAD to establish a "business incubator for African women enterprises". There is also on-going work on ICBT with civil society organizations such as the Regional Women's Traders Association, the Transporters Association and the Human Rights NGOs. The Department is mainly interested in human rights, HIV and AIDS, law enforcement, drugs, agricultural control, etc. In the context of harmonization, there is also on-going work in transport facilitation using the joint border posts concept, with European Union funding.

It has been acknowledged that there is as yet little respect for the Protocol on Free Movement. It is therefore necessary to design and implement frameworks that facilitate awareness and compliance.

ECOWAS has a Gender Development Centre in Dakar which is mainly involved in training, to build the capacity of women involved in agricultural-based production. It is also important to note that ECOWAS recently instituted an ICBT section under the Trade Commission, which is manned by one officer. At the time of the study, the ICBT section was still being set up and it was not possible to obtain its detailed terms of reference. ECOWAS also has a Regional Poverty Reduction Strategy (RPRS), 2010 but it is not being implemented. There is neither a coordinator nor a specific unit in charge, nor has any situational analysis been done.

4.3.2 ECOWAS databases

ECOWAS defines informal trade as per category A of table 1. There is gross underestimation of informal trade, which ECOWAS estimates at 11 per cent of total trade. However, some have estimated that it is about 25 per cent of total trade. From observations at borders, for example, Benin/Nigeria, the numbers of people crossing are huge. There is a well-established formal Trade Information System within ECOWAS, with countries mainly using the ASYCUDA. As noted earlier, other countries in ECOWAS such as Côte d'Ivoire, Ghana and Senegal use their own systems such as SYDAM, GAINDE and GCNET.

The ECOWAS Macroeconomic Policies Commission consists of three Directorates: Research and Statistics; Private Sector and Multilateral Surveillance. The Commission

has the responsibility of promoting research in the region, coordinating the harmonization of data, data collection tools, statistical methodologies, building statistical capacity and providing accurate information to support efficient management of the Commission's programmes. There is a 2006-2010 Regional Statistical Programme, RPRSP and an ECOWAS Statistics Policy. ECOWAS publishes statistical information in the following ECOWAS statistical bulletins: ECOWAS External Trade Statistics; National Accounts Statistics; and ECOWAS Socio Economic Indicators. However, the last printed ECOWAS statistical bulletin was in 2008, comprising the latest data for 2007. Database for statistical information dissemination (StatBase) is online within the Commission, with some of the member States such as Gambia, Ghana and Liberia connected.

ECOWAS supports member States with capacity-building, for example, through data quality control workshops, computer hardware, payment for country website subscriptions for a year and processing trade data with EUROTRACE. ECOWAS has technical cooperation with the European Union Statistical Office (EUROSTAT) and West African Economic and Monetary Union (UEMOA) in the areas of harmonization of statistics and data dissemination and cooperation with ECA in the framework of Statbase. Although a section on ICBT has been established under the Trade Commission, manned by one officer, there are no data on ICBT, let alone on WICBT.

4.4 ECONOMIC COMMUNITY FOR CENTRAL AFRICAN STATES

ECCAS/CEEAC, based in Gabon, has 11 member States namely: Angola, Burundi, Cameroon, Central African Republic, Chad, Republic of the Congo, Democratic Republic of the Congo, Equatorial Guinea, Gabon, Rwanda and Sao Tome and Principe. It was established on 18 October 1983 by Central African Customs and Economic Union (UDEAC) members and members of the Economic Community of the Great Lakes States (CEPGL) (Burundi, Rwanda and the then Zaire) as well as Sao Tome and Principe. Angola remained an observer until 1999, when it became a full member. ECCAS aims to achieve collective autonomy, raise the standard of living of its populations and maintain economic stability through harmonious cooperation. Its ultimate goal is to establish a Central African Common Market.

4.4.1 ECCAS databases

ICBT is widespread in ECCAS, but there are no ICBT or WICBT databases. ECCAS has several databases with trade data from member States, but again, with no gender dimension. The data focus on migration, formal trade by member States and socio-economic indicators. The database on socio-economic indicators is being prepared with support from the ECA African Centre for Statistics (ACS). Data being inputted into these bases come from member States. Statistics on formal external trade come from the customs services in charge of producing customs statistics in each member State.

Although the ECCAS resource persons interviewed claimed that they made a distinction between formal and informal trade, the mission observed that none of these databases contained information on ICBT in general, or on WICBT, in particular. The lack of data on ICBT, in general, and WICBT, in particular, was also noticed at the Directorate General of Customs, Gabon. While acknowledging that ICBT was common between Cameroon and Gabon (about 70 per cent of foodstuffs crossing the borders is handled

by women), the resource person from the Directorate General stated that the institution had no statistical documentation on the trade.

Though ECCAS does not have a database on ICBT and WICBT, it has now adopted the principle of needing to collect such data. The people encountered at ECCAS said that ICBT data were included in the trade data collection system, but this was only quantitative data. In practice, there are currently no instruments for collecting data on ICBT. However, the project to capture ICBT statistics has been included in the ECCAS 2012 plan of action. The methodology was prepared for commencement of a survey. There is no on-going initiative to collect qualitative data. Though instruments for quantitative data collection on WICBT are currently being used, no methodology for data processing and analysis was mentioned at ECCAS.

WICBT data requirements specified by ECCAS included:

- Data to identify the major stakeholders in the area
- Information to assess the needs and expectations of such stakeholders, including the type of support to be given
- Data on associations and cooperatives working in this area.

In view of these needs, it is important to note that ECCAS initially desires to scan the ICBT terrain in their region, to identify the primary players and other stakeholders in the sub-sector. Data collection on the volumes, values and direction of trade, in ICBT in general and WICBT in particular, can then follow after the sub-sector characteristics are known.

ECCAS has the financial and human resources required to develop, operate and maintain a database on WICBT. On the other hand, apart from countries such as Burundi, Cameroon, DRC and Gabon, which have no particular limitations, the other member States of ECCAS lack the human and financial resources needed to develop a database on ICBT and WICBT.

The challenges noted in all the countries included that of putting in place (a) methods and tools for mainstreaming gender in data-collection systems, in general, and (b) tools for the collection of data on the activities of informal cross-border women traders, in particular.

4.5 Arab Maghreb Union

The AMU is based in Morocco and consists of five member States, namely, Algeria, Libya, Mauritania, Morocco and Tunisia. The first Conference of Maghreb Economic Ministers in Tunis in 1964 established the *Conseil Permanent Consultatif du Maghreb* (CPCM) comprising Algeria, Libya, Morocco, and Tunisia, to coordinate and harmonize the development plans of the four countries as well as intra-regional trade and relations with the European Union.

The first Maghreb Summit of the five Heads of State, held at Zeralda (Algeria) in June 1988, resulted in a decision to set up the Maghreb High Commission and various specialized commissions. Finally, on 17 February, 1989, in Marrakech, the Treaty establishing the AMU was signed by the Heads of State of the five countries. As of May

1997, there were a total of 37 Maghreb conventions. Since 1990, the five countries have signed more than 30 multilateral agreements covering diverse economic, social, and cultural areas. While member States have ratified varying numbers of these agreements, only five have been ratified by all members of the union: agreements on trade and tariffs (covering all industrial products); trade in agricultural products; investment guarantees; avoidance of double taxation; and phytosanitary standards.

The main objectives of the AMU Treaty are to strengthen all forms of ties among Member states (in order to ensure regional stability and enhance policy coordination), as well as to introduce gradually, free circulation of goods, services, and factors of production among them. Common defence and non-interference in the domestic affairs of members are also key aspects of the Treaty. It also highlights the broad economic strategy to be followed, namely, the development of agriculture, industry, commerce, food security, and the setting up of joint projects and general economic cooperation programmes. Finally, the agreement provides the possibility for other Arab and African countries to join the Union at a later stage.

4.5.1 AMU databases

ICBT is widespread along the borders between Tunisia, Algeria, Morocco, Libya and Mauritania. AMU is not yet documenting ICBT and hence has no database on ICBT and WICBT. Just like the other RECs, the only data that AMU has are on formal external trade largely supplied from the member States and also from documents produced by international organizations. These data are posted on the AMU website (www.magherarabe.org) and are not disaggregated according to formal and informal trade.

Unlike ECCAS, AMU has no method for ICBT data collection. It also has no department of statistics or WICBT programme. Statistics on external trade are still in the embryonic stage. There is thus no on-going work on a methodology for collecting, processing and analysing data on WICBT.

In Gabon, the Directorate General of Statistics, at the Ministry of Economy, Trade, Industry and Tourism is yet to show interest in data collection on informal cross-border trade, despite the fact that the Director-General acknowledged the importance of this type of trade. This State institution has no methodology available or under preparation on ICBT. At the Department of Statistics of Morocco, the situation was no different from that of Gabon. Here, officers claimed that the lack of methodology for data collection on informal cross-border trade was because it was difficult to capture that type of trade, as it was illegal.

The same type of reasoning was noted at AMU, where it was felt that since no programme yet existed in that area, the first thing to do was to make a diagnosis of the situation of ICBT within AMU. Lastly, at the moment, the data needs expressed by ECCAS and AMU have less to do with the volume of trade than with data that would provide information about the stakeholders and their expectations. Data collection on marketed quantities may follow after this first stage.

At AMU, the officials interviewed pointed out that given the present state of the institution, there was no institutional capacity to establish a database on WICBT activities. In fact, this was a very serious constraint as the institution did not have a department of statistics. The challenge is to provide AMU with human resources in statistics and with equipment and the logistics to establish a statistics unit within the institution. AMU member States lack the financial and human resources needed to include WICBT activities in national statistics.

4.6 National-level estimation of informal cross-border trade: the case of Uganda

As noted earlier, the Uganda Bureau of Statistics and the Bank of Uganda with financial assistance from DFID, conducted the ICBT Survey, as an economic survey covering unrecorded trade transactions in goods across Uganda's borders that were not included in official customs data. In this regard, three ICBT surveys have been conducted in Uganda, in 2003, 2004/2005 and 2006. In 2006, data were collected from the 14 main customs posts that experience large informal trade flows, out of the 27 border posts in Uganda. The survey covered 14 customs posts along the frontiers of all the five neighbouring countries. These were purposely selected border points, known to have a high concentration of informal trade activities, supporting government institutions (for instance, immigration and revenue offices), and that are accessible by a road network.

Statement of the problem

The International Trade Statistics Committee (ITSC) under the auspices of the Bank of Uganda (BOU), which comprises the Uganda Bureau of Statistics (UBS), Ministry of Finance, Planning and Economic Development (MFPED), Uganda Revenue Authority (URA) and other stakeholders, identified existing data gaps in Uganda's international merchandise trade statistics. These gaps had partly contributed to data discrepancy for balance-of-payments figures compiled by BOU using the flow of financial resources on one hand, and UBS figures based on actual flow of goods on the other. The Committee acknowledged that whereas informal trade transactions were substantial, their magnitude could only be roughly estimated.

The ITSC proposed that a comprehensive study be carried out between Uganda and her neighbours to determine the composition of traded products and the magnitude of informal trade transactions. A similar study conducted by Prof. Ackello-Ogutu along the borders of Tanzania and her neighbours, revealed that there was a lot of informal trade taking place, the contribution of which was not being recognized in the official trade statistics.

The ICBT Survey was designed to generate information on informal trade transactions to bridge the missing data gaps in order to improve on the coverage and completeness of external trade statistics. Previous attempts to estimate unrecorded trade by balance of payments (BOP) and national accounts compilers grossly underestimated the contribution of informal cross-border trade transactions to overall international merchandise trade statistics. The pilot and main survey results confirmed that the volume and value of unrecorded trade were substantial between Uganda and her

neighbours. Therefore, without the unrecorded trade component, trade statistics are incomplete and could give wrong signals to policymakers by underestimating the true intra-regional trade levels.

Objectives

The main objective of the ICBT Survey was to establish the magnitude of unrecorded trade between Uganda and her neighbours, with the following specific objectives:

- To determine the composition of commodities transacted under unrecorded trade;
- To establish the direction of trade for transacted goods (Country of destination/origin);
- To estimate flows in terms of values and quantities;
- To provide a comparative analysis of recorded and unrecorded trade including net trade balances;
- To produce monthly and annual ICBT estimates for Balance of Payments and National Accounts compilation; and
- To establish the position of Uganda in terms of comparative and competitive advantage under ICBT arrangement.

There is no gender disaggregation of data in the Uganda ICBT Survey. Examples of statistics derived from the Survey include the following:

- Informal exports and imports by country and trade balances ('000 US\$);
- Formal and informal trade flows ('000 US\$);
- Estimates of informal trade, by product category with neighbouring countries ('000 US\$);
- Estimates of informal trade, by product category with neighbouring countries ('000 US\$);
- Informal exports, imports and trade balances per product category ('000 US\$);
- Informal exports and imports for EAC region and trade balances ('000 US\$);
- Overall main informal exports of industrial, agricultural and other products (in US\$ and US\$)
- Overall informal imports of industrial, agricultural and other products (in US\$ and US\$)
 - Informal exports and imports by border station, value and percentage share
 - Modes of transport; value and percentage share of exports and imports
 - ICBT exports by destination, commodity type and value (US\$ & US\$)
 - ICBT imports by destination, commodity type and value (US\$ & US\$)
 - Exports by customs station, commodity type, quantity and value (US\$ & US\$);
 - Imports by customs station, commodity type, quantity and value (US\$ & US\$)
 - Exports by commodity, quantity and value (US\$ & US\$); and
 - ICBT imports by commodity, quantity and value (US\$ & US\$).

The detailed methodology of the Uganda ICBT Survey of 2006

The methodology was based on earlier work by Prof. Ackello-Ogutu in 1996, and the ICBT pilot and main survey of 2003 and 2004/2005 respectively. Some border posts which were known to be active in ICBT activities were purposely selected for the survey, as opposed to an ideal census, which could not be carried out due to financial constraints. Prior assessment visits were made by the technical team to the customs stations. Fourteen customs stations were selected from the sampling frame of 27 posts, using the following criteria:

- Customs posts that were known to have informal trade transactions and were strategically situated at the frontier between Uganda and her neighbours, excluding inland ports comprised the entire population.
- Secure customs posts experienced with informal trade activities.
- Availability of supporting government institutions (such as immigration, revenue office and police station) with easy accessibility.
- Volume of unrecorded trade involved.

Overall, the customs posts selected for monitoring constituted approximately 90 per cent of both formal and informal trade flows with the five neighbouring countries.

The 2006 study was conducted for two consecutive weeks during the months of March, May, June, September and November and the ICBT flows for the remaining two weeks of each of the five months was estimated. Ideally, the selection of the weeks to be monitored was supposed to be at random to avoid bias but this was not possible due to financial constraints.

The direct observation method of data collection was the most cost-effective way of gathering data under border conditions, which are far from ideal. Under this technique, enumerators were positioned strategically at border posts to record all merchandise entering or leaving the country by observation. All traded goods that were not recorded or officially cleared by the customs authorities were recorded in the counter books and later transferred in aggregated form into "Summary Form A".

Prior to fieldwork, the survey team of enumerators, supervisors and coordinators underwent a one-week training on the survey instruments and weight-estimation techniques. Nearly all monitored posts had a weighing scale for accurate recording of information on all goods transacted whose weight needed verification.

The up-rating of survey results was based on the following assumptions:

- i. The supply and demand for industrial and other products from either side of the border were fairly constant throughout the months of border monitoring;
- ii. The supply and demand of agricultural products fluctuate depending on the season, whether planting or harvesting season and the day of the week (for example, market day). The average value of flows (imports/exports) for a day of the week, say Tuesday is multiplied by the number of times Tuesday occurs in a month. The procedure is repeated for all the days of the week and a sum of the values estimated to get the monthly estimates; and

- iii. Trade transaction through other crossing points in the neighbourhood of the monitored border stations were estimated individually, based on qualitative monthly reports that were compiled by the supervisors after every monitoring month. Therefore, the reported percentage of (i) and (ii) yields the estimated trade that crossed via the neighbourhood of each monitored border station.

In the Up-rating Model, under assumption (i) above, for industrial and other products with constant trade flows, consider a given month having n days with a daily average value of industrial and other products of μ_i . The total value of inflows/outflows of industrial and other products in a month are therefore mathematically presented as:

$$A_i = n \mu_i \dots\dots\dots (1)$$

Equation (1) states that to get the monthly value estimates for the months in question/consideration, the average daily values of industrial and other products from survey figures are multiplied by number of days in a given month. Therefore, the aggregate value of inflows/outflows during the survey period is the sum of the estimates of the five months monitored.

Mathematically,

$$A_T = \sum_{i=1}^5 n \mu_i \dots\dots\dots (2)$$

Where i = month monitored and A_T are total export/import flow for industrial and other product categories. Equation (2) represents estimated total value of informal exports/imports of the industrial and other products traded during the 5 months of border monitoring. These are informal trade flows (exports and imports) of goods in industrial products and other products category that passed through the monitored borders during the full days of the months of monitoring.

To up-rate informal trade flows of agricultural and other agricultural products during the five months of the survey, assumption (b) is taken into consideration. The monthly aggregate of agricultural trade flows can be expressed as the sum of product of the number of particular days in a month and the average imports/exports for the day of the week. Let d_j represent the number of particular days in a month, say four Mondays in March 2006 and μ_j the daily average value of agricultural exports/imports of a given day computed from the observed trade figures. Then,

$$B = d_j \mu_j \dots\dots\dots (3)$$

Where B , stands for the monthly total value of trade for a given day, say Monday, in a month of agricultural exports/imports (i.e. total of all Mondays).

Therefore, the monthly informal agricultural exports/imports aggregates for all days in a month are estimated as:

$$B_T = \sum_{j=1}^5 d_j \Psi_j \dots\dots\dots(4)$$

Where j represents day of the week, i.e. Monday, Tuesday... Sunday. Note that, the maximum number of times a day of the week appears in a month is 5 times. Adding the monthly totals for 5 months we get the aggregate informal (unrecorded) agricultural flows as:

$$\sum_{k=1}^5 \sum_{j=1}^5 d_j \Psi_j \dots\dots\dots(5)$$

Where k, stands for the months monitored which were five in our case (March, May, June, September and November). Equation (5) represents the estimated total value of informal exports/ imports of the agricultural products traded during the five months of border monitoring. What remains is to estimate total informal traded goods that passed through the routes in the vicinity of the monitored border stations that were not captured by the enumerators. From assumption (c) above, the percentages provided for each border post was multiplied by equation (2) and (5) to yield trade estimates through the area. For instance, informal trade through the Busia area alone was estimated at 25 per cent. Other stations had percentages ranging from 5-25 per cent as trade through nearby routes or "*panyas*". For Busia alone, this is expressed as:

$$C = [\sum_{i=1}^5 \eta \mu_i + \sum_{k=1}^5 \sum_{j=1}^5 d_j \Psi_j] 1/4 \dots\dots\dots(6)$$

Equation (6) represents informal trade flows (exports and imports) of goods in all categories that passed through the routes within the vicinity of the monitored sites but not captured by the fieldworkers. A summation of the results from the three equations (2), (5) and (6) gives the up rated estimates of informal cross-border trade figures. Hence:

$$\sum_{i=1}^5 \eta \mu_i + \sum_{k=1}^5 \sum_{j=1}^5 d_j \Psi_j + 1/4 [\sum_{i=1}^5 \eta \mu_i + \sum_{k=1}^5 \sum_{j=1}^5 d_j \Psi_j] \dots\dots\dots(7)$$

Equation (7) shows the trade estimates from unrecorded/informal transactions with Uganda's neighbours during the 5 months of monitoring.

In order to show the magnitude of trade flows for un-monitored months, estimation is necessary to fill the existing data gaps. Filling the gaps would improve the analytical usefulness of trade data so as to allow easy integration of the figures into BOP and National Accounts Statistics framework. The practice of estimating missing trade data are in consonant with internationally accepted standards by international organizations such as UNECA and United Nations specialized agencies, World Bank, and IMF. The estimation methods stipulated by these organizations are documented in the book

entitled, “*Manual on Methods of Estimation of Missing International Trade Data in Africa* (UNECA 1995).” Two techniques were found useful in attempting to estimate monthly flows that were missed out due to logistical constraints. These are linear interpolation and extrapolation models.

The interpolation method estimates intermediate terms of a sequence of which particular terms are known. Consider the line defined by the two points (X_0, Y_0) and (X_1, Y_1) , and a third point to be determined (X, Y) lies on this line only if the following relation holds:

$$(Y_1 - Y_0)/(X_1 - X_0) = (Y - Y_0)/(X - X_0), \dots\dots\dots (8)$$

Suppose that the value of X is known, but not that of Y , calculating Y from 8 above

$$Y = (Y_1 - Y_0) (X - X_0) / (X_1 - X_0) + Y_0 \dots\dots\dots (9)$$

Re-arranging (9) becomes :

$$Y = ((X - X_0) / (X_1 - X_0)) Y_1 + (1.0 - ((X - X_0) / (X_1 - X_0))) Y_0 \dots\dots\dots (10)$$

Equation (10) can be rewritten as:

$$Y = \alpha Y_1 + (1.0 - \alpha) Y_0 \dots\dots\dots (11)$$

$$\text{Where } \alpha = (X - X_0) / (X_1 - X_0) \dots\dots\dots (12)$$

Equation (12) is the interpolation factor, while (11) is the linear interpolation model. The Linear interpolation model was applied to determine the values of informal trade transactions for the months of April, August, and October 2006.

The extrapolation method or linear projection model is based on the assumption that there are no sudden or dramatic changes occurring on conditions affecting growth during the period under review. The mathematical formula is thus:

$$Y_{t+n} = Y_t + b_n \dots\dots\dots (13)$$

Where Y_{t+n} is the value being projected, n units from time t .

Y_t is the recent time interval of the historical data and the starting point of projection.

b is the average amount of growth or decline per unit of time.

n is the number of units of time (e.g. months, weeks, years etc.).

To use model (13) above, b is estimated using the formula below.

$$b = \sum_{i=1}^m (Y_t - Y_{t-1}) / m \dots\dots\dots (14)$$

Where m is the historical period over which the average growth is calculated.

Y_{t-1} is the level of Y one time period before Y_t . The months of July, January and February were estimated from this model. However, December 2006 was estimated from the December 2005 ratio to total trade for the eleven months of 2005.

The Uganda ICBT Survey, 2006 had some of the following limitations:

- i. The survey did not cover all the border stations in the country. Some of the border stations that were not covered may be experiencing significant amount of informal cross-border trade flows;
- ii. Trade occurring at night and beyond stipulated time of monitoring (7.00 am to 6.00 pm) was not covered;
- iii. The porous nature of the Ugandan borders and failure to monitor all cross-border sites led to underestimation of the volumes of informal trade flows;
- iv. The survey took two weeks of border monitoring instead of four weeks in a month, thus failing to capture the transactions for the entire months in which border monitoring took place;
- v. The Direct Observation technique did not accurately estimate the quantities of some traded items especially where assorted goods were involved in one package. Other estimation problems arose as a result of items being transported in packages not transparent, and those in bulk like sugar canes, fruits etc.; and
- vi. Assignment of values, quantities and units of measure to some commodities was not accurately done because of the nature of the goods traded in at respective border stations.

The following measures were taken to address limitations (iv), (v) and to a significant extent (vi) stated above:

- a. Data verification, which included validation, consistency checks and coding in line with international merchandise trade statistics recommendations; and
- b. Data up-rating.

Limitation (ii) was addressed probably for security reasons.

The findings showed that, in 2006, Uganda informally exported goods worth US\$ 231.7 million and imported goods estimated at \$80.6 million thereby recording a trade surplus of \$151.1 million. On the other hand the recorded official exports and imports were valued at \$962.1 million and \$2 557.3 million respectively (see table 4). This implied that Uganda's overall export earnings from both trading arrangements (formal and informal trade) amounted to \$1.19 billion in 2006 compared to the combined export earnings of \$1.01 billion in 2005. The trade deficit resulting from both formal and informal was estimated at \$1,444.0 million in 2006. All the five neighbouring countries (DRC, Kenya, Rwanda, Sudan and Tanzania) were actively involved in informal/unrecorded cross-border trade in all product categories. Overall, Uganda earned \$117.9 million and \$112.8 million from export of industrial and agricultural goods respectively. The main exported agricultural product was fish valued at \$33.4

million, while the major imported industrial product was polythene bags whose imports bill was estimated at US\$25.9 million.

Table 4: Improvement in the estimation of total trade statistics after the ICBT Survey, US\$ millions, Uganda 2006			
	Official Trade Statistics before Survey by Bank of Uganda	ICBT Survey Estimates	Revised Bank of Uganda Total Trade Figures
Exports	962.1	231.7	1 194.0
Imports	2 557.3	80.6	2 637.9
Trade Balance	-1 595.2	151.1	-1 444.0

The Uganda ICBT Survey, 2006 concluded and recommended that:

- a) There was overwhelming evidence that substantial informal trade existed between Uganda and her neighbours. The results were contrary to the UNCTAD notion that there is no or little intra-Africa trade. The study recommends that monitoring of unrecorded trade should be done regularly and its budget included in stakeholders' annual budgets and work plans.
- b) Agricultural products dominated the informal export sector among the goods exported to neighbouring countries during the period under review, showing that Uganda has a comparative advantage in export of agricultural products under ICBT arrangements within the region. This comparative advantage should be further exploited through enhancement/value addition, to earn more foreign exchange. Moreover, value addition together with strict adherence to international standards would enable Ugandan products to access European Union and United States markets under the Everything But Arms (EBA) initiative and the African Growth and Opportunities Act (AGOA) respectively.
- c) A policy framework should be formulated to guide informal trade activities where quality control and value addition issues take precedence to enable the traders earn more revenue.
- d) Regional States should be encouraged to harmonize their fiscal and trade policies to curb the adverse effects associated with ICBT activities on their economies.

5. CHALLENGES, CONSTRAINTS AND GAPS IN CAPTURING THE ECONOMIC ACTIVITIES OF WOMEN IN INFORMAL CROSS BORDER TRADE IN REGIONAL AND NATIONAL STATISTICAL DATABASES.

The economic activities of women in ICBT are largely not being captured by the RECs. From the above analysis, it is clear that there are many challenges, constraints and gaps relating to capturing the economic activities of WICBT in the regional and national statistical databases. These can be categorized under the following:

- Role of the informal economy in development
- ICBT conceptual framework
- Institutional, policy and legal frameworks of the RECs
- Relevant institutional capacities, (including human and financial)
- COMESA STR

- Technical
- ICBTs trading environment.

5.1 The broader picture: problem of non-recognition of the role of the informal economy in development

- a) The problem of WICBT statistics is a reflection of a broader challenge, associated with lack of appreciation of the role of the informal sector as a key parallel economy in African economies, and of its contribution to development.
- b) Similarly, there is lack of recognition of the contribution of ICBT in general and WICBT in particular, to total trade, poverty reduction and the general welfare and human development of the majority of the population in Africa.
- c) In reality, the exclusion of ICBT from assessment, dominated as it is by women, translates into gross underestimation of total trade in general and intra-African trade in particular, which ultimately underestimates the Gross National Income (GNI).
- d) Another broader problem is that in an effort to get women in informal cross-border trade recognized by policymakers, countries and regions argue that they do not formulate economic policies specifically for women. Instead, they would rather formulate policies for all ICBTs (female and male), and women by virtue of being the majority in the sector would naturally derive more benefits from such policies.

5.2 ICBT conceptual misunderstanding

There is a serious conceptual misunderstanding in professional circles on what constitutes ICBT. The problem basically emanates from whether one is looking at the recording of trade or at the agent of trade/trader.

Conventional trade and macroeconomist are concerned with whether trade is recorded or unrecorded irrespective of the status of the trader. On the contrary, gender economists, other gender professionals and activists, including institutions that promote the welfare of women such as UN Women, and those who champion poverty reduction and eradication, among others, are concerned about the vulnerable, small unregistered cross-border traders who derive their basic livelihood from this activity under harsh working conditions, the majority of whom are women.

This divergence in ICBT conceptualization has been the fundamental problem in the collection of data on activities of women in informal cross-border trade (WICBT) under the RECs and at national level.

5.3 Weak REC institutional, policy and legal frameworks in relation to ICBT

- i. There are generally no explicit ICBT policies in the RECs, except in the SADC.
- ii. All the RECs have three major departments/units/commissions linked to the issue of ICBT, namely gender, trade and research and statistics. While gender departments, which are generally weak in terms of capacity to articulate their gender data requirements, particularly on ICBT, subscribe to the WICBT approach, the trade departments, which are generally technically strong and well-endowed with capacity, subscribe to the conventional approach to ICBT. Since the production of statistics is normally demand driven, the weaker gender departments in the RECs, , have not been able to clearly specify what data they need to advance the WICBT agenda from their perspective. In the meantime, trade statistics in the RECs and even at national level remain dominated by the economist's conventional approach, with no tangible efforts to capture data on WICBT or even to publish trade data according to whether the trader is registered or not, which is already being captured under the ASYCUDA.
- iii. REC member States are not collecting information on ICBT to submit to the RECs for coordination and setting up of databases.
- iv. RECs are not pro-active in supporting the collection of ICBT information.
- v. CBTAs are not in all REC member States and where they do exist, are not adequately resourced.
- vi. There is lack of institutionalized regular surveys on ICBT in most African countries except Uganda. An ICBT database requires more information than what is collected at the border using the STR and the ASYCUDA. This is because ICBT concerns go beyond trade flows to the environment in which the trader finds himself/herself doing business,, both in the country of origin and country of destination, as well as the background characteristics of traders. These can only be captured in surveys.
- vii. REC databases on various subjects including formal trade are generally not centralized and are largely inconsistent 'standalones' in various departments. Most of them are kept on the officers' personal computers, which is highly risky and unsustainable.
- viii. The capacity of RECs to coordinate the collection, analysis and publication of data on ICBT activities in general and WICBTs in particular is weak, first at member State level and then at the REC level of database compilation.
- ix. The preoccupation of Customs Departments with revenue makes them overlook the positive welfare implications of ICBT. A flagship motto such as *"Customs with a Human Face"* might be required.

- x. The fact that most REC programmes are donor funded brings in the challenge of medium to long-term sustainability. In this regard, there is need for more commitment from REC member States to finance programmes, including collection of data and compilation of databases at both national and regional levels.

5.4 Lack of relevant institutional capacity to collect data on ICBT and WICBT and to compile the respective databases

- i. It is of serious concern that AMU has no department of statistics. Statistics on external trade are still in the embryonic state. In this regard, there were no institutional capacities to establish a database on ICBT and WICBT activities.
- ii. The challenge of human resources in statistics and equipment and the logistics to establish a statistics unit within the institution remains major constraints in AMU and SADC. The SADC Statistics and Research Unit is very low on human resources and is currently largely manned by project staff, a situation which is not sustainable. Some ECCAS member States, excluding Burundi, Cameroon, Democratic Republic of the Congo and Gabon, are facing human resource constraints.
- iii. Lack of financial resources to develop a database on ICBT and WICBT remains a constraint in most RECs with the exception of ECCAS and ECOWAS.
- iv. All RECs and most member States lack the capacity to mainstream gender in data-collection systems, in general, and in ICBT and WICBT databases in particular.

5.5 COMESA STR challenges

- i. COMESA STR, though a good initiative for small cross-border traders (SCBTs), may have problems of sustainability if it remains funded as a project. Member States in conjunction with CBTAs should eventually take over the TIDOs and the costs of administering the trade desks.
- ii. The Simplified Customs Document (SCD)/STR form has no gender field, which makes it impossible to identify WICBTs in official trade statistics.
- iii. The STR gender capturing in TIDO notebooks and computers which is submitted to the COMESA Secretariat, is not part of the main ASYCUDA trade database, and as such, the lack of gender-disaggregated data remains a problem at national level.
- iv. The ASYCUDA has no gender field, which makes it impossible to identify WICBTs in official trade statistics. However, since the ASYCUDA already filters unregistered traders, this should be followed by sex of trader.
- v. There is minimal awareness on the advantages of the STR to the ICBTs.

5.6 ICBT databases technical challenges

- a) Absence of clear and detailed methodological guidelines on how to capture data on WICBT including issues of the total ICBTs population, sample selection, questionnaire design, and analysis among others.
- b) Most of the data currently in the REC databases are outdated, with no data on ICBT, except for the STR in COMESA.
- c) There are financial resource constraints for carrying out border-post censuses to provide data for estimating ICBT.
- d) There is need to collect qualitative information to supplement quantitative data from border communities to assess the impact of ICBT. Qualitative information can be effectively collected through regular comprehensive ICBT surveys.
- e) When carrying out border-post surveys, the problem of seasonality can negatively affect estimations of ICBT. For example, agricultural production cycles vary from region to region and season to season and considering that most commodities traded under ICBT are agricultural products, monitoring for a complete year to cover the entire agriculture cycle is necessary to capture the aspect of seasonality. This poses the biggest challenge of raising adequate financial resources for the survey to cover a whole calendar year.
- f) Transforming the ICBT data into international commodity nomenclature such as Harmonized Commodity Coding and Description System (HS2002) and Standard International Trade Classifications (SITC) is crucial for easy integration of the data into the main external trade databases. However, some of the items recorded under ICBT will be in local names that may not be found in these nomenclatures.
- g) Current plans of RECs to make databases more comprehensive and up-to-date generally do not include data on ICBT, let alone on WICBT. For example, the COMESA database, COMSTAT covers only formal trade and other economic indicators, with minimal social indicators. There are no immediate plans to include WICBT data on women I in COMSTAT. SADC on the other hand, from its initial draft of the proposed SADC Statistical Yearbook, is not going to include data on the informal economy, let alone ICBT and WICBT.
- h) There is a problem in that trade data collected through the ASYCUDA lacks disaggregation into ICBT and formal company trade, even though the ASYCUDA has a field for informal traders/unregistered firms. This continues to hide the contribution of ICBT to total trade, GDP etc.

5.7 Harsh ICBT trading environment

- a) There is a general failure on the part of policymakers to appreciate the importance of providing a conducive environment for ICBT so that vibrant trade can take place, contributing to the revenues as well as the welfare of the population at large. In this regard, trade issues are not just about tracking trade flows.
- b) Within the ICBT sub-sector itself, it is important to know who in terms of gender and firm size are participating in trade and at what level. This will help in identifying small traders who should be encouraged by CBTA's to graduate into formally registered importers and exporters.
- c) There is generally no total free movement of persons within the RECs, except in ECOWAS. This negatively affects ICBT and can be improved through the introduction of a common passport, removal of visa requirements, issuance of traders' identity cards, among others.
- d) General violation of human rights and women's rights in particular, through harassment by customs officials for example, impacts negatively on the free movement of people to conduct ICBT.
- e) Insecure unofficial border-crossing points, where a lot of ICBT takes place, will remain challenging in terms of data collection.
- f) Smuggling, under-invoicing, among other activities remain challenging for gathering trade statistics.
 - i. Data on volumes and values of illicit trade will remain difficult to collect. However, in a survey of ICBTs, the extent of illicit trade and the direction of flow can be indirectly picked up from perceptions and observations of ICBTs.

6. BEST PRACTICES IN CAPTURING ECONOMIC ACTIVITIES OF WOMEN IN INFORMAL CROSS BORDER TRADE IN REGIONAL AND NATIONAL STATISTICAL DATABASES

The best practices in different areas critical for capturing the economic activities of ICBTs in general and WICBTs in particular highlighted in this section are as follows:

- UGANDA best case for estimating ICBT contribution
- COMESA Simplified Trade Regime
- ECOWAS Free Movement of Persons
- SADC Advocacy Strategy on Informal Cross Border Trade
- UNIFEM Study on Women in Informal Cross Border Trade in Southern Africa: the Case of Swaziland and Zimbabwe, 2009.

6.1 UGANDA best case of estimating ICBT contribution

The Uganda case of estimating the contribution of ICBT to total trade described in detail above (section 4.1.4) has been identified as one of the best practices in Africa for the following reasons:

- a) The Uganda ICBT Survey was institutionalized under the Uganda Bureau of Statistics and the Bank of Uganda, making the statistics official for estimating total trade and any subsequent National Accounts variables. In this regard, the ICBT survey has been conducted regularly, which is a prerequisite for the continual updating of economic statistics;
- b) The ICBT Survey provides detailed information on volumes, values and direction of trade, among others, for the different commodities traded, just like under formal trade;
- c) The survey uses sound technical methodologies in sample selection, measurement of ICBT activities, sample boosting, among others; and
- d) The sample survey provides reasonable estimates at national levels in a cost-effective manner.

However, there is the need to add the gender dimension to this survey, which can easily be done and will provide valuable information on the activities of WICBTs.

6.2 COMESA Simplified Trade Regime (STR)

The COMESA STR discussed in detail above (section 4.1.3) has been identified as a best practice because it promotes ICBT by:

- a) Recognizing ICBTs as an important player in cross-border trade;
- b) Allowing ICBTs to trade openly on a commercial basis using a simplified form for the declaration of goods;
- c) Trading mainly on duty free basis within a reasonably high threshold of US\$1,000, without the need for a Certificate of Origin, for goods on the agreed Common List;
- d) Reducing the time spent by ICBTs on clearing goods at borders;
- e) Allowing the capturing of ICBT contribution to total trade through the STR form from where information is captured in the ASYCUDA. In this way, ICBT trade becomes part of total trade, and if separated in analysis it can clearly indicate the contribution of the sub-sector to the economy;
- f) Reducing harassment of ICBTs in general and WICBTs in particular, thus promoting human and women's rights as they conduct business across the borders; and
- g) Supporting CBTAs at both national and regional levels, thereby improving recognition of the sub-sector and empowering them to lobby for a conducive operating environment.

However, there is the need to add the gender dimension to the STR form as well as in the ASYCUDA, which will provide valuable information on the activities of WICBTs.

6.3 ECOWAS Free Movement of Persons

ECOWAS is one REC that presents a best practice in terms of implementing the Protocol on the Free Movement of Persons, the Right of Residence and Establishment (1979). This environment promotes ICBT in that:

- ECOWAS citizens can move freely without visas and can work in any member state;
- Business can be done across borders in conformity with the national laws;
- The common passport for ECOWAS will soon replace the national passport; and
- ECOWAS is working on an ECOWAS common identity card to promote ECOWAS citizenship.

However, problems of harassment at the borders still exist.

6.4 SADC Advocacy Strategy on Informal Cross Border Trade

The SADC Advocacy Strategy on Informal Cross Border Trade, 2011 described in detail above, under section 4.2.4 is a best case in terms of formulating policies which explicitly target ICBT in general and women in particular. This strategy is meant for mainstreaming Informal Cross Border Trade issues in economic and trade related policies and structures at national and regional levels. The strategy is yet to be implemented. If implemented as designed it will put to rest most of the problems with lack of information on the activities of ICBTs in general and WICBTs in particular in SADC. The SADC Advocacy Strategy on Informal Cross Border Trade presents best practice in terms of:

- a) Holistic advocacy for the ICBT economic sub-sector as a whole, with gender mainstreaming. This is a more practical approach in influencing policy, rather than only advocating for women ICBTs.
- b) The formation of partnerships between SADC, governments and development partners to address issues facing women informal cross-border traders, and mainstream gender issues in trade agreements and processes. This includes:
 - i. Supporting the efforts of REC's in harmonizing their trade policies with their gender policies;
 - ii. Simplifying and popularizing the provisions of regional protocols and agreements from a gender perspective;
 - iii. Advocating for gender sensitive border control procedures and taxation systems; and
 - iv. Systematizing collection and analysis of gender-disaggregated data on informal cross-border trade.

6.5 UNIFEM Study on Women in Informal Cross Border Trade in Southern Africa: The Case of Swaziland and Zimbabwe, 2009

While the Uganda ICBT Survey presented above was best practice in estimating the quantitative volumes and values of ICBT, it was not designed to provide critical micro-

information on the characteristics of ICBTs. This included their operational environment; impact of institutional, policy and legal frameworks; risks; challenges; constraints; rights and benefits derived from the trade. Both aspects are needed and should be part of the ICBT databases, to effectively inform policies on ICBT in Africa.

The UNIFEM Women in Informal Cross Border Trade in the Southern Africa Study of 2009 is a best practice in terms of collecting the WICBT micro-information. In this regard, the UNIFEM Study methodology is summarized below:

Given the complexity of the research questions on ICBT, the research used the triangularization method in which various complimentary methodologies were employed. The five research methodologies that were used included: a desk study; purposely chosen baseline random sample survey consisting of a core female survey and a comparative smaller male survey using the same questions; ICBT focus group discussion (FGD); institutional survey; and case studies.

The desk study analysed the international trade, poverty and gender context as well as push and pull factors at sub-regional and national levels for ICBTs with special focus on women, using secondary data. This included economic development context and economic performance, poverty and its gender dimensions, gender inequalities, trade issues at all levels, land reform, the position of women in the economy - where they were employed in the non-agricultural sector, proportion in agricultural, unemployment levels, HIV and AIDS and its gender dimensions, education levels, skills, occupations etc. and governance challenges.

The desk study used secondary data sources which were mainly published material, poverty analysis documents, macroeconomic policies for gender sensitivity, government policy documents, and official statistics from the Central Statistical Offices, donor reports and any studies done on cross-border trade nationally or in the region.

Following the completion of the desk study, a Baseline Survey Questionnaire was designed and administered to both female and male ICBTs in Swaziland and Zimbabwe. A brief border-sampling questionnaire was designed for screening ICBTs from non-ICBTs at the borders. Interview guidelines were also prepared for the FGD, institutional surveys, and the cases studies. The questionnaire was constantly refined through the pre-test, pilot test and the training for the pilot and main surveys. The areas covered in the baseline survey included:

- Background information
- General ICBT details
- Initial ICBT activities
- Current ICBT activities
- General current ICBT activities
- Estimating incomes from ICBT
- Decision-making on ICBT
- Current access to resources and services for ICBT activities
- Welfare implications and effects of Cross Border Trade Activities (food security, children, reproductive work and family relations)

- Impact of operating environment on ICBT's Health (transport, accommodation, food and nutrition and trading places)
- Impact of ICBT on government revenue
- Constraints faced while engaging in ICBT activities
- ICBT institutional support
- Other rights issues
- Observation on ICBTs' welfare.

Prior to conducting the actual ICBT survey, a pilot survey was carried out. The experience from the pilot survey was used to improve on the baseline survey instrument and also the logistics for conducting the survey. These were documented in detail in Pilot Survey Reports for the two countries. Questions on estimating incomes, for example, proved complicated and were simplified in the actual survey. On logistics, sampling was relaxed to cover not only those ICBTs who were exiting the country of origin but also those who were entering and those disembarking from buses from border posts. In addition, enumerators were trained on theoretical and conceptual issues on ICBT and poverty together with the research methodology and the instruments. After the training, the instruments were refined and finalized before the main survey field work commenced.

For the baseline survey, the unit of study was the female or male informal cross-border trader. Sampling was done for ICBTs who used six key border posts in Southern Africa in terms of traffic of ICBTs. A total regional purposive and random sample of 930 ICBTs consisting of 655 female ICBTs and 275 male ICBTs was sampled at the six border posts. The sampling methodology was purposive because the interviewer went to sample from ICBT concentration points and random because the ICBTs passing through a particular border post had an equal chance of being interviewed. After the border sampling, a total regional sample of 709 ICBTs (484 females and 225 males) was enumerated at their homes, workplaces, places of operation or markets in October/November 2008.

Separate FGDs involving females and males were conducted in both countries. A total of six in-depth case studies (four female and two male ICBTs) were conducted. These ICBTs had been in the business for at least eight years. The in-depth case studies tracked their experiences from when they started business to give insights into the changing dynamics of ICBT over time, constraints, resilience, benefits, etc.

A survey of 36 institutions linked to ICBT was conducted. These institutions included regional institutions, government ministries and departments, microfinance institutions, ICBT and private sector associations as well as United Nations agencies. Regarding Zimbabwe, for example, the following 21 institutions were interviewed:

Regional institutions: COMESA and SADC.

Government ministries and departments: Ministry of Industry and International Trade (MIIT); Ministry of Finance (MOF); Ministry of Women's Affairs, Gender & Community Development (MOWAGCD); Ministry of Economic Development (MOED); Ministry of Public Service, Labour and Social Welfare (MPSL&SW); Ministry of Small and Medium Enterprise (SME) Development; Central Statistical Office (CSO); Reserve Bank of

Zimbabwe (RBZ); Zimbabwe Trading Cooperation (ZIMTRADE); Zimbabwe Revenue Authority (ZIMRA) and Zimbabwe Immigration Department.

Microfinance institutions: Zimbabwe Association of Microfinance Institutions (ZAMFI) and Small Enterprise Development Corporation (SEDCO).

ICBT associations: Zimbabwe Cross Border Traders Association (ZCBTA) and Zimbabwe Chamber of Informal Economy Associations (ZCIEA).

Private Sector association: Confederation of Zimbabwe Industries (CZI).

United Nations agencies: International Organization for Migration (IOM); United Nations Industrial Development Organization (UNIDO) and International Labour Organization Sub-regional Office (ILO/SRO).

Various quality-control measures were put in place to ensure collection and dissemination of high-quality data. Some of the controls used included: a list of consistency checks put down for use by enumerators; and field team leaders and researchers supervised enumerators and listened to a number of interviews during enumeration in order to check on recording and interviewing and made the necessary corrections in the field. Field team leaders also edited the questionnaires thoroughly in the field for completeness, accuracy and consistency and requested the enumerators to do any necessary call backs. The data entry programme was loaded with some consistency checks to be corrected at that stage.

The recruitment of veteran enumerators with experience in data collection from various censuses and surveys also ensured high-quality data collection. Data capturing and verification was run concurrently with the collection of data to minimize time lost on data capturing after enumeration and this speeded up production of the final report. Analysis involved the fusion/triangularization of findings from the different data collection instruments.

A practical challenge in conducting the survey both for the Pilot and Main Survey was the synchronization of ICBT movements with the research time limitations. In addition, by the ad-hoc nature of study, independent research was not designed to estimate volumes and values of ICBT. However, once such a survey is institutionalized, that critical component can be added using the Uganda example highlighted above. The findings of the UNIFEM WICBT Southern Africa Study, 2009 are presented in the literature review, in section 2.

7. CONCLUSION AND WAY FORWARD: STRATEGIES TO ADDRESS GAPS, CHALLENGES AND CONSTRAINTS

In conclusion, it is important to note that, generally, RECs have not been collecting information on ICBT in general, let alone on the activities of women in informal cross-border trade. Current REC databases contain detailed formal trade statistics, still without inclusion of the gender dimension. On ICBT, what is available in the region are ad hoc studies on WICBTs.

Nonetheless, COMESA has recently made commendable efforts in the collection of ICBT data through the STR 2007. SADC conducted a study on ICBT in 2008 followed by a SADC Advocacy Strategy on Informal Cross Border Trade in 2011. Even though it has instituted a section on ICBT, there is no ECOWAS-specific WICBT research or database.

The absence of WICBT REC databases created a serious challenge in executing this assignment because of the exact terms of reference provided. Within this reality on the ground, the report therefore identified the challenges, constraints and gaps in capturing the economic activities of WICBTs from a broader perspective and suggests strategies required to resolve all such problems to facilitate the establishment of WICBT REC databases.

7.1 Addressing data gaps: ideal data needs on the activities of women in informal cross-border trade

Ideal data on ICBT in general and WICBT in particular can be collected using a combination of the highlighted best-practice methodologies, namely:

- UGANDA best case in estimating ICBT contribution
- COMESA Simplified Trade Regime
- UNIFEM Study on Women in Informal Cross Border Trade in Southern Africa: the Case of Swaziland and Zimbabwe, 2009.

Table A1 in appendix 1 presents the ideal information in 151 proposed variables and the possible sources required to inform policy on ICBT in general which can then be disaggregated by gender. The data fall under 14 proposed categories as follows:

- i. Basic characteristics of ICBTs
- ii. Volumes, values and direction of trade
- iii. ICBT institutional, policy and legal context
- iv. ICBT support services;
 - Transport
 - Accommodation
 - Trading places
 - Food and nutrition
- v. Decision-making in ICBT
- vi. Benefits from ICBT
 - Income and expenditure
- vii. Business skills
- viii. Human rights awareness and abuses;
 - Awareness
 - Experience
- ix. ICBT time trends
- x. Perceptions on illegal/illicit trade
- xi. Extended and other forms of trade
- xii. ICBT operating environment;
 - ICBT resources and services
 - ICBT constraints
 - Information and Communication Technology in ICBT business
- xiii. ICBT implications for household welfare
 - Food security, education, health, non-food requirements, child welfare
- xiv. Recommendations by ICBTs and institutions.

7.2 Strategies to address the challenge of the broader picture of the role of the informal economy in development:

- Advocate at a broader level, for the recognition of the role of the informal sector as a key parallel economy in African economies, and its contribution to development including wealth creation, total trade, poverty reduction and general welfare (human development) of the majority of the population in Africa.
- Similarly, advocate for the recognition of the contribution of ICBT in general and WICBT in particular as has been initiated under the SADC Advocacy Strategy on ICBT, 2011. It is also important to note that advocating for policies on WICBT only, as opposed to ICBT as an economic sub-sector, will not be taken seriously by policymakers. Women by virtue of being the majority in the sector will naturally derive more benefits from such policies. Recognition and estimation of ICBT will solve the current problem of underestimation of total trade and gross national income (GNI) in Africa.

7.3 Strategies to address the ICBT conceptual framework misunderstanding

- To resolve the divergence in ICBT conceptualization between the conventional trade and macroeconomist and the gender economists, professionals and activists, there is need to collect data which provides a holistic picture of trade in the African economy. A holistic picture of trade is not just about recorded trade volumes, values and flows.
- It also includes understanding the characteristics of the trader (formal companies, informal firms and individuals) and the environment under which these different traders operate.
- Given that the majority of ICBTs are women, it is important to also understand the gender dimensions to ICBT in particular.

7.4 Strategies to address the challenges of institutional, policy and legal frameworks of RECs

- Formulate explicit ICBT policies in all the RECs, similar to the SADC Advocacy Strategy on ICBT, 2011.
- Build capacity in member States for national data collection agencies and capacity for coordinating the collection, analysis and setting up of databases at REC level.
- Build the capacity of gender departments in the RECs and at national level so that they are better able to specify clearly what data they need to advance the WICBT agenda from their perspective.
- Improve intra-REC programme coordination particularly for the three major departments/units/commissions linked to the issue of ICBT, namely, gender, trade and research and statistics.

- Institutionalize and regularize surveys on ICBT in most African countries in order to make the statistics official and updated for use in estimating total trade, while at the same time informing policy on the holistic picture on the characteristics of ICBTs and their operating environment.
- REC databases on various subjects including ICBT when it comes on board, should be centralized, harmonized for consistency and posted on websites for easy access by all users.
- Advocate for "*Customs with a Human Face*" to counter the current preoccupation of customs departments with revenue collection, which makes them overlook the positive welfare implications of ICBT.
- Get increased commitment from REC member States to finance programmes including collection of data and establishment of databases on ICBT in general and WICBT in particular at both national and regional levels to ensure medium to long-term sustainability.
- Facilitate the setting up of Cross Border Trade Associations (CBTAs) in all member States and RECs and help them with capacity-building so that they can champion the ICBT agenda, including the collection of data and setting up of databases and encouraging them to graduate into formally registered importers and exporters.

7.5 Strategies to address lack of institutional capacity to collect data on ICBT and WICBT and to compile the respective databases

- Establish as a matter of urgency a department/unit of statistics in AMU, with enough capacity to handle gender mainstreaming in the databases including those on ICBT and WICBT activities.
- Ensure adequate statistical human resource capacity in RECs and member States with constraints in such areas.
- Seek continued support from development partners for RECs and Member states with financial resources to develop statistical databases in general, and those on ICBT and WICBT, in particular. Member States should put substantive resources towards these important activities to ensure financial sustainability.
- Implement the recently established UN Women methodology for mainstreaming gender into statistical production systems. This should be implemented throughout all the RECs and member States, paying particular attention to issues of setting up ICBT and WICBT databases.
- Build the capacity of RECs and member States' statistical agencies and customs departments to incorporate ICBT and WICBT activities into the production of trade statistics.

7.6 Strategies to address the gaps and challenges in the STR

- Other RECs should come up with their STRs, modelled after that of COMESA which has so far proved to be beneficial to ICBTs in general and WICBTs in particular.
- REC member States in conjunction with CBTAs should be responsible for administering and funding the STRs or similar initiatives to ensure long-term sustainability.
- Urgently add a gender field to the current COMESA STR form to enable gender disaggregation of ICBT data. Any RECs coming with similar instruments should ensure the inclusion of a gender field.
- Increased awareness campaigns by governments, CBTAs, civil society, RECs and development partners, on the advantages of the STR to the ICBTs.

7.7 Strategies to address the technical challenges and gaps related to ICBT data capturing in RECs

- Compile detailed methodological guidelines on how to capture data on WICBT which include, determining the total population of ICBTs, sample selection, questionnaire design, and analysis among others.
- When carrying out ICBT border-post surveys, the problem of seasonality should be considered as this can negatively affect estimations of ICBT. For example, making reasonable estimations of trade in agricultural commodities might require spreading the survey months across all the seasons of the year.
- ICBT border-post surveys should be conducted once every two years, whilst the ICBT sample and related surveys should be conducted once every five years to check on the changes in characteristics and the operating environment of ICBTs in general and WICBTs in particular.
- Transform the ICBT data into international commodity nomenclature such as Harmonized Commodity Coding and Description System (HS2002) and Standard International Trade Classifications (SITC) which is crucial for easy integration of the data into the main external trade databases.
- Constantly update current REC databases which are generally outdated, and should be maintained when data on ICBT in general and WICBT in particular eventually become available.
- Current plans of RECs to make databases more comprehensive and up-to-date should include data on ICBT in general and WICBT in particular.
- Advocate for the introduction of a gender field in the ASYCUDA to make it identify WICBTs in official trade statistics. The ASYCUDA already filters

unregistered/informal traders and this should be followed by the sex of the trader.

- In a survey of ICBTs, the extent of illicit trade and the direction of flow can be indirectly picked up from observation and perceptions of ICBTs. However, volumes and values of illicit trade remain difficult to estimate.

7.8 Strategies to address the I CBT trading environment challenges

- Facilitate the total free movement of persons through the introduction of common passports and traders' identity cards, and the removal of visa requirements, among others to promote ICBT. ECOWAS currently provides best practice in this regard.
- Advocate against the general violation of human rights and women's rights in particular in ICBT, through harassment by customs and security officials which impacts negatively on the free movement of people, especially women.

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APPENDIX 1

Table A1: ICBT Comprehensive Data Needs at National and Regional Levels by Gender*		
	Variable	Source
BASIC CHARACTERISTICS OF ICBTs		
1.	Age	Sample Survey of ICBTs, Case Studies
2.	Sex	Sample Survey of ICBTs, Case Studies
3.	Ethnicity	Sample Survey of ICBTs, Case Studies
4.	Marital status	Sample Survey of ICBTs, Case Studies
5.	Household headship	Sample Survey of ICBTs, Case Studies
6.	Household size	Sample Survey of ICBTs, Case Studies
7.	Household composition	Sample Survey of ICBTs, Case Studies
8.	Educational level completed	Sample Survey of ICBTs, Case Studies
9.	Employment status – formal or informal	Sample Survey of ICBTs, Case Studies
10.	Major source of income for household	Sample Survey of ICBTs, Case Studies
11.	Reasons for engaging in ICBT	Sample Survey of ICBTs, FGD, Case Studies
12.	Frequency of ICBT trips per month	Sample Survey of ICBTs, Case Studies
13.	Country of ICBT destination	Sample Survey of ICBTs, FGD, Case Studies
14.	Time spent away from home on ICBT business per month by country	Sample Survey of ICBTs, FGD, Case Studies
15.	Type of ICBT- retailer or wholesaler	Sample Survey of ICBTs, FGD, Case Studies
VOLUMES, VALUES AND DIRECTION OF TRADE		
16.	Commodities traded (exports and imports) by country of origin and destination and by category of commodity	Sample Survey of ICBTs, FGD, Case Studies, National Institutional Survey, REC Institutional Survey, STR
17.	Trading places for ICBT exports and imports in both country of origin and destination	Sample Survey of ICBTs, FGD, Case Studies, National Institutional Survey, REC Institutional Survey
18.	Types of clients for ICBT exports and imports in both country of origin and destination	Sample Survey of ICBTs, FGD, Case Studies, National Institutional Survey, REC Institutional Survey
19.	Sources of supply for goods (exports and imports) by commodity and country of origin and destination	Sample Survey of ICBTs, FGD, Case Studies
20.	ICBT exports (values) by country	National Statistical Agency and Central Bank ICBT Border Station Survey, STR
21.	ICBT imports (values) by country	National Statistical Agency and Central Bank ICBT Border Station Survey, STR
22.	ICBT trade balances (values) by country	National Statistical Agency and Central

		Bank ICBT Border Station Survey, STR
23.	Estimates of ICBT by product category (values) with neighbouring countries	National Statistical Agency and Central Bank ICBT Border Station Survey
24.	ICBT exports (values) per product category by country	National Statistical Agency and Central Bank ICBT Border Station Survey
25.	ICBT imports (values) per product category by country	National Statistical Agency and Central Bank ICBT Border Station Survey
26.	ICBT trade balances (values) per product category by country	National Statistical Agency and Central Bank ICBT Border Station Survey
27.	ICBT exports (values) for REC	National Statistical Agency and Central Bank ICBT Border Station Survey
28.	ICBT imports (values) for REC	National Statistical Agency and Central Bank ICBT Border Station Survey
29.	ICBT trade balances (values) for REC	National Statistical Agency and Central Bank ICBT Border Station Survey
30.	ICBT exports (values) by border station	National Statistical Agency and Central Bank ICBT Border Station Survey
31.	ICBT imports (values) by border station	National Statistical Agency and Central Bank ICBT Border Station Survey
32.	ICBT exports by destination, commodity type and value	National Statistical Agency and Central Bank ICBT Border Station Survey
33.	ICBT imports by destination, commodity type and value	National Statistical Agency and Central Bank ICBT Border Station Survey
34.	ICBT exports by border post, commodity type, quantity and value	National Statistical Agency and Central Bank ICBT Border Station Survey
35.	ICBT imports by customs station, commodity type, quantity and value	National Statistical Agency and Central Bank ICBT Border Station Survey
36.	ICBT exports by commodity, quantity and value	National Statistical Agency and Central Bank ICBT Border Station Survey
37.	ICBT imports by commodity, quantity and value	National Statistical Agency and Central Bank ICBT Border Station Survey
38.	Type of ICBT transport for exports, value and percentage share	National Statistical Agency and Central Bank ICBT Border Station Survey
39.	Type of ICBT transport for imports, value and percentage share	National Statistical Agency and Central Bank ICBT Border Station Survey
ICBT INSTITUTIONAL, POLICY AND LEGAL CONTEXT		
40.	ICBT-specific programmes of support by REC	REC Institutional Survey
41.	Constraints of RECs in supporting ICBT programmes	REC Institutional Survey
42.	Country and regional level institutional housing of ICBT	National Institutional Survey, REC Institutional Survey
43.	Country and regional level policy frameworks on ICBT	National Institutional Survey, REC Institutional Survey
44.	Country and regional level legal frameworks on ICBT	National Institutional Survey, REC Institutional Survey
45.	ICBT specific programmes of support by country and REC	National Institutional Survey, REC Institutional Survey
46.	ICBT Associations by type and by REC and country	National Institutional Survey, REC Institutional Survey
47.	ICBT Associations by membership size and gender	National Institutional Survey, REC Institutional Survey
48.	ICBT Associations effectiveness by type and by REC and country	National Institutional Survey, REC Institutional Survey, Sample Survey of ICBTs, FGD, Case Studies
49.	Awareness on ICBT Associations by type and by REC and country	National Institutional Survey, Sample Survey of ICBTs,

		REC Institutional Survey, FGD, Case Studies
50.	Reasons for joining ICBT Associations by country	National Institutional Survey, Sample Survey of ICBTs, REC Institutional Survey, FGD, Case Studies
51.	Reasons for not joining ICBT Associations by country	National Institutional Survey, Sample Survey of ICBTs, REC Institutional Survey, FGD, Case Studies
52.	Benefits from ICBT Associations	National Institutional Survey, Sample Survey of ICBTs, REC Institutional Survey, FGD, Case Studies
53.	Support to ICBT Associations to effectively deliver services to their membership, for example, human rights seminars, marketing, book keeping etc.	National Institutional Survey, Sample Survey of ICBTs, REC Institutional Survey
54.	Constraints faced by ICBT Associations in supporting ICBT programmes by country and REC	National Institutional Survey, REC Institutional Survey
ICBT SUPPORT SERVICES		
Transport		
55.	Type of transport used by ICBTs	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
56.	Transport problems experienced by ICBTs	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
57.	Impact of type of transport on ICBT health	Sample Survey of ICBTs, FGD, Case Studies
Accommodation		
58.	Type of accommodation used by ICBTs	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
59.	Accommodation used by ICBTs-rural/urban	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
60.	Accommodation problems experienced by ICBTs	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
61.	Impact of type of accommodation on ICBT health	Sample Survey of ICBTs, FGD, Case Studies
Trading Places		
62.	Type of trading places used by ICBTs	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
63.	Location of trading places used by ICBTs-rural/urban	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
64.	Problems relating to trading places experienced by	Sample Survey of ICBTs,

	ICBTs	National Institutional Survey, REC Institutional Survey, FGD, Case Studies
65.	Impact of trading place on ICBT health	Sample Survey of ICBTs, FGD, Case Studies
Food and Nutrition		
66.	Frequency of meals eaten by ICBTs	Sample Survey of ICBTs
67.	Composition of meals eaten by ICBTs	Sample Survey of ICBTs
68.	Problems encountered by ICBTs with regards to Food and Nutrition	Sample Survey of ICBTs
69.	Impact of food and nutrition on ICBT health	Sample Survey of ICBTs, FGD, Case Studies
DECISION MAKING IN ICBT		
70.	Decisions on engaging in ICBT business	Sample Survey of ICBTs
71.	Decisions on day to day ICBT business operations	Sample Survey of ICBTs
72.	Decisions on how to use income from ICBT	Sample Survey of ICBTs
BENEFITS FROM ICBT		
Incomes and Expenditures		
73.	Total incomes per month	Sample Survey of ICBTs
74.	Total expenditures per month	Sample Survey of ICBTs
75.	Profit per month	Sample Survey of ICBTs
BUSINESS SKILLS		
76.	Keeping of financial records	Sample Survey of ICBTs
77.	Training in bookkeeping	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey
HUMAN RIGHTS AWARENESS AND ABUSES		
Awareness		
78.	Domestic violence	Sample Survey of ICBTs, Case Studies
79.	Against physical harassment	Sample Survey of ICBTs,
80.	Against sexual harassment	Case Studies
81.	Physical abuse	Sample Survey of ICBTs,
82.	Sexual abuse	Case Studies
83.	Verbal abuse	Sample Survey of ICBTs,
84.	Freedom of movement	Case Studies
85.	Freedom of association	Sample Survey of ICBTs,
86.	Right on access to information	Case Studies
87.	Right on access to credit	Sample Survey of ICBTs, Case Studies
Experience		
88.	Domestic violence - physical, sexual, emotional, psychological, economic abuses relating to ICBT	Sample Survey of ICBTs, Case Studies
89.	Gender based violence in ICBT	Sample Survey of ICBTs, Case Studies
90.	Physical harassment in ICBT	Sample Survey of ICBTs, Case Studies
91.	Sexual harassment in ICBT	Sample Survey of ICBTs, Case Studies
92.	Physical abuse in ICBT	Sample Survey of ICBTs, Case Studies
93.	Sexual abuse in ICBT	Sample Survey of ICBTs, Case Studies
94.	Verbal abuse in ICBT	Sample Survey of ICBTs, Case Studies
ICBT OVER TIME TRENDS		

95.	ICBT over time changes in terms of (exports and imports) by country of origin and destination and by category of commodity	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
96.	ICBT over time changes by education level	Sample Survey of ICBTs, FGD, Case Studies
97.	ICBT over time changes by employment status	Sample Survey of ICBTs, FGD, Case Studies
98.	ICBT over time changes by age	Sample Survey of ICBTs, FGD, Case Studies
99.	ICBT over time changes by sex	Sample Survey of ICBTs, FGD, Case Studies
100.	ICBT over time changes by sources of supply for goods (exports and imports) by country of origin and destination and by category of commodity	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
PERCEPTIONS ON ILLEGAL/ ILLICIT TRADE		
101.	Extent of illegal trade by type of commodity or service (for example, precious stones, illicit drugs, prostitution, human trafficking etc.)	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
102.	Extent of illegal trade by type of commodity or service and by country of origin and destination	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
EXTENDED AND OTHER FORMS OF TRADE		
103.	Extent of expanded trade by type of commodity or service	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
104.	Extent of expanded trade by type of commodity or service and by country of origin and destination	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
105.	Extent of trading in goods without owners literally crossing borders by type of goods	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
106.	Extent of trading in goods without owners literally crossing borders by type of goods and by country of origin and destination	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
107.	Extent of barter trading by type of goods and services	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
108.	Extent of barter trading by type of goods and services and by country of origin and destination	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
ICBT OPERATING ENVIRONMENT		
ICBT Resources and Services		
109.	Types of resources and services required to operate ICBT business profitably	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey,

		FGD, Case Studies
110.	Problems experienced in accessing resources and services required to operate ICBT business profitably	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
111.	Access to capital by ICBTs	Sample Survey of ICBTs, National Institutional Survey, FGD, Case Studies
112.	Sources of initial capital used in ICBT business	Sample Survey of ICBTs, Case Studies
113.	Amount of initial capital used to start ICBT business	Sample Survey of ICBTs, Case Studies
114.	Ideal amount of initial capital required to start ICBT business by type of business and country	Sample Survey of ICBTs, Case Studies
115.	Problems encountered in raising initial capital for ICBT business by country	Sample Survey of ICBTs, Case Studies
116.	Sources of working capital used in ICBT business	Sample Survey of ICBTs, Case Studies
117.	Amount of working capital used to start ICBT business per month	Sample Survey of ICBTs, Case Studies
118.	Ideal amount of working capital required in ICBT business per month by type of business and country	Sample Survey of ICBTs, Case Studies
119.	Problems encountered in raising working capital for ICBT business by country	Sample Survey of ICBTs, National Institutional Survey, FGD, Case Studies
120.	Access to banking facilities for ICBT business	Sample Survey of ICBTs, National Institutional Survey, FGD, Case Studies
121.	Ownership of bank account by ICBT in country of origin and destination	Sample Survey of ICBTs, Case Studies
122.	Access to affordable bank loans for ICBT business	Sample Survey of ICBTs, National Institutional Survey, FGD, Case Studies
123.	Constraints in accessing bank loans for ICBT business	Sample Survey of ICBTs, National Institutional Survey, FGD, Case Studies
ICBT Constraints		
124.	Constraints in ICBT in country of origin	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
125.	Constraints in ICBT in country of destination	Sample Survey of ICBTs, National Institutional Survey, REC Institutional Survey, FGD, Case Studies
Information and Communication Technology (ICT) in ICBT Business		
126.	Sources of information on the supply and demand of ICBT goods and services, for example, networks, electronic and print media etc.	Sample Survey of ICBTs, FGD, Case Studies
127.	Ownership of cell phones by ICBTs for doing business	Sample Survey of ICBTs, Case Studies
128.	Ownership of radios by ICBTs for doing business	Sample Survey of ICBTs, Case Studies
129.	Ownership of televisions by ICBTs for doing business	Sample Survey of ICBTs, Case Studies
130.	Access to internet services by ICBTs for doing business	Sample Survey of ICBTs, Case Studies

131.	Access to print media by ICBTs for doing business	Sample Survey of ICBTs, Case Studies
ICBT IMPLI CATIONS ON HOUSEHOLD WELFARE		
Food Security, Education, Health, Non-food Requirements, Child Welfare, etc.		
132.	The extent to which ICBT is providing income to meet household basic food requirements	Sample Survey of ICBTs, FGD, Case Studies
133.	The extent to which ICBT is providing income to meet education requirements	Sample Survey of ICBTs, FGD, Case Studies
134.	The extent to which ICBT is providing income to meet health requirements	Sample Survey of ICBTs, FGD, Case Studies
135.	The extent to which ICBT is providing income to meet household housing requirements	Sample Survey of ICBTs, FGD, Case Studies
136.	The extent to which ICBT is providing income to meet other household non-food requirements, for example, clothing and footwear, non-food groceries, furniture, electrical gadgets etc.	Sample Survey of ICBTs, FGD, Case Studies
137.	Impact of ICBT on reproductive health, for example, number of children, sexual relations with spouse, etc.	Sample Survey of ICBTs, Case Studies
138.	ICBTs and average number of children	Sample Survey of ICBTs, Case Studies
139.	Impact of ICBT on sexual relations	Sample Survey of ICBTs, Case Studies
140.	Impact of presence of chronically ill on ICBT	Sample Survey of ICBTs, Case Studies
141.	Impact of a household death on ICBT	Sample Survey of ICBTs, Case Studies
142.	Risks to children left behind by ICBT parents by country	Sample Survey of ICBTs, FGD, Case Studies
143.	The extent to which children are involved in ICBT by type of activity and country	Sample Survey of ICBTs, FGD, Case Studies
144.	Risks to child ICBTs by type of activity and country	Sample Survey of ICBTs, FGD, Case Studies
RECOMMENDATIONS BY ICBTs AND INSTI TUTI ONS		
145.	Recommendations by ICBTs to government on supporting ICBT operations by country	Sample Survey of ICBTs, FGDs, Case Studies
146.	Recommendations by ICBTs to the private sector on supporting ICBT operations by country	Sample Survey of ICBTs, FGDs, Case Studies
147.	Recommendations by ICBTs to civil society, Non-governmental Organizations and donors on supporting ICBT operations by country	Sample Survey of ICBTs, FGDs, Case Studies
148.	Whether ICBT is a lifetime occupation or not	Sample Survey of ICBTs
149.	Recommendations by institutions to government on supporting ICBT operations by country	National Institutional Survey, REC Institutional Survey
150.	Recommendations by institutions to the private sector on supporting ICBT operations by country	National Institutional Survey, REC Institutional Survey
151.	Recommendations by institutions to civil society, Non-governmental Organizations and donors on supporting ICBT operations by country	National Institutional Survey, REC Institutional Survey
* Note that all data should be tabulated by gender where applicable, except institutional variables such as policy, legal framework etc.		

APPENDIX 2: RECI INSTRUMENTS

ECONOMIC COMMISSION FOR AFRICA

A GENDER ASSESSMENT OF REGIONAL ECONOMIC COMMUNITIES (RECs) DATABASES TO IDENTIFY GAPS IN CAPTURING THE ACTIVITIES OF WOMEN IN INFORMAL CROSS BORDER TRADE (WICBT) – COMESA, SADC AND ECOWAS

COMESA INTERVIEW GUIDELINES

A. PROJECT INTRODUCTION

- General Issues
- Trade Data Specific Issues
- Definition of ICBT
- Quantitative Data
- Qualitative Data
- Gaps, Challenges and Constraints in Capturing WICBT Data
- COMESA Simplified Trade Regime (STR)
- Any Other Issues on ICBT and WICBT in the COMESA region
- Relevant Documentation.

B. GENERAL ISSUES

1. What is your assessment on the role of women informal cross-border traders (WICBTs) in trade in the COMESA region?
2. In what activities is COMESA engaged in the area of ICBT?
3. Does COMESA carry out programmes targeted at female (informal and formal) cross-border traders in the region?
4. Does COMESA receive any information/data (quantitative or qualitative) on ICBT in general from member countries?
5. Does COMESA receive any information/data (quantitative or qualitative) on WICBT in particular from member countries?
6. Apart from the COMESA Treaty and Trade Protocols, are there any other protocols which relate to ICBT in general and WICBT in particular?
7. What types of databases in general does COMESA have?
8. Which of these COMESA databases relate to ICBT in general and WICBT in particular?

C. TRADE DATA SPECIFIC ISSUES

9. What type of trade data do you keep in this institution?
10. What is/are the source(s) of the trade data?
11. What are the trade data used for in your institution?
12. Are these trade data disaggregated into FORMAL and INFORMAL TRADE?

D. DEFINITION OF ICBT

<i>Table 1: Broader Definition of ICBT - Types of Informal Cross Border Trade</i>		
<i>Category A</i>	<i>Category B</i>	<i>Category C</i>
<i>Informal (unregistered) traders or firms operating entirely outside the formal economy.</i>	<i>Formal (registered) firms totally disregarding trade regulations and evading duties (e.g., avoiding official border crossing posts).</i>	<i>Formal (registered) firms partly disregarding trade regulations and evading duties by resorting to illegal practices (e.g. under invoicing, wrong classification, wrong declaration of country of origin and/or bribery of border officials).</i>
<i>Source: Organization for Economic Cooperation and Development (OECD), 2009.</i>		

Targeted ICBT definition – Category A (Table 1)

ICBT, also referred to as Parallel Trade, is informal in the way business is organized with small capital and few employees. It is owner operated, unregistered, high vulnerability, high collapse, sometimes informal foreign currency sources etc. ICBT largely involves the movement of individuals or groups of people across official country borders to trade in goods and services. However, most ICBTs are formal migrants in terms of emigration rules, customs and excise duty payments etc. ICBT can take place within a sub-region, a region, or globally across continents. ICBT is often driven by the need to improve welfare on the part of the poor; it is a survival as well a wealth accumulation strategy.

13. Given the above two definitions of ICBT and ICBTs, which definition is guiding COMESA intervention programmes in ICBT, particularly in terms of data gathering?

E. QUANTITATIVE DATA

TOR QUESTION 1: Methodologies used by RECs to collect, compile and analyze data on activities of women in informal cross-border trade.

TOR QUESTION 2: The ways and extent to which these activities of women informal cross-border traders (WICBT) are captured in the regional and national statistical database.

Collection and Compilation

14. Are **quantitative** data on ICBT being captured in your current trade data-gathering systems? Yes/No
15. If Yes, what **methodologies** are used to gather quantitative data on ICBT?
16. What instruments are used to gather **quantitative** data on ICBT? (Request to get copies of instruments, for example, COMESA Simplified Customs Document (CSTR) and the Simplified Certificate of Origin (SCOO) and the Goods on the Common List (various lists))
17. Can the quantitative data on ICBT be disaggregated by gender? Yes/No
18. If No, why can't the quantitative data on ICBT be disaggregated by gender?
19. Are ICBT quantitative data in the COMESA region being captured electronically in the region? Yes/No
20. If yes, which system(s) is being used?
21. If no, why are the ICBT quantitative data not being captured electronically?

Analysis and Dissemination

22. Does COMESA analyse ICBT quantitative data in general?
23. Does COMESA analyse WICBT quantitative data in particular?
24. What quantitative data does COMESA publish/disseminate on ICBT in general?
25. What quantitative data does COMESA publish/disseminate on WICBT in particular?
26. It is estimated that ICBT contributes around 30% to intra-COMESA trade. How is this statistic estimated?

F. QUALITATIVE DATA

Collection and Compilation

27. Are **qualitative** data on ICBT being captured in your current trade data gathering systems? Yes/No
28. If Yes, what **methodologies** are used to gather qualitative data on ICBT?
29. What instruments are used to gather **qualitative** data on ICBT [request to get copies of instruments]!
30. Can the qualitative data on ICBT be disaggregated by gender? Yes/No
31. If No, why can't the qualitative data on ICBT be disaggregated by gender?
32. Are ICBT qualitative data in the COMESA region being captured electronically in the region, for example, trend of ICBT and WICBT exports and imports types? Yes/No
33. If Yes, what types of qualitative data are being captured and stored electronically?
34. If No, why are the ICBT qualitative data not being captured electronically?

Analysis and Dissemination

35. Does COMESA analyse ICBT qualitative data in general?
36. Does COMESA analyse WICBT qualitative data in particular?
37. What qualitative data does COMESA publish/disseminate on ICBT in general, for example, study reports, and gets copies of instruments?
38. What qualitative data does COMESA publish/disseminate on WICBT in particular, for example, study reports, and gets copies of instruments?

G. GAPS, CHALLENGES AND CONSTRAINTS IN CAPTURING WICBT DATA

TOR QUESTION 3: The Gaps in capturing the economic activities of WICBT in regional and national statistics.

TOR QUESTION 4: Challenges and constraints relating to the capturing of economic activities of WICBT in the regional and national statistical database.

TOR QUESTION 5: Strategies to address these gaps, challenges and constraints.

39. As COMESA what sort of data do you need on ICBT in general and WICBT in particular so as to effectively facilitate trade in the region, to contribute towards poverty reduction and sustainable human development?
40. Are these data on ICBT in general and WICBT in particular which you need currently available? Yes/No.
41. If No, what are the data **gaps**?
42. In your view who should be collecting this missing data?
43. As COMESA do you have the institutional capacity (**including financial and human skills**) to establish a database on ICBT general? Yes/No (Explain)
44. As COMESA do you have the institutional capacity to establish a database on **WICBT in particular**? Yes/No (Explain)
45. If No, as COMESA what sort of support do you require to be able to establish databases on ICBT in general and WICBT in particular?
46. In your view as COMESA, where should the support to build gender-disaggregated ICBT databases come from?
47. Do COMESA member States have the institutional capacity to establish databases on ICBT in general? Yes/No (Explain)
48. Do COMESA member States have the institutional capacity to establish databases on WICBT? Yes/No (Explain)
49. If No, what type of support do COMESA member States require to be able to establish databases on ICBT in general and WICBT in particular?
50. Is COMESA in a position to provide some of this support to its member States? Specify form of support.

H. COMESA SIMPLIFIED TRADE REGIME (STR)

TOR QUESTION 6: The case of the Simplified Trade Regime (STR) in COMESA in capturing economic activities of ICBT in general and WICBT in particular in the regional and national statistical database.

51. Why was the STR put in place in the COMESA region?
52. Does the STR system collect data on both exports and imports by ICBTs?
53. Are STR forms completed on each side of the border, and how does this relate to the "One-Stop-Border Post" concept? Does it mean that an ICBT leaving Zimbabwe with goods and returning with goods completes 4 STR forms?
54. Is there any link between the COMESA STR and SADC STR? Explain.
55. Are there any moves to harmonize the STR forms across the RECs, for example, COMESA, SADC and EAC?
56. For ICBTs trading between countries which belong to both COMESA and SADC, which STR form do they use?

57. How effective is the Regional Cross Border Traders Association (CBTA)?
58. How effective are the National Cross Border Traders Associations (NCBTAs)?
59. To what extent is the free movement of people, goods and services by ICBTs in general and WICBTs in particular in COMESA being facilitated, for example, the 6-months trade permit to cross borders into Zambia.
60. What is required in order to revise upwards the current US\$500 threshold on STR transactions for ICBTs?
61. Is anything being done by COMESA to increase awareness on the STR by ICBTs in general and WICBTs in particular, especially those who are not members of ICBT associations?
62. What is the ASYCUDA fee charged ICBTs for and at which point is it charged?
63. Are all the COMESA STR pilot border posts capturing STR information through the ASYCUDA system? Yes/No. Explain
64. In your view as COMESA, what incentives can be put in place to encourage small ICBTs to use the STR system instead of the travellers rebate system to import goods?
65. Is it possible to lobby for reduced permit fees for agriculture, health and trade by ICBTs, based on a cut-off figure for small volumes?
66. Are there any provisions to periodically revise the "Common List of Goods", since ICBTs complain that the common list does not cover some of the goods that they want to trade in?
67. What measures if any is COMESA putting in place to ensure sustainability of the Trade Information Desk beyond the current project support?

I. ANY OTHER ISSUES ON ICBT AND WICBT IN THE COMESA REGION?

J. ASK FOR RELEVANT DOCUMENTATION

ICBT specific data collection instruments.
List of Common Goods that can be traded by ICBTs.
Research Studies on ICBT and WICBT.
Any data tables/publications on ICBT and WICBT.

ECONOMIC COMMISSION FOR AFRICA

A GENDER ASSESSMENT OF REGIONAL ECONOMIC COMMUNITIES (RECs) DATABASES TO IDENTIFY GAPS IN CAPTURING THE ACTIVITIES OF WOMEN IN INFORMAL CROSS BORDER TRADE (WICBT) – COMESA, SADC AND ECOWAS.

SADC INTERVIEW GUIDELINES

A. PROJECT INTRODUCTION

- General Issues
- Trade Data Specific Issues
- Definition of ICBT
- Quantitative Data
- Qualitative Data
- Gaps, Challenges and Constraints in Capturing WICBT Data
- SADC Specific Instruments in Capturing WICBT Data
- Any other Issues on ICBT and WICBT in the SADC Region
- Relevant Documentation.

B. GENERAL ISSUES

1. What is your assessment of the role of Women Informal Cross Border Traders (WICBTs) in trade in the SADC region?
2. In what activities is SADC engaged in the area of ICBT?
3. Does SADC carry out programmes targeted at female (informal and formal) cross-border traders in the region?
4. Does SADC receive any information/data (quantitative or qualitative) on ICBT in general from member countries?
5. Does SADC receive any information/data (quantitative or qualitative) on WICBT in particular from member countries?
6. Which of the SADC Protocols relate to ICBT in general and WICBT in particular and in what way?
7. What types of databases in general does SADC have?
8. Which of these SADC databases relate to ICBT in general and WICBT in particular?

C. TRADE DATA SPECIFIC ISSUES

9. What type of trade data do you keep in this institution?
10. What are the source(s) of the trade data?
11. What are the trade data used for in your institution?
12. Are these trade data disaggregated into FORMAL and INFORMAL TRADE?

D. DEFINITION OF ICBT

Table 1: Broader Definition of ICBT - Types of Informal Cross Border Trade		
Category A	Category B	Category C
<i>Informal (unregistered) traders or firms operating entirely outside the formal economy.</i>	<i>Formal (registered) firms totally disregarding trade regulations and evading duties (e.g., avoiding official border crossing posts).</i>	<i>Formal (registered) firms partly disregarding trade regulations and evading duties by resorting to illegal practices (e.g., under invoicing, wrong classification, wrong declaration of country of origin and/or bribery of border officials).</i>
<i>Source: Organization for Economic Cooperation and Development (OECD), 2009.</i>		

Targeted ICBT definition – Category A (table 1)

ICBT, also referred to as parallel trade is informal in the way business is organized, with small capital and few employees. It is owner operated, unregistered, high vulnerability, high collapse rate, sometimes informal foreign currency sources etc. ICBT largely involves the movement of individuals or groups of people across official country borders to trade in goods and services. However, most ICBTs are formal migrants in terms of emigration rules, customs and excise duty payments etc. ICBT can take place within a sub-region, a region, or globally across continents. ICBT is often driven by the need to improve welfare on the part of the poor; it is a survival as well a wealth accumulation strategy.

13. Given the above two definitions of ICBT and ICBTs, which definition is guiding SADC intervention programmes in ICBT, particularly in terms of data gathering?

E. QUANTITATIVE DATA

TOR QUESTION 1: Methodologies used by RECs to collect, compile and analyse data on activities of women in informal cross-border trade.

TOR QUESTION 2: The ways and extent to which these activities of Women Informal Cross Border Traders (WICBT) are captured in the regional and national statistical database.

Collection and Compilation

14. Are quantitative data on ICBT being captured in your current trade data gathering systems? Yes/No
15. If Yes, what methodologies are used to gather quantitative data on ICBT?
16. What instruments are used to gather quantitative data on ICBT? (Request to get copies of instruments including SADC STRs if any, Rules of Origin, Common Lists of Goods allowed for trade by ICBTs if any, within SADC, etc.)
17. Can the quantitative data on ICBT be disaggregated by gender? Yes/No
18. If No, why can the quantitative data on ICBT not be disaggregated by gender?
19. Is ICBT quantitative data in the SADC region being captured electronically in the region? Yes/No
20. If Yes, which system(s) is being used?
21. If No, why are the ICBT quantitative data not being captured electronically?

Analysis and dissemination

22. Does SADC analyse ICBT quantitative data in general?

23. Does SADC analyse WICBT quantitative data in particular?
24. What quantitative data does SADC publish/disseminate on ICBT in general?
25. What quantitative data does SADC publish/disseminate on WICBT in particular?
26. It is estimated that ICBT contributes around 30-40% to intra-SADC trade. How is this statistic estimated?

F. QUALITATIVE DATA

Collection and compilation

27. Are qualitative data on ICBT being captured in your current trade data-gathering systems? Yes/No
28. If Yes, what methodologies are used to gather qualitative data on ICBT?
29. What instruments are used to gather qualitative data on ICBT? (Request to get copies of instruments)
30. Can the qualitative data on ICBT be disaggregated by gender? Yes/No
31. If No, why can the qualitative data on ICBT not be disaggregated by gender?
32. Is ICBT qualitative data in the SADC region being captured electronically in the region, for example, trend in types of ICBT and WICBT exports and imports? Yes/No
33. If Yes, what types of qualitative data are being captured and stored electronically?
34. If No, why are the ICBT qualitative data not being captured electronically?

Analysis and Dissemination

35. Does SADC analyse ICBT qualitative data in general?
36. Does SADC analyse WICBT qualitative data in particular?
37. What qualitative data does SADC publish/disseminate on ICBT in general, for example, study reports and gets copies of instruments, etc.?
38. What qualitative data does SADC publish/disseminate on WICBT in particular, for example, study reports and gets copies of instruments, etc.?

F. GAPS, CHALLENGES AND CONSTRAINTS IN CAPTURING WICBT DATA

TOR QUESTION 3: The gaps in capturing the economic activities of WICBT in regional and national statistics.

TOR QUESTION 4: Challenges and constraints relating to capturing of economic activities of WICBT in the regional and national statistical database.

TOR QUESTION 5: Strategies to address these gaps, challenges and constraints.

39. As SADC, what type of data do you need on ICBT in general and WICBT in particular so as to effectively facilitate trade in the region, to contribute towards poverty reduction and sustainable human development?

40. Are these data you need on ICBT in general and WICBT currently available? Yes/No.
41. If No, what are the data **gaps**?
42. In your view, who should be collecting this missing data?
43. As SADC do you have the institutional capacity (**including financial and human skills**) to establish a database on ICBT general? Yes/No. (Explain)
44. As SADC, do you have the institutional capacity to establish a database on WICBT in particular? Yes/No. (Explain)
45. If No, as SADC what type of support do you require to be able to establish databases on ICBT in general and WICBT in particular?
46. In your view as SADC, where should the support to build gender-disaggregated ICBT databases come from?
47. Do SADC member States have the institutional capacity to establish databases on ICBT in general? Yes/No. (Explain)
48. Do SADC member States have the institutional capacity to establish databases on WICBT? Yes/No. (Explain)
49. If No, what type of support do SADC member States require to be able to establish databases on ICBT in general and WICBT in particular?
50. Is SADC in a position to provide some of this support to its member States? Specify form of support.

G. SADC SPECIFIC INSTRUMENTS IN CAPTURING WICBT DATA

TOR QUESTION 6 SADC-specific instruments used in capturing of economic activities of ICBT in general and WICBT in particular in the regional and national statistical databases.

51. Does SADC have any specific instruments used in capturing economic activities of ICBT in general and WICBT in particular in the regional and national statistical databases? Yes/No (If Yes get copies of all relevant instruments)

IF YES CONTINUE WITH THE REST OF THE QUESTIONS:

52. Why were the SADC ICBT-specific data-collection instruments put in place in the region?
53. Do the ICBT-specific data-collection instruments cover both exports and imports?
54. Are SADC STR forms completed on each side of the border, and how does this relate to the "One-Stop-Border Post" concept? Does it mean that an ICBT leaving Zimbabwe with goods and returning with goods completes 4 SADC STR forms?
55. Is there any link between the SADC ICBT-specific data-collection instruments and those of other RECs, for example, the Simplified Trade Regime (STR) forms in COMESA, and EAC? Explain.
56. Are there any moves to harmonize the STR forms across the RECs, for example, COMESA, SADC and EAC?
57. For ICBTs trading between countries which belong to both COMESA and SADC, which STR form do they use?

58. How do you communicate with ICBTs in general and WICBTs in particular in the SADC region?
59. Do you have an SADC Regional Cross Border Traders Association, and if so how effective is it?
60. Do you have National Cross Border Traders Associations in the SADC region, and if so how effective are they?
61. Do you have any specific incentives/support packages for ICBTs to conduct trade in the SADC region?
62. To what extent is the free movement of people, goods and services by ICBTs in general and WICBTs in particular in SADC being facilitated, for example, trade permits valid for a specific period.
63. Do you have any SADC threshold for ICBTs to trade in duty-free goods? Explain
64. If Yes, are ICBTs satisfied with the current duty-free threshold?
65. Is anything being done by SADC to increase awareness on the ICBT specific data collection instruments for ICBTs in general and WICBTs in particular, especially those who are not members of ICBT associations?
66. Are the data from the SADC ICBT-specific data collection being captured through the ASYCUDA system? Yes/No. Explain

H. ANY OTHER ISSUES ON ICBT AND WICBT IN THE SADC REGION?

J. ASK FOR RELEVANT DOCUMENTATION

- ICBT-specific data-collection instruments
- List of Common Goods that can be traded in by ICBTs
- Research studies on ICBT and WICBT
- Any data tables/publications on ICBT and WICBT.

ECONOMIC COMMISSION FOR AFRICA

A GENDER ASSESSMENT OF REGIONAL ECONOMIC COMMUNITIES (RECs) DATABASES TO IDENTIFY GAPS IN CAPTURING THE ACTIVITIES OF WOMEN IN INFORMAL CROSS BORDER TRADE (WICBT) – COMESA, SADC AND ECOWAS.

ECOWAS INTERVIEW GUIDELINES

A. PROJECT INTRODUCTION

- General Issues;
- Trade Data Specific Issues;
- Definition of ICBT;
- Quantitative Data;
- Qualitative Data;
- Gaps, Challenges and Constraints in Capturing WICBT Data;
- ECOWAS Specific Instruments in Capturing WICBT Data;
- Any other Issues on ICBT and WICBT in the ECOWAS Region; and
- Relevant Documentation.

B. GENERAL ISSUES

1. What is your assessment of the role of Women Informal Cross border Traders (WICBTs) in trade in the ECOWAS region?
2. In what activities is ECOWAS engaged in the area of ICBT?
3. Does ECOWAS carry out programmes targeted at female (informal and formal) cross-border traders in the region?
4. Does ECOWAS receive any information/data (quantitative or qualitative) on ICBT in general from member countries?
5. Does ECOWAS receive any information/data (quantitative or qualitative) on WICBT in particular from member countries?
6. Which of the ECOWAS Protocols relate to ICBT in general and WICBT in particular and in what way?
7. What types of databases in general does ECOWAS have?
8. Which of these ECOWAS databases relate to ICBT in general and WICBT in particular?

C. TRADE DATA SPECIFIC ISSUES

9. What sort of trade data do you keep in this institution?
10. What is/are the source (s) of these trade data?
11. What are these trade data used for in your institution?
12. Are these trade data disaggregated into FORMAL and INFORMAL TRADE?

D. DEFINITION OF ICBT

Table 1: Broader Definition of ICBT - Types of Informal Cross Border Trade		
Category A	Category B	Category C
<i>Informal (unregistered) traders or firms operating entirely outside the formal economy.</i>	<i>Formal (registered) firms totally disregarding trade regulations and evading duties (for example, avoiding official border-crossing posts).</i>	<i>Formal (registered) firms partly disregarding trade regulations and evading duties by resorting to illegal practices (for example, under-invoicing, wrong classification, wrong declaration of country of origin and/or bribery of border officials).</i>
<i>Source: Organization for Economic Cooperation and Development (OECD), 2009.</i>		

Targeted ICBT definition – Category A (in Table 1)

ICBT, also referred to as parallel trade is informal in the way business is organized, with small capital and few employees. It is owner operated, unregistered, high vulnerability, high collapse rate, sometimes informal foreign currency sources etc. ICBT largely involves the movement of individuals or groups of people across official country borders to trade in goods and services. However, most ICBTs are formal migrants as regards emigration rules, customs and excise duty payments etc. ICBT can take place within a sub-region, a region, or globally across continents. ICBT is often driven by the need to improve welfare on the part of the poor; it is a survival as well a wealth accumulation strategy.

13. Given the above two definitions of ICBT and ICBTs, which definition is guiding ECOWAS intervention programmes in ICBT, particularly in terms of data gathering?

E. QUANTITATIVE DATA

TOR QUESTION 1: Methodologies used by RECs to collect, compile and analyse data on activities of women in informal cross-border trade.

TOR QUESTION 2: The ways and extent to which these activities of Women Informal Cross Border Traders (WICBT) are captured in the regional and national statistical database.

Collection and Compilation

14. Are quantitative data on ICBT being captured in your current trade data gathering systems? Yes/No
15. If Yes, what methodologies are used to gather quantitative data on ICBT?
16. What instruments are used to gather quantitative data on ICBT? (Request copies of instruments including Common Lists of Goods allowed for trade by ICBTs if, any within the ECOWAS region)
17. Can the quantitative data on ICBT be disaggregated by gender? Yes/No
18. If No, why can the quantitative data on ICBT not be disaggregated by gender?
19. Is ICBT quantitative data in the ECOWAS region being captured electronically in the region? Yes/No
20. If Yes, which system(s) is being used?
21. If No, why is the ICBT quantitative data not being captured electronically?

Analysis and Dissemination

22. Does ECOWAS analyse ICBT quantitative data in general?
23. Does ECOWAS analyse WICBT quantitative data in particular?
24. What quantitative data does ECOWAS publish/disseminate on ICBT in general?
25. What quantitative data does ECOWAS publish/disseminate on WICBT in particular?
26. What are the current estimations on the contribution of ICBT intra-ECOWAS trade and how is this statistic estimated?

F. QUALITATIVE DATA

Collection and Compilation

27. Are qualitative data on ICBT being captured in your current trade data gathering systems? Yes/No
28. If Yes, what methodologies are used to gather qualitative data on ICBT?
29. What instruments are used to gather qualitative data on ICBT (request to get copies of instruments)
30. Can the qualitative data on ICBT be disaggregated by gender? Yes/No
31. If no, why can't the qualitative data on ICBT be disaggregated by gender?
32. Are ICBT qualitative data in ECOWAS being captured electronically, for example, trend of types of ICBT and WICBT exports and imports? Yes/No

33. If Yes, what types of qualitative data are being captured and stored electronically?

34. If No, why are the ICBT qualitative data not being captured electronically?

Analysis and dissemination

35. Does ECOWAS analyse ICBT qualitative data in general?

36. Does ECOWAS analyse WICBT qualitative data in particular?

37. What qualitative data does ECOWAS publish/disseminate on ICBT in general, for example, study reports and gets copies of instruments, etc.?

38. What qualitative data does ECOWAS publish/disseminate on WICBT in particular, for example, study reports, and gets copies of instruments, etc.?

G. GAPS, CHALLENGES AND CONSTRAINTS IN CAPTURING WICBT DATA

TOR QUESTION 3: The gaps in capturing the economic activities of WICBT in regional and national statistics.

TOR QUESTION 4: Challenges and constraints related to the capturing of economic activities of WICBT in the regional and national statistical database.

TOR QUESTION 5: Strategies to address these gaps, challenges and constraints.

39. As ECOWAS, what type of data do you need on ICBT in general and WICBT in particular so as to effectively facilitate trade in the region, to contribute towards poverty reduction and sustainable human development?

40. Are these data on ICBT in general and WICBT in particular that you need currently available? Yes/No.

41. If No, what are the data **gaps**?

42. In your view, who should be collecting this missing data?

43. As ECOWAS, do you have the institutional capacity (**including financial and human skills**) to establish a database on ICBT in general? Yes/No. (Explain)

44. As ECOWAS do you have the institutional capacity to establish a database on WICBT in particular? Yes/No. (Explain)

45. If No, as ECOWAS what type of support do you require to be able to establish databases on ICBT in general and WICBT in particular?

46. In your view, as ECOWAS, from where should the support to build gender-disaggregated ICBT databases come?

47. Do ECOWAS member States have the institutional capacity to establish databases on ICBT in general? Yes/No. (Explain)

48. Do ECOWAS member States have the institutional capacity to establish databases on WICBT? Yes/No. (Explain)

49. If No, what type of support do ECOWAS member States require to be able to establish databases on ICBT in general and WICBT in particular?

50. Is ECOWAS in a position to provide some of this support to its member States? Specify form of support.

H. ECOWAS SPECIFIC INSTRUMENTS IN CAPTURING WICBT DATA

TOR QUESTION 6: ECOWAS specific instruments used in capturing economic activities of ICBT in general and WICBT in particular in the regional and national statistical databases.

51. Does ECOWAS have any specific instruments used in capturing the economic activities of ICBT in general and WICBT in particular in the regional and national statistical databases? Yes/No. (If Yes gets copies of all relevant instruments)

IF YES CONTINUE WITH THE REST OF THE QUESTIONS:


52. Why were the ECOWAS ICBT-specific data-collection instruments put in place in the region?
53. Do the ICBT-specific data-collection instruments cover both exports and imports?
54. Are ICBT-specific forms completed on each side of the border?
55. Is there any link between the ECOWAS ICBT-specific data-collection instruments and those of other RECs, for example, the Simplified Trade Regime (STR) forms in COMESA, SADC and EAC? Explain.
56. How do you communicate with ICBTs in general and WICBTs in particular in the ECOWAS region?
57. Do you have an ECOWAS Regional Cross Border Traders Association, and if so how effective is it?
58. Do you have National Cross Border Traders Associations in the ECOWAS region, and if so how effective are they?
59. Do you have any specific incentives/support packages for ICBTs to conduct trade in the region?
60. To what extent is the free movement of people, goods and services by ICBTs in general and WICBTs in particular in ECOWAS being facilitated, for example, trade permits valid for a specific period.
61. Do you have any ECOWAS threshold for ICBTs to trade in duty-free goods? Explain.
62. If Yes, are ICBTs satisfied with the current duty-free threshold?
63. Is anything being done by ECOWAS to increase awareness on the ICBT-specific data-collection instruments by ICBTs in general and WICBTs in particular, especially those who are not members of ICBT associations?
64. Are the data from the ECOWAS ICBT-specific data-collection being captured through the ASYCUDA system? Yes/No. Explain

I. ANY OTHER ISSUES ON ICBT AND WICBT IN THE ECOWAS REGION?

J. ASK FOR RELEVANT DOCUMENTATION

ICBT-specific data-collection instruments
List of Common Goods that can be traded by ICBTs
Research Studies on ICBT and WICBT
Any data tables/publications on ICBT and WICBT.

APPENDIX 3: SIMPLIFIED TRADE REGIME (STR)/ SIMPLIFIED CUSTOMS FORM

<div style="display: flex; justify-content: space-between; align-items: center;"> <div> Country: <input style="width: 150px;" type="text"/> </div> <div style="text-align: center;">  </div> </div> <div style="text-align: center; margin-top: 10px;"> COMESA SIMPLIFIED CUSTOMS DOCUMENT For goods of a value not exceeding US\$500 </div>				
1. Name of Exporter		2. Port of clearance		
3. Name of Importer		4. Identification of Transport		
5. Goods Description		6. Quantity		
8. Country of Origin	9. Country Destination	7. Net Weight/Volume (kg/litres)		
		10 Value		
FOR OFFICIAL USE				
11. Declaration No. & Date		12. HS Code (commodity code)	13. Customs Value	
14. DECLARATION BY EXPORTER/IMPORTER I/We (exporter/importer) do hereby declare the information and particulars declared herein as true and complete Signature.....Date.....Place..... Tel/Fax.....		15. FOR OFFICIAL USE <div style="text-align: center; height: 100px;">(STAMP)</div>		
REVENUE INFORMATION				
16. Duty/Tax Type	17. Duty/Tax Base	18. Rate	19. Duty/Tax Due	20. Total Duty/Tax Due
i) ii) iii) iv)				
Totals				