

Rural Transport Training Materials

Module 1:

Policies and Strategies

Rural transport policy development process

Session 1.3

Part 1

Presentation 1.3a



The World Bank



DFID Department for
International
Development



theIDLgroup 

The Training Modules

This Module

Module 1. Policies and Strategies

Module 2. Planning, Design, Appraisal and Implementation

Module 3. Management and Financing

Module 4. Rural Mobility

Module 5. Social and Environmental Issues

Module 1. Policies and Strategies

Introduction Session: Overview of Modules & Rural Transport Issues

Session 1.1 Village Level Transport

Session 1.2 Socio-economic Impact of Rural Transport Interventions

This session

Session 1.3 Rural Transport Policy Development
Process

Session 1.4 Rural Transport Safety Strategy

1. Introduction

Learning Objectives

- ③ Explain the nature of policy
- ③ Analyse the rural transport issues that need to be addressed through policy
- ③ Describe the advantages and disadvantages of road management models
- ③ Assess how policy may be designed to encourage the development of personal transport and transport services
- ③ List the key aspects of policy implementation

Session Structure

- ③ Policy processes
- ③ Means of transport
- ③ Policy implementation

Rural Transport

- ⊙ Plays a central role in economic development of any country
- ⊙ Enables communities to meet their daily needs for water, firewood & access to farms
- ⊙ Yet, evidence suggests:
 - rural roads are badly planned & under funded
 - transport services are infrequent, unsafe & expensive



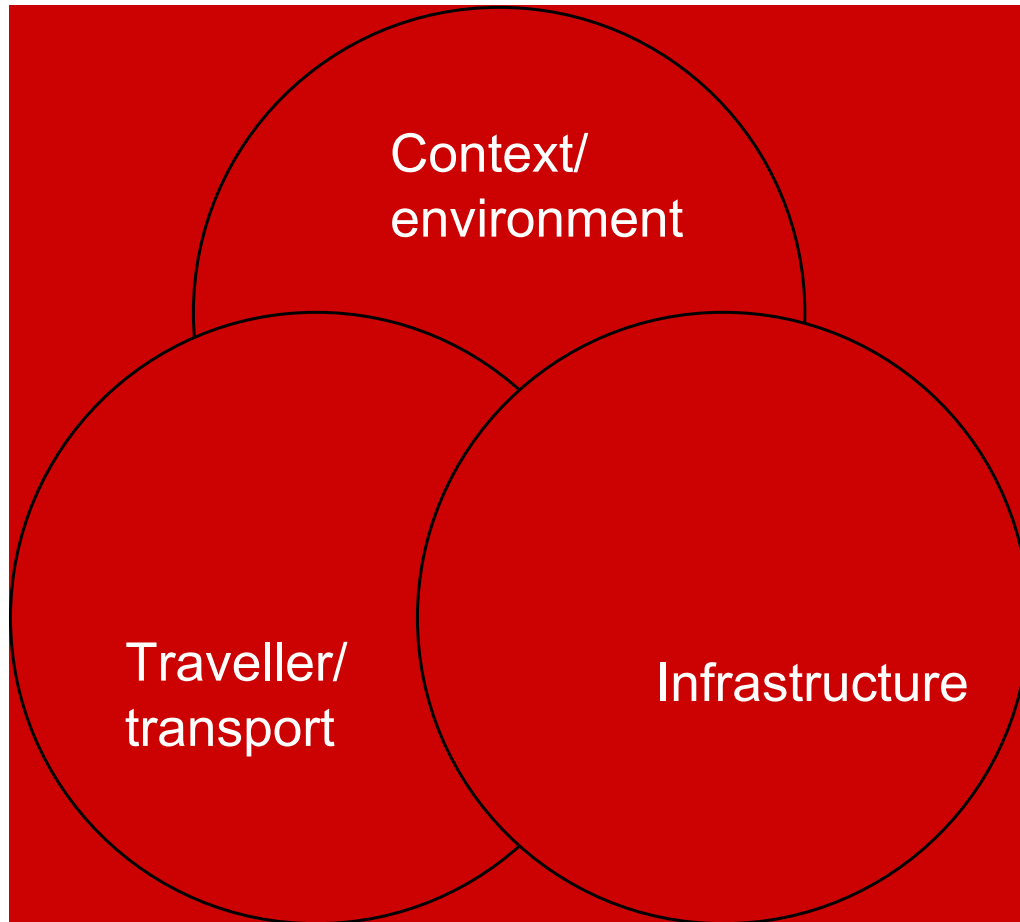
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This calls for an effective policy framework

2. Policy Processes

- ◎ A framework for decision making
 - provides a framework within which professional & technical decisions can be made
- ◎ Set by public administration
 - forms basis to determine the distribution of budgets, priorities, etc.
 - must be consistency of policy between all levels of government
- ◎ Encompasses inter-relationships: aims for coherence
 - the traveller & mode of transport
 - the infrastructure on which the travel takes place
 - the physical, social and political context or environment in which the travel takes place

Conceptualisation of Policy Relationships



Addressing issues through transport policy

1. National Level Policy

- required approach
- access and mobility
- economic sustainability
- social sustainability
- environmental sustainability

2. Infrastructure Provision and Management

- sectoral organisation

3. Legal Framework

4. Technology

1. National Level Policy

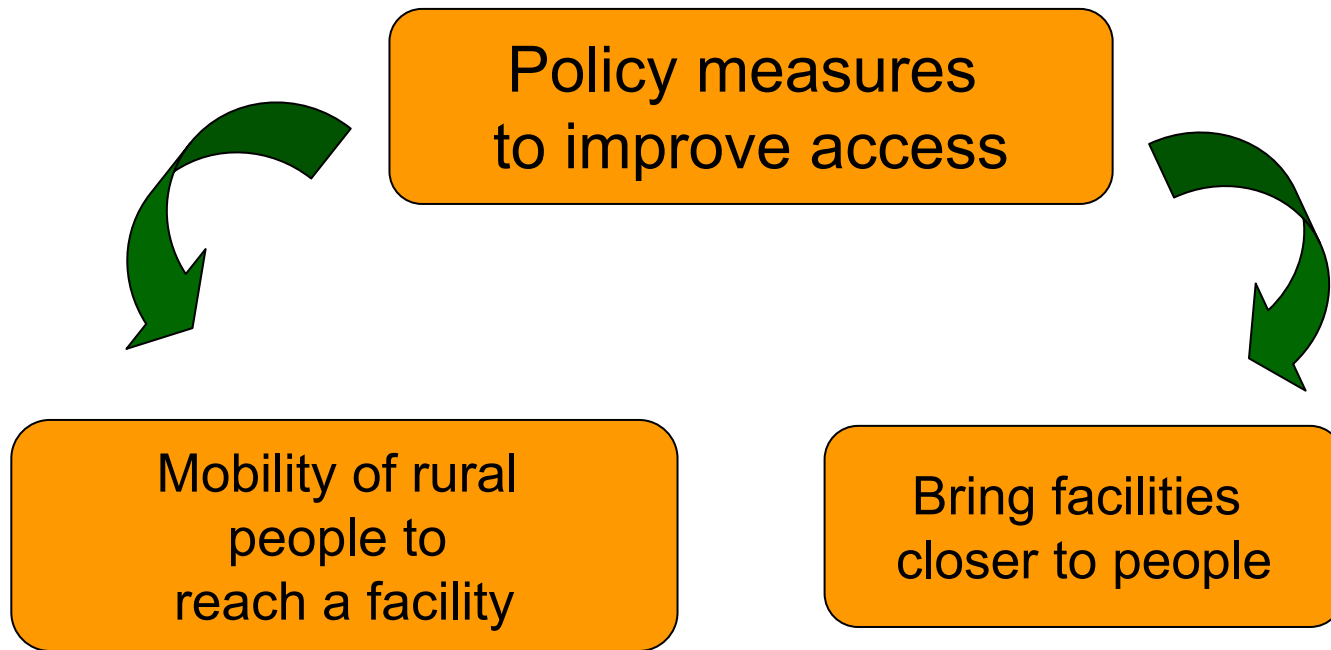
Required Approach: For a Poverty Focus

Key issues

- ③ The poor
 - lack mobility & access to vital goods and services
 - are non-users of motorised transport
 - rural travel needs are not addressed by an approach to policy & planning focussed on road transport infrastructure
- ③ Conventional approaches are top-down & centralised
- ③ Scarcity of the road network & low levels of vehicle ownership implies limited relevance of such processes to the poorest
- ③ Motor vehicle ownership starts with the wealthy
- ③ Travel needs of the poor can only be met by policies which work from the bottom-upwards

1. National Level Policy

Access & Mobility



1. National Level Policy

- ③ Achievable national targets: accessibility of facilities (water, rural health centres, education)
- ③ Prioritise reforestation
- ③ Spatial planning approach to maximise improvements in accessibility
- ③ Funding for local footpaths
- ③ Ensure commercial practices do not cause transport & distribution problems

1. National Level Policy

Economic Sustainability

- ③ Cost-benefit analysis + social & environmental aspects
- ③ Priority funding for maintenance
- ③ Proclamation of the network only where maintenance funding is available
- ③ Disposal of loss-making transport parastatals
 - except where they serve a social purpose for which a subsidy can be made available

1. National Level Policy

Social Sustainability

- ③ Policy measures aimed at access and mobility:
 - pedestrian travel
 - reducing physical burden of transport
 - reducing travel & transport requirements of women

- ③ Measures for policy formulation that
 - combine top-down requirements from central government and
 - bottom-up requirements determined from the participation of stakeholders, including the rural poor and women

1. National Level Policy

Environmental Sustainability

- ④ Introduction of environmental protection legislation, including
 - requirements for environmental impact assessment in appropriate situations

2. Infrastructure Provision and Management

Sectoral Organisation

- ◎ Enabling environment for decentralisation:
 - broader context of rural development & rural service delivery
 - building local capacity in both public & private sectors
 - sound policies, incentives, effective management structures, democratic control of local governments, trained & motivated people
 - ◎ Fiscal decentralisation:
 - decentralisation (devolution) hinges on a balance of political, institutional & fiscal responsibilities
 - allocation & control of finances
- But!** Decentralisation needs to be complete or it risks perpetuating weak local governments

Models and Options for managing roads

Roads managed by the same ministry

Model A
Centralised

Central government
rural roads department

Roads managed by different ministries/
levels of government

Model B - Decentralised.
Local government management through -

contract management agency

joint services committee

private consultants

Models and options for managing roads



Group Activity

What are the advantages and disadvantages of each approach?

Group 1: Model A *centralised*

Group 2: Model B *decentralised*

Model A: Centralised

3 types:

- ◎ Separation of network management functions
 - separate rural & main roads departments
- ◎ Separation of management by road standard
 - paved road & unpaved road departments
- ◎ Management of main roads & rural roads together

Model A: Centralised

Option 1: Central government rural roads department

☉ National headquarters in the capital and branch offices in provincial/district centres

☉ **Functions**

- advise on policy, formulate guidelines, provide technical support on planning & contract management

☉ **Area offices**

- are in charge of management of the network & supervision of works
- liaise with local government administrations, but report to central government - which is the source of funds

Model A: Centralised

Option 1: Central government rural roads department

© **Advantages** - where the rural roads department is attached to the sector ministry of roads

- technical support and guidance are received from the parent ministry
- co-ordination at various levels of the network is also facilitated

© **Disadvantages**

- ensuring sufficient attention to local priorities and local consultation on planning

Model B: Decentralised

Roads managed by different ministries/
levels of government

*Option 2: Local government management through contract
management agency*

- © The agency hires consultants to work with local government staff for
 - drawing up development & maintenance plans, & for contract design and bidding
 - in Francophone Africa = AGETIP

Option 2: Local government management through contract management agency

⊙ Advantages

- reduces bureaucracy - ensures prompt payments to contractors
- highly efficient in the management of individual contracts

⊙ Disadvantages

- monopoly over contract management for public agencies
- heavy reliance on donor funding
- ... although agencies could operate for profit in a private market

Option 2: Local government management through contract management agency

Other challenges

- scarcity of able contract management firms
- ability of local government to deal with the contract management agency
- scale - small networks & small funds result in small contracts.

Limited experience of this management option. It does not really solve the problem of network management or funding.

Model B: decentralised

Option 3: joint services committee (JSC)

- ◎ Group of local governments form a special purpose district for management
 - provide wide range of public services other than roads
 - are typically organised as commissions or task forces
- ◎ Members of a JSC are
 - elected representatives & technical officers of local governments
 - special interest groups e.g. transport operators & road users
- ◎ Exist for the time necessary to complete the tasks
 - or set up as an independent agency with responsibility for the joint programme
- ◎ Physical works are normally let to the private sector

Option 3: joint services committee (JSC)

Factors for success

- ⊙ Ability and willingness of the originating jurisdiction to innovate
- ⊙ Motivation to co-operate

Advantages

- ⊙ Local governments can still set their own priorities, but gain economies of scale
- ⊙ JSCs provide the opportunity for cost-sharing formulae to balance inequalities
- ⊙ Some governments provide incentives for JSC arrangements by making it easier to attract grants

Option 3: joint services committee (JSC)

Disadvantages

- ⊙ Rigidity of local government arrangements may cause administrative and legal difficulties
- ⊙ Technical assistance may still be required from central sector ministries

Model B: decentralised

Option 4: Local government management through private consultants

- ⊙ Enables local governments with small networks to determine their own priorities while procuring selectively the services they require from the private sector

Advantage

- ⊙ Better quality of work at lower cost

Challenges

- ⊙ Local governments currently operating in-house works units need to develop the skills to become a client
- ⊙ The private sector may need to learn skills to undertake new types of services and works

Centralised vs. Decentralised Models

Each have strengths, weaknesses and challenges

Model A - centralised

- more suitable for countries with centralised governments and limited technical capabilities at local level

Model B - decentralised

- more suitable where there are decentralised administrative systems

Both models should

- attempt to decentralise operations through the active involvement of local constituencies in priority setting and planning
- have a strong central unit responsible for co-ordination, guidance and oversight

3. Legal Framework

⊙ Inventories

- minimum = gazetteer of all roads proclaimed
- more stringent = maps of networks of roads, trails, paths

⊙ Community Ownership

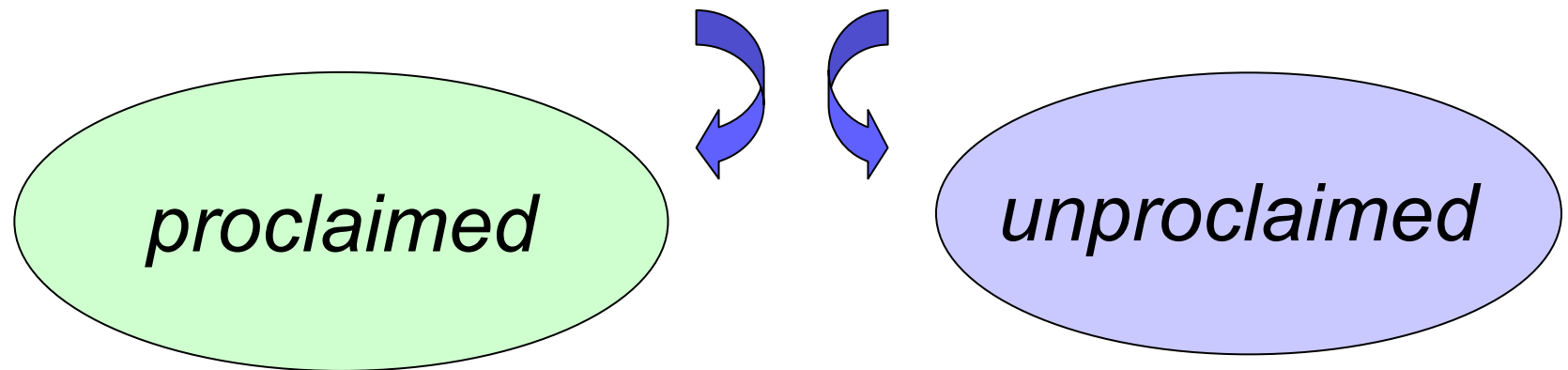
- institutional frameworks & incentives – management of roads
- specific law for private roads

⊙ Proclamation

- required for local government & community roads & paths
- delegate ownership to communities
- procedures for proclaiming roads

Establishing the legal status of roads

Roads may be:



Proclaimed roads

Published in the Gazette

Cites the Act under which the road is to be proclaimed, its location, the road administration responsible, functions delegated to the administration

Access roads = the Act cited may be the Roads or Road Traffic Act, or other Acts - the Local Government Act, the National Parks Act, or the Private Street Works Act, for example

Administration marks out the road reserve physically = land holding, takes responsibility for the various functions delegated in the Gazette e.g. drainage

Unproclaimed roads

Belong to the adjoining land-owners, who are solely responsible for maintaining them

Under certain circumstances, government may channel funds through a designated road administration to meet part of the costs of maintenance

Private roads - when built to a specific standard, or improved to that standard, government will usually proclaim it and assign it to a legally constituted owner

4. Technology

Roads Standards

⊙ Optimise resources

- over the network rather than a few selected roads

⊙ Design standards

- reliability and durability
- recognise all-year vehicle access is not always necessary

⊙ Economic road access

- essential access, spot surface improvements in critical sections, surface drainage, essential structures
- rather than geometric characteristics determined by design speed

⊙ Social road access

- frequency, seasonal timing, and type of services that will operate
- lowering standards enables more roads to be built for the same money

Use of contractors

- ③ Rationalising & reducing demands on local government = contracting out
 - physical works to the private sector
 - key management functions to local consultants
- ③ Allows local governments to focus on
 - what kind, quantity and quality of infrastructure
 - how to finance its construction & maintenance
- ③ A policy decision in favour of using contractors
 - specific measures to encourage development of the local contracting industry
- ③ Enabling environment to make labour-based works commercially attractive
 - option: offer IMT as a means of payment - provides infrastructure & promotes IMT

Works technology

- ◎ Employment of local labour for road works
 - provides income for local people
- ◎ Labour based methods
 - should be the normal choice for rural road works
 - but may be inappropriate in very sparsely populated areas
 - and for specific tasks, e.g. long distance haulage
 - can be embodied within policy

3. Means of transport



Credit: TRL Limited

- Personal Transport
- Transport Services

Policy measures for IMTs



Group Discussion

What policy measures need to be put in place to encourage the use of IMTs?

IMTs = Intermediate Means of Transport

Personal Transport

Intermediate Means of Transport (IMTs)

- ◎ Policy to encourage IMT use, for example:
 - Reduce the price & increase the supply of bicycles through
 - review of tax and duty structure
 - increase foreign exchange for imports
 - eliminate price fixing or business licensing constraints to the operation of a competitive market in the supply and distribution of bicycles and spare parts
- ◎ Policy & fiscal measures to encourage local manufacture of components and spare parts

- ③ Use government, parastatals, NGOs to market bicycles
 - where a private sector distribution system is lacking
- ③ Agricultural policies and extension services
 - ox training - transport or field tasks
 - promote the use of donkeys through training & extension
 - address constraints of animal diseases
- ③ Use IMT for travel by government personnel
 - to increase the mobility & effectiveness of officials
 - demonstration purposes
- ③ Promote the use of IMT by women through
 - mass media communication
 - demonstration
 - community development initiatives working with women's organisations

Intermediate Means of Transport (IMTs)

© Critical factors

- long term perspective
- sufficient scale to make a significant impact
- IMT designs may need to be adapted for use by women

© Credit - policy measures =

- Access to credit by rural women
- Encourage savings (NGOs & private sector) in the provision of credit
- Discourage subsidised interest rates which can damage the chances of establishing safe, responsible, private credit; however, grant elements could be used to promote IMT

Transport Services

Policy Measures

- ③ **Remove unnecessary regulatory constraints** to the provision and development of transport services by the private sector
- ③ **Regulations should focus on safety & insurance measures**, and should not inhibit
 - the types of vehicle used
 - the routes on which they operate
 - the type of service operated - passenger, goods or both; fixed or flexible route
 - the fare rates charged
- ③ **Eliminate import constraints** for vehicles & spare parts
- ③ **Develop maintenance & repairs capability** for vehicles

© **Support and promote innovative schemes** for the operation of services targeted at local level needs:

- services provided by 'non-commercial' operators such as local development associations

© **This support might involve**

- measures to encourage the financing of services - if the transport operation is financially viable
- training in transport management
- the adoption of a regulatory and licensing framework that facilitates innovative services e.g. using motorised IMT

4. Policy Implementation

© Basic Steps of Policy Development

- need a **structured approach**
- once a policy statement has been agreed & adopted by government, policy frameworks can then be put in place

Policy implementation

© Government policy statement

- draft a **mission statement** stating its general aims for rural travel and transport policy
- a **vision** identifying strategic directions to deliver the policy
- set **objectives** in key areas e.g. defining levels of accessibility to the road network
- undertaken by a '**lead ministry**' on behalf of government, & involve consultation with a wide range of stakeholders

Policy implementation

- ◎ Bodies responsible for implementing policy need to:
 - draft a **mission statement**, and possibly a vision, stating their own aims
 - that must be entirely **consistent** with those put forward by government
 - for each area of the mission statement, the organisations need to
 - **set objectives** to enable their performance to be monitored and measured
 - **draft standards** to support these objectives with detailed information