

THE PROBLEM STATEMENT

2.7 INSTITUTIONAL SURVEYS

Problem: At the root of many transport problems is the organisation of the sector and the capacity of responsible institutions to undertake their roles in an effective and efficient way.

Solution: Appropriate surveys of the institutional structure and procedures of transport can serve to demonstrate how sector performance is influenced by these factors, and hence where improvements are needed.

BACKGROUND

The institutional framework of the transport sector is a key contributory factor in the performance of transport. The framework is captured in livelihoods analysis as the 'PIP' (policies, institutions and programmes) covers such aspects as:

- The organisation of the sector and the roles, relationships and conflicts of stakeholders
- The regulatory environment within which the transport sector functions
- The organisation, operations and funding of individual stakeholders
- The capacity (in both physical and human resource terms) of the organisations to undertake their roles

Much of the poor performance of transport can be attributed to the inadequacies of the institutional framework. Amongst other failings, organisations are poorly funded, under-resourced, hampered by bureaucracy, poorly regulated and inadequately staffed. Stakeholders (at all levels) often work independently and at cross-purposes with one another; information is not shared and objectives may conflict.

Measuring the impact of institutional imperfections on performance is inevitably difficult. At best one can highlight issues that are clearly problematic and likely to be a cause of conflict and inefficiency. One can also point to any evidence of better performance achieved by organisations operating within other institutional models developed in other sectors and/or countries. However, the application of new organisational models, methods and procedures cannot guarantee improved performance. Much depends on the levels of resistance (from entrenched interests, e.g. unions, trade associations and existing organisations whose role may be superseded) encountered, the ability to put in place necessary legislation for change (again, in the face of entrenched interests), the ability to attract qualified staff and/or enhance staff capacity (through appropriate training), and ultimately the ability to fund developments in a sustainable manner (and without putting any unnecessary burden on government revenue sources).

Change needs strong champions; it also needs consensus achieved through stakeholder participation and a degree of conflict resolution where necessary. By common consent, however, one aspect of institutional development that seems to work is to encourage strong participation by the private sector in all aspects of organisation and operations.

SURVEYS

The purpose of surveys is the need to identify key stakeholders, their role in the transport sector, the processes of their interaction in transport operations and development, and the impact on performance. Much of the survey work is by interview, supplemented by documentary evidence. A check-list of items to cover is shown below (also, see **Appendix F**):

- Who are the stakeholders in rural transport?
 - Direct transport users (e.g. travelling public, shippers, distributive industry)

- Indirect transport users (e.g. households, consumers, agricultural producers, health-care providers, education providers)
 - Transport facilitators (e.g. regulators, roads administrators, enforcement agencies)
 - Transport providers (e.g. freight and public transport operators, road construction companies)
 - Transport servicers (e.g. equipment suppliers, maintenance industry)
 - Urban community (e.g. consumers, users of rural facilities)
 - National community (e.g. defence and geo-political interests)
 - External community (e.g. importers of rural produce, multi-national manufacturers and trading companies, tourists).
- What is the nature of each stakeholder's involvement in the transport sector?
 - Transport related activities (qualified and quantified)
 - Administrative activities (planning, funding, regulating)
 - User demands
 - Resources used (quantified and qualified)
 - Funding (scale and sources)
 - Performance measures (quantity and quality)
 - What legislation covers the transport sector?
 - Transport law, ordinances and regulations
 - Employment law
 - Finance and taxation law
 - Environmental law
 - Planning and development law
 - Where are the institutional conflicts in the transport sector, and how are they apparent?
 - Administrative and regulatory (e.g. unclear or conflicting responsibilities, insufficient resources, inadequate legal underpinning) manifested in uncontrolled transport (e.g. poorly enforced safety requirements, restrictive operating practices) and ineffective development (e.g. weak planning processes)
 - Human resource (e.g. ill-trained or insufficient staff) leading to poor transport performance (e.g. poor vehicle maintenance and driver standards) and development (e.g. inappropriate or inadequate planning)
 - Funding (e.g. inadequate or unreliable revenue base) leading to poor performance (e.g. insufficient capacity to meet demand, inability to meet environmental standards, inability to recruit and train staff).

INSTITUTIONAL MEASURES

Institutional measures which can be adopted to improve transport can involve organisational and procedural change. Changes in legislation may be appropriate to influence the operating environment, as well as to underpin the organisational and procedural measures advocated. For example, the involvement of the private sector, and/or the creation of new autonomous agencies (which may previously have been departments) within government will require new legislation.

Institutional change is likely to be a long-term process, not only because of the need for new legislation, but also because of the need for consensus-building and the need for careful planning and execution.

KEY REFERENCES

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