



**Trainers' Notes**  
Rural Transport Training Materials

# Module 2:

## Planning, Design, Appraisal and Implementation

### Part 1

Community participation in rural transport infrastructure

### Part 2

The Western Uganda road maintenance project:  
A Case Study on community participation

### SESSION 2.6



**SSATP**  
Africa Transport  
Policy Program

<p><b>Session Objectives</b></p>	<p>By the end of the session participants will be able to:</p> <p><b>Technical paper</b></p> <ul style="list-style-type: none"> <li>Define key terms associated with community participation and project steps</li> <li>Critique the factors affecting community participation</li> <li>Describe strategies for increasing community participation in the steps of a RTI project</li> </ul> <p><b>Case study</b></p> <ul style="list-style-type: none"> <li>Explain the community participation components of a road infrastructure project</li> <li>Analyse key lessons that can be drawn from this case study and applied to other countries and/or projects</li> <li>Develop recommendations for improving the community participation aspects of the project</li> </ul>
<p><b>Rural Transport Knowledge Base materials used with this session</b></p>	<p><b>Community Participation in Rural Transport Infrastructure</b> By: IT Transport Ltd.</p> <p><b>The Western Uganda Road Maintenance project: a case study on community participation</b> By: IT Transport Ltd.</p>
<p><b>Training Materials</b></p>	<p><u>Presentations</u></p> <p>2.6a Community Participation in Rural Transport Infrastructure</p> <p>2.6b The Western Uganda Road Maintenance project: a case study on community participation</p> <p><u>Activity Sheets</u></p> <p>44 Types of participation</p> <p>45 Project stages for community participation</p> <p>46 WURMCBP - giving a technical project a 'human face'</p>

<i>Key Topics</i>	<i>Training Methods</i>
<b>Part 1</b>	
<b>1. Introduction</b>	<b>Presentation</b>
<b>2. Definition of terms</b>	
2.1 Background	<b>Presentation, Q &amp; A</b>
2.2 Definitions of a community and RTI	<b>Ranking Game</b>
2.3 Types and levels of participation	<b>Presentation with discussion</b>
<b>3. Factors affecting community participation</b>	<b>Q &amp; A</b>
	<b>Presentation</b>
<b>4. Project steps for community participation</b>	<b>Presentation with discussion</b>
	<b>Group discussion</b>
	<b>Presentation with discussion</b>
<b>Part 2</b>	
<b>5. Case Study</b>	
5.1 Introduction	<b>Presentation</b>
5.2 Background to the project	<b>Presentation</b>
5.3 Community participation component	<b>Presentation</b>
5.4 Reflections on lessons learnt	<b>Case Study Activity</b>
<b>Summary of session 2.6</b>	

## Trainers' Summary

This session is divided into two parts:


**Part 1** is based on the technical paper: **Community Participation in Rural Transport Infrastructure**

**Part 2** is based on the case study: **The Western Uganda Road Maintenance project**







## Session 2.6 Trainers' Notes




### Part 1


## 1. Introduction

<i>Training Methods</i>	<i>Content</i>	<i>Materials</i>
<b>Presentation</b> 	<p>Introduce the first part of session by explaining the learning objectives and session structure.</p> <p>The first part of this session is based on the technical paper: Community Participation in Rural Transport Infrastructure.</p> <p>This part of the session examines community participation in the key stages of RTI projects, and explores strategies for increasing participation. Discussions begin with a review of terminology related to community participation. Finally, ways of ensuring the long term sustainability of community participation is discussed.</p> <p><b>Key Points:</b></p> <p><b>Session Overview Part 1</b></p> <ul style="list-style-type: none"> <li>🌐 Definitions of terms</li> <li>🌐 Factors affecting community participation</li> <li>🌐 Project steps for community participation</li> </ul>	Presentation 2.6a Slides 1 - 5


## 2. Definitions of terms

Training Methods	Content	Materials
<p><b>Presentation</b></p> 	<p><b>2.1 Background</b></p> <p>Explain the background to the increasing use of labour-based method in RTI and therefore the increasing level of participation of communities. Introduce the 'Guidelines for community participation' by IT Transport Ltd.</p> <p><b>Key Points:</b></p> <ul style="list-style-type: none"> <li>  Many roads are commonly built of earth or gravel – but poorly maintained; limiting to low economic growth         </li> <li>  DFID funded the development of 'Guidelines for community participation'           <ul style="list-style-type: none"> <li>✓ aimed at transport planners and engineers wishing to engage communities/ groups in the rehabilitation &amp; maintenance of RTI</li> <li>✓ based on experiences from Kenya, Uganda, Tanzania</li> </ul> </li> </ul>	<p>Presentation 2.6a Slides 6 - 7</p>
<p><b>Q &amp; A</b></p> 	<p><b>2.2 Definitions of a community and RTI</b></p> <ul style="list-style-type: none"> <li>  Review key terms related to community participation. Facilitate the discussion by asking:           <p><i>In what ways is a 'community' defined?</i> <i>What is the nature of community participation in RTI?</i></p> </li> <li>  Note points made by participants on flip chart. The key learning points are listed below.         </li> </ul>	<p>Flip chart, pens</p>



<i>Training Methods</i>	<i>Content</i>	<i>Materials</i>
<p><b>Presentation</b></p> 	<p>Summarise the main points raised in the discussion above using the presentation.</p> <p><b>Key Points</b></p> <ul style="list-style-type: none"> <li>  Communities may be defined in terms of administrative / legal levels, social categories, geographical boundaries </li> <li>  RTI – rural transport infrastructure: the importance of community participation, and problems due to lack of government funding </li> </ul>	<p>Presentation 2.6a Slides 8 - 9</p>

Training Methods	Content	Materials
<p><b>Ranking Game</b></p> 	<h3>2.3 Types and Levels of participation</h3> <p>The purpose of this activity is for participants to define the different types of participation and to consider how these types affect the level of participation of a community in the project cycle.</p> <ul style="list-style-type: none"> <li>Divide participants into groups of 3 or 4. Give each group Activity Sheet 44, and a set of ranking cards.</li> <li>Ask participants to discuss the different types of participation, and to: <p><i>Rank the cards in order of degree of community participation, starting with the lowest level of participation</i></p> </li> <li>Using Q &amp; A to facilitate discussion in the groups, particularly where participants have disagreements -- to explore the topic in some depth. The key learning points are discussed below.</li> </ul> <p><b><u>Trainers' Note</u></b></p> <p><i>This activity needs to be prepared beforehand. Print / write the types of participation, with their definitions on large pieces of card – one participation type + its definition per card. Make enough sets of cards so that participants can work in small groups of 3 or 4 people i.e. for a workshop size of 12 people make 3 sets of cards.</i></p>	<p>Presentation 2.6a Slide 10</p> <p>Activity Sheet 44</p> <p>Sets of ranking cards</p>












<i>Training Methods</i>	<i>Content</i>	<i>Materials</i>
<p><b>Presentation with Discussion</b></p> 	<p>When all groups have finished ranking the types of participation, facilitate a discussion in plenary on the key lessons learnt and the implications of level of community participation for all the stages of the project cycle. Ask questions like:          Why is it important to differentiate the different types of participation?          Why do levels of participation vary within a community?          Who participates and who does not? Why is this?</p> <p><b>Key Points</b></p> <ul style="list-style-type: none"> <li>Levels of community participation range from passive to spontaneous mobilisation.</li> <li>It is important to differentiate the different levels of participation, as this determines the methods that will be used when planning, implementing, monitoring and evaluating roads projects.</li> <li>Different levels of participation may be necessary depending on the type of road works being carried out (more discussion on this below).</li> </ul>	<p>Presentation 2.6a Slide 11</p>






### 3. Factors affecting community participation




Training Methods	Content	Materials
<p><b>Q &amp; A</b></p> 	<ul style="list-style-type: none"> <li>Facilitate a discussion on the wide variety of factors affecting community participation. Facilitate the discussion by asking: <i>What are the factors affecting community participation?</i></li> <li>Note points made by participants on flip chart.</li> </ul>	<p>Flip chart, pens</p>
<p><b>Presentation</b></p> 	<p>Summarise the points made during the discussion above, using the presentation slides.</p> <p><b>Key Points:</b></p> <ul style="list-style-type: none"> <li>The amount of people who will benefit</li> <li>Level of access needed</li> <li>Ability of the community council to enforce local labour-levy by-laws and organise works</li> <li>Previous RTI work and level of consultation with the villagers affects their willingness to participate</li> <li>Construction method</li> </ul>	<p>Presentation 2.6a Slides 12 - 13</p>

## 4. Project steps for community participation

<i>Training Methods</i>	<i>Content</i>	<i>Materials</i>
<p><b>Presentation with Discussion</b></p> 	<p><b>4.1 Overview of Steps for community participation</b></p> <p>Facilitate a discussion on the steps for community participation – focussing the discussion initially only on what the steps are, and the contextual approach i.e. the need for the process to be sustainable. Ask questions like: What are the steps required to ensure community participation in a RTI project?</p> <p><b>Key Points:</b></p> <ul style="list-style-type: none"> <li> Screening</li> <li> Assessment of capacity</li> <li> Organisation forming and linking</li> <li> Planning and design</li> <li> Implementation</li> <li> Monitoring and evaluation</li> <li> Sustainability</li> </ul>	<p>Presentation 2.6a Slides 14 - 15</p>


Training Methods	Content	Materials
<p><b>Group Discussion</b></p> 	<h3>4.2 Exploration of the steps for community participation</h3> <p>The purpose of this activity is to analyse in detail the different components of each of the steps for increasing community participation in RTI projects.</p> <ul style="list-style-type: none"> <li>④ Divide participants into pairs or groups of 3, and give each pair / group Activity Sheet 45</li> <li>④ Explain that each pair / group will work on only <b>one</b> aspect of the process for increasing community participation.</li> <li>④ Ask participants to discuss the following: <ul style="list-style-type: none"> <li>A. <i>What is the purpose of each stage?</i></li> <li>B. <i>What issues should be explored at each stage?</i></li> <li>C. <i>What methods can be used to explore issues?</i></li> </ul> </li> <li>④ Ask participants to prepare their findings on flip chart and to elect a person to present the finding.</li> <li>④ Each group presents their findings to the plenary.</li> <li>④ Facilitate a discussion on the findings and draw out the key learning points. The key learning points are discussed below.</li> </ul>	<p>Presentation 2.6a Slide 16</p> <p>Activity Sheet 45</p> <p>Flip chart, pens</p>






Training Methods	Content	Materials
<p><b>Presentation with Discussion</b></p> 	<p>Facilitate a discussion in plenary, on the issues raised during the activity above, bringing in the Key Points from the technical paper. Ask questions like:          What is the purpose of screening?          What aspects of capacity should be assessed?          Which stakeholder groups should be represented in committees set up to build organisational capacity?          What management issues should be considered?          What do we mean by 'sustainability' in this context?</p> <p><b>Key Points</b></p> <ul style="list-style-type: none"> <li>  <b>Screening</b> <ul style="list-style-type: none"> <li>✓ assess if road is a priority for communities</li> <li>✓ level of participation depends on the type of road works</li> <li>✓ can use quantitative and participatory methods</li> </ul> </li> <li>  <b>Assessment of capacity</b> <ul style="list-style-type: none"> <li>✓ community capacity to carry out activities during, and after the project has ended</li> </ul> </li> <li>  <b>Organisation forming and linking</b> <ul style="list-style-type: none"> <li>✓ community representation is essential</li> <li>✓ clarify role of committees in present structure and legal status</li> <li>✓ may need to revitalise or create new committees</li> </ul> </li> <li>  <b>Planning and design</b> <ul style="list-style-type: none"> <li>✓ physical: community representatives and engineers</li> <li>✓ management: depends on level of community organisation</li> <li>✓ set parameters for implementation during planning phase</li> </ul> </li> </ul> <p><b>Continued...</b></p>	<p>Presentation 2.6a          Slides 17 - 43</p>

Training Methods	Content	Materials
	<p><i>...Continued:</i></p> <p><b>Key Points</b></p> <ul style="list-style-type: none"> <li>  <b>Implementation</b> <ul style="list-style-type: none"> <li>✓ contractors:               <ul style="list-style-type: none"> <li>≈ support smaller contractors with training and seed money</li> <li>≈ establish links between large and smaller contractors</li> </ul> </li> <li>✓ advertising of works: encourage women to apply</li> <li>✓ assessment of tenders: technical and financial basis, plus socio-economic aspects</li> <li>✓ choice of construction technique</li> </ul> </li> <li>  <b>Monitoring and Evaluation</b> <ul style="list-style-type: none"> <li>✓ physical: engineer and community</li> <li>✓ social and economic: household questionnaire</li> <li>✓ community participation: new to may planners and engineers, but more methods will develop as experience is gained</li> </ul> </li> <li>  <b>Sustainability</b> <ul style="list-style-type: none"> <li>✓ continuity of community participation after initial inputs is often neglected</li> <li>✓ routine meetings</li> <li>✓ agenda</li> <li>✓ reporting back to project</li> </ul> </li> </ul>	




## Part 2



# 5. Case Study


<i>Training Methods</i>	<i>Content</i>	<i>Materials</i>
<b>Presentation</b> 	<b>5.1 Introduction</b>  Introduce the second part of this session explaining the objectives with a brief overview of the topics to be covered.  During this part of the session, a case study from western Uganda will be introduced. This provided an example of how rural infrastructure project introduced a community participation component to its activities.  <b>Key Points:</b>  <b>Session Overview Part 2</b> <ul style="list-style-type: none"><li>Background to the project</li><li>Community participation component</li><li>Reflections on lessons learnt</li></ul>	Presentation 2.6b Slides 1 - 3




<i>Training Methods</i>	<i>Content</i>	<i>Materials</i>
<p><b>Presentation</b></p> 	<h2>5.2 Background to the project</h2> <p>Explain the background to the project.</p> <p><b>Key Points:</b></p> <ul style="list-style-type: none"> <li> The Western Uganda Road Maintenance Capacity Building Project (WURMCBP)</li> <li> Set up in 1997, with funding from the Government of Uganda and DFID</li> <li> Goal: promote economic development and reduce poverty in western Uganda</li> <li> Facets of the project include             <ul style="list-style-type: none"> <li>✓ institutional strengthening</li> <li>✓ contractor development</li> <li>✓ technical assistance for rehabilitation</li> </ul> </li> </ul>	<p>Presentation 2.6b Slides 4 - 7</p>



Training Methods	Content	Materials
<p><b>Presentation</b></p> 	<h3>5.3 Community participation component</h3> <p>Explain the background to the project.</p> <p><b>Key Points:</b></p> <ul style="list-style-type: none"> <li>  <b>Framework</b> <ul style="list-style-type: none"> <li>✓ purpose, Aim, Outputs, Activities</li> <li>✓ modes of participation – mainly consultation and information exchange</li> <li>✓ road Committee (RC) - represent the community, chosen through a stakeholders' analysis</li> <li>✓ RC's act as decision making body and conduit for the flow of information to and from the District Engineer.</li> </ul> </li> <li>  <b>Involvement of communities in road improvement design</b> <ul style="list-style-type: none"> <li>✓ RC's role in the initial design and planning process was mainly consultative</li> <li>✓ selection criteria for the project roads</li> <li>✓ based on the amount of traffic volume and socio-economic development potential</li> <li>✓ project activities focussed on traditional technical appraisal requirements. A reasonable approach for both engineers and RCs               <ul style="list-style-type: none"> <li>≈ Engineers find it more efficient to design roads without community participation</li> <li>≈ RC's learn technical aspects of roads</li> <li>≈ engage in <b>informed dialogue</b> with engineers</li> <li>≈ but engineers are not receptive to the empowerment of the RC</li> </ul> </li> <li>✓ but, perceptions of many community members was that government was responsible for the roads, which served the needs to the rich</li> </ul> </li> </ul> <p><b>Continued...</b></p>	<p>Presentation 2.6b Slides 8 - 20</p>

<b>Training Methods</b>	<b>Content</b>	<b>Materials</b>
	<p><i>...Continued:</i></p> <p><b>Key Points</b></p> <ul style="list-style-type: none"> <li>  <b>Employment of local community</b> <ul style="list-style-type: none"> <li>✓ women are employed</li> <li>✓ but limited scope for employment of local people – mainly in labour based works</li> <li>✓ tea estates provide year round employment – so less people available to work on roads</li> </ul> </li> <li>  <b>Effectiveness of road committees (RC)</b> <ul style="list-style-type: none"> <li>✓ represent the community</li> <li>✓ starting block for community participation</li> <li>✓ forestall potential conflicts between roads projects and the roadside residents</li> <li>✓ advocacy forum</li> <li>✓ but the RC's activities: not well known in the community</li> <li>✓ women's participation could be higher and more sustained</li> </ul> </li> </ul>	

Training Methods	Content	Materials
<p><b>Case Study activity in groups</b></p> 	<h3>5.4 Reflections on lessons learnt</h3> <p>The purpose of this activity is to reflect on the experiences of the west Ugandan project, and consider what lessons may be applied to other regions or projects. Participants may also draw on their own experiences to provide suggestions and recommendations for improving the community participation components of the project.</p> <ul style="list-style-type: none"> <li>④ Divide the participants into groups of 4 or 5 people.</li> <li>④ Give each group Activity Sheet 46 and a copy of the full text of the case study.</li> <li>④ Ask participants to discuss the following points: <ul style="list-style-type: none"> <li>A. <i>What key lessons can we draw from this case study to apply to other countries and projects?</i></li> <li>B. <i>What recommendations would you make for improving the community participation component of this project?</i></li> </ul> </li> <li>④ Ask the groups to prepare their findings on flip chart and to elect a person to present the finding.</li> <li>④ Each group presents their findings to the plenary.</li> <li>④ Facilitate a discussion on the findings and draw out the key learning points.</li> </ul>	<p>Presentation 2.6b Slide 21</p> <p>Flip chart, pens</p> <p>Activity sheet 46</p>
	<p><b><u>Trainers' Note</u></b></p> <p><i>There are no right and wrong answers to these questions. Encourage participants to examine a wide range of issues, particularly with regard to the types of participation, and how this may affect the commitment of communities to a project i.e. will a lower level of community participation in planning and decision making lead to a lower level of commitment and sense of ownership by the community? Ask participants to consider what type or types of participation they feel is most appropriate for RTI projects.</i></p>	

<b>Training Methods</b>	<b>Content</b>	<b>Materials</b>
<p><b>Presentation</b></p> 	<p>Conclude the session by highlighting Key Points raised above and making a final comment on the project.</p> <p><b>Key Points</b></p> <ul style="list-style-type: none"> <li>  Government is committed to strengthening institutional capacity for road infrastructure planning and implementation           <ul style="list-style-type: none"> <li>✓ set up an autonomous Road Agency / Authority by July 2000</li> <li>✓ established a Road Agency Formation Unit in April 1998</li> </ul> </li> <li>  Community participation increasingly a cornerstone in social development projects           </li> </ul>	<p>Presentation 2.6b Slide 22</p>
	<p><b>Summary of Session 2.6</b></p> <p>Conclude this session by reviewing the issues explored and the key lessons learnt, highlighting areas that may need further investigation or discussion.</p>	