



Report of RIC Influencing and Advocacy Workshop

23 August 2013



ROADS INDUSTRY COUNCIL

Representing Uganda's Road Sector

Contents

1	Executive summary.....	2
2	Introduction	4
2.1	Background.....	4
2.2	The Workshop.....	4
3	Workshop Proceedings	5
3.1	Preliminary Session	5
3.1.1	Introduction	5
3.1.2	Overview of the Institutional Change and Advocacy Report	5
3.2	The Influencing and Advocacy Strategy	5
3.2.1	Discussion	5
3.2.2	Decisions	6
3.3	Deciding What to Influence	6
3.3.1	Discussion	6
3.3.2	Individual Task.....	7
3.3.3	Decision	7
3.4	Assessing the Prospects.....	8
3.4.1	Discussion	8
3.4.2	Decision	9
3.5	Action Planning	9
3.5.1	Getting Organised	9
3.5.2	Discussion	9
3.5.3	Decision	10
3.6	Preparing Preliminary Action Plans.....	10
3.6.1	Group Activity	10
3.6.2	Discussion	11
3.6.3	Decision	11
4	Draft Influencing and Advocacy Programme	12
4.1	Preparation of Outline Plans	12
4.2	Next Steps.....	13
Annex 1	Workshop Objectives and Agenda	
Annex 2	List of participants	
Annex 3	Workshop presentation	
Annex 4	Draft RIC Influencing and Advocacy programme Overview	
Annex 5	Detailed Action Plans for Each Proposed intervention Area	

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
<i>Excessive risks to contractors</i> <ul style="list-style-type: none"> Lack of confidence in demand-side systems (2 people) 	<i>Adverse policy environment: Policy</i> <ul style="list-style-type: none"> Limited citizen awareness/participation Poor coherence (political distortion) Lack of political commitment to effective road sector 	<i>Poor planning and design</i> <ul style="list-style-type: none"> Materials
<i>Contractors crowded out</i> <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 	<i>Adverse policy environment: Regulation</i> <ul style="list-style-type: none"> Weak regulatory framework – enforcement in the sector Procurement - fundamental mind-set Corruption Stop-go contracting and execution 	<i>Poor execution Lack of vocational skills</i> <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
<i>Inability to compete</i> <ul style="list-style-type: none"> Inability to meet tender criteria (2 people) 	<i>Adverse funding environment</i> <ul style="list-style-type: none"> Under-allocation to maintenance 	<i>Poor supervision and control</i> <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.

Annex 1: Workshop Objectives and Agenda

Workshop Objectives

- 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.

Workshop Agenda

Time

09.00	Arrival, coffee, overview of the objectives and expected outputs, finalising the agenda
09.15	Introduction: Putting influencing and advocacy in perspective , achievements since April, other updates.
09.30	Overview of the Institutional Change and Advocacy Report: Approach, Problem Tree, Stakeholder Priorities, Possible Intervention Areas, 5 Elements of the Proposed Strategy, General Questions.
09.40	The Influencing and Advocacy Strategy Why we need influencing and advocacy; 5 Elements of the Strategy; role of the RIC; realism about what can be achieved.
10.15	What to influence? Exploring the Problem Tree and Stakeholder Priorities: causes and effects; What is important? What is already being addressed? Criteria for selection Group activity – developing shortlist of intervention areas for further consideration. <i>(Coffee break will be during this session)</i>
11.45	Assessing the Prospects Examining the Intervention Areas one by one; Force Field Analysis Agreeing RIC Intervention Areas Agreed list of intervention areas and approach to each
12.45	<i>Lunch</i>
14.00	Action Planning for Each Intervention Area Approach; assigning responsibilities; developing preliminary action plans and timetable <i>(Tea break will be during this session)</i>
17.00	<i>Close</i>

Annex 2: List of Workshop Participants

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ROADS INDUSTRY COUNCIL

Representing Uganda's Road Sector

Institutional Change and Advocacy

Roads Industry Council Workshop

23 August 2013

Workshop Objectives

- 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.



Workshop Agenda

- 09.00 Introduction
- 09.30 Overview of the Report
- 09.40 The Influencing and Advocacy Strategy
- 10.15 What to Influence?
- 11.45 Assessing the Prospects
- 12.45 Lunch
- 14.00 Action Planning for each Intervention Area
- 17.00 Close



Progress since May

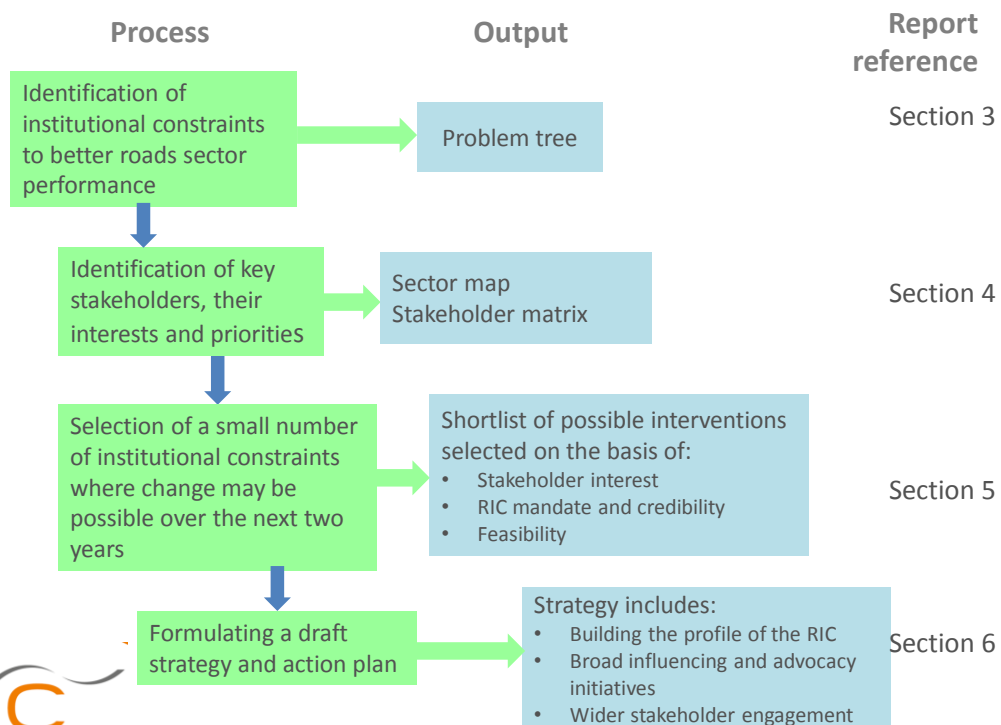
- RIC branding and profile
 - Brand developed and agreed
 - Business Cards and Roll-up Banner printed
 - Email addresses activated & Initial website developed
 - RIC Issues Sheet No. 1 designed and printed
- Asset management and road maintenance funding
 - Presentation revised and key messages identified
 - Scheduling of increase discussed and agreed with UNRA
 - Issue of level of funding required to clear backlog – URF/RSDP3
- Force Account
 - ToRs for desk-study developed



Overview of the Institutional Change and Advocacy Report



The Analysis



Stakeholder Mapping

Stakeholders consulted

- RIC
- Public Service:
 - MOWT
 - UNRA
 - URF
 - MOFPED
- Supply Side:
 - UNABCEC
 - UACE
- Transport Industry:
 - UTODA
- Development partners:
 - DFID
 - World Bank
 - EU
- Civil Society:
 - URSSI
 - UACC
 - Media



Stakeholder priorities

- Highly consistent:
 - NCIP implementation
 - Procurement processes
 - Maintenance funding
- Contentious:
 - Force Account
 - Underlying cause of procurement problems
- Very limited road user, media and civil society knowledgeable engagement

2 Decisions

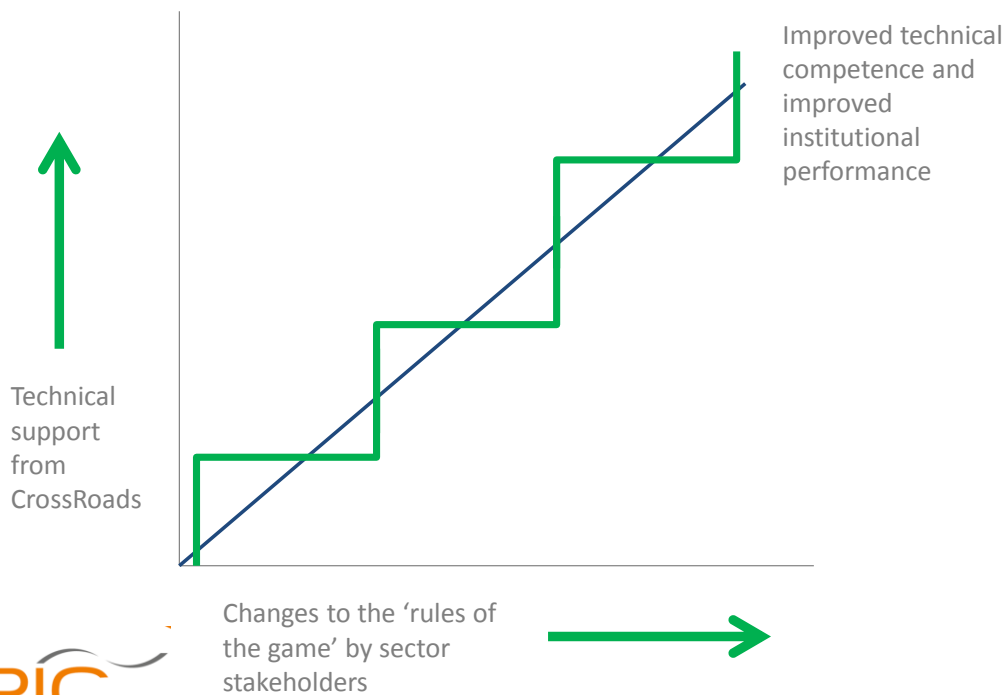
- *Which institutional constraints to roads sector development should the RIC attack?*
- *How should the RIC go about this task?*



The Proposed Influencing and Advocacy Strategy



Institutional Change



Why Influence and Advocate?

- Sustainability of CrossRoads gains, e.g.:
 - CGF
 - Sectoral information databases
 - RUSS
 - Capacity development for professional associations
 - Vocational, business and financial training
- Addressing deeper institutional constraints, e.g.:
 - Implementation of NCIP
 - Allocation to maintenance
 - Sustainable capacity building efforts
- RIC Contribution:
 - Improving information, raising awareness, engaging decision-makers
 - Creating momentum by building strong coalitions and broadening stakeholder engagement
 - Crossroads resources to support



RIC Influence and Advocacy

RIC's Niche

- Expert and experienced
- Impartial
- Consensus-based
- Convening

Suitable Models of Influencing and Advocacy

- **Communications and information dissemination:**
 - Providing information to stakeholders
 - Publications, events, websites etc.
 - Convening and facilitation dialogue between stakeholders
- **Evidence-based influencing and advocacy:**
 - Research and dissemination of factual information
- **Political influencing and advocacy:**
 - Briefings, information campaigns
 - Factional interest-based pressure problematic



5 Elements of the Strategy

- **Element 1:** Building the profile of the RIC 'Think Tank' as an authoritative and objective voice for the roads sector.
- **Element 2:** Undertaking a specific programme of RIC-sponsored influencing and advocacy activities.
- **Element 3:** Coordinating other CrossRoads influencing and advocacy activities.
- **Element 4:** Creating a wider constituency of interest and broadening stakeholder engagement during the remaining lifetime of CrossRoads.
- **Element 5:** Exploring the potential for developing sustainable mechanisms for stakeholder representation and advocacy which would continue after the end of the programme.

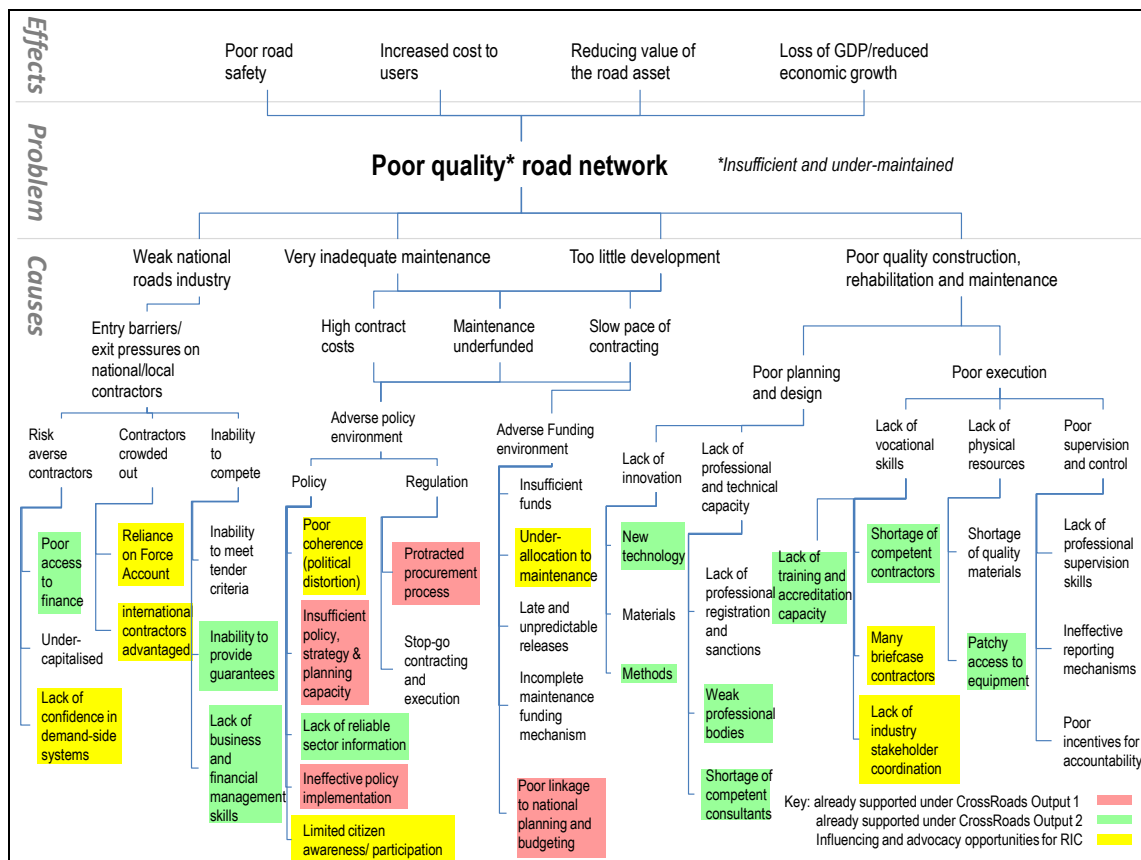


Decision Point

- What is the most appropriate influencing and advocacy role for the RIC?
- Which elements of the strategy should be adopted?



What to Influence?



Possible Areas for Influencing and Advocacy

Possible interventions in priority order	Stakeholder priority?	RIC mandate	Synergy with other CrossRoads work	Being done by Others	Potential for progress in 2 years with available resources?				Approach to addressing the institutional constraints
					Information and evidence	Communications	Stakeholder awareness	Engaging decision makers	
Improving the allocation of funds to maintenance	Yes (all)	Yes	RIC agenda MoWT Policy Advice	No	✓	✓	✓	✓/?	Underway
Facilitating discussion on managing interim reliance on the Force Account	Yes (all)	Yes	Equipment pool Strengthening contractors	No	✓	✓	✓	✓/?	Politically sensitive. Generate hard information and facilitate consensus.
Improving private sector confidence in demand-side planning, procurement and supervision	Yes (contractors, UNRA, consultants)	Yes	Contractor capacity ASI IPBE	No	✓	✓	?		Facilitate provision of information and stakeholder familiarisation.
Improving compliance with allocating 20% and 30% of international contracts to local sub-contractors consultants respectively	Yes (contractors, consultants MoWT)	Yes	Not immediately	No	✓	✓			Research to establish the situation can be followed by dissemination and publication.
Facilitating discussion on reducing the scope for briefcase contractors	Yes (all)	Yes	UNABCEC ASI IPBE	No	✓	✓	✓		Research to establish the situation, leading to papers and briefings as the first stage.



Developing a Shortlist

1. Individually:

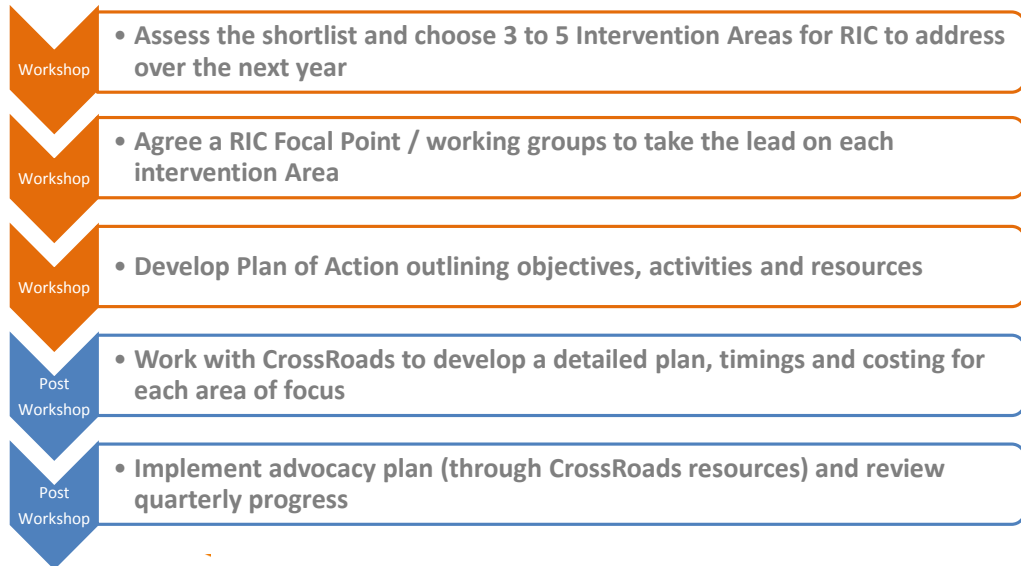
- Reflect on the Problem Tree and Stakeholder Analysis
- Identify up to five Intervention Areas you would support and write one post-it note for each

2. In plenary:

- Consider the group proposals and agree a final shortlist of between 4 and 8 Intervention Areas for further exploration in the afternoon sessions



The Planning Process



Specific Intervention Areas

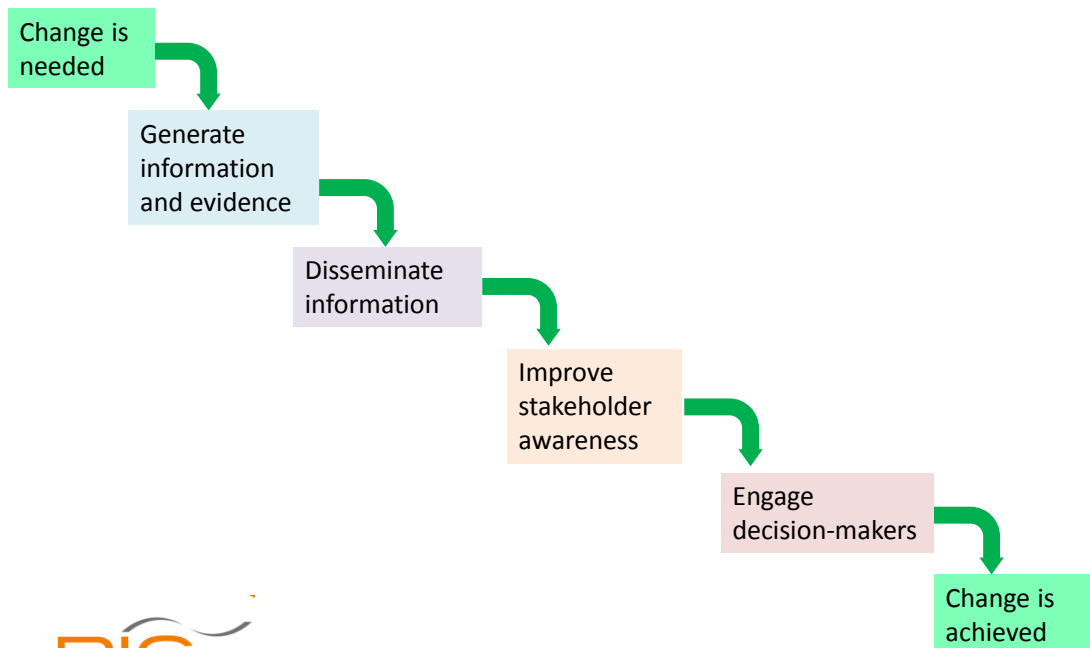


Assessing the Prospects

- For each of the shortlisted Intervention Areas, use the matrix to consider:
 - Whether it is a legitimate area of interest for the RIC
 - The degree of interest among stakeholders
 - Forces for and against change
 - Likely 'progress' in one year
 - RIC capability and available resources
 - The key elements of the approach which is required
- We will then decide together which will become the RIC programme.



What do we mean by 'progress'



Force-field Analysis

Forces for Change	Possible interventions	Forces against Change
<ul style="list-style-type: none"> General understanding of the economic case for maintenance. Some signals of readiness to address the maintenance backlog. Development partner pressure. Isolated signs of road user dissatisfaction. Prospective budget increase. NCIP clearly indicates the intention to develop the private sector. Vision 2040 reinforces the requirement for infrastructure and private sector growth. 	<ul style="list-style-type: none"> Improving the allocation of funds to maintenance 	<ul style="list-style-type: none"> Very limited allocation of earmarked funds for maintenance. MoFPED resistance to increasing funds/allocating a greater proportion of the Fuel Levy. Political interest in prioritising new construction over maintenance. Lack of capacity (in the widest sense - meaning skills, resources, organisation and systems) for the work.
<ul style="list-style-type: none"> General agreement that processes are unwieldy and protracted. Work underway to reform, procurement process. Work underway to improve contract execution and supervision processes in UNRA. Contractors and consultants are keenly interested in changes to the process. 	<ul style="list-style-type: none"> Facilitating discussion on managing interim reliance on the Force Account 	<ul style="list-style-type: none"> Perceived lack of capacity and poor contractor performance. The urgency of maintenance and rehabilitation is increasing. 'Direct delivery mindset' / resistance to change of some public servants. Some public policy statements in favour of Force Account.
<ul style="list-style-type: none"> Improving private sector confidence in demand-side planning, procurement and supervision 	<ul style="list-style-type: none"> Improving compliance with allocating 30% of international contracts to local sub-contractors 	<ul style="list-style-type: none"> Vested interests in maintaining the current process, which provides rent seeking opportunities. PPDA, IGG or SG resistance to what may be perceived as reductions in control and scrutiny Resistance to changing procedures among some public servants.
<ul style="list-style-type: none"> Policy statements recognise the need for growth of the national construction industry. Current presumption that 20% of contracting and 30% of consultancy will be subcontracted to national companies. Benefits for international companies in working with local partners. 		<ul style="list-style-type: none"> Lack of transparency and scrutiny means that it is difficult to assess whether promised levels of sub-contracting are actually achieved during implementation. Vested interests may collude with international contractors to obscure compliance. International contractors may be unable to sign sufficiently competent national partners



Action Planning



Getting Organised

- **RIC role:**
 - Define strategy
 - Coordinate planning and oversight
 - Represent
 - Network and convene
- **CrossRoads Secretariat role:**
 - Technical advice
 - Commission research
 - Manage publications
 - Manage the website
 - Arrange events
- **Logistics**
 - A RIC Focal Point for each Intervention Area
 - Working Groups?
 - Co-options?



Outline Action Plan

- **For your specific Intervention Areas, use the workbook to set out:**
 - What is to be achieved? (*SMART objective [s]*)
 - Who to target/influence (*audience*)?
 - How to reach the target group (*channels, e.g.: policy papers, meetings, publications, website, conference, policy briefs*)?
 - What information/messages are needed?
 - What needs to be done? (*details of each activity*)
 - What will it cost?
 - When should we do it?
 - Who should do what?
- **Please complete the Workbook as you decide. We will then ‘borrow’ the workbooks to compile a plan document with a programme and budget.**
- **Prepare a summary of your plan on 1 flipchart sheet** to help us review each area together before we depart today.



Objectives, Audience and Channels

Objective:

- **9 month** campaign beginning **November 2013**
- **sensitise political decision makers** at different levels in Uganda
- to the **need to improve the allocation** of resources to road maintenance
- and **ensure key individuals comment** openly on the subject.

Audience:

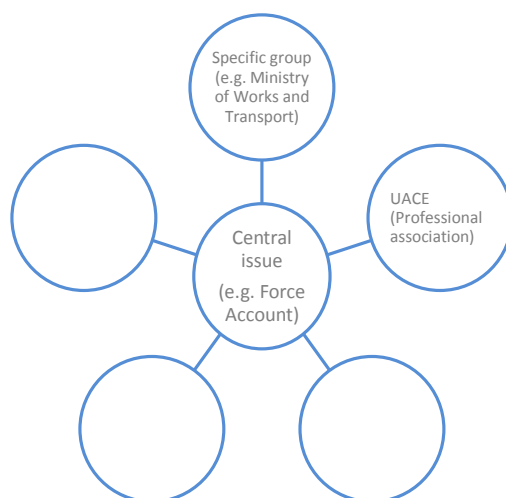
- Minister of Works and Transport - Top Management Team
- Ministry of Finance - Secretary to the Treasury
- President's Office

Channels:

- Policy briefs
- Stake holder workshops (sensitisation and self-assessment)
- Face-to-face meetings with RIC members
- RIC discussion papers giving details of comparative studies etc.
- Financial focus papers for the Treasury



The Audience Wheel



Describing Activities for Budgeting

Example:

Costs of meetings

- Consider issues such as
- How many participants will attend
- How many speakers will be required
- What venue will be required?
- Will overnight stays be required?
- What materials will need to be produced?



Annex 4: Draft RIC Influencing and Advocacy Programme Overview

	Intervention Area	RIC Focal Point (if identified)	Objectives	Activities	Deadline
a	Influencing to improve allocation of funds to road maintenance		<ul style="list-style-type: none"> Assist technical government stakeholders to examine the evidence and recommend appropriate allocation of funds to maintenance. Present evidence to political decision makers to encourage the allocation of appropriate funding to maintenance. 	Convene meeting to reconcile RSDP 3 and URF models	September 2013
				IF ANALYSIS IS AGREED: <ul style="list-style-type: none"> Segment audience Agree messages Define channels 	September 2013
				Meet Minister and further contacts	October 2013
b	Facilitating discussion on managing interim reliance on the Force Account		<ul style="list-style-type: none"> Assist technical government stakeholders to understand the financial, economic and business impact of reliance on the Force Account. Facilitate agreement among stakeholders at the RIC about measures which could be taken to mitigate the impact of interim reliance on the Force Account. Influence political decision-makers to implement mitigation measures. 	A study to establish the respective costs of Force Account vs Contractor maintenance	October/ November 2013
				Research the economic and social impact of Force Account operations on private contractors: <ul style="list-style-type: none"> Collate and synthesise relevant existing documents and research related to Force Account costs, impacts, etc. Conduct structured interviews with a sample of contractors and commissioners to develop case studies of the impact of Force Account on efficiency and viability of private sector contractors. Incorporate the findings of the current review of the utilisation and maintenance condition of the Chinese equipment. Prepare report and presentation for RIC meeting. 	October/ November 2013
				RIC Meeting for analysis and decision making:	December

	Intervention Area	RIC Focal Point (if identified)	Objectives	Activities	Deadline
				<ul style="list-style-type: none"> To assess the findings of the cost study and structured interviews To determine the RIC's position and formulate advice on ways to mitigate the impact of the Force Account and/ or manage the transition from Force Account to contracting To decide next steps for influencing and advocacy around RIC's advice 	2013/ January 2014
				Influencing and advocacy to influence decision-makers to be determined	February/ March 2014
c	Increasing citizen awareness of, and engagement in, road sector service delivery issues	Dr Sam Mutabazi	<ul style="list-style-type: none"> Improve availability of roads sector information to the public. Improve media interest in and capacity for reporting roads sector issues. Improve mechanisms for public engagement with roads sector issues. 	Provide roads sector familiarisation and training for media representatives : <ul style="list-style-type: none"> Identify up to 6 Kampala-based national newspapers and/or widely-circulated current affairs publications. Provide 1 day technical training event for a maximum of 12 editors and selected journalists. 	October/ November 2013
				Package and launch key messages from the RUSS: <ul style="list-style-type: none"> Review RUSS report and develop key messages. Agree key messages with RIC. Prepare publications. Identify target audience for launch of the RUSS Report (including media) Conduct ½ day launch event, hosted by the RIC, for up to 50 guests to include policy makers, transport industry, civil society and media. 	January to March 2014
				Provide support for the development of a coalition of transport sector civil society organisations, including:	October 2013 to

	Intervention Area	RIC Focal Point (if identified)	Objectives	Activities	Deadline
				<ul style="list-style-type: none"> Assisting with the development of strategic and business plans. Assisting with the development of mechanisms to facilitate citizen engagement Assisting with website and other information/communications arrangements. 	October 2014
d	Influencing decision-makers to reduce the scope for briefcase contractors to operate.	Mr Anania Mbabazi Mr Pius Mugerwa	<ul style="list-style-type: none"> Assist decision-makers to consider issues and options to reduce the numbers of briefcase contractors. Influence relevant organisations' decision-makers to improve enforcement of supervision rules and standards. 	<p>Desk research to establish the extent of the problem with briefcase contractors:</p> <ul style="list-style-type: none"> Identify any available statistics or quantitative studies which estimate the scale of the problem Identify any available case studies which illustrate the costs and consequences of desktop contractors bidding for, and winning but not implementing contracts effectively. Present findings to the RIC. <p>Initial consultations to establish the current regulatory situation:</p> <ul style="list-style-type: none"> Who are the key players (e.g., UNRA, UABCEC but possibly also PPDA, ERG, others) Any legal or regulatory requirements which currently or potentially restrict the opportunities for briefcase contractors? What requirements are currently enforced? Is it possible to reinstate existing requirements? Present findings to the RIC. <p>Action will depend on findings.</p> <ul style="list-style-type: none"> Convene meeting of stakeholders to facilitate agreement on way forward. 	<p>November/ December 2013</p> <p>January/ February 2014</p> <p>March / April 2014</p>

	Intervention Area	RIC Focal Point (if identified)	Objectives	Activities	Deadline
				<ul style="list-style-type: none"> The most attractive option would be that UNRA reinstates requirement for bidders to be UNABCEC member s and UNABCEC introduces some form of assessment. There may be other options. 	
e	Influencing decision-makers to improve incentives for accountability (referring in particular to supervision of contracts)	Dr Francis Baziraake	<ul style="list-style-type: none"> Assist decision-makers to identify incentives and disincentives for high quality supervision. Promote the adoption of professional standards and ethics among supervisors. Influence supervising organisations' decision-makers to improve enforcement of supervision rules and standards. 	<p>Initial research to establish:</p> <ul style="list-style-type: none"> Who are the supervisors/surveyors? What mechanisms do the professional bodies (ERG? UIPE? Others?) use to promote and enforce professional standards? What are the employment regulations/procedures/ management guidelines that apply to supervisors? Identify any available statistics or quantitative studies which estimate the scale of the problem and illustrate the costs and consequences of poor supervision. Present findings to the RIC to establish the RIC position and agree next steps. <p>Work to promote adoption of standards and ethics: (dependent on the findings of the initial research)</p> <ul style="list-style-type: none"> Convening the relevant professional bodies to raise the profile of the issue and explore ways of promoting and reinforcing standards. Funding some small scale activities as a pilot – publications, training events, establishing a CoP. <p>Work to improve the balance of incentives for supervisors: (Dependent on the findings of the initial research and</p>	<p>May/ June 2014</p> <p>July to October 2014</p> <p>July to October 2014</p>

	Intervention Area	RIC Focal Point (if identified)	Objectives	Activities	Deadline
				<p>will draw on the outcomes of the review of procedures carried out under c above)</p> <ul style="list-style-type: none"> • A review of the internal UNRA arrangements to identify weak points. • Present findings to the RIC to establish the RIC position and formulate recommendations. • Facilitate discussion with decision-makers. 	
f	Influencing decision-makers to improve aspects of the planning procurement and supervision process to better enable contractors to engage in the roads sector (Includes poor specifications, inability to meet tender criteria, types and size of contracts, stop-go contracting, etc.)	Eng Frederick Lwanga Mr Ben Ssebugga-Kimeze	<ul style="list-style-type: none"> • Assist stakeholders to identify issues with the design, procurement, contracting and monitoring process. • Facilitate agreement among stakeholders at the RIC about measures which could be taken to improve the design, procurement and contracting process and increase contractors ability to engage. • Influence decision-makers to implement improvements. 	<p>A study to:</p> <ul style="list-style-type: none"> • Collate and synthesise existing information about procedures and processes (<i>Scope: programme – design –ITT – Tender evaluation – Award and post-tender negotiations – execution – monitoring – payments</i>) • Map processes and identify issues (<i>drawing on the ASI analysis and Nigel Lightbody?</i>) • Develop text for user- friendly guides on key stages in the process (see g) <p>In parallel, conduct structured interviews with a sample of contractors and commissioners to develop some anecdotal experience of the impact of problems on efficiency and viability of private sector contractors</p> <p>Hold analysis and decision making workshop for RIC members:</p> <ul style="list-style-type: none"> • To assess the findings of the process analysis and case studies • Determine the RIC's position and formulate advice on how best to improve the processes 	<p>April/ May 2014</p> <p>May/June 2014</p> <p>June/ July 2014</p>
g	Providing	Dr Mugisa	Provide user-friendly guidance for	Conditional on the outcomes of activity f above: this	September/

	Intervention Area	RIC Focal Point (if identified)	Objectives	Activities	Deadline
	information to improve private sector confidence in demand-side planning, procurement and supervision	Mr Nicholas Byengoma	potential contractors to improve understanding of how the demand-side systems operate.	<p><i>will only be appropriate if it is apparent that the systems are sufficiently robust</i></p> <ul style="list-style-type: none"> Using the material generated under f above and with input from a focus group of contractors, publish a series of user-friendly guides explaining how the various systems work. 	October 2014
h	Facilitating access to key roads sector reports and materials through a website –based Resource Centre		Create an electronic library of all key documents available on the website.	<p>A combination of collection and technical assessment of the existing reports, papers and other key information relevant to the sector:</p> <ul style="list-style-type: none"> Desk exercise to collate existing documents from donor websites Technical review and selection of the most useful documents This preliminary document list to be shared with other CrossRoads technical specialists to add additional documents. Extended document list shared with Government officials and the RIC for further documents to be added. Final technical review to arrive at final list of documents Structure of resource centre agreed Document synopses prepared Develop resource centre, site, CD and book 	October 2013 to March 2014
i	Developing ideas for sustainability for the RIC		Assist the RIC to consider whether and what future role it might have after CrossRoads	<p>Prepare an options paper for RIC consideration:</p> <ul style="list-style-type: none"> Taking account of the experience of one year of operating the influencing and advocacy role. 	May/June 2014

	Intervention Area	RIC Focal Point (if identified)	Objectives	Activities	Deadline
				<ul style="list-style-type: none"> Presenting examples of possible organisational models. Identifying sustainability issues and options. 	
j	Maintaining the RIC website and building the RIC brand		<ul style="list-style-type: none"> Build and maintain the profile of the RIC Build and maintain the website 	<ul style="list-style-type: none"> Complete website and review and update monthly Produce recognisable products to be used by RIC (note that RIC launch is under RUSS launch – see c) 	Ongoing



Annex 5: Detailed Action Plans for Each Proposed Intervention Area

30 August 2013



ROADS INDUSTRY COUNCIL

Representing Uganda's Road Sector

Contents

Overview of timings.....	3
A. Influencing to improve allocation of funds to road maintenance (Sept to Oct 2013)	4
B. Facilitating discussion on managing interim reliance on Force Account (Oct 2013 to March 2014).....	6
C. Increasing citizen awareness of, and engagement in, road sector service delivery issues (based around RUSS) (Oct 2013 to Oct 2014).....	8
D. Influencing decision makers to reduce the scope for briefcase contractors to operate (Nov 2013 to April 2014)	10
E. Influencing decision-makers to improve incentives for accountability (referring in particular to supervision of contracts) (May 2014 to Oct 2014).....	12
F. Influencing decision makers to improve aspects of the planning, procurement, and supervision process to better enable contractors to engage in the roads sector (April 2014 to July 2014)	14
G. Providing information to improve private sector confidence in demand-side planning, procurement and supervision (Sept to Oct 2014).....	16
H. Facilitating access to key road sector reports and materials through a website-based Resource Centre (Oct 2013 to March 2014)	17
I. Developing ideas for sustainability of RIC (May to June 2014)	19
J. Maintaining the RIC Website and building the RIC brand (intermittent - 8 hours per month) (Sept 2013 to Oct 2014)	20

Overview of timings

Task	Start	End	Dur	2013												2014													
				Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov											
General planning for advocacy	1/9/13	6/11/14	301																										
(A) Influencing to improve allocation of funds to road maintenance (Sept to Oct 2013 - must be ready by 1 Dec for Ugandan budget cycle)	1/9/13	30/10/13	43																										
Uganda budget cycle begins	1/12/13	1/12/13																											
(B) Facilitating discussion on managing interim reliance on Force Account (Oct 2013 to March 2014)	1/10/13	31/3/14	127																										
(C) Increasing citizen awareness of, and engagement in, road sector service delivery issues (based around RUSS) (Oct 2013 to Oct 2014)	1/10/13	30/10/14	275																										
(D) Influencing decision makers to reduce the scope for briefcase contractors to operate (Nov 2013 to April 2014)	1/11/13	30/4/14	124																										
(E) Influencing decision-makers to improve incentives for accountability (referring in particular to supervision of contracts) (May 2014 to Oct 2014)	1/5/14	30/10/14	128																										
(F) Influencing decision makers to improve aspects of the planning, procurement, and supervision process to better enable contractors to engage in the roads sector (includes poor specifications, inability to meet tender criteria, types and size of contracts, stop-go contracting etc.) (April 2014 to July 2014)	1/4/14	31/7/14	84																										
(G) Providing information to improve private sector confidence in demand-side planning, procurement and supervision (Sept to Oct 2014)	1/8/14	6/11/14	69																										
(H) Facilitating access to key road sector reports and materials through a website-based Resource Centre (Oct 2013 to March 2014)	1/10/13	1/4/14	128																										
(I) Developing ideas for sustainability of RIC (May to June 2014)	1/5/14	30/6/14	41																										
(J) Maintaining the RIC Website and building the RIC brand (intermittent - 8 hours per month) (Sept 2013 to Oct 2014)	2/9/13	19/10/14	287																										
DFID 2014 Review	1/5/14	1/5/14																											
End	30/10/14	30/10/14																											

A. Influencing to improve allocation of funds to road maintenance (Sept to Oct 2013)

Description of intervention area

Work to increase stakeholders' awareness of the benefits of undertaking more road maintenance. This work will focus on the government as an audience, as they are the ones that can make changes. Donors and civil society could also be brought in, in order to encourage them to exert their own influence for this goal.

Proposed RIC focal point/figurehead

None yet agreed - RIC should agree RIC member who will lead in this area

Research

Develop an evidence base to demonstrate clearly the issues surrounding allocation to maintenance and the workable ways forward. Agreement on numbers will be key here. Work on this has already begun with the drafting of RIC Issue paper 2.

Output = 8 page summary report for RIC plus full supporting documentation

Objectives

- **Map audience**
- Agree messages related to budget allocation to maintenance [how much should be allocated, over what time period etc.]
- Assist technical government stakeholders to examine the evidence and recommend appropriate allocation of funds to maintenance
- Present evidence to political decision makers to encourage the allocation of appropriate funding to maintenance

Audience overview - audience requires more input from the RIC (mapping exercise)

- UNRA (Chairman, Executive Director and Director of Planning, and Director of Operations)
- MOWT (Minister, Permanent Secretary, Top Management Team)
- MOFPED (Minister, Director of Budget, Transport Desk, Commissioner)
- Uganda Road Fund (Executive Director and Chairman)

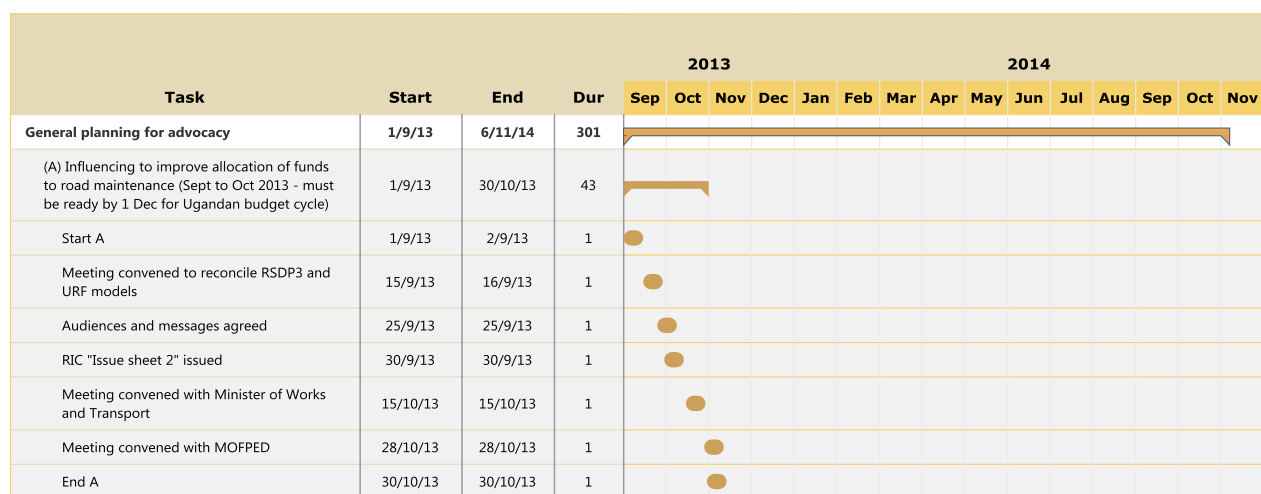
Potential channels/products

- | | |
|--|---------------------------|
| • Newspaper discussion piece | • RIC Website |
| • Report | • Talking head |
| • RIC issue paper (already drafted) | • Working groups/meetings |

Timings

01 September (2013) to 30 October (2013). Note – this must be ready by December 2013 in order to feed into the beginning of the new budget cycle.

Gantt Chart: A. Influencing to improve allocation of funds to road maintenance



B. Facilitating discussion on managing interim reliance on Force Account (Oct 2013 to March 2014)

Description of intervention area

Activities will focus on an examination of the current use of force account, its impact on the sector, options for managing interim reliance on force account and the best ways forward. Key focus is on government officials who can bring about change. But, contractors and media should be included in order to ensure messages don't only come from CrossRoads.

Proposed RIC focal point/figurehead

None yet agreed – RIC should agree RIC member who will lead in this area.

Research

Research to agree actual costs and impacts of force account. This research has begun in CrossRoads on this issue (a ToR has been developed), and the RIC can use that to feed this communications stream.

Output = 8 page summary report for RIC plus full supporting documentation

Objectives

- Map audience
- Agree messages surrounding force account
- Assist technical government stakeholders to understand the financial, economic and business impact of reliance on the Force Account
- Facilitate agreement among the RIC about measures which could be taken to mitigate the impact of interim reliance on the Force Account
- Influence political decision-makers to implement mitigation measures

Audience overview - audience requires more input from the RIC (mapping exercise)

- | | |
|---|--|
| • Contractors held in CrossRoads database | • Uganda Road Fund (Executive Director and Chairman) |
| • Journalists/Newspaper editors | • UNABCEC members |
| • MOFPED (Minister, Director of Budget, Transport Desk, Commissioner) | • UNRA (Chairman, Executive Director and Director of Planning) |
| • MOWT (Minister, Permanent Secretary, Top Management Team) | |

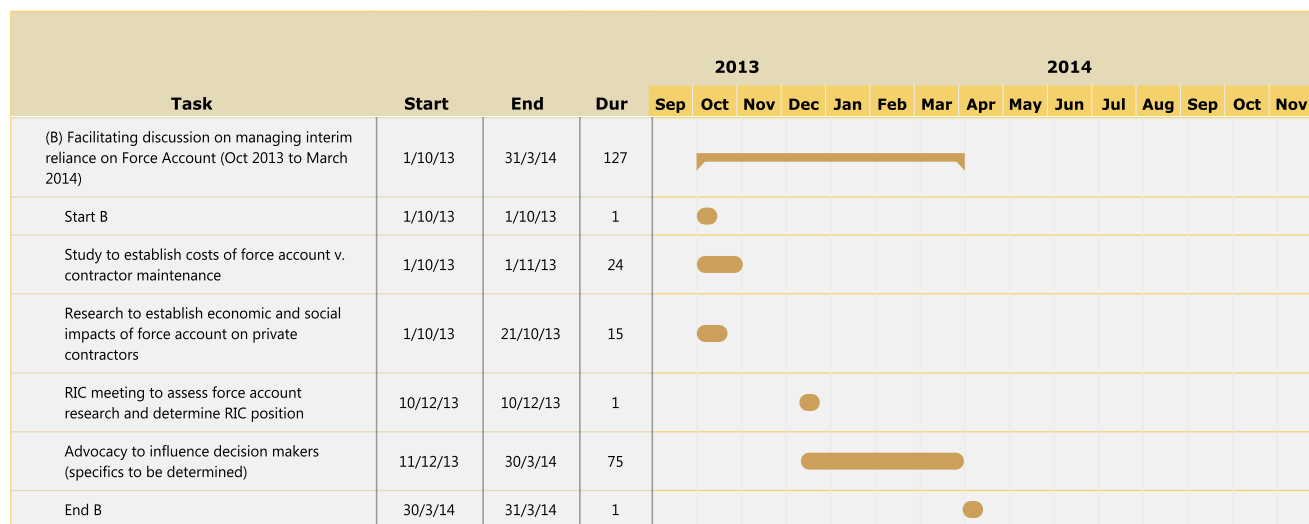
Potential channels/products

- | | |
|-----------------|------------------------------------|
| • Presentations | • RIC Issue paper |
| • Reports | • RIC talking head video/animation |

Timings

Work to begin Oct 2013 and be completed by end of March 2014

Gantt Chart: B. Facilitating discussion on managing interim reliance on Force Account



C. Increasing citizen awareness of, and engagement in, road sector service delivery issues (based around RUSS) (Oct 2013 to Oct 2014)

Description of intervention area

Work to increase citizen awareness of, and engagement with, road sector service delivery issues. Care must be taken to ensure that this work does not result in grass roots demonstrations.

Proposed RIC focal point/figurehead

Sam Mutabazi (ssmutabazi@ric-uganda.com)

Research

Review of RUSS report for evidence.

Output = 1 page summary report on messages for RIC plus full supporting documentation

Objectives

- Map audience
- Develop a coherent set of messages for the campaign
- Present a package of connected service delivery issues to identified stakeholders
- Improve availability of roads sector information to the public
- Improve media interest in, and capacity for, reporting roads sector issues
- Improve mechanisms for public engagement with roads sector issues

Audience overview - audience requires more input from the RIC (mapping exercise)

- Civil society (through civil society coalition – by helping them with communication materials)
- Media/journalists (through training)
- Policy makers (through RUSS Launch)
- Transport industry (Through RUSS Launch)

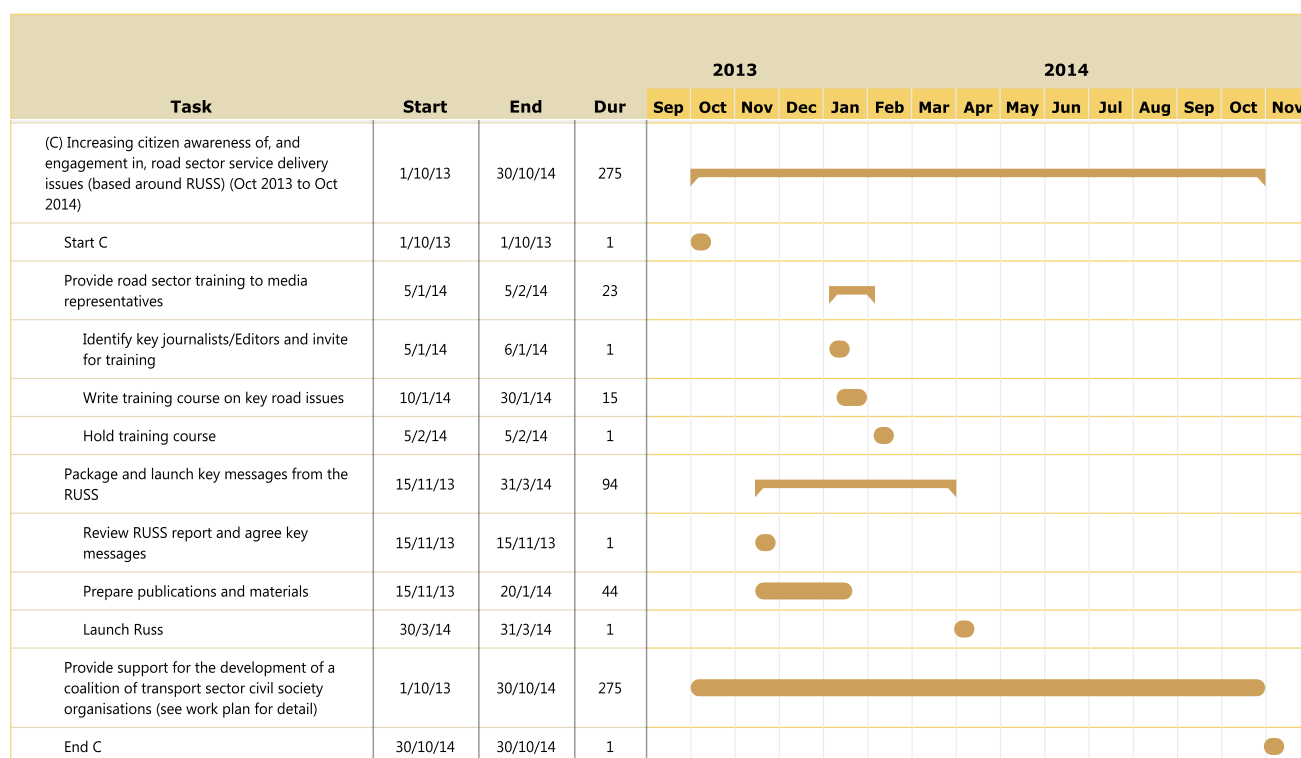
Potential channels/products

- Articles placed in newspaper (advertorials – may not be required)
- Press releases
- Training course for journalists
- RUSS database
- RUSS launch
- Products fed through civil society coalition (press releases, etc.)

Timings

Work to continue throughout year – from October 2013 to October 2014. Note: the RUSS database must be live ready for the launch of the RUSS in March (though hopefully long before)

Gantt chart: C. Increasing citizen awareness of, and engagement in, road sector service delivery issues



D. Influencing decision makers to reduce the scope for briefcase contractors to operate (Nov 2013 to April 2014)

Description of intervention area:

Work **(1)** to ensure that key stakeholders are aware of (a) the benefits of registration and (B) the consequences of not registering and **(2)** to encourage a commitment from contractors to register.

Proposed RIC focal point/figurehead

Anania Mbabazi (ambabazi@ric-uganda.com)

Research

Research to develop an evidence base to demonstrate the extent of briefcase contracting in Uganda and the problems it causes.

Output = 8 page summary report for RIC plus full supporting documentation

Objectives

- Map audience
- Agree messages to be pushed by campaign, including:
 - Encourage UNRA and UNABCEC to bring in stronger registration
 - Encourage contractors to register
 - Ensure that stakeholders understand the benefits of registration
- Assist decision-makers to consider issues and options to reduce the numbers of briefcase contractors
- Influence relevant organisations' decision-makers to improve enforcement of supervision rules and standards

Audience overview – Audience has been mapped by RIC

- | | |
|---|---|
| • District (CEO, Council [Chairperson & Team] District Engineer) | • UNABCEC (Secretariat, New Board) |
| • MOFPED (Minister, Director of Budget, Transport Desk, Commissioner) | • UNRA (Chairman, Executive Director, Director of Planning, Director of Procurement, and Director of Operations, Contracts Committee) |
| • MOWT (Engineering Chief, Minister, Permanent Secretary, PPU, Top Management Team) | • URF Executive (Director and Chairman) |
| • Ministry of Trade and Commerce (Minister) | • UACE (Chairman) |
| • Uganda Road Fund (Executive Director and Chairman) | • UIPE (Council) |
| | • Banking Association |
| | • PPDA (Executive Director) |

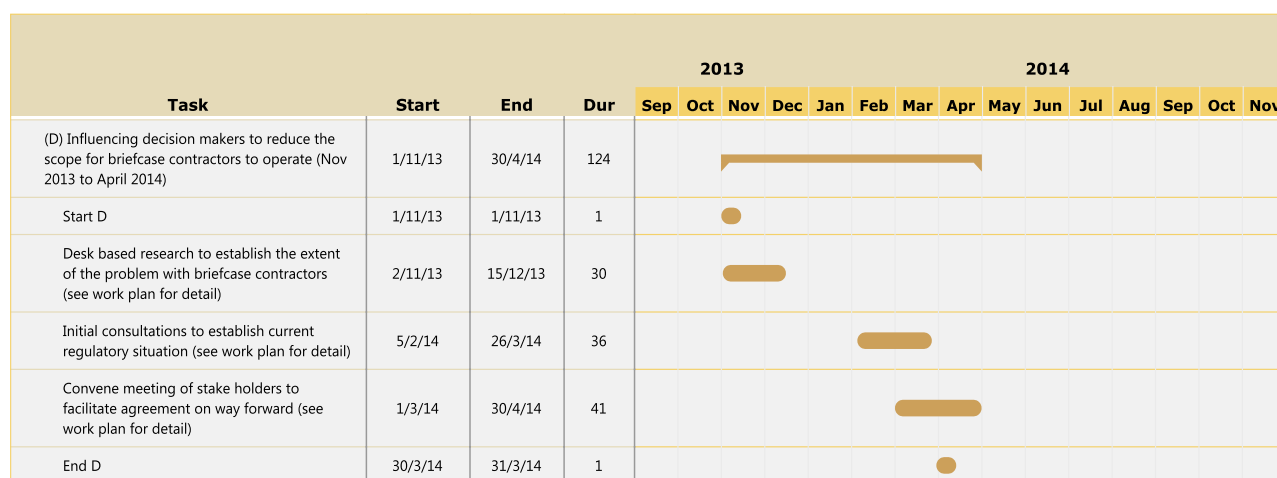
Potential channels/products

- RIC Issues paper to explain difference between briefcase contractors and real contractors and benefits of registration
- Meeting of relevant stakeholders to agree ways forward

Timings

Work to commence in Nov 2013 and be complete by end of April 2014

Gantt Chart: D. Influencing decision makers to reduce the scope for briefcase contractors to operate



E. Influencing decision-makers to improve incentives for accountability (referring in particular to supervision of contracts) (May 2014 to Oct 2014)

Description of intervention area

Work to improve supervisors' focus on the delivery and quality of contracts – with a focus on ensuring that the government lives up to its responsibility to strictly supervise and properly assess delivery.

Proposed RIC focal point/figurehead

Francis Baziraake (fbaziraake@ric-uganda.com)

Research

Research to identify key issues surrounding poor incentive for accountability in the sector, its impacts and the best ways forward.

Output = 8 page summary report for RIC plus full supporting documentation

Objectives

- Map audience
- Assist decision-makers to identify incentives and disincentives for high quality supervision
- Promote the adoption of professional standards and ethics among supervisors
- Influence supervising organisations' decision-makers to improve enforcement of supervision rules and standards

Audience overview - audience requires more input from the RIC (mapping exercise)

- District (CEO, Council [Chairperson & Team] District Engineer]
- MOFPED (Minister, Director of Budget, Transport Desk, Commissioner)
- MOWT (Engineering Chief, Minister, Permanent Secretary, PPU, Top Management Team)
- Ministry of Trade and Commerce (Minister)
- Uganda Road Fund (Executive Director and Chairman)
- UNABCEC (Secretariat, New Board)
- UNRA (Chairman, Executive Director, Director of Planning, Director of Procurement, and Director of Operations, Contracts Committee)
- URF Executive Director and Chairman
- UACE (Chairman)
- UIPE (Council)
- Banking Association
- PPDA (Executive Director)

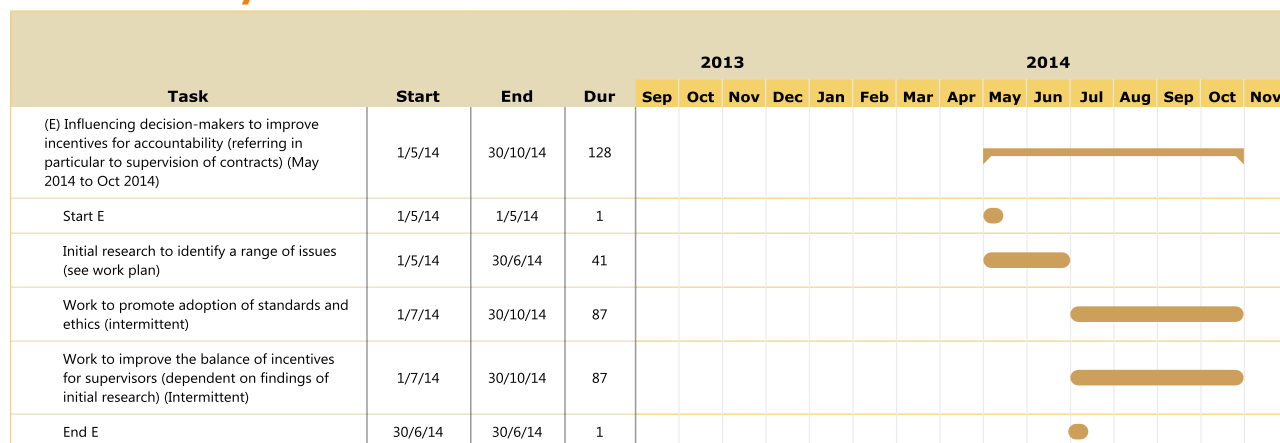
Potential channels/products

- Report
- RIC issue paper
- RIC Website
- Talking head
- Working groups/meetings

Timings

Work to begin in May 2014 and to be complete by the end of October 2014

Gantt chart: E. Influencing decision-makers to improve incentives for accountability



F. Influencing decision makers to improve aspects of the planning, procurement, and supervision process to better enable contractors to engage in the roads sector (April 2014 to July 2014)

Description of intervention area

Raise awareness of the problems and solutions associated with the design, procurement, and contracting process as it affects contractors. This includes poor specifications, inability to meet tender criteria, types and size of contracts, stop-go contracting etc.

Proposed RIC focal points/figureheads

Fred Lwanga (fklwanga@ric-uganda.com) & Ben Ssebbugga (bssebbugga.kimeze@ric-uganda.com)

Research

Research to identify the extent of poor procurement in the sector and its impact.

Output = 8 page summary report for RIC plus full supporting documentation

Objectives

- Develop and distribute materials to increase understanding of the need to improve planning, procurement and supervision procedures.
- Convene meeting(s) of key stakeholders to facilitate understanding of issues and best ways forwards
- Assist stakeholders to identify issues with planning, procurement and supervision
- Facilitate agreement among stakeholders at the RIC about measures which could be taken to improve planning, procurement and supervision processes and increase contractors' ability to engage.
- Influence decision-makers to implement improvements

Audience overview - audience requires more input from the RIC (mapping exercise)

- | | |
|---|---|
| • Donors [name key donors] | • Uganda Road Fund |
| • Other Programmes [name key programmes] | • UNABCEC (Secretariat, New Board) |
| • District (CEO, Council [Chairperson & Team] District Engineer] | • UNRA |
| • MOFPED (Minister, Director of Budget, Transport Desk, Commissioner) | • URF (Executive Director and Chairman) |
| • MOWT | • UACE (Chairman) |
| • Ministry of Trade and Commerce | • UIPE (Council) |
| | • Banking Association |
| | • PPDA (Executive Director) |

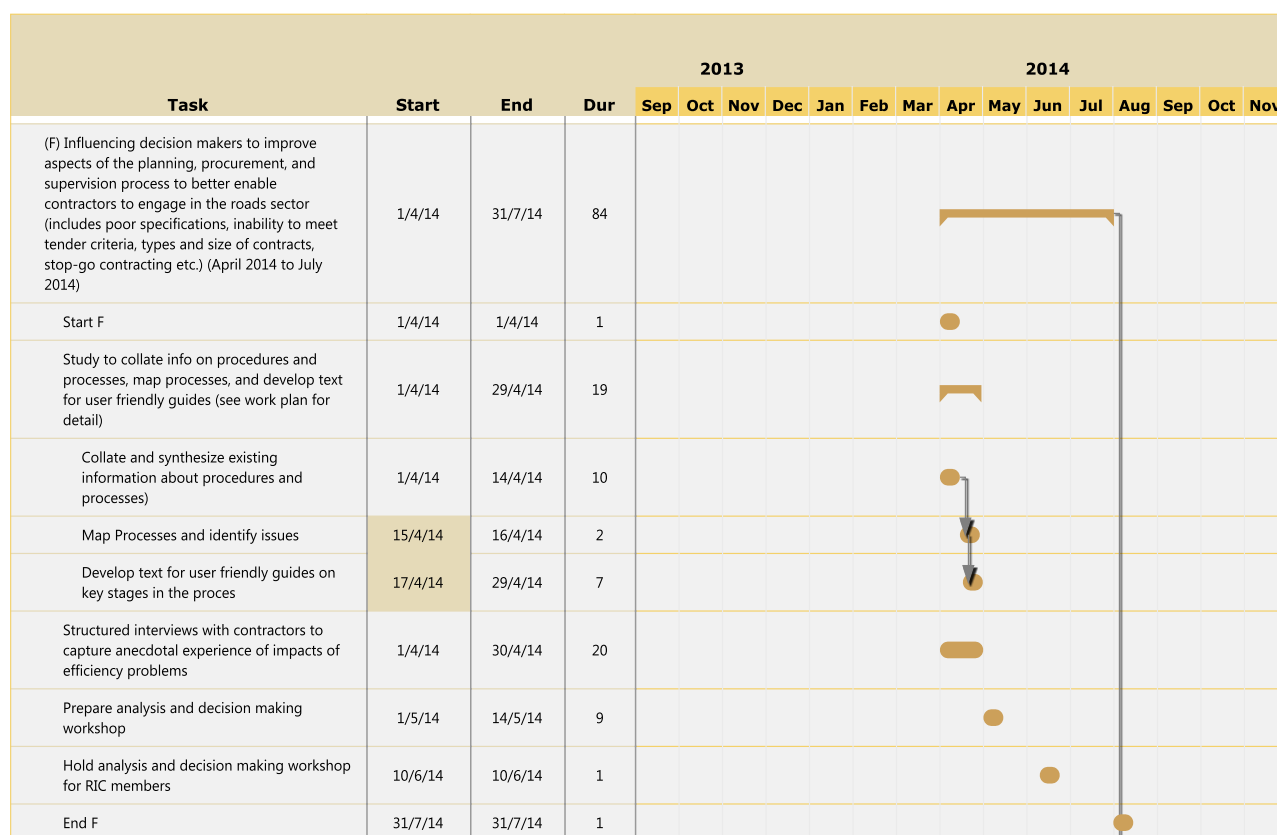
Potential channels/products

- | | |
|------------------------------|---------------------------|
| • Newspaper discussion piece | • RIC Website |
| • Report | • Talking head |
| • RIC issue paper | • Working groups/meetings |

Timings

Work to begin April 2014 and be completed by end of July 2014

Gantt chart: F. Influencing decision makers to improve aspects of the planning, procurement, and supervision process



H. Facilitating access to key road sector reports and materials through a website-based Resource Centre (Oct 2013 to March 2014)

Description of intervention area

Develop a highly searchable archive of key documents available both on and offline. All materials will be summarised in hard copy in order to make it easier for audiences to engage with.

Proposed RIC focal point/figurehead

NA – it was agreed that CrossRoads would lead on this technical piece of work

Research

Desk study to identify reports for the resource centre produced by Donor organisations, followed by technical assessment/review to select key documents for inclusion in the Resource Centre.

Objectives

- Gather together relevant documents and create an electronic library of key documents relating Uganda's road sector
- Contribute to common understanding of issues in the sector
- Provide Stakeholders with easily accessible, high quality information on a range of issues

Audience overview - audience requires more input from the RIC (mapping exercise)

- Other Programmes and donors [name key donors]
- MOFPED (Minister, Director of Budget, Transport Desk, Commissioner)
- MOWT (Engineering Chief, Minister, Permanent Secretary, PPU, Top Management Team)
- Ministry of Trade and Commerce (Minister)
- Uganda Road Fund (Executive Director and Chairman)
- UNABCEC (Secretariat, New Board)
- UNRA (Chairman, Executive Director, Director of Planning, Director of Procurement, and Director of Operations, Contracts Committee)
- URF (Executive Director and Chairman)
- UACE (Chairman)
- UIPE (Council)
- Banking Association
- PPDA (Executive Director)

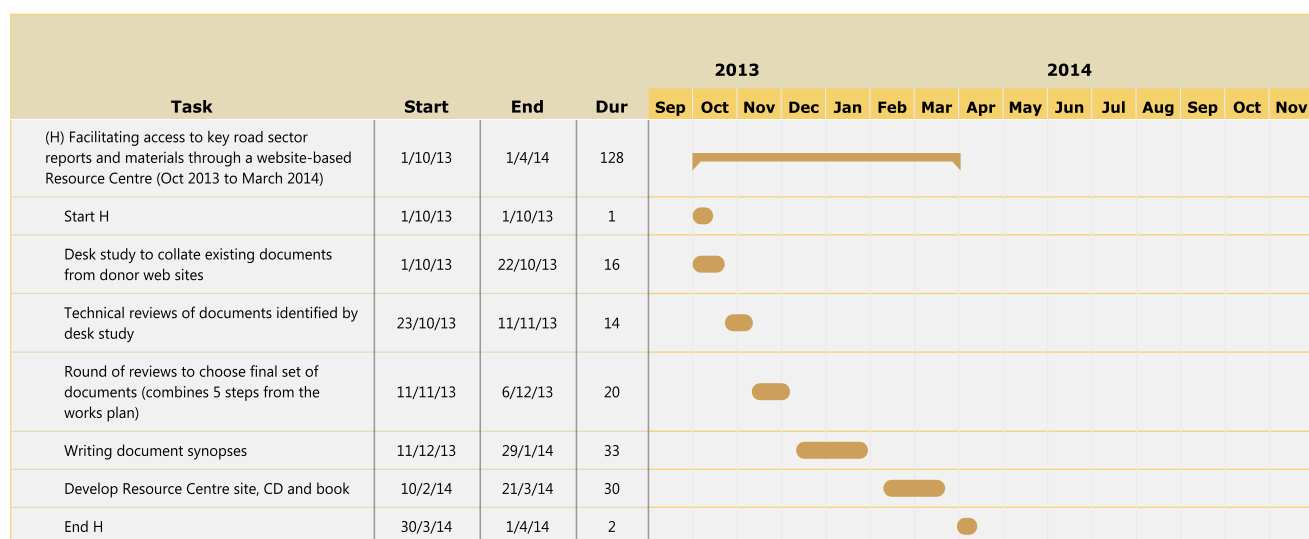
Potential channels/products

- Searchable online library or reports
- CD to allow users to access reports offline
- Booklet providing summary of resource centre contents in hard copy

Timings

Work to begin October 2013 and be completed by the end of March 2014

Gantt chart: H. Facilitating access to key road sector reports and materials through a website-based Resource Centre



I. Developing ideas for sustainability of RIC (May to June 2014)

Description of intervention area:

A short exercise to formerly identify the different options for ensuring that the RIC continues after CrossRoads closes.

Proposed RIC focal point/figurehead

NA – Agreed that CrossRoads would lead on this and present options to the RIC for discussion

Research

Research to identify options used to ensure sustainability of similar groups previously.

Objectives

- Produce an options papers to help the RIC to consider what future role it might have after CrossRoads

Audience overview - audience requires more input from the RIC

- RIC members

Potential channels/products

- RIC option paper

Timings

Work to begin May 2014 and be completed by June 2014.

Gantt chart: I. Developing ideas for sustainability of RIC

Task	Start	End	Dur	2013												2014					
				Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov			
(I) Developing ideas for sustainability of RIC (May to June 2014)	1/5/14	30/6/14	41																		

J. Maintaining the RIC Website and building the RIC brand (intermittent - 8 hours per month) (Sept 2013 to Oct 2014)

Description of intervention area

Day to day work to maintain the RIC brand and ensure that RIC is recognised as a source of trustworthy, useful information.

Proposed RIC focal point

NA – CrossRoads to lead on this

Research

NA

Objectives

- Website: Review and update monthly
- Brand: Produce recognisable products to be used by RIC
- Brand: RIC to be launched under the RUSS launch (see 3. .Increase citizen awareness of road sector service delivery issues)
- Build and maintain the profile of the RIC
- Build and maintain the website

Audience overview - audience requires more input from the RIC

- Contractors held in CrossRoads database
- Donors
- Journalists/Newspaper editors
- MOFPED (Minister, Director of Budget, Transport Desk, Commissioner)
- MOWT (Minister, Permanent Secretary, Top Management Team)
- Uganda civil society
- Uganda government
- Uganda Road Fund (Executive Director and Chairman)
- UNABCEC members
- UNRA (Chairman, Executive Director and Director of Planning)

Potential channels/products

- Web page updates and regular updating of site with new briefing notes, policy briefs etc. produced by/for the RIC. Content from the CrossRoads website should also be transferred to this site.
- Launch event
- Various meetings attended by RIC members (this may require speech writing)

Timings

- Website: to be completed by 30 September 2013. Regular updates to begin thereafter
- Brand: Visual identity – completed

Gant chart: J. Maintaining the RIC Website and building the RIC brand (intermittent - 8 hours per month)

