

## APPENDIX I

### DECENTRALISATION CHECKLIST

*Source: Robinson, R. (1998). Interview Guidelines. Produced for the Road Planning, Funding and Funds Allocation Study. Crowthorne: Transport Research Laboratory*

| <b>External (socio-political, contextual or environmental) factors affecting institutional competence</b>   |  |
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| <p><b><i>Legal and regulatory</i></b></p> <ul style="list-style-type: none"> <li>• Is there a Roads Act which defines clearly the role and responsibility of the road administration?</li> <li>• Which organisations are responsible for different classes of road (including tracks, trails and paths)?</li> <li>• Are the legal powers adequate and, generally, are they understood by the road administration?</li> <li>• What is the influence of government or civil service procedures on operations of the road administration?</li> <li>• Is the road administration subject to external monitoring and audit?</li> </ul>   |  |
| <p><b><i>Decentralisation</i></b></p> <ul style="list-style-type: none"> <li>• Type of decentralised organisation (deconcentrated, delegated, devolved, top-down or bottom-up principal agency)?</li> <li>• What are the reasons for decentralisation (political, administrative, efficiency, etc)?</li> <li>• Which classes of roads are managed under decentralised arrangements (including tracks, trails and paths)?</li> <li>• Which types of works are managed (construction, maintenance, administration)?</li> <li>• What are funding arrangements (national or local budget subvention, road fund, etc)?</li> <li>• Is road administration decentralised in the same way and to the same extent as other types of government administration?</li> <li>• What is the degree of decentralisation measured in terms of the percentage of local government (financial) contribution towards road works?</li> </ul> |  |
| <p><b><i>Socio-cultural</i></b></p> <ul style="list-style-type: none"> <li>• Are there historical, social or cultural factors which affect the road administration's operations?</li> <li>• Is there a recognisable management culture in the country?</li> <li>• Are decisions in government independent of the influence of nepotism, favouritism, or corruption?</li> </ul>  |  |

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| <b>External (socio-political, contextual or environmental) factors affecting institutional competence</b>   |  |
|---|--|
| <p><b><i>Political</i></b></p> <ul style="list-style-type: none"> <li>• What priority is given to road management compared with other sectors, and with other activities in the road sub-sector?</li> <li>• To what extent are road administration staff political appointees?</li> <li>• To what extent are decisions made influenced by political factors?</li> </ul>   |  |
| <p><b><i>Economics and resources</i></b></p> <ul style="list-style-type: none"> <li>• To what extent is the economy governed by market forces, and to what extent is it planned or controlled centrally?</li> <li>• What impact does the general economy have on the ability to manage the road effectively?</li> <li>• Is a budget awarded, is it adequate, and can it be relied upon?</li> <li>• Are operations independent of foreign exchange constraints?</li> </ul>   |  |
| <p><b><i>Overall employment policies</i></b></p> <ul style="list-style-type: none"> <li>• Are there sufficient personnel available at all levels?</li> <li>• Are they adequately educated?</li> </ul>   |  |
| <p><b><i>Private sector</i></b></p> <ul style="list-style-type: none"> <li>• What is the government policy towards private sector, and how is this implemented in practice?</li> <li>• What is the availability of domestic project financing?</li> <li>• What is the availability of international/donor project financing?</li> <li>• What locally-based domestic and international road consultants exist and where are they located?</li> <li>• What locally-based roadworks contractors exist (state-owned domestic companies, joint venture state/private, private domestic, international) and where are they located?</li> <li>• What is the workload of consultants, contractors?</li> <li>• How competent and well qualified and experienced are the domestic staff of consultants, contractors?</li> <li>• What equipment holding do contractors have?</li> <li>• What is the quality of work produced?</li> <li>• Are bidding procedures appropriate, transparent and free from corruption?</li> <li>• How do contract documents compare with international norms, such as FIDIC?</li> <li>• Is payment for works timely?</li> <li>• Does the client have the ability to supervise, measure, test, etc?</li> <li>• Is there access to arbitration?</li> </ul> |  |

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| <b>External (socio-political, contextual or environmental) factors affecting institutional competence</b>   |  |
|---|--|
| <p><b><i>Related institutions</i></b></p> <ul style="list-style-type: none"> <li>• Is the performance of the road administration dependent on the output of other organisations over which it has no control?</li> <li>• To what extent is the road administration subject to external competition?</li> <li>• What external incentives to performance exist?</li> </ul>  |  |
| <b>Internal institutional (organisational, managerial and human resource) competence</b>  |  |
| <p><b><i>Policy framework</i></b></p> <ul style="list-style-type: none"> <li>• Does the administration have a mission statement, objectives and standards, and are these appropriate?</li> <li>• Is the policy framework appropriate and are objectives achievable?</li> <li>• Is policy based on economics, or other factors?</li> <li>• Are road plans produced for construction, maintenance, and at what frequency?</li> </ul>  |  |
| <p><b><i>User preference</i></b></p> <ul style="list-style-type: none"> <li>• What are average road conditions (very good, good, fair, poor, bad)?</li> <li>• What is the average cost per kilometre of construction, maintenance and administration?</li> <li>• What are the user preferences for road provision and management?</li> <li>• How are user preferences determined for construction and maintenance?</li> <li>• Which types of user are consulted?</li> <li>• Is there community participation?</li> <li>• Are there standard procedures for community participation?</li> <li>• Are there standard procedures for prioritising user preferences for construction and maintenance?</li> </ul> |  |
| <p><b><i>Organisational and administrative structure</i></b></p> <ul style="list-style-type: none"> <li>• Is there an administrative structure that is appropriate for and capable of managing roads?</li> <li>• Are responsibilities defined, and are staff aware of these?</li> <li>• Is there an unambiguous chain of command?</li> </ul>  |  |
| <p><b><i>Procedures</i></b></p> <ul style="list-style-type: none"> <li>• Do documented procedures exist for planning, programming, including budgeting and setting priorities, project preparation, management of on-going operations?</li> <li>• Are the procedures understood and applied?</li> </ul>   |  |

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| <b>Internal institutional (organisational, managerial and human resource) competence</b>   |  |
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| <p><b><i>Resource management</i></b></p> <ul style="list-style-type: none"> <li>• Is there a regular and formal budgeting process?</li> <li>• Is the budget based on assessed or measured need?</li> <li>• Is the budget related to actual costs and the ability to disburse?</li> <li>• Are procurement procedures appropriate, efficient and independent of corruption?</li> <li>• Does full financial control reside within the maintenance organisation?</li> <li>• Are accounts independently audited?</li> </ul>   |  |
| <p><b><i>Human resources</i></b></p> <ul style="list-style-type: none"> <li>• Is there a manpower inventory, and career development records for all staff?</li> <li>• Is there a manpower plan which is used as the basis of staff recruitment, deployment, utilisation and advancement?</li> <li>• Are compensation, benefits and incentives adequate to motivate staff?</li> <li>• Is systematic staff appraisal carried out against performance standards as an input to the career development process?</li> <li>• Do adequate sanctions exist to deal with indiscipline, and are these implemented?</li> <li>• Are staff adequately trained, and is there an internal training scheme?</li> </ul> |  |
| <b>Technical (engineering and physical) competence</b>   |  |
| <p><b><i>Data</i></b></p> <ul style="list-style-type: none"> <li>• Is the network referenced, and is this up-to-date?</li> <li>• Does an inventory exist for the road network and its structures, and is this up-to date?</li> <li>• Is there adequate demand data, and is this up-to-date?</li> <li>• Does sufficient up-to-date condition data exist to enable needs to be assessed?</li> <li>• Is road accident data collected and analysed in a systematic manner?</li> <li>• Is unit cost data available and up-to-date?</li> <li>• To what extent are computer-based information and management systems available and used?</li> </ul>   |  |
| <p><b><i>Materials and supplies</i></b></p> <ul style="list-style-type: none"> <li>• Are appropriate materials and supplies of the right quality available as required?</li> <li>• Are the properties of materials used fully understood?</li> <li>• Are there adequate testing facilities, and is the quality control of products and materials adequate?</li> <li>• Are appropriate materials always used?</li> <li>• Does an adequate system exist for ordering, storing and stockpiling materials and supplies?</li> </ul>   |  |

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| <b>Technical (engineering and physical) competence</b>  |  |
|---|--|
| <p><b><i>Plant and equipment</i></b></p> <ul style="list-style-type: none"> <li>• Is there a fleet of plant and equipment of the size and composition required?</li> <li>• Is the availability adequate?</li> <li>• Is the utilisation adequate?</li> <li>• Are the workshops and stores adequate to support it?</li> <li>• Is there an organisation capable of managing the fleet cost-effectively?</li> <li>• Is adequate financial provision made for replacement and repair?</li> </ul> |  |
| <p><b><i>Operations</i></b></p> <ul style="list-style-type: none"> <li>• Do appropriate design methods exist, and are they used?</li> <li>• Are there specifications for work, and are these met in practice to achieve adequate quality control on site for works carried out by direct labour/force account, for works carried out by contract?</li> <li>• Are contract procedures satisfactory and enforced?</li> </ul>  |  |
| <p><b><i>Monitoring and feed-back</i></b></p> <ul style="list-style-type: none"> <li>• Is work done measured and costed?</li> <li>• Are costs realistic in terms of overheads, equipment, materials and labour?</li> <li>• Is cost and monitoring information collected centrally and used for planning and budgeting purposes?</li> <li>• Is there a physical inspection and audit of work done?</li> <li>• Is productivity measured?</li> </ul>   |  |
| <p><b><i>Access to research and information</i></b></p> <ul style="list-style-type: none"> <li>• Is there adequate access to current research work and good practice from other organisations or research centres?</li> <li>• Is relevant research currently carried out within the organisation?</li> <li>• Are new techniques and practices introduced as a result of research results?</li> </ul>  |  |

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| <b>Impacts: poverty dimensions</b> |   |
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|                                    | <p><b>Country-specific data</b></p> <ul style="list-style-type: none"> <li>• What is the GNP and GNP/capita, of the country and of the district?</li> <li>• What is the rural unskilled wage rate (US\$/day)?</li> <li>• Poverty lines (<i>international poverty line</i> (1985US\$1 per person per day) <ul style="list-style-type: none"> <li>– number and proportion of people below <i>international poverty line</i>?</li> <li>– number and proportion of very poor people (below 1985US\$0.75/day)?</li> </ul> </li> <li>• What is the <i>poverty gap ratio</i> (incidence times depth of poverty)?</li> <li>• What is the <i>inequality</i> (poorest fifth's share of national consumption)?</li> <li>• What is the <i>child malnutrition</i> (prevalence of underweight under five year olds)?</li> <li>• What are the following social indicators <ul style="list-style-type: none"> <li>– share of public expenditure for basic social services in GDP?</li> <li>– net primary school enrolment?</li> <li>– under five mortality?</li> <li>– immunisation?</li> <li>– child malnutrition?</li> <li>– female-to-male life expectancy?</li> <li>– total fertility rate?</li> <li>– maternal mortality?</li> </ul> </li> </ul> |
|                                    | <p><b>Local poverty data</b></p> <ul style="list-style-type: none"> <li>• Has a local participatory poverty assessment been carried out?</li> <li>• What are the estimates made by the assessment for issues such as the following <ul style="list-style-type: none"> <li>– human under-development</li> <li>– social exclusion</li> <li>– ill-being</li> <li>– lack of capability and functioning</li> <li>– vulnerability</li> <li>– livelihood unsustainability</li> <li>– lack of basic needs</li> <li>– relative deprivation?</li> </ul> </li> <li>• Do the assessments contain any information on the linkages between transport provision and poverty?</li> <li>• Do the assessments give indications of the transport needs of the rural poor?</li> <li>• Are any findings disaggregated by household, individuals within the household, or by gender?</li> </ul>   |