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"GOVERNANCE IN THE TRANSPORT SECTOR"

Contract No 2012/298465

Methodology and tools for integrating governance into support for the transport sector in Sub-Saharan Africa

VOLUME 2 – TOOLBOX

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GOVERNANCE IN THE TRANSPORT SECTOR
Methodology and tools for integrating governance into support for the transport sector in Sub-Saharan Africa

(Volume 2 – Toolbox)

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Abbreviations

ADB	African Development Bank
AF	Action Fiche
AFD	Agence Française de Développement (French aid)
COFED	National Authorising Officer Support Unit of the European Development Fund
DFID	Department for International Development (UK aid)
DP	Development Partner (donor)
EU	European Union
EUD	Delegation of the European Union
NAO	National Authorising Officer
NAOSU	National Authorising Officer Support Unit
NGO	Non-Governmental Organisation
NIP	National Indicative Programme
OECD	Organisation for Economic Cooperation and Development
ONAO	Office of the National Authorising Officer
PIF	Project Identification Fiche
PPP	Public-Private Partnerships
PW	Public Works
SIDA	Swedish International Development Cooperation Agency (Swedish cooperation)
SSA	Sub-Saharan Africa
SWOT	**S**trengths, **W**eaknesses, **O**pportunities, **T**hreats
TD	Tender Documents
TE	Tender
ToR	Terms of Reference
WB	World Bank

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Introduction

Poor governance, both in general and within the transport sector in particular, has hampered the impact of EU-supported sectoral reforms. Analysis of the limited progress made over the past decade has served to highlight the lack of capacity or political will. However, those involved in the transport sector maintain that the reasons for slow progress are complex and deep-seated.

This handbook is earmarked for EU Delegation staff in SSA and is designed to help them to better address governance issues in the transport sector.

This guide is divided into **two volumes**:

- The first volume describes the **concepts and methodology** developed to optimally integrate governance into EU Delegation' portfolios.

- The second volume consists of a **toolbox** to be used according to (i) the forecast project size, (ii) the experience of users in the field, (iii) the degree of participation of local authorities and (iv) the available resources, including time and budgets. Eleven tools are available, together with standard terms of reference for any studies that will be carried out.

This is the second volume. It presents a set of eleven tools and standard terms of reference for use by consultants who may be brought in. The end point is an Action Plan, i.e. an Action Fiche for a project that will be financed by the EDF.

For more than ten years, interest in governance has prompted a rise in the number of analysis tools, developed by all the parties involved in development cooperation. Methods of approach vary, but the options proposed do not differ fundamentally. Further details can be found in the bibliography.

The eleven tools, and the sources of information on governance, apply a global analysis at the national level. The sectoral approach is still embryonic. The specifics of the transport sector, especially in terms of pressure to extract rent and institutional innovations, are not taken into consideration.

The methods and tools presented in this handbook therefore build on the tools that exist at a more general level, while introducing dimensions specific to the transport sector. The aim is to identify in advance lines of analysis and focus points using a generic framework common – to varying degrees – to the countries of SSA.

It has been assumed that the results of earlier, more general, analyses are available to each Delegation, whether carried out by the EU (as an analysis of the political economy in preparation for a programming cycle), by the ADB (governance profiles), the WB or other DPs (DFID or SIDA in particular).

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Programming support

- **Tool A**: *Checklist* of the political economy of the country
- **Tool B**: *Checklist* (B1) and Matrix of sectoral governance (B2)
- **Tool C**: Analysis of the demand for and supply of governance (C1) and the Test of change ownership (C2)

Identification of the action plan

- **Tool D**: Analysis of the performances of the sector by mode
- **Tool E**: Analysis of corruption in the sector
- **Tool F**: Mapping of the actors (F1: Snapshot view of the actors, F2: Analysis of the relations between actors, and F3: Matrix of actors' sectoral interests)
- **Tool G**: Analysis of the political economy of the sector (G1: Analysis of the political economy of the sector, and G2: Evaluation of stakeholders) and Identification of drivers of change and institutional leeway (G3: Drivers of change, and G4: Institutional leeway)

Formulation of the action plan

- **Tool H**: Analysis of the performance of key institutions for the EU (H1: Analysis of the performance of key organisations, and H2: Diagram and targeting of efficient organisations)
- **Tool I**: Evaluation of the reactions of formal and informal organisations (I1: Framework of the relations of sectoral governance, and I2: Framework of the balance between formal and informal organisations)
- **Tool J**: Defining the monitoring indicators and the logical design framework of the Action Plan (J1: Matrix, and J3: Logical design framework of the Action Plan)

Implementation of the Action Plan

- **Tool K**: Monitoring the Action Plan by indicator

The EU has already produced reference documents that, on the one hand, define a framework for the approach to sectoral governance support (Tools and Methods Series, Reference Document No 4, *Analysis and consideration of governance in sectoral interventions*, 2008) and, on the other hand, propose tools for capacity development (Tools and Methods Series, Reference Document No 6, *Toolkit for Capacity Development*, 2010).

On this basis, this volume of the handbook proposes an approach specific to the transport sector, implementing the framework and completing the toolbox. This update takes account of the recent methodological reflections of the EU, particularly the diagnoses of the political

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economy aspects of its interventions[1] in cooperation. It also includes tools recently developed by the World Bank. Each of these tools has been pre-formatted for the transport sector in SSA. They follow their sequencing in the EDF project cycle.

Finally, sample terms of reference (ToR) are proposed in the second chapter of this volume. This chapter enables users to draw up terms of reference according to the information required for their own particular situation, regardless of whether the sequence proposed in this handbook was followed.

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[1] *Unsworth and Williams (2011).*

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1. Presentation of the set of tools

There are eleven tools (from A to K).

1.1. Tool A: Checklist of the political economy of the country

Why this tool?

The *checklist* of the political economy of the country is designed to shed light on the way the country operates. Often, many details escape a technician in residence in a given country, either because he has just arrived, or because force of habit and the inertia of operational routines do not allow an overall view.

That is why, even if the tool may seem fairly simple, given the complexity of a local situation, the preliminary study should not be rushed. This tool sets out to assess the level of maturity of the country for governance reforms.

When and by whom can this tool be used?

It concerns those who have as their **entry point E1**. Ideally, the EUD will be in the process of drawing up the National Indicative Programme (NIP), but this is not a requirement.

Under the coordination of the Head of Cooperation, the Economy Section of the Delegation may conduct the economy study, with or without a consultant. Conversely, it should be transcribed into this tool jointly by the Economy and Infrastructure Sections of the Delegation.

How to use this tool

The tool presents a series of factors for which the following question must be answered: is it effective? If the factor is not at all effective, answer in the negative (N=no). A clear majority of "no" responses will point towards strategy 3 and the monitoring of the sector. However, if the proposed factor is effective or reasonably effective, the answer is affirmative (Y=yes). A majority of "yes" responses will be an invitation to continue through the toolbox to define a strategy (1 or 2). Observing the trend for each factor and area aims to mitigate or reinforce the respective scores.

The tool is indicated by an upper-case 'A'. Each area has a number and each factor a lower-case letter. Thus, the factor "Heavy tax burden" is numbered 'A1a', as shown in the table below.

Thus, for a country such as Guinea-Bissau, say, it is not recommended that the Delegation proceed any further in its efforts to support governance. Conversely, for a country such as Cape

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Verde or Mauritius, the chances of success of a governance support project are optimal. In this case, it is advisable to continue using this handbook. Between the two extremes, there is a wide variety of situations where use of this tool, combined with common sense, will help Delegations in their decision-making.

Context and details

In the absence of a complete study, governance profiles are available that were produced by the other DPs or the African Union. These profiles should be used as a starting point for either:

- a summary analysis internally on the basis of the *checklist* of questions from the EU's analysis of the political economy; this analysis may be conducted by the Economic Section and requires the collaboration of the political adviser, the Economic Section, the Governance Section and the Infrastructure Section. The Delegation's local staff will be an important source of information.

Or:

- use of a consultant, as part of what is mainly a desk-based mission (5 days) with a brief stay (3 days) in the Delegation. The list of questions from the political economic analysis (PEA) will serve as a guide. The approach will be comparative with neighbouring countries sharing the same institutional (and possibly structural) characteristics.

How much might it cost?

In the relatively unlikely scenario that there is no documentary basis for the analysis of governance, a consultant must be called in. In this case, this tool must be produced jointly with the full involvement of the Delegation, at least the Economic and Infrastructure Sections.

ToR are proposed in the second chapter of this volume to guide the user in his approach.

Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverables
Checklist of the political economy of the country						
Diagnosis of governance exists, is up to date and includes an analysis of the political economy	Economic Section	Internal	0	0	4	Note (max. 10 pages)
The diagnosis of governance exists but is limited to the institutional or is not up to date	Economic Section	External	28	7	4	Note (max. 20 pages)
The diagnosis does not	Economic		72	12	6	Note (max. 20

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exist	Section					pages)

Presentation of tool A

Areas / factors	Existing level (Y=yes and N=no)		Trend observed (→↑↓)[2]
	Strategies 1 and 2	**Strategy 3: Incubation**	
Factors encouraging reforms / innovations			
a) Heavy tax burden	Y	N	
b) Severe economic crisis	Y	N	
c) Recent democratic process	Y	N	
d) Pressure from DPs / degree of involvement	Y	N	
e) Other			
Impediments to reforms / innovations			
a) Impediments stemming from the government (political)	N	Y	
b) Impediments stemming from the bureaucratic machinery	N	Y	
c) Presence of networks of patronage	N	Y	
d) Presence of networks based on clientelism	N	Y	
e) Limited demand for reforms / innovations	N	Y	
f) Other			
Conditions favourable to reforms / innovations			
a) Rapid and sustainable growth of the country	Y	N	
Post-crisis or reconstruction situation with political stability	Y	N	
b) Government seeking legitimacy	Y	N	
c) Majority voting system	Y	N	
d) Political parties identify reform or innovation as a priority	Y	N	
e) Dynamism of the private sector	Y	N	
f) Other			
Rule of law			
a) Level of physical protection of individuals and property	Y	N	
b) Low crime rate	Y	N	
c) Effectiveness of the justice system	Y	N	
d) Level of corruption in the judiciary	N	Y	
e) Implementation of court decisions	Y	N	
f) Roles of alternative mediation (traditional justice)	N	Y	
g) Quality of the penal system	Y	N	
h) Fluidity of appeal mechanisms	Y	N	

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[2] *Use the arrows to indicate whether the situation is improving (↑), worsening (↓) or stagnating (→).*

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i)	Other			
	Public administration			
a)	Management of innovation and reforms	Y	N	
b)	Quality of the civil service and public services	Y	N	
c)	Management of public finances and accountability	Y	N	
d)	Confidence in public policies	Y	N	
e)	Quality of macro-economic management	Y	N	
f)	Other	Y	N	
	Management of public finances			
a)	Quality of national governance in fiscal or monetary policy	Y	N	
b)	Adequacy of controls, transparency, incentives and accountability in the management of public finances	Y	N	
c)	Relationship between the management of public finances (including procurement) and sectoral performance	Y	N	
d)	Other			
	Decentralisation and deconcentration			
a)	Decision-making autonomy of local authorities	Y	N	
b)	Financial autonomy of local authorities	Y	N	
c)	Effectiveness and efficiency of local public services	Y	N	
d)	Other			
	Consequences for Community aid			
a)	The lessons learned from other NIPs or projects are taken into account	Y	N	
b)	Context favourable to EU support to governance	Y	N	
c)	The political economy of the country is taken into account in strategy, programming, political and sectoral dialogues, gauging political and opertional risks, etc.	Y	N	
d)	Other			

1.2. Tool B: Checklist and matrix of sectoral governance

Why this tool?

The *checklist* and the matrix of sectoral governance will help put the capacities and potential for development of the sector into perspective.

The infrastructure and transport services sector has many common points in the various countries of SSA, both in its organisation/regulation by the state, its operation by the system of patronage and the functioning of the markets (PW, engineering/inspection of works and transport). It is therefore possible to base the analysis and integration of governance in the sector in a generic framework by analysing deviations from the regional "norm" rather than

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starting from scratch. This approach helps empower the delegations for the contextual and preliminary analyses and to reduce and standardise the results of analyses outsourced to teams of consultants.

Based on the main categories of key governance issues in the transport sector, the thematic entries for identifying the actions to be implemented are as follows:

Management of public finances; sectoral policy and programming

Capacity building and incentive development

Institutional restructuring and fight against corruption

Liberalisation and regulation of transport and public works markets

Participation of users, monitoring of sectoral performances and communication

Distortion of the planning, programming and management of public finances

Administrative problems, lack of public service spirit

Corruption in the management of the **development** and maintenance of infrastructures

Anti-competitive agreements in the transport services, lack of regulation and rackets

Fragmentation of the demand for governance and weak participation of users

When and by whom can this tool be used?

This tool is relevant to entry point E2 and to situations where the analysis follows from the use of tool A (entry E1).

Ideally, this tool should be used in the first stages of constructing the National Indicative Programme (NIP). However, it may be that, due to lack of time or resources during this brief programming period, the Infrastructure Section of a Delegation decides to move this analysis to the front of the NIP, ahead of the identification stage.

The Infrastructure Section can carry out this process with the assistance of the other sections and under the coordination of the Head of Cooperation. The final or intermediate outcome must be shared and validated internally by all sections. Other DPs involved in the sector or other stakeholders known for their independence from the system of patronage and/or clientelism may share their comments informally.

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How to use this tool

Two complementary tools are proposed: (1) the *checklist* of sectoral governance, or tool B1, and (2) the matrix of sectoral governance, or tool B2. The former feeds the latter.

- ***Checklist* of sectoral governance, or tool B1**

The tool takes the form of a list of factors, grouped by field of affiliation. The user should check that all the information necessary to fill tool B2 is present.

Therefore a cross should be put next to each factor when the information necessary for the next stage exists. This information is often available on the Internet or from the other donors. It is not recommended to get involved in laborious and complex searches if this information is not readily available. With at least 75% of the requested information the user can proceed to tool B2. Of course, the less experience the EUD has in the area and the larger the envisaged project, the better it is to aim for closer to 100%.

Each factor is indicated by an upper-case 'B' (in reference to the tool). Each area has a number (1 to 11) and each factor a lower-case letter. Thus, the factor "Country in post-conflict situation..." is numbered 'B1a', as shown in the table below. It is possible to opt for external assistance (consultant) to consolidate all the information and create tool B2.

Once ready, proceed to the next tool: B2.

- **Matrix of sectoral governance, or tool B2**

Each factor in table B1 corresponds horizontally to one of the five key problems of the sector (described above) in table B2. It will also be broken down vertically in table B2 depending on the level of governance concerned: (i) macro-governance (political and sectoral policy framework, legislative and regulatory framework, etc.), (ii) meso-governance (distribution of responsibilities between institutions and relations between institutions; operation of construction transport markets etc.) and (iii) micro-governance (internal organisation of each institution, operation within a profession or corporation).

For example, the information B6a in table B1 will mainly concern the key problem "distortions of sectoral policy, programming and management of public finances" at the level of "macro-governance" in table B2. A simple assessment of whether the situation presents a minor, moderate or major deviation (below) in relation to the norm on the continent should be performed. Each type of deviation corresponds to one of the three strategies: (i) minor deviation = Strategy 1 or support for reform (Low or "l" in table B2); (ii) moderate = Strategy 2 or advocacy for reform (Moderate or "m" in the table B2), and (iii) major deviation = Strategy 3 or incubation of reform (high or "h" in the table B2).

Once table B2 has been filled in with the available information, the general trend will be evaluated. For example, a majority of "minor deviations" will point towards strategy 1, while a majority of "major deviations" will indicate strategy 3, etc. A balanced distribution between the

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three strategies will favour strategy 2, etc. In all cases, common sense should be applied to interpret the results of the matrix.

If the result indicates strategy 3, it is strongly recommended to abandon the evaluation process and put in place a sectoral monitoring system.

If the result obtained points towards strategy 1 or 2, proceed straight to tool C.

Context and details

Creating this *checklist* of sectoral governance should not pose a problem for the Delegation. As a general rule, the vast majority of this information is available within the large body of literature on the sector for each country. Obviously, the situation of a small country such as São Tomé et Principe will not be as heavily documented as Senegal or Tanzania. The main limiting factor for the Delegation is the time available to check the availability and viability of the information. This is why this task may be outsourced.

It is important that at least 75% of matrix B is filled in and that the information is reliable. The large number of criteria (around 100) will allow wrong answers or unreliability to be smoothed out.

How much might it cost?

It is entirely possible that the Delegation is able to complete the *checklist* without external assistance. In this case, the additional cost would be zero. However, if, for one reason or another (often numerous given the daily operational obligations), the Delegation is unable to carry out this sectoral analysis, external assistance can be provided through consultants.

Conversely, where producing the matrix is concerned, it is suggested that a specialist consultant be hired to link the sectoral diagnoses to practice (and where applicable that of the other DPs). The matrix will be used to evaluate deviation from the SSA norm and therefore whether a commitment to supporting (or continuing to support) governance in the transport sector, or in a sub-sector, is appropriate. The hired consultant must have a mixed governance/transport economics with as broad experience as possible of land-based modes of transport, ports and the logistics chain.

The number of person-days and the duration of the mission will vary depending on the type of governance identified in the previous stage. If sectoral governance can be considered representative of the context of governance at national level, and has been stable for the past 5 years and relatively functional, the mobilisation of 10 person-days over one month is sufficient. Should this not be the case (governance that is dysfunctional, unstable, specific to the sector), the analysis should be extended and deepened. In states that are fragile or in a post-conflict situation, where the basis for analysing reconstruction is thin, the intervention may be reduced.

ToR are proposed in the second chapter of this volume to guide the user's approach.

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Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Matrix of governance in transport						
Functional governance	Infrastructure Section	External	**40**	10	4	Note (max. 20 pages)
Dysfunctional governance	Infrastructure Section	External	**90**	15	6	Note (max. 30 pages)
Fragile states, post-conflict situation	Infrastructure Section	External	**40**	10	4	Note (max. 10 pages)

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Presentation of tool B

a) Tool B1: *Checklist* of sectoral governance

Areas / factors	Information available	Reliability of information (→↑↓)[3]
Favourable conditions for networks		
a) Country in post-conflict situation or crisis situation with political instability		
b) Ethnic factor or communitarianism		
c) Elites who claim to be in favour of development but whose actions are contrary		
d) Presence of monopolies and oligopolies		
e) Disorganisation of the public administration		
f) Other		
Patronage and Clientelism		
a) Number of networks		
b) Power of the networks		
c) Importance of the rents at stake		
d) Competition between networks		
e) Alliances between networks		
f) Distribution of rent in the form of influence		
g) Distribution of rent in financial form		
h) Transparency in nominations for key positions		
i) Concentration of power of nomination for key positions		
j) Other		
Safeguards		
a) Effectiveness of independent safeguards (internal controls, external audits, other)		
b) Distance between safeguards and networks		
c) Lack of resources to circumvent safeguards (underestimated budgets, appointments of convenience, etc.)		
d) Safeguards outside public institutions		
e) Conditions for the emergence of safeguards outside institutions (level of development, strong growth, etc.)		
f) Transparency and access to public information, reliability of the available information		
g) No possibility of financial, fiscal, or political pressures, physical violence, etc. on non-institutions' safeguards		
h) Effective judicial system (not favouring impunity)		

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[3] *Use the arrows to indicate whether the information is very reliable (↑), unreliable (↓) or fairly reliable (→).*

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Areas / factors	Information available	Reliability of information (→↑↓)[3]
i) Other		
Means of extracting rent		
a) Direct extraction in the form of a political benefit		
b) Direct extraction in a financial form (non-existence of public procurement regulations, no recording of DP investments in the budget, etc.)		
c) Indirect financial or political benefit via public undertakings (Delegated Project Management, public enterprises, public transport companies, port, etc.)		
d) Very indirect financial or political benefit via delegation of public services (no investment scheduled in the contract, recurrent problems with services rendered, etc.)		
e) Other		
Institutional leeway and fracture of the system		
a) Platform for negotiation between networks		
b) Strong competition between networks		
c) Degree of predation of patronage/clientelism		
d) Situation of severe crisis in the sector		
e) Presence of freeloaders		
f) Political weight of freeloaders		
g) Other		
Distortions of sectoral policy, programming and management of public finances		
a) Coherent and hierarchical medium-/long-term sectoral policy		
b) Sectoral policies are implemented		
c) Monitoring/evaluation system for detecting best practices		
d) Studies and supervision are outsourced		
e) Balance between investment, operating and infrastructure maintenance budgets		
f) DP investments recorded in the budget		
g) Transparent and equitable distribution of finance to the sector		
h) Financing of the sector independent of the Treasury		
i) Independent external audit		
j) Quality of annual and multiannual programming		
k) Independent and transparent project selection method		
l) Rigorous application of public procurement regulations		
m) Monitoring of the physical and financial execution of projects updated in real time, transparent and accessible to all		
n) Level of computerisation of sectoral administration		
o) Dialogue and integration between the systems used in the sectoral administrations		

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Areas / factors	Information available	Reliability of information (→↑↓)[3]
p) Other		
Institutional and administrative problems		
a) Clear distribution of functions and missions of the sector's institutions (study/financing/execution/supervision, etc.)		
b) Autonomy of functions (separation of technical and financial functions, etc.), e.g.: Road Maintenance Fund, Roads Agency, Technical Ministry)		
c) Legal force of institutions (law or decree)		
d) Regulation and application of the sector's civil service (career plan, pay scales, transparent promotion, etc.)		
e) Ratio of non-contract civil servants to key jobs		
f) Transparency in the recruitment of contract and non-contract civil servants (nepotism, competition, etc.)		
g) Adequacy of human resoruces to the missions and their complexities		
h) Adequate training of human resources		
i) Autonomy of trade unions		
j) Existence and application of organic law		
k) Areas for expressing and taking into account the opinions of users		
l) Effective participation of users in the management of institutions and of the sector		
m) Number of institutions in the sector with joint supervision (e.g. Ministry of Transport/Ministry of Finance)		
n) Culture of performance and innovation within the sector's institutions		
o) Distinction between supervisory missions (control / administrative inspection mission)		
p) Audits certifying the quality of approved structures and works or services rendered		
q) Transparent and independent composition (of the administration) of Boards of Directors of public companies		
r) Administrative (Treasury) or political interventions in the setting of taxes, fees, etc. intended for the sector's independent institutions (Roads Agency, Road Maintenance Fund, etc.)		
s) Balance between financial resources and the missions of the sector's institutions		
t) Compensation of public service obligations		
u) Other		
Corruption in the construction and maintenance of infrastructures and regulation		
a) Regulation of the financing of political parties		
b) Price satisfactory for the quality of the services or works		
c) Low complexity and few regulations not requiring the presence		

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Areas / factors	Information available	Reliability of information (→↑↓)[3]
of intermediaries		
d) Access to bank finance for private and public companies		
e) Ratio of formal / informal sector in the sector		
f) Promotion and development of ownself-account services		
g) Provision of transport services in line with demand (no shortages etc.)		
h) The financing of infrastructures requires international *procurement* standards to be followed (financing via the WB, ADB, FDA, etc.)		
i) Regulation entirely independent of government / political power / high administration		
j) Balance between technical and administrative standards and regulations and the actual local situation (demanding technical inspections etc.)		
k) Effectiveness of PPP models		
l) Clearly defined role of the State (no confusion between shareholder State and regulator State)		
m) Transparency and public or parliamentary debate on PPP arrangements		
n) Hidden arrangements in PPPs		
o) Transparent price-fixing method with little administrative control		
p) Quality of infrastructure projects and TDs		
q) Other		
Distortion of prices		
a) Cartelisation of companies		
b) Presence of regulated niche markets (transport of hydrocarbons, school transport, etc.)		
c) Extraction of a rent by professionals and/or the administration		
d) Supervision of prices by professional organisations		
e) Intermodal concurence and integrated mode of transport		
f) Intramodal concurence		
g) Level of competence (training) of the sector's human resources		
h) Degree of professionalisation of the sector		
i) Obsolescence of materials and equipment		
j) Reduced availability of long-term financial savings products (financial assets, real estate, etc.) and little confidence in the banking system		
k) Insecurity		
l) Condition of infrastructure and level of maintenance of infrastructure		
m) Other		
Demand for sectoral governance		
a) Involvement of local authorities in the management of the		

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Areas / factors	Information available	Reliability of information (→↑↓)[3]
sector		
b) Involvement of users (population) in the management of the sector		
c) Involvement of professionals in the management of the sector (shippers, freight agents, etc.)		
d) Transparency of the selection of association representatives (users and professionals) and wide dissemination of information		
e) Strictly balanced representation of those involved (administration, user, companies, local elected officials, etc.) on the boards of autonomous public institutions		
f) Provision for dialogue with non-state organisations within central government		
g) Other		
What the sectoral governance offers		
a) Involvement of autonomous or semi-public institutions in the management of the sector		
b) Scope of the sector's institutional reforms		
c) Degree of performance of the sector		
d) Degree of involvement of DPs		
e) Competences of the human resources of the administration and semi-public organisations		
f) Dynamism of public institutions		
g) Degree of impunity in the administration.		
h) Other		

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Tool B2: Matrix of sectoral governance

Level of governance	Distortions of sectoral policy, programming and management of public finances				Institutional and administrative problems				Corruption in the construction and maintenance of infrastructures, and regulation				Extraction of a rent in the transport services and regulation				State of the demand for governance			
	Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l= low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy		
		1	2	3		1	2	3		1	2	3		1	2	3		1	2	3
Macro-governance	B6a	l	m	h	B7c	l	m	h	B8a	l	m	h	B1a	l	m	h	B3a	l	m	h
	B6b	l	m	h	B7d	l	m	h	B8c	l	m	h	B1b	l	m	h	B3b	l	m	h
	B6f	l	m	h	B7e	l	m	h	B8e	l	m	h	B1c	l	m	h	B3c	l	m	h
	B6g	l	m	h	B7f	l	m	h	B8f	l	m	h	B1d	l	m	h	B3d	l	m	h
	B6h	l	m	h	B7g	l	m	h	B8h	l	m	h	B1e	l	m	h	B3e	l	m	h
	B6l	l	m	h	B7h	l	m	h	B8i	l	m	h	B2a	l	m	h	B3f	l	m	h
	B9h	l	m	h	B7j	l	m	h	B8j	l	m	h	B2b	l	m	h	B3g	l	m	h
	B9i	l	m	h	B7k	l	m	h	B8k	l	m	h	B2c	l	m	h	B3h	l	m	h
	B9j	l	m	h	B7r	l	m	h	B8l	l	m	h	B2d	l	m	h	B10a	l	m	h
	B9k	l	m	h	B7t	l	m	h	B8m	l	m	h	B2e	l	m	h	B10b	l	m	h
	B9l	l	m	h	B7l	l	m	h	B8n	l	m	h	B2f	l	m	h	B10c	l	m	h
					B7s	l	m	h					B2g	l	m	h	B10f	l	m	h

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									B4a	l	m	h	B10d	l	m	h
									B4b	l	m	h	B10G	l	m	h
									B4c	l	m	h				
									B4d	l	m	h				
									B5a	l	m	h				
									B5b	l	m	h				
									B5c	l	m	h				
									B5d	l	m	h				
									B5e	l	m	h				
									B5f	l	m	h				
									B9c	l	m	h				

	Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy		
		1	2	3		1	2	3		1	2	3		1	2	3		1	2	3
Meso-governance	B9e	l	m	h	B7a	l	m	h	B8d	l	m	h								
	B9f	l	m	h	B7b	l	m	h	B8g	l	m	h								
					B7i	l	m	h	B8o	l	m	h								
					B7m	l	m	h	B9a	l	m	h								
					B7u	l	m	h	B9b	l	m	h								

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															B9d	l	m	h					
	Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy			Deviation from the norm l=low, m=moderate h=high	Strategy		
		1	2	3		1	2	3		1	2	3		1	2	3		1	2	3
Micro-governance	B6c	l	m	h	B7n	l	m	h	B8b	l	m	h	B2h	l	m	h	B10e	l	m	h
	B6d	l	m	h	B7o	l	m	h	B8p	l	m	h	B2i	l	m	h				
	B6e	l	m	h	B7p	l	m	h												
	B6i	l	m	h	B7q	l	m	h												
	B6j	l	m	h																
	B6k	l	m	h																
	B6m	l	m	h																
	B6n	l	m	h																
	B6o	l	m	h																
	B9g	l	m	h																

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1.3. Tool C: Analysis of sectoral governance supply and demand and the test of change ownership

Why this tool?

As previously, this instrument consists of two tools (C1 and C2). It is also designed to progress further into the analysis of the sector to refine the choice of strategy.

The first (C1) aims to measure the balance or imbalance between the demand for and the supply of (good) governance. Above all, it allows the demand for and supply of governance to be evaluated using simple questions to establish whether the answer indicates a strategy that is favourable, unfavourable or not at all favourable to sectoral reform.

The second (C2) is a matrix that establishes the effectiveness of the handling of the dynamics of reform by the partner for a sample of programmes and projects in the sector as a whole. It was developed on the basis of the summary table of the trajectories of reform presented in chapter 2. Based on the results of this analysis and those that precede it, the deliverable will make recommendations for the strategic directions of the EU's support to governance in the transport sector.

When and by whom can this tool be used?

Ideally, this tool is useful in the first stages of constructing the National Indicative Programme (NIP). However, it may be that, due to lack of time or resources during this brief programming period, the Delegation decides to move this analysis to the front of the NIP, ahead of the identification stage.

This tool is to be used under the coordination of the Head of Cooperation of the Delegation by the Infrastructure Section. The final or intermediate result must be shared and validated internally by all sections. Other DPs involved in the sector or stakeholders known for their independence of systems of patronage and/or clientelism may share their comments informally.

How to use this tool

Two complementary tools are proposed: (1) the evaluation of sectoral governance supply and demand (C1) and (2) the test of change ownership (C2).

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- Evaluation of sectoral governance supply and demand

Tool C1 is fed by table B1, or indeed A for an entry in E1. It involves answering a series of questions classified by theme and corresponding either to the demand for or the supply of (good) governance. Questions must be answered "yes" or "no" depending on the information available in tools A and B1. This is why, for each group of questions, there will be several possible references from which to infer the answer. At the end, the number of "yes" responses should be added in each column. If the score obtained is in favour of strategy 2 or 3, strategy 2 must be followed for the Action Plan and subsequent tools.

If strategy 1 emerges, it is advisable to continue with tool C2 to confirm whether Strategy 1 is indeed the one that corresponds to the situation and not 2. This will avoid undertaking a series of numerous and costly studies, at the end of which a project emerges that has a potentially significant risk of bottlenecks in its "DNA". You can never be too careful!

- Test of change ownership

Based on a representative (at least 5) sample of projects or programmes in the sector, a score should be assigned (between 1 and 5, where 1=low) to each line in the corresponding column. The addition of the scores in each column for all the projects evaluated will indicate whether the trend in the past was for projects to be on the initiative of the partner or the DPs and at what stage of the project cycle. A high score in the two left-hand columns would favour an ambitious strategy (strategy 1). Conversely, high scores in the right-hand columns will indicate a strong tendency for past projects or reforms to be initiated by DPs and would therefore lead towards strategy 2.

Once certain of the strategy to be adopted, all that remains is to follow the menu proposed for each one in the set of tools. Obviously, those with strategy 3 will go no further.

Context and details

These two tools are not absolutely reliable, and it certainly makes good sense to read all the answers, if only to obtain an overall picture of the situation.

Since the transport sector is characterised by low (if not non-existent) demand, most of the questions concern the latter. This should also bring about a reflection on the state of demand, to understand why it is weak or, conversely, strong and structured. The questions presented cover generic situations acceptable in the vast majority of countries of SSA. To be more precise, it is possible to delete or add them if the local characteristics so require.

For the ownership test, the sample must be relevant and sufficiently large to ensure the results are valid. Logically, the projects evaluated must be relatively recent. Should there not be enough projects to compile the sample, the result of the analysis will be negative, as this situation would suggest that the country is not accustomed to launching reforms or projects in the sector. Caution should be exercised when following strategy 2.

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How much might it cost?

This tool should not necessarily require specific external aid. The sources of information are present in tool B, or indeed A (for entry in E1). However, if external aid was used to complete the previous tools, there is nothing to stop this instrument being included in the deliverables of the first mission, at no major additional cost.

In isolation, tool C would require the hiring of a consultant for an intervention of around 10 man/days over 1.5 months.

ToR are proposed in the second chapter of this volume to guide the user in his approach.

Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Analysis of the supply of and demand for sectoral governance and proposal for strategic direction						
Functional governance	Infrastructure Section	Internal	**0**	0	4	Note (max. 10 pages)
Dysfunctional governance	Infrastructure Section	External	**60**	10	6	Note (max. 20 pages)
Fragile states, post-conflict situation	Infrastructure Section	External	**40**	8	5	Note (max. 20 pages)

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Presentation of tool C

b) Tool C1: Analysis of demand for and supply of (good) governance

Demand **Correspondence with the specific factors of the *checklists* of the countries' sectoral governance and political economy**			**Strategy 1: Support for reform** (possibility of launching and completing a reform)		**Strategy 2: Advocacy of reform** (possibility of launching a reform, but little chance of completing it, or at best partially)		**Strategy 3: Incubation** (no opportunity to initiate reform)	
			Yes = 1 **No = 0**	**Key questions**	**Yes = 1** **No = 0**	**Key questions**	**Yes = 1** **No = 0**	**Key questions**
Pressures (internal/external) and incentives (political/economic) for reform								
A1a A1b A1c A1d A3a A3b A3f	B1a B1b B1c B9k			• Opportunities to develop international trade, prospect of signing up to an greement with EU (EPA etc.), etc.? • Country in economic crisis, natural disasters, in democratic transition, etc. with political stability?	•	• Regional integration in progress, spreading of reformist ideas, dependence on aid, etc.? • Country in economic crisis and democratic transition?	•	• Isolated country? • Country in economic crisis, natural disasters, in democratic transition, etc. with political instability?
Incentives / constraints linked to the political, institutional and administrative system								
A3c A3d A3e A4a A4b A4c A4d A4h A5a	B2i B4a B4b B4c B4d B5a B5b B5c B5d	B9b B9c B9d B9e B9f		• Clientelism, patronage, limited networks? • The different ways of extracting rent are slowed, controlled, questioned, etc.? • Conviction that the long-term collective gains outweigh the short-term gains of a small group?		• Clientelism, patronage, large networks? • Are the different ways of extracting rent known? • Predominance of search for short-/medium-term rents? • Stakeholders opposed to reform		• Clientelism, patronage, systematic networks? • Are the extraction methods varied and not known to the public? • Predominance of search for short-term rents? • Stakeholders aragainst the

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A5b A5c A5d A5e A6a A6b A6c A7a A7b A7c B1e B2a B2b B2c B2d B2e B2f B2g B2h	B5e B5f B6g B6h B6i B6k B6l B6m B6n B6n B7a B7b B7c B7e B7l B7m B7n B7q B1d B1e B8a			• Stakeholders opposed to the reform are not numerous and institutionally weak? • High degree of pressure in favour of reform by the public or private sector? • Conditions of rule of law excellent? • Genuinely autonomous local authorities • Is the management of public finances transparent and accessible to all? • Significant culture of innovation in the civil service or habit of introducing reforms? • Are the conditions that favour the development of networks weak? • Is there obviously institutional leeway or cracks in the system of patronage, clientelism, networks?		• Limited demand for reform in the public and private sectors? • Conditions of rule of law good to moderate? • Is the management of public finances transparent? • Have several reforms in the administration been followed by success? • Are the conditions that favour the development of networks moderate? • Is there institutional leeway or cracks in the system of patronage, clientelism, networks?		reform are important and institutionally strong? • Lack of public or private pressure for reform Government obsessed by its survival or the benefits of predations? • Conditions of rule of law poor? • Local authorities subservient to central power? • Is the management of public finances not transparent? • Few reforms in the administration? • Are the conditions that favour the development of networks strong? • Is there little institutional leeway and are there cracks in the system of patronage, clientelism, networks?
Interest by public and pressure of public opinion									
	B10a B10b B10c B10d B10e			• Is the involvement of users in the governance of the sector structured and sustainable? • Is the involvement of professionals in the governance of the sector		• Are users involved in governance but are not effective or lack potential interest? • Are professionals involved		• Does the involvement of users in governance not exist or lack interest? • Does the involvement of professionals in

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B10f B3a B3b B3c B3d B3e B3f B3g B3h B7k B7l		structured and sustainable? • Are the methods of selecting representatives transparent and representative? • Strong presence of local elected officials? • Collegial management of institutions? • Independent media? • Is the fight against impunity effective? • Are the safeguards effective?		in governance but are not effective or lack potential interest? • Are the methods of selecting representatives not very transparent but representative? • Reduced presence of local elected officials? • Some independent media? • Is impunity being tackled but not very effectively? • Is it possible to circumvent the safeguards?		governance not exist or lack interest? • Are the methods of selecting representatives not transparent and not representative? • No presence of local elected officials? • Predominance of the administration in decision-making bodies (boards of directors etc.)? • No independent media? • Is impunity widespread? • Do safeguards not exist or are they corrupt?
Political dynamics within government						
A1a A1b A1c A1d A3e A3d A3c		• Is the government under increasing pressure to change? • Has a new government with fewer links with established interests been elected? • Has a champion of reform emerged with the resources and the political skills to use them?		• Is the government embarking on reforms but does not have enough support to overcome the established interests? • Is the government committing to reform to please public opinion or the DPs?		• Does the government not perceive the demand for reform? • Has the government just been elected and is not reforming? • Is there no champion of reform within the government?
TOTAL						

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Supply Correspondance with the specific factors of the *checklists* of the countries' sectoral governance and political economy		**Strategy 1: Support for reform** (possibility of launching and completing a reform)		**Strategy 2: Advocacy for reform** (possibility of launching a reform, but little chance of completing it, or at best partially)		**Strategy 3: Incubation** (no opportunity to initiate reform)	
		Yes = 1 No = 0	Key questions	Yes = 1 No = 0	Key questions	Yes = 1 No = 0	Key questions
Commitment of the government (linked to the methods of implementation and coordination)							
B11a B11b B11c B11d B11e B11f B11g B7d B7e B7f B7g B7h	B7i B7j B7m B7n B7o B7p B7q B7r B7s B7t B8c B9g B9h		• Is the commitment strong, sustainable and linked to a broader vision? • Is the legal framework of the reforms solid and sustainable? • Is innovation promoted within the civil service? • Are the human resources stable with a strong status? • Is the framework of the civil service solid?		• Are several stakeholders within government committed to reform, but cannot see it through? • Does the legal framework for reforms exist, but requires further consolidation? • Do the human resources exist, but lack a strong status? • Does the framework of the civil service exist, but have difficulty being applied?		• Weak, changeable, reforms not associated with a broader vision? • No legal framework? • Weak and unstable human resources? • No framework for the civil service?
Ability to carry out reforms (linked to the stage of development)							
A2a A2b A2d A2e	B6a B6b B6c B6d B6e		• Strong and pre-dates reform?		• Variable but generally weak?	•	• Weak?

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	B9a							
			Strategy for reform / *leadership*					
A2a A2b A2d A2e			• Effective (*quick wins*, reducing opposition, building coalitions, etc.)?		• Ineffective?		• No strategy for reform?	
TOTAL								

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c) Tool C2: Test of change ownership

REFORM, PROGRAMME, SECTORAL POLICY, PROJECT (score 1=low; 5=high)	Initiative taken by the partner / passive DPs	Initiative taken by the partner / DPs in support	Partner and DPs together conduct the initiative	Initiative taken by the DPs based on broad consultation	Initiative taken by the DPs with reduced or no consultation
Findings during the identification phase:					
Emergence of demand					
Sectoral dialogue in place within the sectoral table or equivalent					
Sectoral dialogue in place mobilising a wide range of stakeholders in the sector (civil society, technical ministries, etc.)					
Identification studies on financing the partner					
Identification studies on financing the DPs (Technical Cooperation on *Trust Fund*, equity capital, etc.)					
Drafting ToR of identification studies					
Identification studies based on international expertise					
Identification studies based on local expertise					
Evaluation and analysis of identification studies					
Drafting of identification document					
Definition of timetable and contents of the formulation phase					
Drafting of ToR if formulation phase on external financing (Technical Cooperation on *Trust Fund*, equity capital, etc.)					
Choice of *procurement*					

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rule applicable for external financing					
Findings during the formulation phase:					
Formulation process in place within the sectoral table or equivalent					
Execution of Technical Cooperation (for external financing)					
Technical Assistance in place (if used)					
Preparation of the provisional formulation document					
Management of the collection of comments					
Process in place for approving the final document					
Choice of financing method (external direct, external indirect, local, etc.)					
Choice of the procurement rule applicable for external financing					
Choice of method of execution (project, budgetary support, SWAp, etc.)					
Process of ratifying the financing (contract, agreement, etc.) in place					
Findings during the execution phase:					
Execution of the project, programme, SWAp, budgetary support, etc. in place					
Steering Committee in place					
Feedback / communication to stakeholders in sectoral					

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dialogue					
Monitoring/evaluation of execution in place					
TOTAL					

Source: Adapted from EuropAid (2009), Making TC more Effective; 17.

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1.4. Tool D: Analysis of the performance of the transport sector by mode

Why this tool?

This stage is not specific to the definition of support to governance. Based on sectoral policy and its sub-sectoral components, it aims to evaluate: (i) the relevance of sectoral policy and the resources mobilised; (ii) the consistency of the underlying principles compared to the development of the policy framework in transport in SSA; (iii) the effectiveness of the implementation of sectoral policy, and (iv) the efficiency of the device, to establish a bridge to the subsequent stages.

The evaluation will concern the main modes, namely the road, rail and port sub-sectors. More precisely, it will be an overview of the three main modes of transport according to the evaluation indicators specific to them, grouped into homogeneous groups or axes of analysis.

The average results for each axis will feed a graphic, which will offer a "snapshot view of the sub-sector".

When and by whom can this tool be used?

This tool is useful for beginning the analysis of the Project Identification Fiche (PIF). An initial analysis at the start of the process is recommended, to establish a base line. Then, every two or three years, it is advisable to update the instrument to monitor developments in the performance of the sector and sub-sectors.

Two options are possible when rolling out this exercise.

Firstly, this instrument may be formalised through the Sectoral Table under the leadership of the competent sectoral authorities with the support of the sector's DPs. If the Sectoral Table does not exist or does not operate satisfactorily to put in place a recurrent instrument such as this, the Sectoral Group may manage its introduction, especially if the EU is the leader of the DPs within the Group.

Otherwise, the Infrastructure Section of the Delegation, with the assistance of the other sections, can carry out this process. The final or intermediate result must be shared and validated internally by all sections. Other DPs involved in the sector through the Sectoral Group (if one exists) or stakeholders known for their autonomy from the system of patronage/clientelism may share their comments informally.

For entry into E1 or E2, this tool will only be developed for strategy 1.

For entry into E3, choose the strategy directly between 1 or 2 depending on the institutional and operational context, the EUD's experience (personal or within the Delegation), etc. Most Delegations should probably use this entry point.

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The government has been interested by sectoral reforms or previous reforms were successful. However, the large size of the envisaged project and/or the information available and/or the lack of experience prompt certain reservations that will only be satisfied after a specific study of the sector. In this case, it is advisable to opt directly for strategy 1, following the order proposed in this guide.

Nevertheless, if, at the end of this series of studies, it turns out that the project cannot be very important because a certain number of risks remain, in the following stage (Action Fiche – AF) preference will be given to strategy 2 and the tools that accompany it. If the financial resources, for the studies and the project, are not in line with the potential needs, preference will be given to strategy 2, similarly in the next stage for drafting the Action Fiche.

How to use this tool

This tool consists of three analytical grids for the sector, one for each sub-sector: road, rail and port, and a graphic allowing the situation for each mode to be summarised while making it easier to track its development over time.

The three grids will help provide an exhaustive evaluation of each mode according to classic performance indicators grouped into homogeneous segments or axes (growth, effectiveness, practicability, etc.) specific to the mode in question.

Each indicator will be given a score from 0 to 4 (0 corresponding to a very bad situation and 4 to an excellent situation). An average score will be determined for each axis or segment of analysis.

These average scores for the axes will feed the following graphic, which will take the form of a "spider's web". The larger the area covered by the web, the greater the performance of the mode. Conversely, a small area will indicate a low-performance mode. This will therefore provide an overall snapshot view of the performance of the mode, but also a picture per segment of the performance or counter-performance. In this way, technical priorities will be established for investments, in addition to the institutional priorities associated with governance.

Context and details

In essence, the analysis concerns the performance of the sub-sectors and not their general impact on other sectors (health, agriculture, economic development, etc.) or their contribution (or non-contribution) to development.

It is not advisable to compare modes, as the axes of evaluation vary from one mode to another.

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How much might it cost?

This task will be outsourced. It requires a team of at least two consultants combining the profiles of transport economist and institutional expert. The volume of person-days and the duration will depend on the pre-existence of sectoral support from the EU or another donor, and on the level of economic development in the country (and therefore the development of modes of transport and logistical functions).

ToR are proposed in the second chapter of this volume to guide the user in his approach.

Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Stage 2: Draw up the appropriate strategy of support for sectoral governance						
Evaluate the policies and performance of the sector by mode						
Pre-existence of sectoral support	Infrastructure Section	External	**20**	20	0	Note (max. 10 pages)
Emerging country	Infrastructure Section	External	**50**	50	8	Note (max. 20 pages)
Low-income country	Infrastructure Section	External	**30**	30	0	Note (max. 20 pages)

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Presentation of tool D

Analysis of performance (road sub-sector)

Axis	Performance indicator	Source	Score (0 to 4)*
Axis 1: Growth of traffic			
	Growth of traffic	Counts/studies of traffic and traffic statistics.	
	Increase in the length of roads per inhabitant for the country or the region	Infrastructure statistics	
Axis 2: Improvement and rehabilitation of existing road infrastructures and protection of road legacy			
	Increase in the total length of the network of paved roads	Annual statistics on the condition and the construction of roads.	
	Increase in the road network		
	Increase in the length of roads per inhabitant at national or regional level	Periodic collection of data relating to costs, speed and journey time, using existing monitoring systems or the monitoring of projects. Inspections, interviews and surveys	
	Percentage of the different categories of road classified as in "good", "average" or "poor" condition		
	Reduction in the unit costs of transporting goods and passengers for different types of vehicle		
	Increase in speed on the roads and reduction in transit times for different types of road and vehicle		
Axis 3: Praticability of the road network			
	Reduction in the annual percentage of days when the roads were impassable and/or traffic was interrupted.	Time saved for the different types of vehicle per km.	
	Reduction in the unit costs of transporting goods and passengers for different types of	Annual statistics on the	

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	vehicle.	condition of the roads	
Axis 4: Effectiveness of the road transport network and customer services			
	Expansion of the road network	Periodic collection of data relating to costs, speed and journey time, using existing monitoring systems or the monitoring of projects. Inspections, interviews and surveys.	
	Increase in the length of roads per inhabitant at national or regional level		
	Percentage of the different categories of road classified as in "good", "average" or "poor" condition		
Axis 5: Reduction in transport costs			
	Reduction in the unit costs of transporting goods and passengers for different types of vehicle	Annual public budgets	
	Reduction in the rates for goods and passengers for starting points/destinations per km etc.		
	Drop in operating costs for customers. Greater comfort during the journey		
Axis 6: Road maintenance			
	Improved productivity of the road maintenance equipment.	Annual statistics on the condition and the construction of roads. Periodic collection of data relating to costs, speed and journey time, using existing monitoring systems or the monitoring of projects. Inspections, interviews and surveys.	
	Annual budgetary allocations for road maintenance. Intensification of maintenance activities (in km of road per annum)		
	Percentage of roads classified as in "good", "average" or "poor" condition		
	Reduction in the repair cost per km of road for the different types of road		
	Reduction in the unit costs of transporting goods and passengers for different types of vehicle		
	Increase in speeds and reduction in transit times for different types of road and vehicle		
	The main elements of the road maintenance equipment are more available and		

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	reduction in the downtime of the main road maintenance machinery		
Axis 7: Institutions of the road sector			
	Improve the ability of governments to manage the planning, evaluation and management of projects.	Government's annual budgets.	
	Quality of pre-investment and feasibility studies	Annual statistics on the condition and the construction of roads.	
	Increase in the % of revenue linked to road traffic that is paid back to organisations in the road sector	Periodic collection of data relating to costs, speed and journey time, using existing monitoring systems or the monitoring of projects.	
	Reduction in administrative costs and the total budget for roads		
	Increase in planning and evaluation tasks dealt with on site		
	Percentage of roads in "good", "passable" or "poor" condition	Inspections, interviews and surveys.	
	Reduction in the construction and maintenance costs per km of road, for different types of road		
	Reduction in the unit costs of transporting goods and passengers for different types of vehicle		
	Increase in speeds on roads and drop in transit time for different types of road and vehicle		
	Expansion of the capacity of mechanised and manual maintenance teams (in km)		
	Examination of pre-investment and feasibility studies produced on site		
Axis 8: Development of local construction and road maintenance industry			
	Percentage of construction and maintenance work given to the private sector	Information available from the Ministries of Works and Construction etc.	
	Increase in the number of local contractors with the technical and management competence to undertake small and medium-sized construction contracts		
	Increase in the number of contractors who possess or have access to road		

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	maintenance equipment for small and medium-sized contracts		
	Expansion of the number of contractors participating in large construction and maintenance contracts in the country, in association with foreign contractors		
Axis 9: Road safety			
	Reduction in accident rates.	Accident statistics	
	Decrease in victims		

* 0= zero, 1= low, 2=average, 3=good and 4= excellent

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Analysis of performance (rail sector)

Axis	Performance indicator	Source	Score (0 to 4)*
Axis 1: Growth of traffic			
	Increase in the length of rail rack per inhabitant, for the country or the region.	Statistics on transport in general.	
	Density of the network (km of track per km² of region).	Statistics on rail transport. Statistics on infrastructures.	
	Length of tracks (km).		
	Number of locomotives.		
	Number of freight cars.		
	Traffic levels (tonne per km & passengers per km).		
	Originating traffic levels (tonnes and passengers).		
	Annual growth in rail traffic.		
	Share of railways in the transport of goods and passengers.		
Axis 2: Modernisation and rehabilitation of tracks and existing rail infrastructures			
	Maximum and average speed for passenger trains and goods trains (km/h).	Operational rail statistics	
	Turnaround time for locomotives/goods wagons. Maintenance cost per km of route.		
	Train accidents (per million km of rail track).		
Axis 3: Practicability of rail links			
	Reduction in the annual percentage of days when rail communications are interrupted.	Time saved for different types of vehicle per km.	

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	Reduction in the unit costs of transporting goods and passengers for different types of vehicle.	Periodic collection of data on prices, speeds and transit times by existing monitoring systems or project systems. Inspections, interviews and surveys.	
Axis 4: Effectiveness of the rail transport network and customer service. Reduce transport costs.			
	Expansion of the rail network.	Annual statistics on rail operations. Periodic collection of data on costs, speeds and transit times by existing monitoring systems or project systems. Inspections, interviews and surveys	
	Increase in the length of rail track per inhabitant for the country or the region.		
	Reduction in the unit costs of transporting goods and passengers.		
	Reduction in freight and passenger tariffs for selected origins and destinations.		
	Reduction in operating costs for customers.		
	Improved comfort during journeys.		
	Average speeds for main-line trains for passengers and goods.		
	Time saved per km and between selected points.		
	Punctuality of passenger trains.		
Axis 5: Productivity of the tracks, rolling stock, signalling, telecoms and workshop installations for manufacture and maintenance etc.			
	Availability of tracks	Statistics on rail operations. Number of track failures during the year. Average kilometres between locomotive breakdowns. Hours locomotives/day/km	
	Availability of main-line and switching-track locomotives		
	Reliability of main-line locomotives		
	Use of main-line and switching-track locomotives (hour/annum).		
	Efficiency of locomotives (tonnes per km per annum)		

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	Average downtime for wagons (hours)	Locomotives in use/day/per locomotive in use.	
	Turnaround time for goods wagons (days)	Hours of interruption for the monthly inspection on the main line.	
	Journey and turnaround time for goods trains on specific routes (hours)		
	Availability of cars / passengers	Downtime/month/year for the telephone/Lines of the microwave circuit.	
	Effectiveness of telecoms		
	Increase in availability and reduction in downtime of the main machines of the repair workshop	Downtime per month of booking computers/year.	
	Time devoted to periodic general overhauls of locomotives and passenger cars and goods wagons	Workshop productivity statistics	
		Repair time for locomotives and passenger and goods wagons.	
	Reduction in repair costs per km of rail		
	Reduction in the unit costs of transporting goods and passengers	Number of derailments/collisions. Number of deaths/serious injuries.	
	Productivity of the workforce (tonne per km per employee per annum)		
	Major accidents		
Axis 6: Operational and management capacity of railways. Capacity to manage the planning and evaluation of the sector and rail projects			
	Ability to ensure traffic flows	Passenger traffic and goods traffic.	
	Reduction in administrative costs and operating ratio	Financial results and operating ratio.	
	Improvement in operational performance indicators		
	Reduction in the construction and maintenance cost per km of rail, locomotives and freight cars	Operating states and operational performance indicators.	
	Reduction in the unit costs of transporting goods and passengers for different types of vehicle	Periodic collection of data on costs, speeds and journey times by existing monitoring systems or project systems.	
	Quality of pre-investment and feasibility studies		

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	Increase in internal planning and evaluation tasks processed	Inspections, interviews and surveys.	
Axis 7: Development of the local construction industry.			
	Percentage of rail construction work given to the private sector	Information available from the Ministries of Railways/Construction	
	Increase in the number of local contractors with the capacity and technical and management competence to honour small and medium-sized construction contracts		
	Increase in the number of contractors participating in large construction and maintenance contracts in the country, in association with expatriate contractors		
Axis 8: Railway safety			
	Reduction in accident rates	Accident statistics.	
	Reduction in deaths	Accidents per year. Collisions per year. Deaths/serious injuries per annum. Accidents per million train km	

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Analysis of performance (port sector)

Axis	Performance indicator	Source	Score (0 to 4)*
Axis 1: Growth of international and national traffic by water			
	Handling capacity of ports (separately for bulk liquids, dry bulk goods and sundry goods in tonnes/annum). Average stopover time for container ships.	Statistics on transport in general. Port statistics	
	Annual growth in international and national trade and in traffic by water.		
	Handling capacity for containers (TEU/annum).		
	International and national trade by water (in value) and level of traffic (in tonnes).		
	Share of traffic by water in the total goods and passenger traffic.		
	Average waiting time of ships (hours).		
	Average stopover time of ships.		
Axis 2: Existing port infrastructures.			
	Maximum available draught.	Port statistics	
	Number of quays.		
	Area of transit hangars (km²).		
	Area of storage warehouses (km²).		
	Capacity of storage tanks (kl).		
	Average waiting time of ships (hours).		
	Rest time of goods.		

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	Productivity of the handling of goods, by main product. (tonnage/team-hour, tonnage/ship-hour, tonnage/metre of quay).		
Axis 3: Equipment and facilities for handling containers			
	Traffic in handled containers.	Port statistics	
	Penetration of containers (%).		
	Traffic that can be carried by container (%).		
	Number of container quays.		
	Depth of container berths (m).		
	Waiting time of container ships (hours).		
	Stopover time of container ships (hours).		
Axis 4: Effectiveness of port infrastructures and customer service. Reduction in transport costs.			
	Container handling rates (TEU/crane hour).	Port statistics	
	Container handling charges ($/element).	Collection of periodic data on costs, speeds and journey time via existing systems or project monitoring systems.	
	Number and capacity of gantry cranes for quayside handling and yard handling cranes.		
	Area and capacity of container yards.	Inspections, interviews and surveys	
	Availability of container cranes (%).		
Axis 5: Productivity of port equipment etc.			
	Expansion of the capacity of ports.	Port statistics	
	Reduction in the unit costs of transporting goods and passengers	Collection of periodic data on costs, speeds and journey time via existing systems or project	
	Reduction in freight and passenger tariffs for particular origins/destinations		

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	Average waiting time of ships (hours)	monitoring systems.	
	Rest time of goods	Inspections, interviews and surveys	
	Productivity of goods handling by main product (tonnage/team-hour, tonnage/ship-hour, tonnage/metre of quay)		
	Serious accidents		
Axis 6: Operational and management capacity of ports. Capacity of ports for planning and evaluating projects.			
	Increase in availability and reduction in downtime of the main elements of port equipment.	Statistics of port operations.	
	Productivity of the workforce (tonne-km per employee per annum).	Financial and operational results and port statistics.	
	Average waiting time of ships (hours).	Review of pre-investment and feasibility studies drawn up on site.	
	Average rest time of goods (hours).		
	Average turnaround time of ships (hours).		
	Productivity of goods handling by main product (tonnage/team-hour, tonnage/ship-hour, tonnage/metre of quay).		
	Serious accidents.		
	Reduction in administrative charges.		
	Reduction in operating ratio.		
	Increase in availability and reduction in downtime of the main elements of port equipment.		
	Productivity of the workforce (tonne-km per employee per annum).		
	Improvement in operational performance indicators.		
	Average waiting time of ships (hours).		

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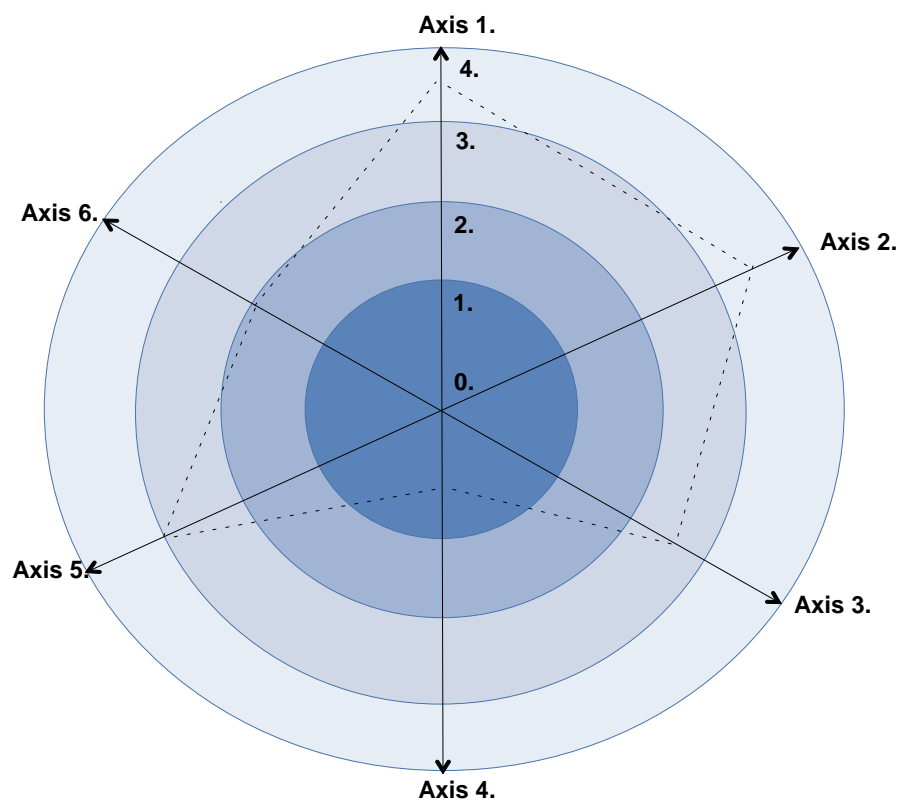|			
	Downtime of goods in the port.		
	Productivity of goods handling by main product (tonnage/team-hour, tonnage/ship-hour, tonnage/metre of quay).		
	Qualities of pre-investment and feasibility studies.		
	Increase in planning tasks completed on site.		

Source: studies of performance indicators for the transport sector, ADB/OPEV, 2010.   * 0= zero, 1= low, 2=moderate, 3=good and 4= excellent

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Analysis of the overall performance of a mode or sub-sector

Example for the port sub-sector:

Axis	Score (0 to 4)
Axis 1	4.5
Axis 2	4.4
Axis 3	3.5
Axis 4	0.5
Axis 5	3
Axis 6	2.8

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1.5. Tool E: Analysis of corruption in the sector

Why this tool?

Corruption prevails in the transport sector in the management of works contracts, the management of concessions and the management of the issue of transport papers and documents.

The first represents the most significant financial problem and shortens the service life of structures. The second inhibits the potential leverage effect of public funds from the private capital market, and therefore the future adaptation of transport infrastructures to the challenges of the future. The third involves petty corruption and will therefore remain beyond the scope of EU support: it does not require specific analysis.

This tool focuses mainly on the first type of corruption: public procurement.

When and by whom can this tool be used?

This tool is useful while drawing up the PIF and for a strategy 1 from an entry into E1, E2 or E3.

Two options are available to the Delegation when rolling out this exercise.

Firstly, this instrument may be formalised through the Sectoral Table under the leadership of the competent sectoral authorities with the support of the sector's DPs. If the Sectoral Table does not exist or does not operate satisfactorily to put in place a recurrent instrument such as this, the Sectoral Group may manage its introduction, especially if the EU is the leader of the DPs within the Group.

Otherwise, the Infrastructure Section of the Delegation, with the assistance of the other sections, can carry out this process. The final or intermediate result must be shared and validated internally by all sections. Other DPs involved in the sector through the Sectoral Group (if one exists) or stakeholders known for their autonomy from the system of patronage/clientelism may share their comments informally.

It is possible and indeed recommended, to work in partnership with other Sectoral Tables that habitually deal with the question of where, in the majority of cases, the EU is present and assumes responsibilities (leader of the DPs) such as those on the management of public finances or governance/modernisation of the administration.

How to use this tool

Besides the general framework, tool E is structured to reflect the major stages of the cycle of a call for tender:

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- Preparation of the TD: Evaluation of needs, Programming and budgeting, Definition of needs, Choice of procedure;

- The call for tender: Publication / invitation, Evaluation of offers, Award of the contract;

- Management of the contract: Day-to-day administration of the contract, Payment and service order.

Based on a sample of a dozen projects for new constructions, rehabilitations or periodic maintenance operations (paved roads and dirt roads), at each stage the analysis will measure the presence of alerts, among those offered, or others depending on the specific characteristics of the sector in the country.

Example of alerts to look out for:

- A time lapse of more than 7 months between the opening of the envelopes and the signing of the contract;

- Increase in the cost of the project of more than 20% during execution;

- Increase in the duration of the project of more than 30%;

- Value of the contract exceeds the initial estimate by more than 20%;

- More than half the companies that bought the dossier do not submit an offer;

- 20% and more of the pre-selected companies do not submit an offer;

- Difference between the chosen offer and the next one less than 2%;

- The chosen offer was not the lowest bid when the envelopes were opened;

- Only one or two submissions;

- Costs per km for similar work is above the 75th percentile;

- Unit cost of one type of operation is above the 75th percentile, especially those that are difficult to control.

The presence of alerts will indicate whether the potential risk has become a reality when at least 2 projects out of 10 are concerned. In this case, simply (i) refer to the corresponding possible actions, (ii) choose the most relevant in relation to the established situation, and (iii) assess which is the best instrument or vector to develop the envisaged action.

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Context and details

Concession projects or other forms of public-private partnership may be included in the sample. However, they must also be analysed to ensure compliance with the mutual contractual obligations based on the following indicators: (i) regularity of payment of fees by the concessionaire, and (ii) percentage of licensor's obligations actually fulfilled.

Where appropriate, the approach could include a survey on corruption in the sector, with a sample of users (maximum 50 people). The questions will be prepared on the basis of the following topics:

- The government's priorities for investment in the transport sector are appropriate;

- The public is correctly informed of expenditure in the sector;

- New entrants on the market have reasonable chances of obtaining contracts (works, concessions, etc.);

- The main contracts are awarded on the basis of the best price/quality ratio or the lowest bid;

- It is now rare to have to pay bribes to speed up administrative procedures (issue of permits etc.);

- Cases of presumed corruption are usually subject to investigation and lead to actual convictions;

- If officials do not follow rules and procedures, they are punished;

- Complaints and claims from the public are generally handled properly.

A scale of 1 to 5 will be offered to each person questioned and will confirm or refute the findings drawn from the sample of 10 projects.

How much might it cost?

This task may be outsourced. It requires a consultant with an engineer's or economist's profile for 10 man/days over 2 weeks.

ToR are proposed in the second chapter of this volume to guide the user's approach.

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Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Analyse corruption in public procurement and PPPs						
Executed internally	Infrastructure Section	Internal	**0**	0	0	Report (max. 50 pages)
Executed externally	Infrastructure Section	External	**10**	10	2	Report (max. 50 pages)

Presentation of tool E

Tender cycle	Potential risks	Main alerts	Possible actions	Possible tools
GENERAL RISKS				
General context	Insufficient transparency		• Establish minimum standards of transparency or acceptable thresholds	• Guides and manuals on conducting TE • Definition of thresholds and minimum standards
	Insufficient accountability		• Political will • Legal framework • Internal controls and external audit	• Implementation of the Declaration of Paris • Laws • Archiving of TE documents • Standard TE documents
	Lack of professionalism		• Technical training on TE procedures • Creation of a code of conduct and introduction of clauses in contracts for works	• Training • Code of conduct
TD PREPARATION PHASE				
Evaluation of needs	• Definition of needs is inadequate due to lack of time or lack of competence of the person responsible for the TE • The purchase is not necessary and	• Purchase unnecessary or inappropriate (economically unjustified, high level of environmental damage, etc.) • Manipulation of	• Identify the usual conditions of the market and the sector • Qualified staff • Allow time to establish identification • Identify the political	• Establish standardised *checklists* • Favour public hearings • MAPS (Methodology for assessment of procurement

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	the request is induced • Political pressures that influence the TE cycle	thresholds • Inadequate procedure and evaluation criteria • Unusual pre-qualification specifications	and institutional risks •	systems – OECD) • Map of the political and institutional context (see tool: Mapping of the stakeholders)
Programming and budgeting	• Definition of needs, programming and budgeting are unrealistic • Goods and services are not in line with the Government's global investment plan	• Ambiguous, incomplete or deceptive contractual specifications • Contractual specifications are too narrow or too vague • More than half the companies that bought the dossier do not submit an offer • Other	• Set up a team to identify the product • Involve an independent supervisor (civil society, NGO, etc.) •	• External advisers • Maps of companies and suppliers
Definition of needs	• TD or terms of reference are needlessly complex to hide fraudulent actions and complicate monitoring • Non transparent selection, and award criteria are not objective • Selection and award criteria are not established in advance • Presence of conflicts of interest • Pre-qualification and bribes • TD or ToR are established according to the characteristics of a company distorting competition from the outset • Risk of a company providing false documents		• Create simple rules • Simplification of goods and services bought • Databases of usual prices and technical specifications • Give space to civil society to monitor the stages of the process • Define measurable evaluation criteria and set up a committee to evaluate the subjective parts of the TD • Map possible conflicts of interest • Ensure that the code of conduct is applied by the contracting authority and its employees • Identification and publication in the TD of people (including intermediaries and external agents) involved in the procedure • Establish and update a list of exclusion decisions	• Guide to TE procedures • Involvement of civil society in the analysis of the market • Toolbox for managing conflicts of interest in the public sector (OECD, 2005) • Code of conduct for bidders and officials of the administration responsible for the TD/TE • Certifications • Black list • Prior authorisation or non-objection (*due diligence*)

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			(black list) • Impose cover (insurance) and security deposits	56
Choice of procedure	• Lack of justification for the choice of a restricted procedure • Poor use of a restricted procedure based on legal exceptions • The relevant information is not equitably distributed among bidders		• Create clear rules • The procedure must identify exceptions in advance • Define the key vocabulary used, such as: urgency, exceptional character, immediate, etc. • Use of specific and accessible media to all potential bidders • Establish clear protocols for communication with bidders	• Practical guide to purchases of goods and services • E-purchasing • Means of communication
TE PHASE				
Publication / invitation	• Lack of publicity • The selection criteria are not public • Understandings between bidders • Insider trading	• Time lapse of more than 7 months between opening of the envelopes and signing of the contract • 20% and more of pre-selected companies do not submit an offer • Difference between the chosen offer and the next one less than 2% • The chosen offer was not the lowest bid when the envelopes were opened • Only one or two bids • TD not available • TD too brief or unusual • Obvious collusions between bidders • Bidders are not listed in	• Establish a sufficient period to allow all participants to respond to the TE • Establish sufficient periods for appeals • The final deadlines are strictly observed • The TE evaluation criteria are transparent and widely disseminated from the start of the procedure • Code of conduct • Encourage complaints by making clear channels of communication and protection available • Create formal spaces and periods for meetings and exchanges beween bidders • Define a restricted number of officials responsible for	• Electronic instruments (e-instruments), predefined means of communication • Channels for complaints • Protection code for informants

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		professional associations, telephone directories, etc. • Several contracts are awarded to the same company • Qualified companies do not manage to submit an offer • Disqualifications are poorly justified • Other	communication with the bidders • Share the information equitably between bidders	
Evaluation of offers	• The members of the selection committee are exposed to corruption • Vague and subjective definition of the selection criteria of the winning company • Insider trading		• Ensure that the code of conduct is applied by bidders • Introduction of strict measures against corruption and acceptance of these by the stakeholders (including subcontractors and intermediaries) • Prior authorisation or non-objection for consultants • Appoint different officials for the publication/invitation and offer evaluation stages • Restricted number of decision-making centres • Split the evaluation team into two: (1) one for the technical evaluaton, and (2) one for the financial evaluation	• Code of conduct • Routine procedures of prior authorisations • Organisational chart of responsibilities
Award of contract	• Winning bidders are exposed to corruption • No or little access to the award procedure records		• Involve civil society • Transparent disclosure of the results in real time • Form an award committee made up of several people from different backgrounds • Encourage the random rotation of staff responsible for awards • Rejected competitors must be duly informed in an adequate and relevant manner of the results of the award of the	• Public hearing • Rotation of staff • Electronic information available in real time

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		contract	
MANAGEMENT OF THE CONTRACT			
Management of contract	• The price, quality and specifications change after the contract is signed • Poor supervision of the contracting authority • Collusion between the successful bidder and the prime contractor • Subcontractors are not selected transparently and do not feel accountable	• Increase in the cost of the project of more than 20% during execution • Increase in the duration of the project of more than 30% • Value of the contract exceeds the initial estimate by more than 20% • Costs per km for similar works is above the 75th percentile • Unit cost of one type of operation is above the 75th percentile, especially those that are difficult to control • Use of dubious subcontractors or employees • Number of complaints of poor quality	• Frequent and random inspections • Outsourced supervision • Establish thresholds for authorised changes and an ad hoc procedure • Appointment of an appeals committee • The contract provides for non-recoverable provisions or retentions in the event of proven bribes • Complaints are accepted • A system for protecting complainants is in place • Supervisions are carried out by teams of at least two people	• Online reporting of monitoring • Complaints are administered by an independent body • Strategy of protecting complainants • Supervisory committee
Payment and service order	• Complaints relating to goods and services not delivered are not recorded and documented • Lack of separation of acounting and technical functions is a factor of fraudulent accounting, poor allocation of costs and improper billing • Renegotiation of the contract authorised and substantial changes are introduced	• Acceptance and systematic approval of goods, services or works of poor quality • Change in the orders of unusual services • Dubious invoices • Payment of abnormally high prices • Other	• Establish a contract performance ranking • Intermediaries who are suspected of passive corruption are excluded from future contracts • Sanctions are proportional to the value of the contract • Carry out performance audits in addition to the classic audits • Document suspicions using the judicial authorities or, at least, all other external auditors • Reclaim the misappropriated money from the	• Performance ranking • Black list • Investigation team • Punishments

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			guilty parties and exclude them from all other TE	

Source: The basics of integrity in procurement, a guidebook, DFiD, 2010.

1.6. Tool F: Mapping of the stakeholders

Why this tool?

This tool aims to clarify the priorities of reform at sectoral or sub-sectoral level by helping users identify the main public, private and civil-society organisations that play a major role in terms of demand, administration, monitoring, service provision and responsibility in relation to a body of work considered essential for present and future political outcomes in a sector.

When and by whom can this tool be used?

This tool is useful when drawing up the PIF. It concerns all those who, having entered in E1, E2 or E3, are pursuing strategies 1 or 2. The majority will use it.

Two options are available to the Delegation when rolling out this exercise.

Firstly, this instrument may be formalised through the Sectoral Table under the leadership of the competent sectoral authorities with the support of the sector's DPs. If the Sectoral Table does not exist or does not operate satisfactorily to put in place a recurrent instrument such as this, the Sectoral Group may manage its introduction, especially if the EU is the leader of the DPs within the Group.

Otherwise, the Infrastructure Section of the Delegation, with the assistance of the other sections, can carry out this process. The final or intermediate result must be shared and validated internally by all sections. Other DPs involved in the sector through the Sectoral Group (if one exists) or stakeholders known for their autonomy from the system of patronage/clientelism may share their comments informally.

How to use this tool

This tool consists of a series of three successive instruments: (1) the snapshot view of the stakeholders (identification), or F1; (2) analysis of the relations between the stakeholders (influence flow), or F2, and (3) the matrix of the stakeholders' sectoral interests, or F3.

The first is designed to allow the principal organisations to be identified that have or should have a "major role" in the sector in producing general sectoral effects. The purpose of the

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second is to characterise the relations between two stakeholders. Finally, the aim of the third is to gain a better understanding of the logic of each stakeholders, in the form of a matrix.

Context and details

This tool allows the organisational limits of the sector or sub-sector to be identified when a reform is envisaged. Different categories of organisation are taken into consideration (central agencies, regulatory bodies, political system and civil society organisations representing the voice and demand for services, etc.).

This tool is based on the assumption that sectors must be understood in a holistic and comprehensive manner, as relations within the sector and with external factors are critical to the dynamics of that sector. Consequently, policies often have to adopt a broad view (which must be reflected in specific sub-sectoral policies). However, when it comes to making policies operational in the form of programmes (as is the case for reforms), to ensure that they are manageable, it is often necessary to evolve measures in the form of sub-programmes that can often benefit from clear institutional anchorage.

This tool allows the study of sectoral governance, which overall encompasses the "rules of the game" of the sector: Who decides on the priorities? How are resources distributed? How is authority exercised? Who is accountable to whom, formally or informally? Governance and responsibility are therefore opposite sides of the same coin: those who govern must be able to hold those governed to account. In liberal democracies, elections are supposed to be the ultimate mechanism by which those who govern are responsible to the electorate; in single-party systems, the party leaders are held to be responsible to the members of the party. In a company, a board of directors demands that executives are responsible to it. In informal networks of favouritism, clients are responsible to patrons, but the latter may also be partly responsible to clients.

By focusing solely on the key stakeholders, this tool makes it possible to simplify what is probably a complex web of stakeholders and relationships.

How much might it cost?

This tool was produced internally within the Delegation, based on a monthly press survey and dialogue with contacts at the administration of public works and transport.

If there is a need to outsource it, this must be configured as a half-yearly long-term intervention by an expert in transport policy for a period of one week over three years.

ToR are proposed in the second chapter of this volume to guide the user's approach.

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Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Identify the stakeholders						
Executed internally	Infrastructure Section	Internal	**0**	0	0	Note (max. 10 pages)
Executed externally	Infrastructure Section	External	**30**	30	156	Note (max. 20 pages)

Presentation of tool F

Tool F1: Snapshot view of the stakeholders

The categories of stakeholders to be identified and characterised in the operation of the transport sector are as follows:

Main stakeholders	Resistance to change	Capacity to initiate change
Family elites	Their influence is directly proportional to the size of the rent extracted or the political influence at stake. Certain elites may join forces or, conversely, fight, or sometimes ignore each other (parallel networks). Often for reasons of global power allowing control over other, more important, sources of income.	Certain elites have an interest in the modernisation of the country or the sector because the increase in the base and the economic dynamism allows earnings significantly greater than the status quo. Increases in leverage effects and economies of scale are the best allies of reform. Unfortunately, it is not a question of making the networks disappear, but of modernising them at the same time as the sector. It is therefore more a matter of modernising the method of extracting rents or, ideally, of stopping rent extraction in a given sector (in this case transport) to encourage a greater opportunity for extraction in another sector that needs an effective transport sector to grow sustainably.
MPs	Their influence is limited by the lack of operating budget and cooperation by the executive. In many cases, they have direct or indirect interests in extracting rent from the transport sector (monopoly on a segment of the market or share linked to investments in informal urban transport).	They can modify the legislative and possibly the regulatory framework (if supported by the government and the administration for the adoption of regulatory texts). They are able to exercise control over expenditure, influence sectoral policy and launch parliamentary

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Main stakeholders	Resistance to change	Capacity to initiate change
		inquiries. Beyond their legislative power, they can pass on the demand for governance expressed by voters.
Judges	Recourse to the courts to apply business or administrative law is non-existent. The courts are subject to the executive and are corrupt. Judges have connections with the political power and the elites that handicap the impartial application of the law. The courts lack their own resources, technical competences and administrative capacity.	With greater independence and resources less dependent on the arbitration of the executive, it is their responsibility to ensure the legality of public policies and to penalise illegal practices within the executive.
Political parties	Political parties are largely a vehicle for competition for access to rents within the elite. They are not structured or institutionalised, and do not have regulatory financing arrangements. They are not able to raise the demand for governance and users' concerns about the cost of transport. The rents extracted from the sector fuels competition for access to power.	Structured and institutionalised political parties, less dependent on pressure groups for their financing, must be the forum for negotiating and aggregating society's divergent interests (resolution of impasses in collective action). They can raise the demand for better governance in transport to influence the price paid by users.
Central government (first and second line)	The officials of central government have professional skills and a good understanding of donors' expectations. They are usually co-opted by the political power brokers and also develop their own strategies of corruption by exploiting the weakness of formal rules in informal networks of dependencies, in the context of the impunity conferred by the failure of the legal system. There is a high degree of permeability between high public office and political parties, until administrative operations are politicised.	Central officials are the interface between the reality on the ground and the institutional evaluation models for the management of the transport sector. They are best able to locate realistic institutional leeway for better governance, based on the demand for governance raised by the political parties.
Territorial authorities	Their ability to develop different policies is limited by the powers conferred upon them by the constitution and the limited resources to which they have access, by levy and more usually by transfer. Their legitimacy is often limited by the their links either with the central power or with the regional/local traditional	They represent a potential for the development of different approaches to the management of infrastructures and transport services, particularly around the issue of coordination of transport and compensation for public service obligations.

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Main stakeholders	Resistance to change	Capacity to initiate change
	authorities.	
Public companies	They quickly collapse in the transport sector, particularly in urban and rail transport, because of the lack of regulation of competition between modes of transport or with the informal sector, social tariffs without compensation, and mismanagement of fleets and staff. Public works companies develop similar deficiencies, linked to an excess of supervision.	They do not have the authority to use public money while global governance does not yet have recourse to equitable law and administrative and criminal responsibility for all those in the sector.
Private companies	Transport is the economic activity most accessible to small investors, and therefore in the absence of regulation, to competition and informal activities. Transport activities are the primary outlet for rents extracted by the elite, who use their connections to limit access to the market or segment the market to accentuate oligopolies. In return, the sector helps finance competition between the patronage networks for central or decentralised political power. Road transport allows the rapid accumulation of capital and the gradual rise of the urban taxi to international large-capacity carrier. The large proportion of own-account transport helps disrupt the functioning of competition but is an appropriate response to the informal nature of the business. The development of corporatism (road, dockers, railway) and the maintenance of State monopolies (aviation, ports) affect transport prices. Private public works companies generally lack the qualifications and access to long-term financial resources. Their evolution is hampered by the corruption prevalent in public procurement.	Private companies, placed in a regulated competitive framework based on an effective implementation of business law by the courts, are able to provide transport services under affordable conditions for the demand. The public service obligations and their efficient compensation by the State can extend the routes to reach the non-profitable demand. The same general logic applies to public works companies: regulated competition and independent control tasks for large projects; multiannual maintenance contracts for small businesses, with access to sites of greater complexity following certification by the administration.
Traditional authorities	They have a priori little effect on the transport business.	
Media	Transport is a recurrent preoccupation in the media, both for traffic problems and prices or the useful life of road investments. Freedom of expression	The stories in the media about the difficulties of transport users and the problems of sectoral governance help put pressure on the system of

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Main stakeholders	Resistance to change	Capacity to initiate change
	varies considerably from country to country.	sector management.
	Presumptions of corruption in the sector are frequently reported, usually without being followed up due to systemic failures. The media are faced with a lack of transparency of the systems in place.	
	There is often a degree of self-censorship in the press, even when it has a certain freedom.	
Civil society organisations	Their influence depends on the legal framework in which they evolve, their roots in society, their level of own resources and their ties with donors.	Civil society organisations have a parallel role to that of political parties to raise the demand for better governance in the sector, based on alternative public policies and greater integration in the decision-making and control chain.
	They are virtually absent in the transport sector, mainly due to being locked out and to the opacity of decision-making and control processes. The ability to mobilise militant and financial support is also weakened by the lack of a clear alternative. The only divide exploited is the rural service against the rest of the sector.	
External factors, including donors	Donors in countries dependent on international aid have pushed for chain reforms in the transport sector based on similar models. Their influence on transport policies and the institutional framework is confined to the phases prior to the signing of agreements and to institutional formality.	External stakeholders have the potential to channel demand for better governance in the transport sector, particularly by proposing institutional models to adapt the current collective decision-making capacity.
	The predominance of patronage and clientelism has been restored after the event in most cases. External stakeholders are often unable to create ownership of reforms, except for an accidental conjunction of interests.	This contribution will be all the more sustainable if it extends the existing system or manages the period of transition.
Other		

Tool F2: Analysis of the relations between stakeholders

It is recommended that a first table be completed to characterise the bilateral relations between two given stakeholders (example: MPs/Judges or Judges/Political Parties etc.). This same table could clearly indicate potential alliances for reform or the status quo. A policy in bold or italics could point to a strong or secondary relationship.

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A second table could use colours to indicate stakeholders belonging to the same group (for example the stakeholders following the same alliance or belonging to a network could be coloured orange). An stakeholders may belong to several networks. Another colour could indicate who is a champion, a reformer or a conservative, now or in the future. If necessary, several tables can be completed, if the complexity of the sector's situation and the large number of colours make the initial table difficult to read.

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Principal stakeholders	Family elites	MPs	Judges	Political parties	Central government (1st and 2nd line)	Territorial authorities	Public companies	Private companies	Traditional authorities	Media	Civil society organisations	External stakeholders
Family elites												
MPs												
Judges												
Political parties												
Central government (1st and 2nd line)												
Territorial authorities												
Public companies												
Private companies												
Traditional authorities												
Media												

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Civil society organisations											
External stakeholders, including donors											

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Tool F3: Matrix of stakeholders' sectoral interests

Principal stakeholders	Sectoral objective		Logic and strategy	Expected impact for the sector in the …			Constraints		Own interests	Means of action	Degree of influence
	Formal	Informal		Short term	Medium term	Long term	Short term	Medium term			
Family elites											
MPs											
Judges											
Political parties											
Central government											
Territorial authorities											
Public companies											
Private companies											
Traditional authorities											
Media											
Civil society organisations											
External stakeholders, including donors											

Source: The Political Economy of Policy Reform, report No 44288-GLB, World Bank, 2008.

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1.7. Tool G: Analysis of the political economy of the sector and identification of drivers of change and institutional leeway

Why this tool?

The analysis of the political economy of the sector aims to improve the realism and relevance of the ambitions and interventions of sectoral governance. It sets out to swiftly review the main factors linked to the inter-sectoral context, which are more often dependant on more general politico-economic factors, capable of encouraging and/or curbing capacities. The performance of sectoral organisations and the chances of reform, the reluctance to reform and change on the part of key stakeholders will be discussed.

The identification of drivers of change and institutional leeway is designed to allow the user to focus on ways of strengthening support for change and overcome resistance to it and to develop realistic reforms for the politico-economic context and the positions of stakeholders. This tool aims to guide the choice of stakeholders who can bring about change or reform and those who are against it, but also those who are undecided, who could become allies after a specific strategy. These three groups are not homogeneous, and it is worth knowing whether an ally or enemy of reform is powerful (significant resources or influence) or not.

This makes it possible to better target those stakeholders on whom one can rely, and to know who will be the drivers of change. This approach should also help establish how someone who is powerful and undecided could become an ally, or better still, how a declared enemy of reform could become undecided, or even a potential ally, if things were to change in one direction or another.

The results obtained by analysing the political economy of the sector (evaluation of stakeholders) will feed this tool which consists of two diagrams.

When and by whom can this tool be used?

This tool is useful while implementing the PIF. It will concern all those who, having entered in E1, E2 or E3, are following strategies 1 or 2, i.e. the large majority.

Two options are available to the Delegation for the rollout of this exercise.

Firstly, this tool may be formalised through the Sectoral Table under the leadership of the competent sectoral authorities with the support of the sector's DPs. If the Sectoral Table does not exist or does not operate satisfactorily to put in place a recurrent tool such as this, the Sectoral Group may manage its introduction, especially if the EU is the leader of the DPs within the Group.

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Otherwise, the Infrastructure Section of the Delegation, with the assistance of the other sections, can carry out this process. The final or intermediate result must be shared and validated internally by all sections. Other DPs involved in the sector through the Sectoral Group (if one exists) or stakeholders known for their autonomy from the system of patronage/clientelism may share their comments informally.

How to use this tool

To **evaluate the political economy of the transport sector**, begin by creating two analytical tables:

- The table analysing the institutional and politico-economic context (or tool G1) allows the institutional and economic factors that determine sectoral performance to be identified;

- The table evaluating the stakeholders (or tool G2). This table invites the user to study the possible stakeholders, their interests and their resources. It provides a detailed analysis.

The information required for these tables may be drawn from personal knowledge, key informers and specialised studies. These tools can be used individually or collectively (workshops with or without the involvement of a consultant). They can be used to summarise the results of a thorough analysis or to highlight the need for further analysis.

Tool G1 is a checklist allowing the characteristic economic and institutional factors capable of influencing the chances of success of reform to be evaluated, across all sub-sectors. However, it is important not to limit the discussion: it is possible that factors that do not appear on the checklist should be taken into consideration. This checklist allows a score to be assigned: the higher the average, the greater the chance of the context not favouring sectoral reforms.

Tool G2 is a table consisting of five columns and as many rows as are necessary to deal with all the key stakeholders. These may be organisations (for example the Ministry of Finance, employers' associations), but this level of generalisation is often too limited. The analysis should extend to relevant people/positions or to small groups (for example to "MPs of the majority open to reform" or "influential group within a ministry"). This table proposes several groups of stakeholders that may be relevant to an approach to the transport sector, but these groups are purely indicative and are only mentioned here to encourage a broad discussion of potentially important stakeholders. The map of stakeholders is proposed by tool F.

The method for evaluating each column is as follows:

- The interests at stake. Why are the stakeholders interested in reform? What interests are they pursuing, what objectives are they trying to achieve? It should be noted that most stakeholders are likely to be pursuing several contradictory interests. At the outset, the interests mapped may cover what is globally at stake for the stakeholders within the political area of sectoral reform. Once the objectives of the reform have been specified, the support or opposition of the stakeholders to the change may evolve and require re-evaluation. The analysis of stakeholders' interests may be summarised using a 7 point scale (between -3

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and +3): -3 if the interests (or importance of the issue) are strongly against reform, -2 if the interests (or importance of the issue) are moderately against reform, -1 if the interests (or importance of the issue) are somewhat unfavourable, 0 if the interests (or importance of the issue) are neutral, +1 for an interest (or importance of the issue) that is slightly pro-reform, +2 for an interest (or importance of the issue) moderately pro-reform, and +3 for a strong interest (or importance of the issue) that is pro-reform.

- Importance or weight of the issue. The stakeholders may be interested in the effects of the processes of change and possess considerable resources, but give the issue a higher or lower importance and therefore be more or less preoccupied by the issue of commitment to reform. The purpose of this column is to indicate the importance assigned to the issue by a stakeholder, still using a 7 point scale (between -3 and +3).

- Average score per stakeholder. This score corresponds to the average of the interests, and of the importance assigned to the issue for each stakeholder. Multiplying the scores assigned in each of the other columns gives a figure between +6 (considerable interest and high importance given to reform), 0 (the organisation is not really a stakeholder) and -6 (considerable interest and high importance given to not implementing reform). The score for all stakeholders then gives a rough idea of the general trend (for or against reform) and the likely levels of controversy. For example, high scores both for and against reform would indicate probable high levels of conflict/controversy.

- Resources/power of influence. The resources of influence include formal authority (a first secretary can give orders to his subordinates), formal rights (MPs can vote) and formal access (to a ministry, to the roads department, etc.). The resources also include informal networks, alliances and patron-client relations (around a political party, an ethical group of a "network of alumni"). Knowing who knows whom, why and how, may be vital to understanding the spheres of influence. The power to influence relating to stakeholders can be summarised on a 4-point scale (between 0 and 3): 0 equates to an institution without power or resources, +1 for reduced power, +2 for moderate power and +3 for important or strong power. Stakeholders without resources would effectively not be interested (0) and should therefore not appear in an analysis of the current situation, but they could become important in the future if their influence grew in one way or another.

- Overall balance. An organisation with a first score of -6 and a second of +3 would be strongly against reform and have a strong power to influence. Conversely, an institution with a first score of +6 and a second of +3 would be classified as being a potential ally with a strong influence to push reform forward. The overall balance will be used in tool J (identification of drivers of change).

Two diagrams will then be constructed, fed by tool G2.

The **first diagram (tool G3)** is the segmentation of the institutional landscape or stakeholders of the sector (or sub-sector) into three groups: (i) the supporters, (ii) the undecided, and (iii) those reluctant to reform. Simply insert the result obtained for each stakeholder concerning the interests at stake and the importance of the issue of reform, which must be between -6 and +6:

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- A result between -6 and -2 will indicate an organisation hostile to reform. It is advisable to know whether this hostility could change depending on the content of the reform;

- A result between -2 and +2 will point to an undecided stakeholder. It is necessary to know whether this indecision could change depending on the content of the reform;

- A result between +2 and +6 will concern an institution in favour of reform. In this case, clarify whether this interest could change depending on the content of the reform.

The **second diagram (tool G4)** segments these three groups according to their level of resource or influence (power). Thus, it will be possible to know the genuine drivers of change: who the stakeholders are and how to get their support for the reform. It will also be possible to know whether these drivers are powerful or not, and how, as far as possible, to have them move from one group to another: this is institutional leeway.

For that, the score from the last column of tool G2 should be taken and three segments obtained for each group: (1) the very influential (score between +3 and +2); (2) the moderately influential (score between +2 and +1) and (3) the not influential (score between +1 and 0).

Context and details

These tools highlight the way the capacity of the main sectoral organisations to perform key functions is influenced positively or negatively by general economic and institutional factors at play beyond the confines of the sector and by the interests and power of stakeholders. They are therefore based both on factors (tool G1) and on the different stakeholders (tools G2, G3 and G4). These tools help answer the following questions: Which contextual factors explain the situation of existing capacities? Which contextual factors promote or inhibit change? Who has an interest in the *status quo* and who has an interest in change?

These tools enable the user to map the main factors and stakeholders who will influence the success of any process of change. Without a favourable environment and without the active support and commitment of the principal stakeholders, the reforms will fail. If influential stakeholders are opposed to the reforms, be it actively or passively, they will not work.

Attitudes to change are not fixed. The scheme resulting from the use of this tool is likely to change over time, and it is possible to influence the situation. If the scheme is established as part of a participatory process, it is probable that the participants have different perceptions of the interests of the stakeholders.

This tool enables a dialogue on the inclination for reforms of people who have interests and can make themselves heard or have power in relation to reform. Their goodwill is obviously influenced by the objectives and their scope.

These tools are intended to represent the situation as it is and not as it should be.

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Analysis of the economy and stakeholders is not an exact science. Although most stakeholders have an idea of the economic factors and legitimate reasons to be for or against change, it is possible that the analysis of these issues is challenged and subject to controversy. Analysis of the economy and stakeholders also risks becoming uninteresting and superficial, especially if it is carried out over a short period in a workshop. In a sector, the key stakeholders intervening at a high level often have a tacit, but highly nuanced, analysis of the situation and are likely to find that it is not in their interest to share this analysis with others.

The resources of influence include formal authority (a first secretary can give orders to his subordinates), formal rights (MPs can vote) and formal access (to a ministry, to the ports department, etc.). The resources also include informal networks, alliances and patron-client relations (around a political party, an ethical group of a "network of alumni"). Knowing who knows whom, why and how, may be vital to understanding the logic of influence.

How much might it cost?

This task will preferably be outsourced. It requires a team of at least two consultants combining the profiles of an expert in the analysis of political economy (if possible of transport) and an expert in transport policy. The number of person-days and the duration will depend on the pre-existence of sectoral support from the EU or another donor and the level of economic development of the country (and thus the development of modes of transport and logistics functions).

ToR are proposed in the second chapter of this volume to guide the user in his approach.

Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Analyse the political economy of the sector and modes of transport						
Pre-existence of sectoral support	Infrastructure Section	External	**10**	10	0	Report (max. 50 pages)
Emerging country	Infrastructure Section	External	**30**	30	8	Report (max. 50 pages)
Low-income country	Infrastructure Section	External	**20**	20	0	Report (max. 50 pages)

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Presentation of tool G

Tool G1: Table analysing the political economy of the sector

Area	Question to be evaluated	Yes (score 1)	A little (score 2)	No (score 3)	Consequence for the reform of the sector
Overall context influencing the drafting of sectoral policies / mode	Are sectoral policies (mode) supported by the government?				
	Are sectoral policies (mode) supported by the Parliament?				
	Are sectoral policies (mode) supported by the local elected officials?				
	Are sectoral policies (mode) supported by the Ministry of Finance?				
	Are sectoral policies (mode) supported by the ministry responsible for the sector?				
	Do political parties follow the interests of the sector (mode)?				
	Do sectoral policies (mode) define the strategies of the public institutions of the sector (mode)?				
	Do sectoral policies (mode) direct the work of officials?				
	Does the failure to respect sectoral policies (mode) have political consequences?				
	Are sectoral policies and legislation in the sector (mode) systematically monitored?				
Sectoral resources (mode), mechanisms of budgetary allocation and management of public finances	Is the budgetary process determined by sectoral policies (mode)?				
	Is the budget executed in accordance with the programming?				
	Is routine expenditure adequate (staff and operation)?				
	Is the investment budget adequate in relation to projects				

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	and programmes?				75
	Are a significant number of investments made out of budget?				
	Does the Treasury quickly make funds available for investments, operation and salaries?				
	Are financial transfers transparent?				
Factors influencing organisational capacities	Are there performance incentives (material, financial) in the public sector of the sector (mode)?				
	Are the incentives sufficient?				
	Do the dynamics and competences of staff relate to the sectoral objectives (mode)?				
	Is employment in the public sector characterised by a lack of transparency (favouritism, contractual, etc.)?				
	Does the civil service follow a logic based on performance; is there a culture of performance / innovation?				
	Do the principal institutions (so-called first-line) have sufficient resources and autonomy to complete their missions?				
	Does the management style of these institutions allow staff to concentrate on their main tasks and take initiatives?				
Implementation of monitoring and responsibilities	Are supervisions and audits effective?				
	Are the recommendations of supervisions and audits applied?				
	Do audits certify the quality of the structure, goods or service received?				
	Does Parliament carry out regular and effective monitoring?				

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	Does the Court of Auditors or any other equivalent body carry out regular and effective monitoring?				76
	Is external control effective and does it help promote adjustments in practices?				
	Are the results of external controls transparent and easily accessible?				
	Is civil society involved in managing the sector?				
	Do local elected officials exercise power of control and supervision?				
	Are users (excluding professional drivers, for example) involved in managing the sector (mode)?				
	Are users' associations represented and do they possess genuine powers of control?				
	Do the public stakeholders of the sector (mode) take users' grievances into consideration?				
	Can the professional associations of the sector (shippers, freight agents, taxis, etc.) express their grievances?				
	Are the professional associations of the sector (shippers, freight agents, taxis, etc.) representative, and is there no monopoly or exclusivity?				
Network operation and relations between stakeholders (including DPs)	Is there a process of formal or informal sectoral dialogue for drafting and implementing sectoral policies (modes)?				
	Are the sectoral table and sectoral group effective?				
	Do the public institutions cooperate easily?				
	Do the DPs have a passive role				

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	within the context of the sectoral table (if one exists)?			
	Are those within the public institutions used to working in teams outside their respective institutions?			

Source: Reference document No 6 – Toolkit for Capacity Development, EU, 2010.

Tool G2. Evaluation of stakeholders

Stakeholders	Interests at stake (score from -3 to 3) 1	Importance / weight of the issue (score from -3 to 3) 1	Result (score between -6 and 6) 2	Resources / power of influence (score from 0 to 3) 3
Legislative body				
Government (head of the executive)				
National Authorising Officer (if different from the Ministry of Finance)				
Ministry of Finance				
Ministry responsible for the sector				
High-level institutions (Court of Auditors, Council of State, etc. or equivalent depending on the institutions present)				
Political party 1				
Political party 2, etc.				
Sectoral planning and financing organisation (mode)				
Senior officials in the sector (mode)				
Main bodies 1, 2, etc.				
Secondary bodies 1, 2, etc.				
Regulatory body				

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Judicial system				
Unions / employers				
Professional associations				
Users' associations (excluding professionals)				
Popular movements				
Social movements				
Ethnic or community movements				
Religious movements				
Universities				
Media				
National NGOs				
International NGOs				
Family elites				
Informal economic groups (other than family-based)				
Local elected officials and/or local political leaders				
Funding agencies				
Other				

Source: Reference document No 6 – Toolkit for Capacity Development, EU, 2010.

➢ Score as -3 if vested interests are strongly against reform or the issue is unimportant, -2 if vested interests are moderately against reform or the issue is of moderate importance, -1 if vested interests are somewhat unfavourable or the issue is of slight importance, 0 if vested interests (or importance of the issue) are neutral, +1 if vested interests are slightly pro-reform or the issue is somewhat important, +2 if vested interests are moderately pro-reform or the issue is of moderate importance, and +3 for strong interest in reform or an issue that is great importance.

➢ A score of -6 equates to a stakeholder strongly against reform because of strong interests at stake and which makes it a very important issue, whereas an organisation with +6 will have interests strongly in favour of reform and it is a key issue for it. The results between -6 and -2 (reluctance for reform) should be put in red; the scores between -2 and +2 (undecided) in blue and the scores from +2 to +6 (support for reform) in green.
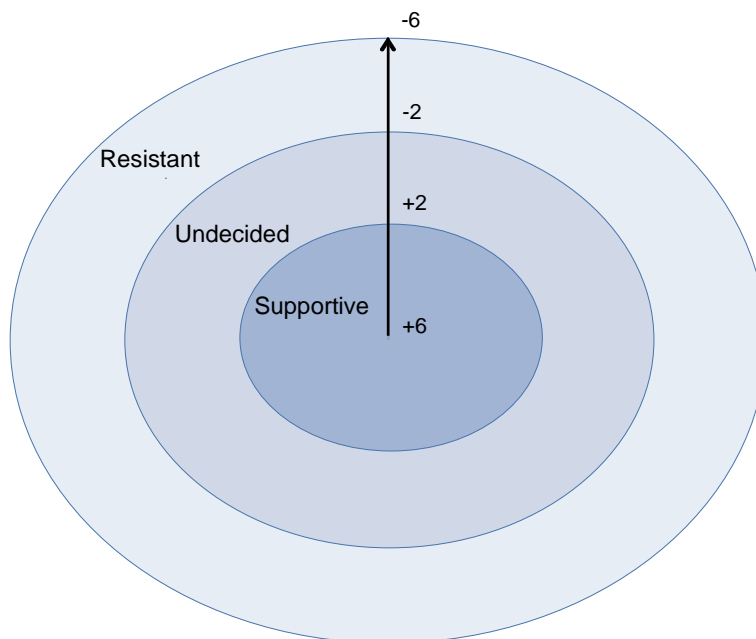
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➢ 0 equates to an institution without power or resources, +1 for a reduced power, +2 for moderate power and +3 for important or strong power. An organisation with a first score of -6 and a second of +3 would be strongly against reform and have strong influence. Conversely, an institution with a first score of +6 and a second of +3 would be classed as being a potential ally, able to push reform forward.
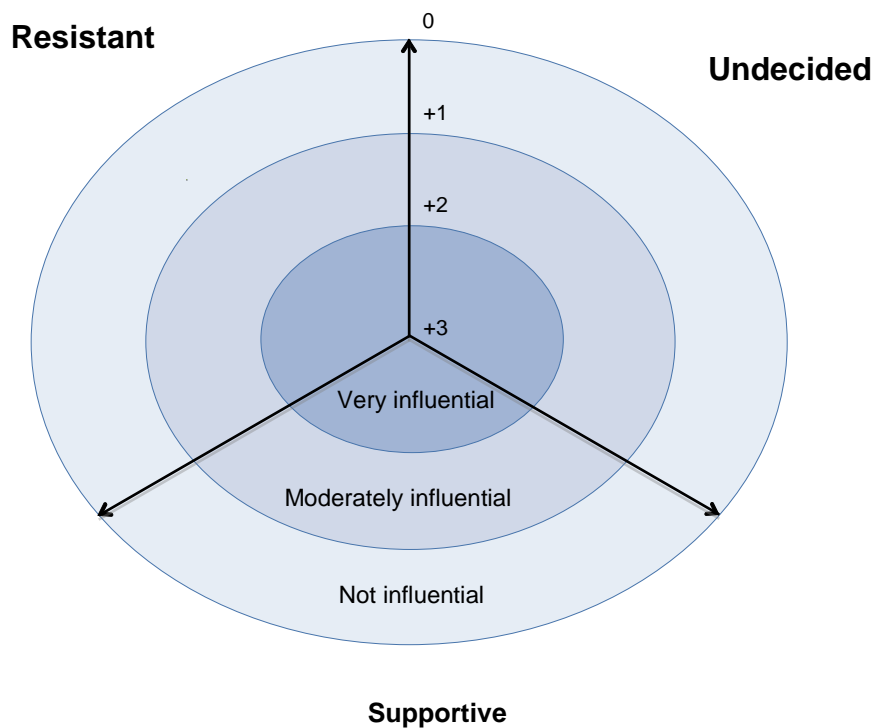
Tool G3: The drivers of change

The results of the findings of the political economy of the sector will be used to establish a targeting of stakeholders to assign them to three distinct segments: (i) those resistant to reform, (ii) those who are undecided, and (iii) those who support reform or are allies.

Inspired by Reference document No 6 – Toolkit for Capacity Development, EU, 2010.

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Tool G4: Institutional leeway

A second segmentation is designed to allow targeting based on the capacity of stakeholders to mobilise resources or their own power to influence. Thus, a large group of "resistants" with little power or influence will only represent a moderate danger to sectoral reform. Conversely, a large group of "supporters" with considerable resources is an excellent signal to initiate ambitious reform. Similarly, it is worth rallying a very influential group of "undecideds" to the cause of reform.

Resistant　　　　　　　　　　　　　　**Undecided**

0

+1

+2

+3

Very influential

Moderately influential

Not influential

Supportive

Source: Reference document No 6 – Toolkit for Capacity Development, EU, 2010.

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1.8. Tool H: Analysis for the EU of the performance of key institutions

Why this tool?

The identification of key institutions (drivers of change) is not an end in itself. The important thing is to continue the analysis during the formulation of the project to understand the degree of performance of these key institutions and thus measure the level of support the project could bring to these key stakeholders once the scope of the reform has been chosen (one of the three strategies).

When and by whom can this tool be used?

This tool will be developed once the Project Identification Fiche (PIF) has been approved and should serve to feed the Action Fiche (AF).

It will concern all those who, having entered in **E1, E2 or E3**, pursue strategy 1.

For entry into **E4**, strategy 1 will also be followed if the local government is a powerful driver in the process of reform and there is proven experience in governance (among the Delegations or teams), particularly in transport, or if there is a wish to begin with a project with relatively modest objectives. In any case, the PIF will be produced quite quickly and almost jointly with the AF, since enough information is available to do so, or if the information is sufficient for the size of the envisaged project.

If a large-scale project is being considered and its chances of success are felt to be good, in the light of the past experience of the Delegation or the will of the government, preference will be given to strategy 1, as a higher qualitative and quantitative level of information will be necessary. In that case, start with this tool. Otherwise, choose strategy 2. This concerns institutional components of modest size (as part of a transport infrastructure project, for example). In this case, omit this tool and proceed directly to the next one (tool I).

The Head of Cooperation should coordinate the drafting of the AF and make sure the various sections are actually involved, especially the governance section (for its governance expertise) and infrastructure section (for its transport expertise). The Infrastructure Section is responsible for producing the tool and the AF.

How to use this tool

Tool H consists of: (1) an analytical grid of the performance of key organisations, and (2) a diagram and targeting of effective and ineffective organisations.

The **first instrument (tool H1)** is designed to evaluate the performance of each key institution via a series of key factors grouped under six axes. Each factor will be evaluated on a score ranging from 0 (poor or zero) to 4 (excellent). As far as possible, it will be determined whether

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there is an improving trend, no change or deterioration in the situation of each key factor. Each axis will be scored according to the average of the scores for each key factor corresponding to it. Thus, an institution will receive seven scores: one for each of the six axes and an indicative overall score.

With the scores from each axis, the user will feed the **second tool (tool H2).** The diagram thus obtained will give a quick idea of the performance of the institution and the location of the institutional imbalances in order to populate the Action Plan.

Context and details

The diagrams will be used to map the institutional development requirements of the key institutions for the reform strategy. Tool H is one of the sources of inspiration for the Action Plan.

How much might it cost?

This tool requires the use of external consultants to carry out surveys among a large number of stakeholders, or a survey within the organisation.

ToR are proposed in the second chapter of this volume to guide the user in his approach.

Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Analysis and targeting of the performance of key institutions for the EU						
Pre-existence of sectoral support	Infrastructure Section	External	**20**	20	2	Report (max. 50 pages)
Emerging country	Infrastructure Section	External	**30**	30	2	Report (max. 50 pages)
Low-income country	Infrastructure Section	External	**10**	10	1	Report (max. 50 pages)

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Presentation of tool H

Tool H1: Analysis of the performance of key organisations

Area/axis	Key factors	Score					Trend			Comments
		0*	1	2	3	4	↓**	→	↑	
Axis 1: Products and services of the organisation	Past and present levels of main accomplishments (nature, quality, quantity, etc.)									
	Past and present satisfaction of users, partners, etc.									
	Past trends of principal deliveries of products									
	Availability and quality of data on accomplishments									
	Availability and quality of data on the satisfaction of users, partners, etc.									
	Importance given to accomplishments by members of staff and managers									
	Relationship between past and current objectives									
	Feeling about the realism of future objectives									
	Average									
Axis 2: Means and resources	Levels of resources entered in the budget									
	Knowledge of the origin of budget resources									
	Levels of resources actually available									
	Predictability									

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Area/axis	Key factors	Score				Trend				Comments
		0*	1	2	3	4	↓**	→	↑	
	(programming) of the availability of resources in time/quantity									
	Degree of flexibility of the allocation of resources (e.g. salaries, operating costs, investments)									
	Balance and fluidity in the availability of resources									
	Practices of internal and external controls									
	Correlation between objectives/targets and the actual availability of resources									
	Situation as regards the offer (staff, supplies, information, capital goods)									
	Average									
Axis 3: Management	Role of management (style, culture)									
	Effectiveness of external management									
	Effectiveness of internal management									
	Effectiveness and practices of delegation of powers									
	Predictability of high-level decisions									
	Practices of internal controls									

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Area/axis	Key factors	Score					Trend			Comments
		0*	1	2	3	4	↓**	→	↑	
	Practices of external controls									
	Effectiveness of managers' internal communication									
	Effectiveness in motivating staff and resolving conflicts									
	Transparency on management issues									
	Transparency on management issues									
	Average									
Axis 4: Management of human resources	Clarity of tasks and objectives									
	Correlation between tasks and individual capacities									
	Provision, by the organisation and managers / team leaders, of means and support to achieve performance									
	System of material remuneration that is equitable, appropriate and undistorted									
	Roles of management instruments (manual of functions, procedures, career plans and salaries, etc.)									
	Credible threat of sanctions for tasks performed poorly or not at all									
	Credible praise and									

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Area/axis	Key factors	Score					Trend			Comments
		0*	1	2	3	4	↓**	→	↑	
	recognition, based on performance									
	Appropriate statuses and career prospects, taking into account merit in an appropriate manner									
	Average									
Axis 5: Functional dimension vs political dimension	Balance between the pursuit of formal objectives and objectives not linked to organisational performance									
	Checks and balances to the use of power within the organisation									
	Balance between importance of personal loyalty and performance of formal tasks									
	Degree of dependence on external power structures									
	Real criteria for hiring, firing, promotion and demotion									
	Relevance of the concentration and/or fragmentation of power within the organisation									
	Average									
Axis 6: Network operation	Scope of contacts and approaches towards important partners and external									

Area/axis	Key factors	Score					Trend			Comments
		0*	1	2	3	4	↓**	→	↑	
	stakeholders									
	Degree of formalisation and stability of networks									
	Adequacy of the degree of centralisation of contacts/access to the network									
	Degree of proactive / reactive use of networks									
	Average									

Source: Reference document No 6 – Toolkit for Capacity Development, EU, 2010.

*0=zero, 1=poor, 2=average, 3=good and 4=excellent.

** ↓= deterioration, →=no change and ↑=improvement.

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Tool H2: Diagram and targeting of effective organisations

INSTITUTION XX						
Axis	1	2	3	4	5	6
Average	3.5	2.6	4	0.5	1.4	1.5
Trend*	-	+	=	=	+	-

* - for deterioration, = for no change and + for improvement

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1.9. Tool I: Evaluation of the reactions of formal or informal organisations

Why this tool?

This tool goes further in the analysis of the profile of the relations between stakeholders initiated during the identification phase. It aims to analyse in detail the relations of sectoral governance and the balance (or imbalance) between the formal and informal relations in the sector in order to anticipate the reaction of the most important stakeholders when faced with change.

It simply involves listing the potential risks to reform and defining corrective actions.

When and by whom can this tool be used?

This tool will be developed once the Project Identification Fiche (PIF) has been approved and should allow the Action Fiche (AF) to be populated. It will concern all those pursuing strategy 1 or 2, irrespective of their entry point.

The Head of Cooperation should coordinate the drafting of the AF and make sure the various sections are actually involved, especially the governance and infrastructure sections. The infrastructure section is responsible for producing the tool and the AF.

How to use this tool

This instrument consists of two analytical grids: (i) one grid concerning relations of sectoral governance (tool I1) and (ii) another concerning the balance between formal and informal organisations (tool I2).

For both grids, questions on key problems should be answered. These are grouped together according to homogeneous parameters (set of mechanisms of governance etc.). The answers should highlight the possible reactions and expectations of the stakeholders faced with a possible Action Plan and will adapt the latter in the light of these two analyses.

Context and details

It is not necessary to launch a new in-depth study of the stakeholders. This tool is populated by the studies carried out during the identification phase. At most, the same consultants who analysed the political economy of the sector and the stakeholders may draft these two grids once the PIF has been approved.

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How much might it cost?

Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Anticipate the reactions according to formal or informal rules of the game						
Pre-existence of sectoral support	Infrastructure Section	External	**10**	10	1	Report (max. 10 pages)
Emerging country	Infrastructure Section	External	**10**	10	1	Report (max. 15 pages)
Low-income country	Infrastructure Section	External	**20**	20	2	Report (max. 30 pages)

In general, it is suggested that consultants be mobilised in two steps: (i) for the drafting of the PIF and (ii) for the AF, within a single contract in order to relieve the Delegation of unnecessary intermediate procedures. Thus, the same people will be able to monitor the entire cycle of identification and formulation.

ToR are proposed in the second chapter of this volume to guide the user's approach.

Presentation of tool I

Tool I1: Analytical grid of relations of sectoral governance

Parameters to be analysed	Key problems	Analysis (mention the stakeholders)
Set of mechanisms of governance	To whom or to what do the principal agents mainly owe loyalty: superior, employer, funding agency, objective of the organisation, external agents (professional association, trade union or political party, for example)?	
	Is formal governance in clearly identified hands?	
	Are the formal mechanisms of governance stronger or weaker than the informal mechanisms?	
	Do the informal mechanisms of governance mostly complement the formal mechanisms or are the two in competition?	
Information relating to governance	Can the sector count on appropriate governance guidelines?	
	Does it benefit from the regular publication of governance guidelines, in good time?	
	Are the governance guidelines freely accessible and	

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Parameters to be analysed	Key problems	Analysis (mention the stakeholders)
	opportunely shared within the organisation?	
Receptivity of the function of governance	Is the stakeholder subject to predictable central decisions or to arbitrary/discretionary orders and control?	
	Are the governance guidelines in line with global formal policies?	
Implementation capacity of governance	Are the available resources and capacities sufficient from the point of view of their quantity, their quality and their response potentia,l to allow the agents to follow the key elements of the governance guidelines?	
	Are resource flows and their management transparent?	
Structure of the function of responsibility	Is the system of responsibility (team leaders, frequency, form and process of accountability) in line with the mechanisms of governance?	
	Do superiors apply sanctions, rewards or other measures with regard to accountability?	
Information relating to responsibility	Is the information linked to the function of responsibility freely accessible and oportunely communicated to the stakeholders concerned, within and outside the public sector?	
	Is this information made available in a timely manner?	
Receptivity of the function of responsibility	Does the function of responsibility satisfy the key governance guidelines, by allowing their observance to be evaluated?	
	Does the function of responsibility take resources, processes and results into consideration in a timely manner?	
Implementation capacity of responsibility	Are the available resources and capacities sufficient to comply with the obligations of responsibility?	
	Are the resources and capacities dedicated to the exercise of responsibility appropriate in proportion to all the available resources?	

Source: Reference document No 6 – Toolkit for Capacity Development, EU, 2010.

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Tool I2: Analytical grid of the balance between formal and informal organisations

Parameter to be analysed	Key problems	Analysis (mention the stakeholders)
Balance between formal and informal organisations	Is there a broad consensus on the objectives?	
	Is the work actually carried out in accordance with official structures, or are these systematically circumvented to "get things moving"?	
	What is the balance between formal and informal channels of communication?	
	What type of network forms the basis for communication and informal exchanges?	
	What are the implicit and informal rewards and what is their weight in relation to formal rewards?	
	What balance is there between the formal and informal characters of actual management and the management functions?	
	For what purpose are the formal systems (budget, information technologies, planning, control) effectively used?	
	Are the formal systems dysfunctional? If so, how?	

Source: Reference document No 6 – Toolkit for Capacity Development, EU, 2010.

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1.10. Tool J: Define the monitoring indicators and the logical design framework of the Action Plan

Why this tool?

The indicators must highlight governance by drawing attention to the critical factors that are evidence of good or poor performance. They can help highlight and assess the quality of governance in the transport sector. In this way, they will allow greater transparency and will be the starting point for greater responsibility.

The indicator monitoring diagram (J2) will allow their evolution over time to be monitored globally.

Finally, the logical design framework of the Action Plan (J3) summarises the envisaged actions and, by incorporating the indicators, helps draw up the future logical framework of the AF.

When and by whom can this tool be used?

This tool will be developed once the Project Identification Fiche (PIF) has been approved and should allow the Action Fiche (AF) to be completed. It concerns all those who, irrespective of their entry point, are pursuing strategy 1 or 2.

The Head of Cooperation should coordinate the drafting of the AF and make sure the various sections are actually involved. The Infrastructure Section is responsible for producing the tool and the AF.

It must allow the next tool to be developed: the monitoring fiches for actions and indicators (tool K).

How to use this tool

This tool consists of (i) a grid for producing indicators of the Action Plan (tool J1), (ii) an indicator monitoring diagram (tool J2), and (iii) a logical design framework of the Action Plan (tool J3).

The **first tool (J1)** proposes a set of 10 indicators chosen from a list of almost 200 and allocated according to their level of governance and the framework of governance. Their level of advancement or initial state must be established by means of a score from 1 (for a very bad situation) to 4 (for an excellent situation). The user will then identify the institutions that will be responsible for their production and those that must use them. Finally, each indicator must correspond to a set of activities that together will constitute the Action Plan. In this document, a series of actions is suggested that normally allow the situation to be rectified. They are not exhaustive and all will depend on the local sectoral problem.

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The **second instrument** (J2) is a diagram that summarises table J1 to allow the evolution of the indicators to be monitored globally, as well as the path to be taken to proceed from the current situation to that which will be improved after the reform.

Finally, the **third tool** (J3) is a synthesis of the key information of the Action Plan which, once identified, will make it easier to draft the AF and its logical framework. This should mention the key aspects of the design of the Plan: sectoral impacts, sectoral results, sectoral capacities, the chosen objective indicators, the means of verification and targeting risks, etc.

Context and details

For the indicators to be useful, they should meet a certain number of criteria. Complex or composite indicators should be avoided, and the emphasis should be on more specific indicators that cover a wide range of the governance issues targeted. Their analysis should contribute indirectly to the taking of appropriate corrective measures.

The indicators must be transparent, available, specific and accompanied by practical arrangements. The proposed indicators are inspired by the latest document of the SSATP[4] on the subject, published in January 2013. These 10 indicators were drawn up on the basis of criteria from which a large number of indicators have been evaluated, namely: Applicability, Credibility, Relevance, Incontestability, Comprehensiveness, Availability, Reliability and Sensitivity to Change. Besides these eight criteria, the proposed indicators were also evaluated on the basis of the equilibrium of quantity/quality, perception/reality and advance/delay.

If these ten indicators are not satisfactory, it is possible to select others that are closer to the local sectoral problem. More than 200 have been listed!

The indicators of governance were also chosen to reflect the level of governance and the framework of governance within which they evolve and overlap. The interest of the approach based on a framework and level of governance lies in the fact that each element of the framework is linked to the others. Poor performance, or improvements, in one particular area (establishment of priorities, for example) will have repercussions for another (budgetary allocation, for example); and this works both ways: good budgetary discipline may be undermined by poor programme design etc. The level of governance will indicate the scope of the indicator (and actions) in their immediate environment.

The indicators may be applied in various transport sub-sectors, or in the entire sector, or indeed at institutional level. This allows analyses to be carried out at sectoral or sub-sectoral level and comparisons to be made between countries and between regions.

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[4] *Indicators of governance in the transport sector in Sub-Saharan Africa, Working document No 95 SSATP, January 2013.*

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How much might it cost?

Options	Manager	Execution	Budget €k	Mission person-days	Duration in weeks	Deliverable
Indicators of sectoral governance						
Pre-existence of sectoral support	Infrastructure Section	External	**15**	15	0	Report (max. 30 pages)
Emerging country	Infrastructure Section	External	**20**	20	0	Report (max. 30 pages)
Low-income country	Infrastructure Section	External	**10**	10	0	Report (max. 30 pages)

It is not necessary to launch a new in-depth study of the stakeholders. The information derives from the studies carried out during the identification phase. At most, the same consultants who analysed the political economy of the sector and the stakeholders may draft these two grids once the PIF has been approved.

In general, it is recommended that the consultants be mobilised in two steps: (i) for the drafting of the PIF and (ii) for the AF, within a single contract in order to relieve the Delegation of unnecessary intermediate procedures. Thus, the same people will be able to monitor the entire cycle of identification and formulation.

ToR are proposed in the second chapter of this volume to guide the user's approach.

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Presentation of tool J

Tool J1: Grid for producing indicators of the Action Plan

Level of governance / Framework of governance / Indicators	Score				Where to find them	Who will use them?	Possible actions for the Action Plan
	1 (very poor)	2 (poor)	3 (good)	4 (very good)			
Macro-governance							
Institutional and strategic framework							
1. Clarity and definition in the **missions of responsibility** of the principal ministries, departments and bodies of the transport sector	Missions and responsibilities are not defined and not clear	Missions and responsibilities are defined but there are significant overlaps	Missions and responsibilities are defined but there are some overlaps	Missions and responsibilities are defined and there are no overlaps	To be defined according to the local situation	To be defined according to the local situation	• Create (or improve the existing one) a legal framework, regulations and procedures that are sufficient • Improve sectoral programming at the level of the Ministry of Transport to strengthen the supervision of the sector • Develop clear indicators of responsibility to reduce external influences

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							• Introduce programming methods taken from the private sector to define the missions and responsibilities of allOther
2. Consistency of policy of the transport sector and **establishment of priorities** based on objective criteria	No sectoral policy, or sectoral policy exists, but does not define the needs of the sub-sectors	Sectoral policy exists and some needs of some sub-sectors are identified, but without being linked to the macro-economic context	Sectoral policy exists and the needs of all sub-sectors are identified, but the priorities are not objectively established	Sectoral policy exists and the needs of all sub-sectors are identified and the priorities are objectively established	To be defined according to the local situation	To be defined according to the local situation	• Strengthen the capacities, of the Ministry of Transport in particular, to develop integrated sectoral plans that will be used to justify the allocation of resources • Strengthen or improve the capacities of the Ministry of Transport to establish a medium-term expenditure framework based on a better analysis of the macro-economic data • Introduce sectoral coordination, systematise the prioritisation and justification of investments, adopt a

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							logical approach to problems, distribute the sector's resources to the sub-sectors in accordance with the annual programmes and budgets • Other
Meso-governance							
Framework for the allocation of resources							
3. **Budgetary allocations** based on reliable financial forecasts and corresponding to defined priorities	Difference of more than 50% between the maximum costs established in the sector and the current budgetary allocations (in value) or the budgetary allocations to the first 5 priorities (in value) are so different from the sectoral priorities (sectoral policy) that any comparison is impossible	Difference of less than 50% or the budgetary allocations to the 5 priority projects (in value) are significantly different from the priorities of the sector (>50%)	Difference <20% and the budgetary allocations to the 5 priority projects (in value) are not significantly different from the priorities of the sector (<50%)	The allocations correspond to the normal costs (<10% difference) and there is a slight difference between the priority projects and those defined in the Sectoral Plan (<20%)	To be defined according to the local situation	To be defined according to the local situation	• Promote a medium-term expenditure framework that provides for Objectively Verifiable Indicators (OVIs) • Introduce fiscal programming models • Improve monitoring capacity • Other
Micro-governance							

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Framework of sectoral development							
4. Quality and use of performance and resource optimisation indicators when **designing programmes**	No performance or resource optimisation indicators, or some indicators exist but without defining a measurable impact (target)	The (performance and resource) indicators exist and are measurable, but not monitored or documented, or the performance indicators do not include a resource optimisation indicator	Fewer than 50% of (performance and resource) indicators are monitored and documented	More than 50% of (performance and resource) indicators are monitored and documented	To be defined according to the local situation	To be defined according to the local situation	• Strengthen the capacities of the stakeholders of the sector and sub-sectors to produce their respective performance indicators • Identify the resource optimisation indicators and promote a broad consensus on their selection and use • Systematise and institutionalise the collection of qualitative data within key organisations • Integrate the data into the IT systems of financial management • Promote the indicators among organisations whose reporting is deficient, to obtain the widest possible coverage of the sector

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5. Communication to the general public through appropriate means **of key information on procurement** (national procurement plans, national commission for public procurement, calls for tenders, awards, data on the settlement of procurement-related disputes, etc.)	There is no key information readily accessible by the general public about procurement or this information is not systematically and widely disseminated and not readily accessible	At least two of the main elements of information about contracts are widely available and disseminated for half the contracts (in value) and these elements are made available to the public through appropriate means	At least three of the main elements of information concerning contracts are widely available and disseminated for 75% of contracts (in value) and these elements are made available to the public at the right time and through appropriate means	All the key information is available for at least 90% of contracts (in value) and these elements are made available to the public at the right time and through appropriate means	To be defined according to the local situation	To be defined according to the local situation	• Separate purchasing functions from operational functions • Systematise external audits • Promote key performance indicators on the markets • Promote internal exercises within government of the PEFA type, certified by external, independent auditors • Improve access to information • Use the local authorities to disseminate information at local level • Use the media (newspapers etc.) for wider dissemination
6. Disclosure to the general public, at an accessible time and in an accessible way, of detailed	The information provided is not sufficiently detailed to allow analysis, or variations in prices	The information provided is not sufficiently detailed to allow analysis, or variations in prices	The information is provided, but that concerning variations in prices and expenditure is	The information is provided in a sufficient level of detail and that concerning	To be defined according to the local	To be defined according to the local	• Link awards to the ability of the entrepreneur to carry out the work or services, check the

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reports (duration and cost) on **the status of the main contracts** (10 main ones) awarded in the transport sector (communication)	and expenditure are not disclosed	and expenditure are partially disclosed or in an unusual format	incomplete	variations in prices and expenditure follows a comparable level of precision	situation	situation	background of companies invited to participate in the TE • Improve the programming and quality of projects • Use efficient and integrated computer systems • In the long term, strengthen the "pool" of eligible companies by increasing the number of eligible bidders for TE. In time, increasing the base of potential bidders will allow better competition • Other
7. Establishment by the authority responsible for issues relating to transport of a system of reference for the routine and periodic maintenance of structures and corresponding	System of reference not formalised or no obvious links between the system of reference and the budgetary allocations	System of reference exists but routine and periodic maintenance is not a priority (fewer than 50% of needs are covered)	System of reference exists and routine and periodic maintenance seems to be a priority (more than 50% of needs are covered)	System of reference exists and routine and periodic maintenance seems to be a priority (more than 80% of needs are covered)	To be defined according to the local situation	To be defined according to the local situation	• Define standards for the cost and programming of maintenance work to document a system of reference • Populate a database on the road network and its condition • Produce a specific system of reference

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budgetary allocation (**viability**)						for routine and periodic maintenance depending on the type of network (primary, secondary, etc.) • Finance periodic surveys of the network • Strengthen the accuracy of budgetary forecasts and of the accompanying fiscal or extra-fiscal revenue • Provide technical assistance to (genuine) second-generation road maintenance funds for budgetary estimates (estimation of fuel consumption, own revenue, etc.) • Strengthen budgetary discipline to prevent the funds from being mixed with other types of expenditure

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							• Systematically separate investment expenditure from operating expenditure • Other
8. Transparency and timely disclosure of the annual budget and expenditure for the year (**dissemination of information**)	The budgetary information is not sufficiently detailed to allow analysis, or that relating to expenditure is not disclosed	The budgetary information is not sufficiently detailed to allow analysis and that relating to expenditure is incomplete or in an unusual format	The budgetary information is sufficiently detailed to allow analysis but that relating to expenditure is incomplete or in an unusual format	The budgetary information is sufficiently detailed to allow analysis and that relating to expenditure is equally detailed	To be defined according to the local situation	To be defined according to the local situation	• Draft the Finance Law, which identifies the key stages of consultation during the preparation of the budget • Encourage the publication of technical and financial results in popular public places (street markets, religious buildings, etc.) • Speed up the introduction, integration and dialogue of the IT financial management modules within the accounting monitoring and public expenditure management system

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							(IFMIS) • Promote the publication of accounting and financial results of entities using own resources • Other
Framework of responsibility							
9. Definition of membership rules and the process of nomination to the main governance bodies of the sector (**external control**)	Representatives of the private sector, users (excluding professionals), local elected officials or civil society are in the minority and co-opted or appointed by the administration or the political power in place	Representatives of the private sector, users (excluding professionals), local elected officials or civil society are in the majority, but are co-opted or appointed by the administration or the political power in place	Representatives of the private sector, users (excluding professionals), local elected officials or civil society are in the majority and selected according to an open but non-transparent procedure	Representatives of the private sector, users (excluding professionals), local elected officials or civil society are in the majority and selected according to a procedure that is open, transparent and in accordance with competence criteria	To be defined according to the local situation	To be defined according to the local situation	• Amend the legislation governing incriminated institutions • Define a standardised code of best practice or conduct for SSA or its sub-regions • Other
10. Recommendation percentage of technical, financial and independent	Neither recommendations nor the details of their follow-up are published	Financial and technical audits are published, but the details of their follow-up remain	Financial and technical audits are published, but the details of their follow-up remain	Financial and technical audits are published, all the information is available in detail	To be defined according to the local situation	To be defined according to the local situation	• Strengthen the analysis and systematic publication of audit and assessment reports by the

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| audit reports implemented during the year (**responsibility**) | | unknown, or fewer than 50% of recommendations are implemented | incomplete; or between 50% and 75% of recommendations are implemented | and more than 75% of recommendations are implemented | | | external supervisory authority (Court of Auditors etc.) or the regulatory authority of the sub-sector or equivalent

• Promote the interest and involvement of civil society organisations in analysing the results, as a second external control

• Other |

Source: Transport governance indicators for Sub-Saharan Africa, SSATP, 2013.

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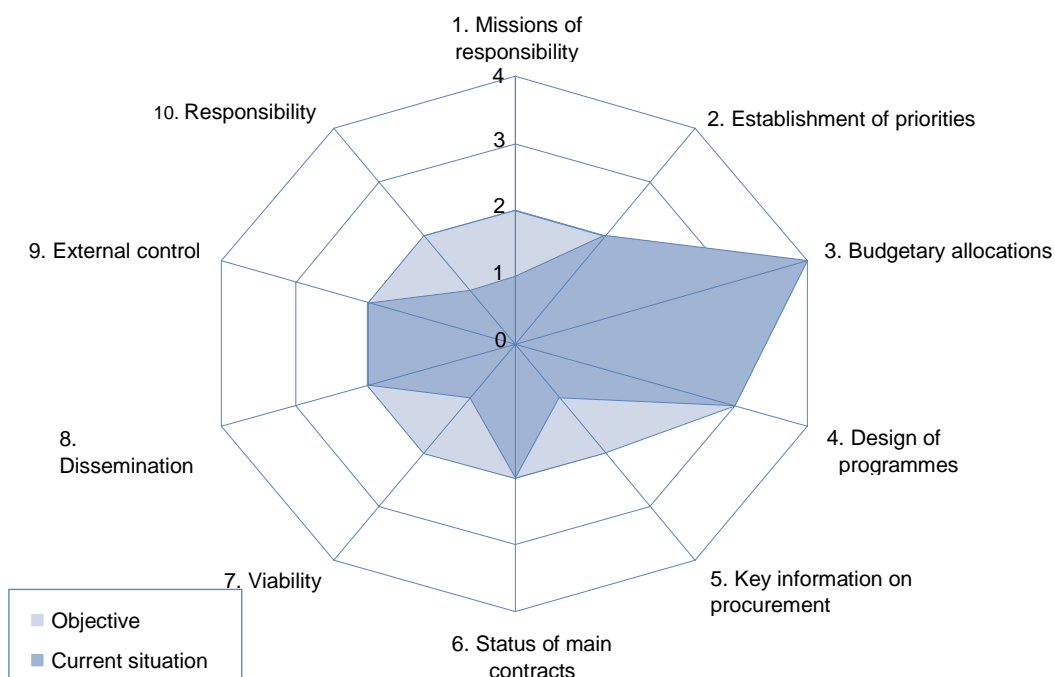Volume 2 – Toolbox

Tool J2: Diagram for monitoring indicators of the Action Plan

Here is an example of the use of this tool:

Indicators	Current situation	Objective
Missions of responsibility	1	2
Establishment of priorities	2	2
Budgetary allocations	4	4
Design of programmes	3	3
Key information on procurement	1	2
Status of main contracts	2	2
Viability	1	2
Dissemination of information	2	2
External control	2	2
Responsibility	1	2

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Tool J3: The logical design framework of the Action Plan

Level of intervention	Objectives/indicators/means of verification	Hypothesis/risks
• **Sectoral impact**		
• **Sectoral result**		
• **Sectoral achievements / results of the reform**		
• **Sectoral capacities / post-reform capacity building**		
• **Activities of the Action Plan**	• **Inputs and Means**	

Tool J3: The logical design framework of the Action Plan

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1.11. Tool K: Monitoring of actions and indicators

Why this tool?

The aim of this tool is to enable the monitoring of the progress of reform and hence the monitoring of the Action Plan. Summary sheets will therefore be available that must be updated regularly.

When and by whom can this tool be used?

This tool is to be used in the implementation phase of the Action Plan, once the Action Fiche has been approved and the financing agreement has been signed. It will enable the progress made by the Action Plan to be monitored.

It will concern all those who have followed strategies 1 or 2. It is the perfect tool for monitoring the services of the Contracting Authority, namely those of the National Authorising Officer (NAO): COFED, CAON, BON, etc.

Within the EUD, the Infrastructure Section is responsible for managing the Action Plan and therefore for the fiches, jointly with the managers of programmes on infrastructure and modernisation of the state (among others) depending on the project for the NAO. Ideally, it will be possible to create a monitoring committee within the Delegation because of the characteristics of an institutional reform plan.

How to use this tool

The tool is relatively easy to use, and is based on common sense. A sheet will be completed for each indicator. The current level noted for the indicator in question will be indicated, along with the level defined in the objectives. The evaluations and choices must be justified for each one.

After a brief identity sheet (country, period concerned, etc.) the links with the tools of the different phases of the Action Plan cycle will be specified.

The various stakeholders and their current roles will be listed, indicating any notable changes that have occurred as a result of the project: new relationships created, defeats, conflicts, etc.

Finally, the actions of the plan that correspond to this indicator and their level of execution (in preparation, in progress or closed) will be detailed.

Context and details

Externally, the tool is intended as a means of reporting to a steering committee and/or the transport (or governance or public finance management) sector group. In this case, the EU is the leader in external support for reform between the DPs.

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How much might it cost?

It is not planned to use consultants.

Presentation of tool K

INDICATOR 1	CLARITY AND DISTINCTION IN THE RESPONSIBILITIES OF THE PRINCIPAL MINISTRIES, DEPARTMENTS AND BODIES OF THE TRANSPORT SECTOR
CURRENT LEVEL	1
Justification of current level:	
OBJECTIVE in (X years)	2
Justification of the objective:	
1. Country	Mali
2. Period	2014/2015
3. Area of application	Ministries of Transport, of Planning, of the Interior, agencies A and B, etc
4. Sub-sector	All sub-sectors, rail, road, etc.
5. Sources of data	Legislation, sectoral policy, etc.
6. Analysis tools	Tool A, C, E, etc.
SITUATION OF STAKEHOLDERS	
Stakeholders	**Current role**
Ministry of	Responsible for the entire sector etc.

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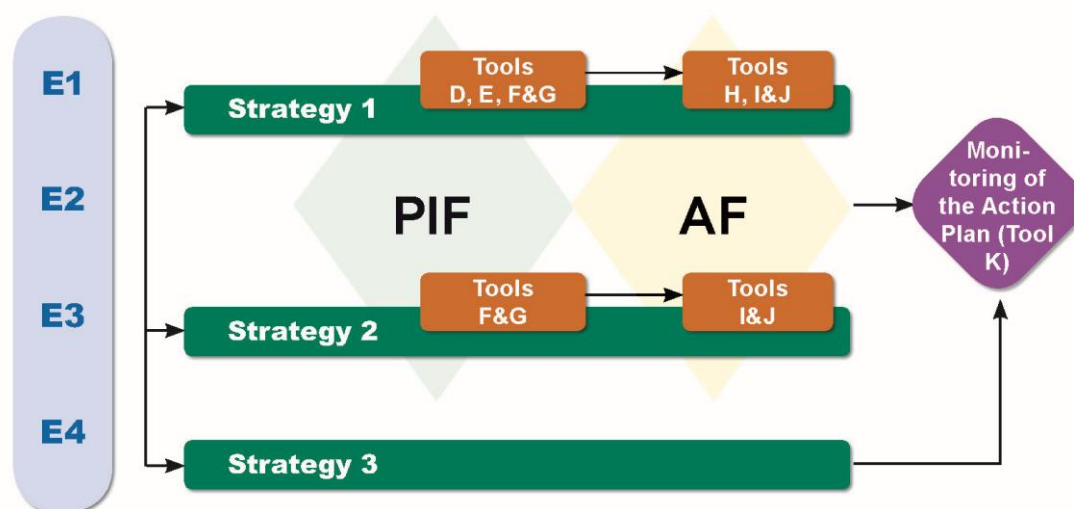Volume 2 – Toolbox

Transport	
Road Agency	
Etc.	

ACTION PLAN				
Actions	**Comments**	**In preparation**	**In progress**	**Closed**
1. Improve sectoral programming at the level of the Ministry of Transport to strengthen the supervision of the sector			X	
2. Etc.		X		

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2. Standard terms of reference

This annex aims to assist users of this document who are helping draft ToR for the studies required to develop the various tools. They are only relevant to the hiring of external consultants and not to research carried out internally.

The proposed ToR are meant to be adaptable for each stage of the set of tools (for all strategies). At no point does this annex present final ToR or a series of ToR for each tool (which would be pointless). The user in a Delegation is free to amend them according to the local context encountered, their experience, etc.

It is possible to carry out the studies in separate blocks, for example under several framework contracts and therefore with separate ToR, based on this model and distinct teams of consultants. It is also possible to establish successive blocks: a single framework contract, but with specific tranches to retain continuity within the team, if the budget does not reach the limit fixed by the framework contracts.

Several options are available between the two. It is up to the Delegation, depending on the means and preferences of the team responsible. However, the authors of this document recommend a stage-by-stage approach depending on the project cycle: (1) programming and/or definition of the strategy (for entry into E1 and E2), (2) studies to help with the formulation of the PIF, and (3) studies to help with the formulation of the Action Fiche and with monitoring the actions.

Finally, these ToR do not deal with tasks involved in the usual design of a project or a community support programme for governance in the transport sector (drafting of the PIF and the Action Fiche, including ATPs), although these tasks could easily be included, if necessary. In this case, the same team of consultants would produce the tools and documents required by the cycle of projects of the EU. This would give more consistency to the content of the project and deliver certain economies of scale.

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Chapter 1 of the ToR: Study context

All participants in the process must have an idea of the events and situations that have led to the formulation of the ToR. The first chapter of the ToR can **briefly** address the following issues:

- Main reasons why the study is necessary;

- Brief general information on the sector, the key organisations and stakeholders. Where applicable, recent studies can also be mentioned;

- Brief description of the overall process;

- Justification of the selection of key organisations. The chosen organisations must be essential to the supply of services/products that the established action plan aims to offer. If the range of organisations can be modified as the evaluation process progresses, this should be specified;

- Brief description of the key stakeholders;

- Role of the National Authorising Officer and his/her teams;

- Brief description of the process behind the ToR: who took the initiative? Who drafted the ToR? Based on what consultations and/or joint dialogue and works? Who approved and endorsed them? Who will finance the process?

Chapter 2 of the ToR: General organisation of the study

Poorly defined roles can too easily impair the effectiveness of responsibility, governance and the transparency of the process. Very often, the ToR do not clearly specify who is the contracting authority or the responsible authority and therefore do not identify to whom the team responsible for its implementation should refer.

Chapter 3 of the ToR: Objectives of the study

What actions will follow from the results of the study? The objectives describe what those responsible intend doing. How will those responsible use the results of the process? For what strategic decisions and for what tactical/operational decisions will that serve as a basis?

Do not confuse objectives with activities. Precise, uncomplicated objectives should be chosen.

To simplify, it is worth setting a general objective and a specific objective for each tool, taking the expected objective for each tool from the tool sheets of this document. If the PIF and the Action Fiche require drafting, this must be specified at this level, with a specific objective for each document, for example.

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Chapter 4 of the ToR: The anticipated results of the study

This section describes the specific results to be obtained by those implementing the study. These results are necessary but generally insufficient in themselves to achieve the objectives. All too often it is felt, for example, that the result would simply be a report with the tools.

Often, however, several other intermediate actions must be taken into account and detailed, namely:

- Workshops with the stakeholders,

- Launch and feedback meetings in situ and/or in Brussels,

- Coordination meetings with the contracting authority and the prime contractor,

- Intermediate report,

- A final report (indicating maximum length and, where appropriate, annexes) with a distribution list,

- Digital versions of the final reports and annexes, also with distribution lists.

If the PIF and the Action Fiche are integral components of the study objectives, this should be specified, adding the intermediate results envisaged.

In all cases, the degree of confidentiality of the study (or part of it only) must be defined, particularly during the programming and definition phases of the strategy.

Chapter 5 of the ToR: Content and scope of the study

This section of the ToR presents the information that will be collected on the basis of the tools concerned. In the toolbox of chapter 5, the user will find sheets for each tool from where they can take the information required to draft this chapter.

At this level, it is worth describing what information is to be collected for each tool. For each tool, this chapter will explain how to process this information.

The tools presented in this document (or as amended by the Delegation) will be annexed to the ToR.

Chapter 6 of the ToR: Methodology and approach of the study

The methodology and approach section will explain how the study proposes (i) engaging with stakeholders and other actors, (ii) collecting data and the sources to be used and (iii) to subdivide the process into an activity programme.

Essentially, this chapter should describe the degree of participation envisaged in the process and the roles of the stakeholders. Do not omit possible institutional points of conflict that might exist.

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For the process to have a chance of success, contracting authorities and prime contractors of the study will obviously have to devote time to it.

The people and bodies concerned must be described precisely. This can be carried out in the field and in the consultant's home office. The amount of time represented by interviews should be specified (avoid too many interviews or overly long meetings), etc.

The methods and tools for collecting data must be broadly outlined, in particular: literature search (indicate the list of available documents), Internet (list of available sites), type and number of surveys, working meetings, SWOT-type workshops (or other participatory approaches, if required), individual or group interviews, etc.

Provide an organisational chart showing the proposed activity programme and the expected deliverables (reports etc.). The programme should show the documentary phases in situ or with the consultants (if necessary), the drafting phases (in situ or not), etc. Define the main stages of the studies (programming, identification, formulation, for example).

Chapter 7 of the ToR: Roles and responsibilities in the study

This section describes the framework for the management and execution of the study by providing the implementation team with a clear operational framework and by specifying the main tasks to be carried out by others.

This may involve defining the following tasks:

The relations between the team of consultants and the contracting authorities and prime contractors (including the means of communication between the parties),

Who will be responsible for providing the team with documentation,

Team management roles,

To whom the team should refer for particularly important matters, and how,

How and by whom meetings with the team will be managed and by whom; how participatory events will be organised;

Whether logistical support will be provided for the team, and how.

An interview schedule should be drafted at the start of the field mission and be updated during the mission.

Chapter 8 of the ToR: Profiles and qualifications of the consultants

The content of this section depends on the objective and scope of the study. It describes the required qualifications for the team, which may consist of one or more people (see the tool sheets in chapter 5).

The detailed description of the team should specify the number of team members, their positions (team leader, transport economist etc.) and the qualifications and experience, etc required.

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For each tool, the profiles of the consultants are described as part of the tool. Depending on the number of tools involved and their sequence during the study, it will therefore simply be a matter of adding together the profiles (transport engineer, transport economist, governance expert, etc.), nothing more. Given the complexity of the subject (which requires a certain level of knowledge), it is not recommended that junior experts be used. Preference should be given to senior profiles.

Chapter 9 of the ToR: Duration and timetable of the study

This section indicates the time (in working days) devoted to each study stage.

The programme should allow sufficient time for the following activities:

(i) **Preparation of the mission:** mobilisation of team members, familiarisation with documents, etc.,

(ii) **Field and/or office:** time needed to achieve the results and objective of the study, distribute deliverables, field visits etc.,

(iii) **Reporting:** final dates for the draft and final reports, lists of all recipients for each report and procedures for processing comments.

It is worth checking the availability of both individuals and documents that are important to the study.

In the same way as for the previous chapter, reference should be made to the estimate made for each tool in chapter 5, depending on the profile of the country. The number of working days can be reduced depending on the number of tools required.

Finally, the **provisional budget** may be obtained by adding together the estimated budgets for each tool. As for the number of days, it is possible to envisage economies of scale depending on the volume of tools to be produced, the method of programming activities, etc.