



Report of RIC Influencing and Advocacy Workshop

23 August 2013

RIC

ROADS INDUSTRY COUNCIL

Representing Uganda's Road Sector

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1 Executive summary

This report summarises the process and outcomes of a Roads Industry Council workshop which took place on 23 August 2013. The aim of the workshop was to:

- Review and validate the findings of the Institutional Change and Advocacy Study conducted in April 2013.
- Review the progress made since April.
- Consider the proposed influencing and advocacy strategy and decide what to adopt.
- Review the proposed intervention areas and decide which to include in a RIC Influencing and Advocacy Programme over the next year.
- Develop an outline plan of work for each intervention area.

This report contains:

- The programme and materials used for the workshop.
- A summary of the conclusions and decisions made in the course of the workshop.
- A proposed programme for the influencing and advocacy activities which the RIC decided to address over the next year.
- Proposed detailed action plans for each of the intervention areas selected.
- A summary of responsibilities and next steps.

The RIC members present at the workshop decided:

- To adopt an influencing and advocacy strategy to support the sustainability of gains achieved through CrossRoads activities to date and address deeper institutional constraints to the reform of the roads sector.
- To adopt an evidence-based approach consistent with its technical expert niche - commissioning necessary research, disseminating information and convening stakeholders, and briefing decision-makers.
- To adopt a strategy which builds the profile of the RIC as an authoritative and objective 'think tank' for the roads sector, and pursues a co-ordinated programme of activities to engage stakeholders and facilitate change.
- To work on a number of intervention areas as part of an Influencing and Advocacy Programme over the remainder of the CrossRoads lifetime.

RIC members present at the workshop considered the approach which should be taken to each of the intervention areas. Based on this, the Secretariat Team was tasked to develop a programme of work and detailed action plans for further consideration and approval by the RIC. This report includes the draft programme and action plans to address the intervention areas which were agreed at the workshop. These are:

- Influencing to improve allocation of funds to road maintenance
- Facilitating discussion on managing interim reliance on the Force Account
- Increasing citizen awareness of, and engagement in, road sector service delivery issues
- Influencing decision-makers to reduce the scope for briefcase contractors to operate.
- Influencing decision-makers to improve incentives for accountability (referring in particular to supervision of contracts)

- Influencing decision-makers to improve aspects of the planning procurement and supervision process to better enable contractors to engage in the roads sector
- Providing information to improve private sector confidence in demand-side planning, procurement and supervision
- Facilitating access to key roads sector reports and materials through a website –based Resource Centre
- Developing ideas for sustainability of the RIC
- Maintaining the RIC website and building the RIC brand

The next steps are:

- The RIC members who were present at the workshop should finalise and agree the proposed programme and action plans.
- The programme should be presented for consideration and endorsement by the wider RIC.
- The Secretariat should begin the activities according to the proposed schedule.

2 Introduction

2.1 Background

The RIC Influencing and Advocacy Workshop was planned to continue the work undertaken during April 2013 (as part of the CrossRoads programme) to examine the institutional constraints limiting progress in developing the Uganda roads sector. The impetus for the assignment came from the Annual Review of the programme, which was carried out in May 2011. That review concluded that there was a 'high risk that the public sector will take an approach which marginalises the private sector in road construction, and thus undermine the effectiveness of CrossRoads' Output 2 activities'. The review therefore recommended that CrossRoads should increase its focus on influencing policymakers and, in particular, developing the influencing and advocacy role of the Roads Industry Council.

In April, an Influencing and Advocacy Strategy comprising five elements was recommended to improve the potential sustainability of the specific Crossroads technical interventions and make a modest contribution towards altering the balance in favour of institutional change in the sector.

At the same time, a shortlist of institutional constraints which are not already being addressed through CrossRoads technical assistance and capacity building activities was selected on the basis of a number of criteria, including: stakeholder priorities, 'fit' with the mandate and competence of CrossRoads, the potential to achieve progress within the remaining CrossRoads lifetime, and existing levels of resources.

For each of the shortlisted intervention areas, a Force Field analysis was carried out and an approach to the intervention was suggested. These ranged from undertaking research, disseminating information, and convening and facilitating wider stakeholder discussions, to conducting informal one-to-one briefings of key opinion-formers and decision-makers.

The workshop provided an opportunity for the RIC to consider the strategic approach, decide which of the specific intervention areas to pursue, and agree a programme of work for next year.

2.2 The Workshop

This report summarises the process and outcomes of the workshop which took place on 23 August 2013. The workshop was designed to:

- Review and validate the findings of the Institutional Change and Advocacy Study conducted in April 2013.
- Review the progress made since April.
- Consider the proposed influencing and advocacy strategy and decide what to adopt.
- Review the proposed intervention areas and decide which to include in a RIC Influencing and Advocacy Programme over the next year.
- Develop an outline plan of work for each intervention area.

Annex 1 presents the agenda for the workshop. Annex 2 provides a list of those who attended. Annex 3 provides the presentation which was used to structure the deliberations.

3 Workshop Proceedings

This section of the Report summarises each of the workshop sessions and records key discussion points and decisions made.

3.1 Preliminary Session

3.1.1 Introduction

This session was used to remind participants of the background to the Influencing and Advocacy initiative, and to provide an update on activities and progress since April, including:

- **Progress with branding and raising the profile of the RIC.** It was reported that the brand has been developed and agreed, branded materials have been printed, the website and e-mail addresses are operational, and RIC Issues Sheet No. 1 has been designed and printed.
- **Current status of the work which is already underway to address the need for an increased budget allocation to maintenance.** It was reported that the presentation has been revised and possible scheduling of the increase has been agreed with UNRA. However, the remaining issue is difficulty in reconciling maintenance cost estimates from a variety of sources.
- **Preparation for analysis of force account,** as a basis for formulating advice on the approach to balancing interim reliance on the Force Account with ensuring that private contractors are not crowded out of the sector.

3.1.2 Overview of the Institutional Change and Advocacy Report

This session summarised the process which was used to develop the draft strategy, explained the analysis which was carried out to determine the possible intervention areas for the RIC, and provided an overview of the stakeholder consultation process.

3.2 The Influencing and Advocacy Strategy

This session was used to explore the need and potential benefits of influencing and advocacy, consider the RIC's niche for influencing and advocacy, propose a suitable influencing and advocacy model, and set out the proposed elements of the strategy for consideration by the participants. RIC members were asked to determine:

- the most appropriate influencing and advocacy role for the RIC; and,
- which of the five possible elements of the Influencing and Advocacy Strategy should be adopted.

3.2.1 Discussion

RIC members were content with the niche which was suggested for the RIC and the 5 elements of the strategy, and discussion centred on the balance of effort between the elements. Key points were:

- That the RIC should concentrate its efforts on advocating for the implementation of the NCIP and the establishment of UCICO in particular, as that was the major bottleneck to progress in the sector, and the greatest obstacle to private sector development in particular.
- That the RIC should concentrate on generating objective and credible information to a wide range of stakeholders, including the public - since many people hold strong opinions about the roads, but have little knowledge.

- That the RIC should develop its role as a ‘think tank’ as this is the most valuable contribution which it can make at present, but also because this may open the possibility of sustainability beyond the end of CrossRoads by demonstrating that RIC can provide valuable services.
- That it was too early to begin consideration of whether RIC had a longer term future, but that the question should be revisited in 2014 when it will be possible to assess the impact of the influencing and advocacy programme.

3.2.2 Decisions

RIC members agreed that:

- RIC’s niche should be that of an expert and impartial body able to act as a ‘think tank’ and convene sector stakeholders.
- RIC’s model of influencing should combine communications and information dissemination with evidence based advocacy and briefings and information campaigns to inform and engage political decision makers.
- RIC should not engage in factional or interest-based lobbying.
- All five elements of the strategy should be adopted, as follows:
 - Building the RIC profile
 - Undertaking its own programme of influencing activities
 - Coordinating other influencing activities supported within CrossRoads
 - Broadening stakeholder engagement
 - At a later date, exploring the potential for sustainability of a successor body.

The remainder of the day was devoted planning for Element 2 of the Influencing and Advocacy Strategy: determining the RIC’s programme of influencing and advocacy activities over the remainder of the programme.

3.3 Deciding What to Influence

This session presented the key points of the Problem Tree and Stakeholder Analysis to remind RIC members of the basis on which the possible intervention areas for inclusion in the RIC Influencing and Advocacy Programme were identified. This provided a starting point for participants to review the analysis and select a shortlist of the possible intervention areas for more detailed consideration.

3.3.1 Discussion

There was some discussion of the nature of the Problem Tree. It was agreed that the Problem Tree represented an overview of the key issues which emerged through the Stakeholder Analysis and should not be viewed as comprehensive or ‘correct’. It is simply intended to provide participants with a framework in which to consider their priorities for institutional change in the roads sector.

Participants suggested some refinements of the Problem Tree, as follows:

- One of the causes of ‘entry barriers/exit pressures on national/local contractors is the lack of support to enable contractors to grow to ‘medium size’
- The key aspect of poor linkages to national planning and budgeting is the need for a predictable and consistent flow of funds within years, and from year to year.
- The under-allocation of funds to maintenance is exacerbated by the transitional stage of the URF development.

3.3.2 Individual Task

Working individually, RIC members identified their priority intervention areas for inclusion in the Influencing and Advocacy Programme. These were recorded on Post-it Notes and grouped under the main causes of the problem as defined in the problem tree. Each participant chose five areas. Table 1 (below) records all of the choices verbatim.

Table 1: Initial Identification of Priority Areas

Entry barriers/exit pressures on national/local contractors	High contract costs, Maintenance underfunded, Slow pace of contracting	Poor quality construction, rehabilitation and maintenance
<p>Excessive risks to contractors</p> <ul style="list-style-type: none"> Lack of confidence in demand-side systems (2 people) 	<p>Adverse policy environment: Policy</p> <ul style="list-style-type: none"> Limited citizen awareness/participation Poor coherence (political distortion) Lack of political commitment to effective road sector 	<p>Poor planning and design</p> <ul style="list-style-type: none"> Materials
<p>Contractors crowded out</p> <ul style="list-style-type: none"> Reliance on Force Account Improving compliance with allocating work to local contractors/subcontractors Improving capacity growth by use of pilot projects specifically geared to medium capacity contractors/consultants 	<p>Adverse policy environment: Regulation</p> <ul style="list-style-type: none"> Weak regulatory framework – enforcement in the sector Procurement - fundamental mind-set Corruption Stop-go contracting and execution 	<p>Poor execution</p> <p>Lack of vocational skills</p> <ul style="list-style-type: none"> Many briefcase contractors (2 people) Lack of industry stakeholder coordination Continued vocational training for all players for sustainability Lack of professional and technical capacity
<p>Inability to compete</p> <ul style="list-style-type: none"> Inability to meet tender criteria (2 people) 	<p>Adverse funding environment</p> <ul style="list-style-type: none"> Under-allocation to maintenance 	<p>Poor supervision and control</p> <ul style="list-style-type: none"> Poor incentives for accountability (2 people) Excessive audits

The plenary group considered the lists, grouping similar items and prioritising the groups to arrive at a preliminary shortlist, as follows

3.3.3 Decision

RIC members decided on the following preliminary shortlist:

- Lack of private sector confidence in demand side systems
- Contractors' inability to meet tender criteria
- Limited citizen awareness/ participation in the roads sector.
- Poor incentives for accountability
- Many briefcase contractors

Each of these possible areas was then subjected to further analysis to assess the prospects for RIC to make a constructive contribution during the remainder of CrossRoads.

3.4 Assessing the Prospects

Taking each of the shortlisted areas in turn, RIC members considered the prospects for success of each area in order to arrive at a final list of intervention areas for inclusion in their programme for the next year. This discussion was structured to take account of:

- Whether each possible area is a legitimate area of interest for the RIC
- The degree of interest among stakeholders
- Forces for and against change
- Likely 'progress' which could be achieved in one year (defined as any one of the following: generating information and evidence; disseminating information; improving stakeholder awareness, or engaging decision-makers).
- RIC capability and available resources

3.4.1 Discussion

Taking each of the shortlisted areas, members assessed the prospects for success against these criteria. Table 2 below summarises key points discussed against each area:

Table 2: Assessing the Success Prospects for Shortlisted Intervention Areas

Possible Intervention Area	Key discussion points
Lack of private sector confidence in demand side systems	<ul style="list-style-type: none"> • One aspect of this is lack of knowledge and understanding of the systems, so it would be worth bringing contractors and demand-side representatives together to discuss the technical difficulties. • However, it is not merely a matter of information but there is also a need to understand whether the systems need to be reformed. • This is clearly a role for the RIC under Element 2 of the Influencing and Advocacy Strategy. • There are good prospects for generating and disseminating information to improve contractors' awareness.
Contractors' inability to meet tender criteria	<ul style="list-style-type: none"> • Initially this focussed on finding ways to strengthen contractors, and particularly to enable them to grow to medium-sized businesses. • However, in light of the discussion of lack of confidence it was decided that the scope of this areas should be widened to include aspects of the planning, procurement and supervision process which make it difficult for contractors to engage. • Some research will be needed to pinpoint the most problematic areas. • This is important and RIC should be able to bring decision-makers together to consider how to improve matters. • This is clearly a role for the RIC under Element 2 of the Influencing and Advocacy Strategy.
Limited citizen awareness/ participation in the roads sector.	<ul style="list-style-type: none"> • It was agreed that this should be part of RIC's role under Element 4 of the Influencing and Advocacy Strategy. • However, efforts should be fairly modest. • Members liked the idea of reaching out to a small group of editors and journalists to give them a better understanding of the technical issues in the roads sector but agreed that the RIC should not be trying to place particular stories as this ran the risk of sensationalising and polarising opinion – not appropriate to the 'think tank' role. • Developing the website and, in particular, creating a Resource Centre of key roads sector documents and access to CrossRoads-developed databases were

	<p>consider to be achievable ways of broadening access to information.</p> <ul style="list-style-type: none"> • Providing support to coalitions of interested civil society organisations (such as the Helmet Vaccine Initiative, FABIO, URSSI) was put forward as a way to address the currently very limited mechanisms for civil society engagement.
Poor incentives for accountability	<ul style="list-style-type: none"> • This refers particularly to supervision of contracts. Although it is recognised that the issue is much wider, RIC cannot address the broad area of corruption effectively with in the available resources and should focus more tightly. • There are three ways to approach this issue: promoting professional standards and self-regulation of professionals engaged in supervision and certification; influencing contracting organisations such as UNRA to strengthen internal systems to deter poor practice (such as better audit); and raising awareness of the consequences and costs of poor supervision in terms of road quality, increased accidents etc.) • The RIC needs more information about the options, but the first two approaches looks most feasible within the available time and CrossRoads resources.
Many briefcase contractors	<ul style="list-style-type: none"> • Excluding briefcase contractors is probably a matter of registration - but that will not be fully resolved until UCICO is implemented. • There is a need for a better understanding of the scale of the problem so RIC may need to commission some fact-finding activities. • The most likely solution would be to engage with UNRA and UNABCEC to see whether UNRA can reinstate the requirement for bidders to be members of UNABCEC while at the same time, UNABCEC might introduce some screening process for members.

3.4.2 Decision

RIC members concluded that its Influencing and Advocacy Programme should include all of the areas identified in Table 2.

3.5 Action Planning

The afternoon was given over to detailed planning to develop the Influencing and Advocacy Programme. This had two elements: Getting Organised and developing preliminary Action Plans

3.5.1 Getting Organised

A short discussion considered the respective roles that the RIC and the CrossRoads Secretariat should play in implementing the strategy. The need to identify a RIC member as the lead/focal point for each of the planned Intervention Areas was discussed, as well as whether there was a need to establish small teams for each area, and/or co-opt other people to work with the teams.

3.5.2 Discussion

There was considerable discussion of the roles and how the RIC would be organised to undertake the influencing and advocacy work. Key points made included:

- Whether a formal structure of RIC subcommittees was needed to undertake this work. It was agreed that this was too formal and would be too much of a burden for members. It was agreed that ‘focal points’ would be identified to take an informal lead on specific intervention areas.
- There was no immediately obvious need to co-opt other people to work with the RIC on the influencing and advocacy programme.
- The roles (see below) were discussed and clarified. It was agreed that the Crossroads Secretariat would need to do much of the practical work because of the limited time which RIC members have available.

3.5.3 Decision

It was agreed that:

- The Role of the RIC would be to:
 - Define the influencing and advocacy strategy and approve the programme.
 - Coordinate planning and maintain oversight of the influencing and advocacy activities.
 - Be the ‘public face’ of the influencing and advocacy work - presenting outcomes and representing itself to stakeholders.
 - Make use of its members’ networks to identify and bring together suitable stakeholders and link with decision-makers.
- The role of the CrossRoads Secretariat would be to:
 - Provide the RIC with technical advice
 - Commission research as necessary to enable the RIC to form its views and shape its influencing and advocacy activities
 - Manage publications
 - Manage the website
 - Arrange events
- The RIC would identify one or more Focal Points from within its membership for each intervention area.

The Focal Point was described as ‘someone who will take a particular interest in a particular intervention area’. The Focal Point Role is to act as a:

- Figurehead - representing and speaking for the RIC on the intervention area.
- Sounding Board - supporting the CrossRoads Secretariat with advice as each intervention area is implemented.

Focal Points were tentatively nominated for each of the selected intervention areas as follows:

Dr Mugisa and Mr Nicholas Byengoma	Lack of private sector confidence in demand side systems
Eng Frederick Lwanga and Mr Ben Ssebugga-Kimeze	Aspects of the planning, procurement and supervision process which make it difficult for contractors to engage.
Dr Sam Mutabazi	Limited citizen awareness/ participation in the roads sector.
Dr Francis Baziraake	Poor incentives for accountability (referring in particular to supervision of contracts)
Mr Anania Mbabazi Mr Pius Mugerwa	Many briefcase contractors

3.6 Preparing Preliminary Action Plans

3.6.1 Group Activity

Participants were introduced to a Brainstorming Workbook which was prepared to assist with developing a preliminary action plan for each intervention area. The workbook is designed to provide a structured approach to planning, by considering in turn:

- What is to be achieved through influencing and advocacy
- Who is to be targeted
- How the target group or groups for influencing and advocacy activities will be reached
- What information/messages are to be communicated
- What you need to do to communicate your information/messages (steps and sequence)
- What implementing the plan will cost
- When steps should be taken
- Who should do what

It was apparent that this was a time-consuming activity and that it would not be possible to complete the process for all of the selected intervention areas before the end of the day. Although several options for sharing the task in sub-groups were explored, members felt that it would be better for the whole group to gain a common understanding of the process. It was therefore agreed that the whole group would try out the workbook on one of the intervention areas, thus gaining a better understanding of the planning process. It was agreed to work on the fourth intervention area (poor incentives for accountability, particularly in terms of supervision) as an example and the group formulated some objectives and analysed the audience which might need to be involved or influenced.

3.6.2 Discussion

Reviewing the experience, the participants agreed that the workbook structure was useful and encouraged rigorous planning but that they would need considerably more time to do the exercise justice. Although the possibility of reconvening all of part of the group to complete the process was discussed, it was apparent that members did not have time to complete the detailed process in the near future.

3.6.3 Decision

It was agreed to delegate the preparation of a detailed first draft of Influencing and Advocacy Programme to the CrossRoads Secretariat. This would then provide a basis for further deliberations by the RIC members. The final section of this report presents the Draft Programme.

4 Draft Influencing and Advocacy Programme

4.1 Preparation of Outline Plans

As decided at the Workshop, the Secretariat Team has developed action plans for each of the selected intervention areas described in the previous section of this report. Detailed objectives and activities were developed for each area and the programme was scheduled to ensure that the workload was manageable for both the RIC and the CrossRoads Secretariat.

Apart from the five intervention areas discussed in detail at the Workshop, other already-planned areas have been included for completeness. The final set of intervention areas included in the Influencing and Advocacy Programme is shown in Table 3.

Table 3: Final Set of Intervention Areas included in the Influencing and Advocacy Programme

	Intervention Area	Main Focus Proposed	Rationale for Inclusion
a	Influencing to improve allocation of funds to road maintenance	Presenting the evidence to influence decision-makers in favour of increasing the allocation to maintenance.	Work is already under way in this area
b	Facilitating discussion on managing interim reliance on the Force Account	Researching the impact of Force Account to enable the RIC to formulate advice on how to mitigate the impact.	Work is already under way in this area
c	Increasing citizen awareness of, and engagement in, road sector service delivery issues	Familiarising the media with technical issues; supporting the development of CSO coalitions, and packaging and launching the RUSS and RIC.	Agreed at the Workshop
d	Influencing decision-makers to reduce the scope for briefcase contractors to operate.	Establishing the extent of the problem to enable RIC to influence decision-makers to reinstate some form of registration.	Agreed at the Workshop
e	Influencing decision-makers to improve incentives for accountability (referring in particular to supervision of contracts)	Establishing the extent of the problem to enable RIC to influence decision-makers to promote professional standards and improve enforcement of regulations.	Agreed at the Workshop
f	Influencing decision-makers to improve aspects of the planning procurement and supervision process to better enable contractors to engage in the roads sector	Analysis the processes to enable the RIC to pinpoint possible areas for improvement and influence decision-makers to consider these.	Agreed at the Workshop
g	Providing information to improve private sector confidence in demand-side planning, procurement and supervision	<i>Depending on the outcome of area f, this may involve the development and publication of a series of user-friendly guides for contractors</i>	Agreed at the Workshop
h	Facilitating access to key roads sector reports and materials through a website –based Resource Centre	Collection of as many as possible of the key reports and other materials which are of interest to roads sector stakeholders and making these openly available as an organised resource through the website.	Agreed at the Workshop as a Secretariat task
i	Developing ideas for sustainability of the RIC	Prepare an options paper based on experience of implementing RIC influencing and advocacy activities and models in operation elsewhere.	Agreed at the Workshop as a Secretariat task
j	Maintaining the RIC website and	Continuing to refine and strengthen the brand	Work is already

building the RIC brand	and develop and maintain the website	under way in this area
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Annex 4 presents a summary of the proposed action plans for the Influencing and Advocacy Programme which includes:

- The intervention areas arranged in timeline order and sequenced to create a manageable workload for both RIC and CrossRoads Secretariat.
- The nominated RIC Focal Point for each intervention area (where one has been identified)
- Proposed objectives for each intervention area
- Proposed activities appropriate to the RIC ‘niche’ (i.e. impartial and expert communications and information dissemination, and evidence-based influencing and advocacy)

Annex 5 presents a more detailed plan and timetable for each intervention area, each of which includes:

- More detailed objectives
- More information about possible audiences
- Identification of probable influencing channels and/or products
- Detailed timings for each activity.

4.2 Next Steps

The next steps in the process are:

- The Secretariat should distribute the report to the RIC members who were present at the workshop in order for them to consider, finalise and agree the proposed programme and action plans. If possible this step should be completed by 13 September 2013 so that the report can be finalised and presented to the September meeting of the full RIC.
- The Secretariat should present the agreed Influencing and Advocacy Programme presented for consideration and endorsement by the wider RIC.
- The Secretariat should begin to implement the agreed action plans as set out in Annexes 4 and 5 of this report.