



SSATP Review of National Transport and Poverty Reduction Strategies

Guidelines

Mary Braithwaite



SSATP Working Paper No. 77

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and Poverty Reduction Strategies**

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PREFACE

The development of a practicable method for undertaking a comparative analysis of transport sector and poverty reduction strategies is an important milestone in a process that has been ongoing since the 2000 Business Meeting and Initial General Assembly of SSATP. Those meetings set in train the SSATP Strategic Review and formulation of new governance arrangements.

The outputs of the Strategic Review amplified demands being expressed by country coordinators for the transport sector to better demonstrate its contribution to poverty reduction and for a move towards a more integrated, programmatic approach within SSATP. The importance of these issues was reaffirmed at the 2002 SSATP Stakeholders' Meeting in Maputo, Mozambique, which established the strategic goal of the Program as ensuring that transport sector strategies are firmly anchored in overarching poverty reduction strategies.

This strategic goal lies at the heart of SSATP Long Term Development Plan (LTDP) 2004 – 2007. Improving the definition of the links between transport and poverty reduction is thus an essential activity in helping SSATP members to enhance the design and implementation of their transport strategies.

In late 2002, SSATP outlined an approach for a comparative assessment by member countries of their transport and poverty reduction strategies, as a first step in aligning transport strategies with poverty reduction goals and in establishing suitably responsive structures for SSATP coordination at country level.

Consultancy services were engaged to design a participatory methodology for the comparative assessment, which was tested out by three countries – Guinea, Rwanda and Tanzania – during the first half of 2003. Reports of the process and outcomes of the national assessments were produced by the three countries, along with an overall report by the coordinating consultant. The results of this “test phase” were presented to and discussed at the 2003 SSATP Stakeholders' Meeting in Kigali, Rwanda. Working groups at the meeting considered the findings, agreed that the process was inherently valuable, and made a number of recommendations for improving the methodology so that the exercise could be continued and extended to a wider group of members during 2004 and beyond.

The revised method was further reviewed by representatives from the three pilot countries and other experts on transport in Africa during a three-day workshop in September 2003 in Belgium. The workshop also considered the way in which the process should be introduced into other SSATP member countries, the proposed follow-up actions in the three pilot countries, and the ways in which country-level SSATP coordination functions could be established.

The current guidelines are thus the fruit of considerable experimentation and verification by people experienced in transport and poverty reduction strategies in sub-Saharan Africa. The aim has been to ensure that the review process is coherent with SSATP Long-Term Development Plan 2004-2007 and is relevant and feasible for SSATP member countries.

By 2007 it is envisaged that all member countries of SSATP will have ensured that their transport strategies are aligned with the national strategy on poverty reduction, leading to a much stronger and more visible contribution of the transport sector to poverty reduction goals.

All SSATP member countries wishing to undertake an assessment of national transport and poverty reduction strategies are urged to follow these guidelines, and also to share their findings and experiences with other member countries. The program will provide financial and technical support to implementing the process described in the guidelines. However, the success of the outcomes will depend not so much on SSATP support as on the knowledge, expertise and commitment of people in SSATP member countries who are concerned to ensure that the transport sector makes its full contribution to poverty reduction goals. We wish you every success in this important endeavor!



Nigel Ings
SSATP Program Manager
November 2003

PART I – OVERVIEW OF THE PROCESS

I.1 SSATP approach

The “anchoring” of transport policies and strategies in national strategies for poverty reduction is the strategic objective of the SSATP Long Term Development Plan (LTDP). The overall aim is to ensure that the transport sector contributes fully to pro-poor growth and poverty reduction in sub-Saharan Africa.

While important initiatives have been developed to ensure that transport infrastructure and services better meet the needs of the poor (e.g. rural rehabilitation and maintenance programs, non-motorized and intermediate means of transport, approaches to infrastructure provision and maintenance that optimize local employment), the LTDP poses a more strategic question: how well do national transport policies and strategies – both on paper and in reality – respond to the objectives and priorities of poverty reduction strategies? For example, to what extent do they contribute to reducing the often-marked regional disparities within SSA countries, or to the objectives of priority social and economic sectors, such as improved maternal health or increased productivity of smallholder agriculture? Are the different needs of key target groups – not only the poor, but also important actors in pro-poor growth – addressed adequately and equitably?

Moreover, how well do policy-makers and decision-takers – public, private and civil society – understand the issues concerning transport and poverty reduction? Is there sufficient awareness amongst those who coordinate and implement poverty reduction and sector strategies of the potentials of transport’s contribution to achieving their objectives? Do transport sector actors fully understand the importance of developing and implementing transport strategies that are fully embedded in poverty reduction? Just as importantly, are the right people involved in the formulation of transport strategies, so that the transport sector genuinely serves the needs of the poor and of priority economic and social sectors?

These questions form the basis for a process, developed by SSATP, which enables SSA countries to carry out a review of the links between their transport and poverty reduction strategies, and to take steps to put into practice the findings and recommendations.

The review process can be carried out at various points in the cycle, for example:

- at the outset of formulating a transport sector strategy, to identify the poverty reduction issues that should be addressed;
- during the revision and updating of the poverty reduction strategy, to ensure that it provides a sufficiently robust framework for the transport sector to align its priorities with poverty reduction goals;

- before finalizing a new transport sector strategy, to verify that it addresses poverty reduction issues thoroughly;
- during implementation of transport strategies, to check that they are responding fully to poverty reduction goals and targets and to enable the necessary adjustments to be made to ongoing programs and initiatives.

I.2 Objectives and outputs of the process

The review process is part of efforts by SSATP and its national and regional partners in sub-Saharan Africa to optimize the contribution of the transport sector to poverty reduction. The **goal** of the review process is that transport sector strategies are fully anchored in national strategies of poverty reduction and pro-poor growth.

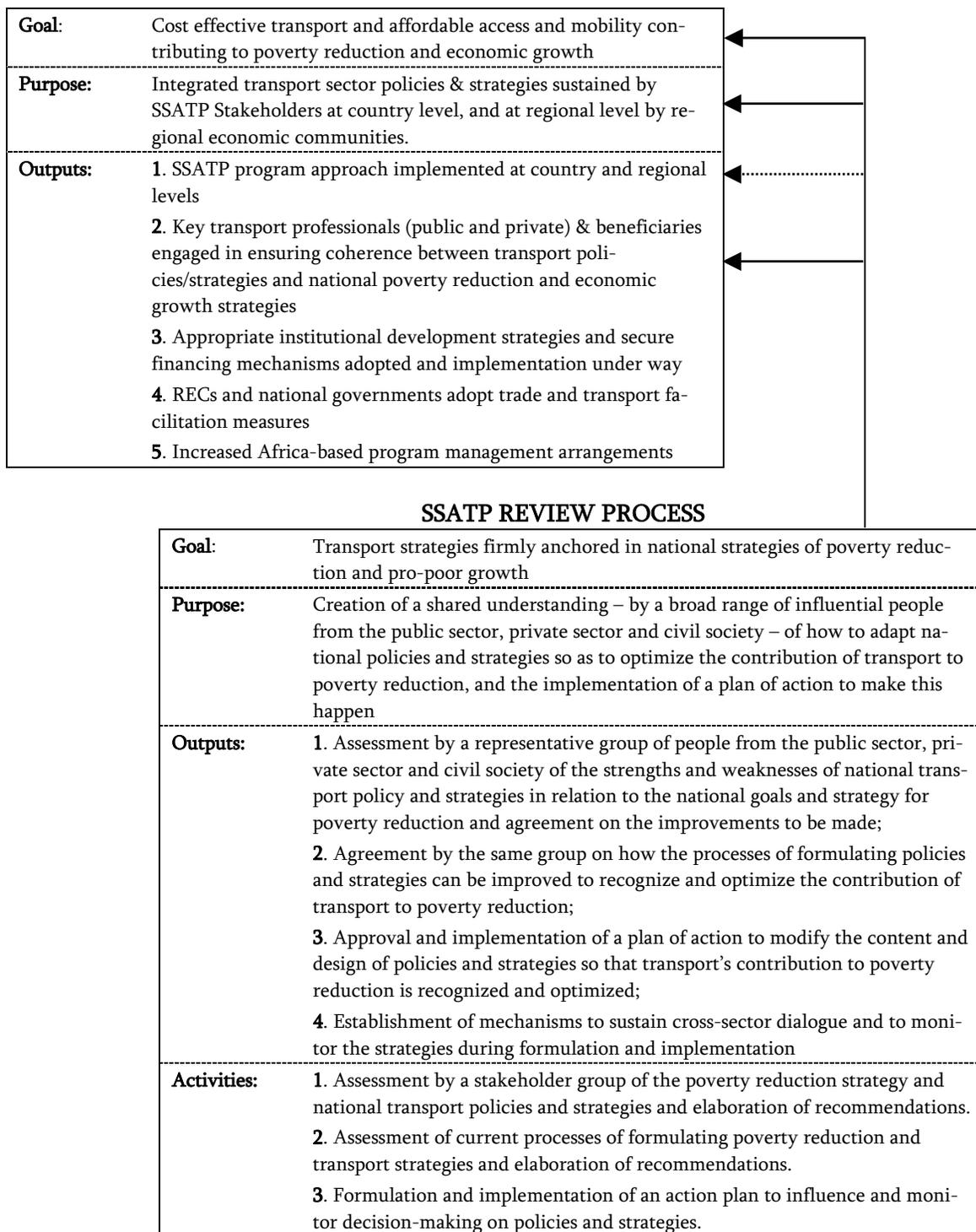
The **purpose** of the process is the creation of a shared understanding – by a broad range of influential people from the public sector, private sector and civil society – of how to ensure that national policies and strategies recognize and optimize the contribution of transport to poverty reduction, and implementation of a plan of action to make this happen.

To achieve this objective, four **outputs** are envisaged:

- Evaluation by a representative group of people from the public sector, private sector and civil society of the strengths and weaknesses of national transport policy and strategies in relation to the national goals and strategy for poverty reduction and agreement on the improvements to be made;
- Agreement by the same group on how the processes of formulating policies and strategies can be improved to optimize and better recognize the contribution of transport to poverty reduction;
- Approval and implementation of a plan of action to modify the content and design of policies and strategies so that transport's contribution to poverty reduction is optimized and visible;
- Establishment of mechanisms to sustain cross-sector dialogue and to monitor the strategies during their implementation.

The activities to achieve these results include a participatory assessment of the coherence between a country's transport policy and strategy and its poverty reduction strategy, and the formulation of recommendations for the creation of a sound strategic basis for optimizing the contribution of the transport sector to poverty reduction. The review process also includes activities to implement the findings and recommendations, including raising the awareness and knowledge of key people about the links between transport and poverty reduction and establishing mechanisms to support dialogue and follow-up in the framework of ongoing programs and sector support initiatives. The role of SSATP is also addressed.

Fig.2: Objectives and outputs of the SSATP Long Term Development Plan and process for reviewing national transport and poverty reduction strategies



I.3 Principles of the process

The process is based on the experiences of participatory processes of decision-making and on the findings of recent studies on the characteristics of good public policy¹. The process rests on a set of principles, which were confirmed by the pilot experiences of Guinea, Rwanda and Tanzania. These principles are important, as they are conditions for the success of the process.

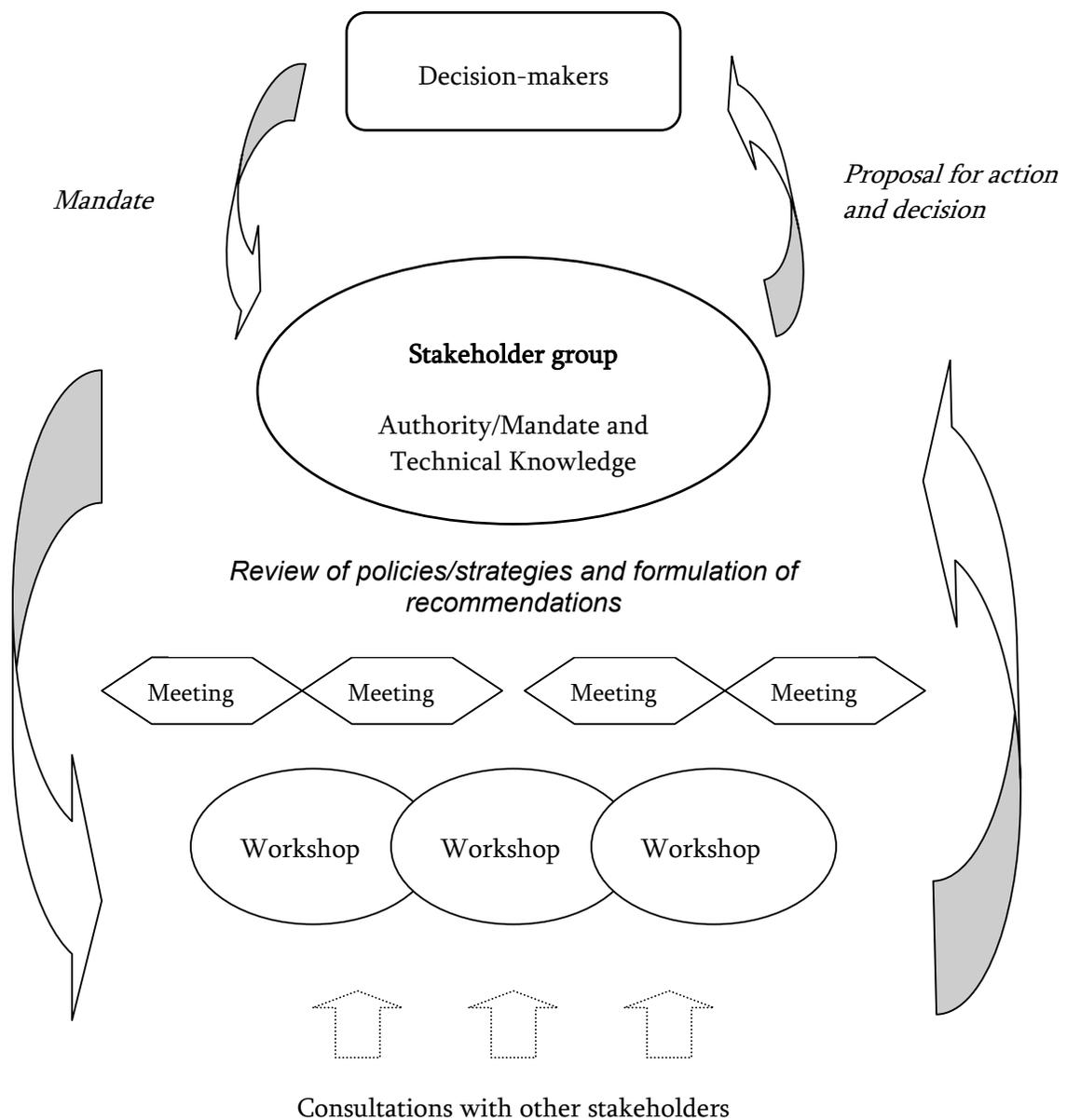
Ownership of the process by people from the countries concerned is a fundamental principle, and is crucial to achieve the intended results. Policy change occurs when those who can influence and make decisions reach a consensus on what changes are required and on how to achieve them. They must be convinced of the importance of the policy change, and have the information and arguments to make it happen. These conditions for policy change can best be created through a shared process of review and analysis, involving people who are knowledgeable about poverty reduction and transport in the country and who have the capacity to influence the design of policies and strategies in these areas. The knowledge and expertise drawn on comes from within the country, thus optimizing the learning value of the process and the ownership of the findings and recommendations.

Broad and balanced representation of the principal sectors and interest groups in the process is vital, to ensure that the findings and recommendations are a fair reflection of the various needs and interests. Representation of the needs of the poor, and of local actors who play a significant role in pro-poor development, is particularly important. Given the range of sectors and interests involved, this principle sets a challenge for the process. But, as the credibility of the results rests firmly on how well the needs and interests of the different sectors and groups are taken into account, this principle is fundamental.

¹ Recent studies show that important criteria for good public policy include: involving a broad range of stakeholders, especially those outside the public service and government, in policy-making and in monitoring and evaluation; improving collaboration between the different agencies and actors responsible for policy design and implementation; ensuring that policies are inclusive and take full account of the needs and experiences of those likely to be affected by them; making use of multiple sources of information and knowledge, both quantitative and qualitative, and including the views and opinions of stakeholders; basing policy on a sufficiently comprehensive understanding of the situation and a widely shared vision of what needs to be done; and quick and timely learning, so that appropriate changes can be made. Sources: Australian Public Policy Research Network (2002), *Report on the inaugural online discussion – what is good public policy?* www.apprn.org; Gaster, L. and Squires, A. (2003), *Providing Quality in the Public Sector: A Practical Approach to Improving Public Services*, Open University Press; Kaufmann, D. Kraay, A. and Zoido-Lobaton, P. (1999), *Governance Matters*, World Bank Working Paper No.2196, <http://econ.worldbank.org/docs/919.pdf>; Ministry of Justice Sweden (2000), *Public Administration in the Service of Democracy: an Action Programme*, Swedish Government Office, Stockholm, www.justitie.regeringen.se; UK Cabinet Office (2001), *Better Policy Delivery and Design: A Discussion Paper*, Performance and Innovation Unit, London, www.pm.gov.uk/files/pdf/betterpolicy.pdf.

Good *facilitation* and the use of *participatory methods* are necessary elements of the process. These help to ensure that all views are heard equitably, that the analysis is well structured and robust, and that the findings and recommendations reflect a genuine consensus amongst the people involved. The creation of an atmosphere of *positive but critical reflection* is important, so that the people involved feel free to identify weaknesses where they exist, and to propose new approaches and solutions even if they challenge the “status quo”. It is also important that the findings and recommendations are documented fully and accurately, so that there is the maximum support for follow-up action.

Fig.3: Main elements of the review process



I.4 The review process outlined

The review process is carried out in three phases.

1. Preparation

The preparatory phase is undertaken by a small steering group of leading representatives from the transport sector and poverty reduction strategy. Activities during this phase are: obtaining official support for the review process; undertaking a stakeholder analysis and selecting the participants who will carry out the review; drawing up a work program of the review process; and securing the technical and financial inputs. An application for financial support can be made to SSATP.

The preparatory phase is described in Part II of these guidelines.

2. Review of strategies and formulation of recommendations

The main review of poverty reduction and transport strategies is then carried out. The selected participants form a stakeholder group and, guided by a facilitation team, jointly assess the country's poverty reduction and transport strategies in a series of three workshops. Meetings with other stakeholders may also be organized, to feed in additional experiences and ideas. A structured process of analysis and reflection is used, leading to recommendations on the improvements that need to be made to align transport strategies with poverty reduction goals. The findings of the assessment, and the conclusions and recommendations reached by the group, are recorded carefully along the way.

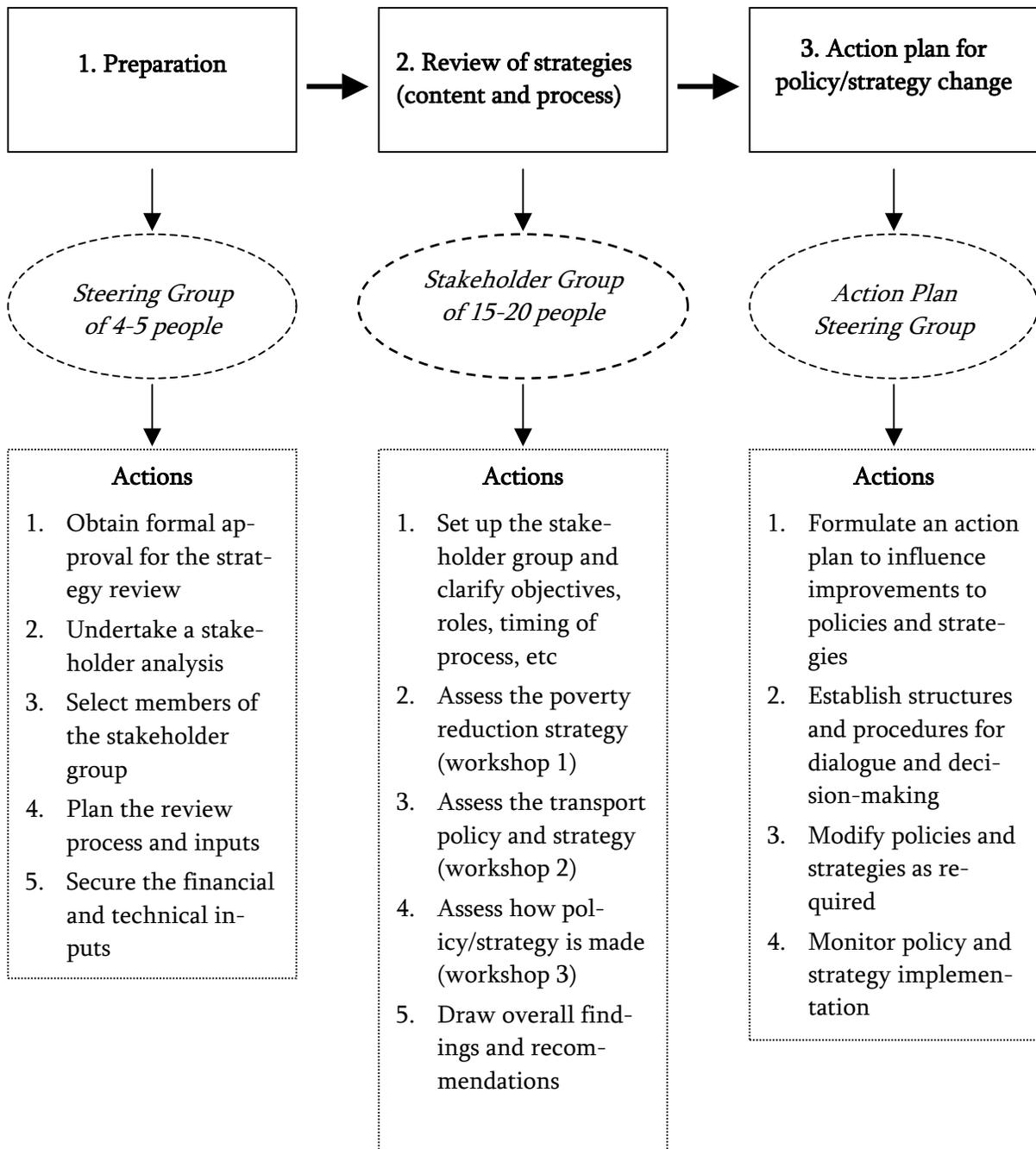
The main review phase is described in Part III of these guidelines.

3. Implementation of an action plan to influence implementation of the recommendations

During this phase, an action plan is formulated and implemented by a steering group, to bring about the recommended changes to policies and strategies. The activities will vary from country to country, but may involve awareness-raising actions to convince decision-makers that adaptations are needed to policies and strategies, and media campaigns to inform the wider public about the importance of transport to poverty reduction. Changes to the structures and procedures for dialogue and decision-making on transport policies and strategies may also be involved, including changes to the role and functioning of SSATP in the country, to support the anchoring of transport strategies in poverty reduction.

Part IV of these guidelines outlines the main elements of an action plan, and gives some examples of activities that might be carried out.

Fig.4. The phases of the review process



I.5 Scope of the method: what it can and can't do

The process described in these guidelines is designed for the appraisal of policy and strategy documents, and more particularly for making a comparative assessment of the “match” between strategies. The core of the process is an assessment of the connections, as well as the gaps or mismatches, between a country’s transport policy and strategy and its poverty reduction strategy, in terms of content and the processes of formulation. The review process includes an assessment of the treatment of issues of access and mobility within poverty reduction strategies, and of transport’s intended contribution to poverty reduction and pro-poor growth.

The process is designed with the principles of good policy-making in mind, as well as the situations faced in sub-Saharan countries. The process aims to be robust, but also takes into account the inevitable constraints on the time, money and information that are available.

The process does not try to assess all the available evidence. Nor does it involve obtaining new data. Instead the aim is to achieve sufficient knowledge and agreement amongst stakeholders on the strengths and weaknesses of current policy and strategies, and on how to go forward.

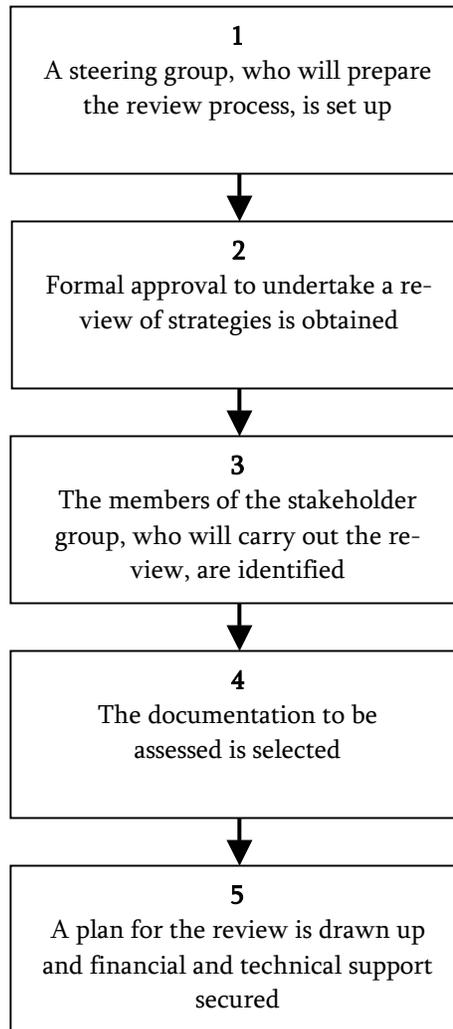
The focus is on national policy or strategies and on the actors and mechanisms that formulate and manage them. Information from the local level – such as the findings of surveys, appraisals and evaluations – can be brought in as part of the background documentation consulted, to illustrate particular aspects or issues. The process is therefore complementary to – but does not replace – other “knowledge-generating” instruments, such as participatory poverty research, public consultations, surveys, rapid appraisals or evaluations of impact.

Although the process does not include the collection of additional information and data, it may well highlight gaps in the evidence. Recommendations emerging from the review process may include improvement of the evidence-base, through specific studies or surveys.

The process is not designed for assessing the coherence between transport strategy and individual sector strategies, such as health, education or agriculture. However, since some SSA countries are in the process of formulating sector-specific strategies within the broader framework of their poverty reduction strategy (so as to provide more operational frameworks for sector investments and actions), such an assessment may be useful as a subsequent step in analysis, especially for priority social or economic sectors. This would enable specific links to be explored in greater depth than the current review process can achieve.

PART II – PREPARING THE REVIEW PROCESS

The preparatory phase establishes the foundations for a successful review process. Five actions are envisaged in this phase:



II.1 Establish the steering group

The very first step is to create a small team to prepare and steer the review process. An appropriate composition for the team is four to five individuals, who are leaders in the country's poverty reduction strategy and transport sector policy. The members of the steering group should be willing and able to allocate time to participate in several working meetings, and to help in preparing the proposal for the review process. They should also be senior enough within government to be able to champion formal government adoption of the action plan that will be a principal output of the process.

The convener and coordinator of the steering group might be a senior official involved in transport planning, or – if more appropriate – a senior official involved in national planning or in the national poverty reduction strategy.

Fig.5: Suggested composition of the steering group

- One senior planning official from Ministry of Transport and/or Ministry of Infrastructure/Public Works
- Senior official responsible for the national Poverty Reduction Strategy
- Leading civil society representative, representing the interests of the poor
- Leading private sector representative, representing transport sector interests
- Leading representative of priority economic sector/s with an interest in transport and poverty reduction issues

II.2 Obtain formal approval to undertake the review

Obtaining the agreement of the Government on the principle of conducting a review of policies and strategies on transport and poverty reduction – following SSATP's approach - is important. This engages them in the process, gives a message to the participants about the significance of the review process and can help to release public resources and personnel for the review. If the approval of other institutions or bodies is useful (e.g. transport sector forum or committee) this should also be obtained. Needless to say, the approval of the Government or other bodies does not mean that they then control the review process or determine the outcomes: an open approach that listens to, and takes into account, all stakeholder views is vital to ensure.

II.3 Undertake a stakeholder analysis and select the participants

One of the most important aspects of the review process is balanced representation of the various sectors, issues and interest groups concerned by transport and poverty reduction. The credibility and effectiveness of the review rests strongly on this.

To select the participants to the review process, a stakeholder analysis is required. This identifies all the actors concerned by the issues of transport and poverty reduction. From this, the members of the stakeholder group who will carry out the review process can be identified, as well as other stakeholders who might be consulted at specific moments in the process.

If information on the stakeholders concerned by transport and poverty reduction in the country is not already available, a stakeholder analysis should be conducted. This can be undertaken by the steering group, although it may be useful to enlist the support of someone in the country experienced in stakeholder analyses (this might be a facilitator, local consultant or NGO with knowledge of participatory processes and of the issues and sectors concerned).

A stakeholder workshop, to raise public awareness of the review process and to invite interested representatives of the various sectors and interest groups to be involved in the review, could also be organized, if time and resources allow.

The stakeholder analysis and the selection of participants is undertaken as follows:

a. Identify the issues, people and groups involved in poverty reduction and transport

Read through the main documents relating to the poverty reduction strategy and transport policy and strategy and identify all the issues referred to, as well as the people and groups concerned by these issues. Make a list of these issues, people and groups – the list is likely to be very long! The matrix in Fig.6 will help to organize this information.

b. Identify the organizations and associations that represent their interests

For each issue and group of people, identify the main institutions, agencies or associations (public, private and civil society) that represent these issues and interests and list them correspondingly in the matrix. These are the stakeholders. Do not forget to include any organizations that represent the specific interests of women in particular sectors (e.g. national association of female entrepreneurs under “economic/private sector”). Some research may be needed to identify relevant representative institutions and agencies for some issues if these are not well known to the steering group.

Fig.6: Matrix for identifying stakeholders

	Issues/ people/ groups	Bodies/ organizations representing these issues/groups	
Economic sectors (e.g. <i>smallholder agriculture, commercial agriculture, fishing, mining, tourism, etc.</i>)	-	Public sector/ Government	-
	-	Private sector	-
	-	Civil society / in- formal sector	-
Social sectors (e.g. <i>health, education, housing, etc</i>)	-	Public sector/ Government	-
	-	Private sector	-
	-	Civil society	-
Transport sectors (<i>covering all sub-sectors and including operators and users</i>)	-	Public sector/ Government	-
	-	Private sector	-
	-	Civil society / In- formal sector	-
Priority population groups (e.g. <i>rural and urban poor, landless, women, elderly, young, etc</i>)	-	Public sector/ Government	-
	-	Private sector	-
	-	Civil society	-
General or cross-cutting issues (e.g. <i>governance, decentralization, HIV/AIDS, gender equality, employment creation and labor standards, etc.</i>)	-	Public sector/ Government	-
	-	Private sector	-
	-	Civil society / In- formal sector	-
Other interested groups in the country (e.g. <i>media, MPs, researchers, funding agencies, etc</i>)			-

c. Select the members of the stakeholder group to achieve a broad and balanced representation of interests

From the list of stakeholders, select the members of the stakeholder group who will carry out the review. The stakeholder group should represent in a balanced way the main interest groups, especially the priority economic and social sectors, priority population groups targeted by the poverty reduction strategy and the various transport sectors (infrastructure and services). A balance should be sought between public sector, private sector and civil society representatives, and there should be adequate representation of gender interests.

The people selected to be members of the stakeholder group should be those who can best contribute to a thorough assessment of the policies and strategies. They should also be capable of taking forward any recommendations resulting from the assessment, so must be at a sufficiently senior level to have an influence.

15-20 people are suggested for the stakeholder group (if less than 15 some key sectors and interests may not be represented; if more than 20 the group will be more demanding to manage).

The selected people can then be contacted, and invited to participate in the group and review process². If any of them cannot participate, suitable alternatives can be identified from the list of stakeholders.

d. Identify other stakeholders that may be consulted during the review process

Other institutions, agencies and associations not included in the stakeholder group but considered to be important players can also be identified. These may be contacted during the assessment process for involvement in specific discussions, or might be consulted by questionnaire if a broader representation of views and interests is considered useful.

The list of stakeholders drawn up during the preparatory phase may not be definitive. As the review process proceeds, other stakeholders may be identified and added to the list.

The complete list of stakeholders will be of use not only during the review process, but also following the completion of the review, when actions are taken to disseminate the findings and to influence decisions on future policies and strategies.

² Draft Terms of Reference for members of the stakeholder group are presented in Annex 1; these may be useful for discussions with the proposed members of the stakeholder group about their roles and responsibilities in the review process.

II.4 Select the documentation to be assessed

Selecting the documents to be used in the review process is the next step in the preparatory phase. While it is important not to overload the participants (the review process must be feasible, and take into account capacities and time available), making good use of key documents and background material is important to the quality of the assessment and findings. A good balance will need to be established in the quantity of information used (not too little, not too much), so that the key aspects are addressed and the interest and involvement of the stakeholders is maintained.

The documents and material to be used in the review should be identified and a “list of documents and resources” drawn up. A complete set can be assembled at this point, ready for their use in the review process.

Fig.7: Types of documents that should or could be used in the review

Documents that **must** be reviewed and used:

- Policy and strategy documents on transport and poverty reduction – these are the main focus of the review;
- Program documents and documents on budgets and expenditure – these provide vital information on how policies and strategies are being interpreted and implemented and will also be important to take into account in the review
- Maps and other data, especially of the transport network and incidence of poverty.

Documents that can provide useful background information:

- Strategies or programs of specific sectors, e.g. priority social and productive sectors, or concerning key aspects such as local government decentralization, institutional and tax reform or governance – these might be useful at specific points in the review process;
- Reviews, studies and evaluations – these may be useful to provide background information on issues to be addressed and on progress on the ground. Reports of workshops or seminars on transport and poverty might also be useful;
- Background material, such as the transport chapter of the PRSP Source Book, to provide participants with an idea of possible issues. See Annex 4 for some useful sources of background material.

II.5 Plan the review process and secure financial and technical support

Drawing up a plan of the review process and securing the technical and financial support required are the final steps in the preparatory phase.

The general process for carrying out the review is described in Part III of these guidelines. Decisions should be taken on precisely how, when and where to implement the review process. A work plan should be prepared, describing:

- The activities to be undertaken;
- The proposed timing of the various activities; and
- The people who will be responsible and involved.

The financial and technical support that will be required should also be identified, including:

- The engagement of a facilitator and resource person to facilitate and record the meetings and workshops (see below);
- Logistical support, for example to copy and distribute relevant documentation, help organize travel and accommodation of participants, the organization of meetings and workshops, etc;
- The financial costs and sources of funding.

Facilitation and technical support

Good facilitation support is vital to the success of the review process, so early identification of an appropriately skilled facilitator is strongly advised. He or she can assist with the stakeholder analysis and can advise on the application of the method and on the timing and organization of the review process, etc.

A good facilitator combines a range of skills and knowledge (see Fig.8). It may be difficult to find all these skills and knowledge in one person. In this case, engaging two consultants who will work together as a facilitation team could be a better solution.

One option may be to combine one person who is an excellent facilitator of participatory workshops, and knows how to use visualization techniques, with a “technical resource person”. This might be a university researcher or lecturer, who has a good grounding in the issues, but is a neutral party, and who has excellent analytical skills and is able to prompt the analysis with well-timed and appropriate questions and feedback. However, it is very important that the resource person does not take over the analysis, but acts merely to support the stakeholder group in their work.

Fig 8: Skills and experience of the facilitator

The facilitator must:

- Be an excellent animator of group discussions and have solid experience of workshop organization and facilitation;
- Know how to facilitate participatory processes of assessment and planning using Metaplan³ visualization techniques;
- Have good understanding of poverty reduction and transport issues;
- Be able to prompt participants to go deeper into specific aspects and to report accurately on the proceedings;
- Be a neutral party, able to represent all issues and interests equally.
- Draft Terms of reference for the facilitation services are contained in Annex 2.

Financial support

If external financial support is needed, the final preparatory step will be to prepare and submit a proposal to SSATP or to another funding body.

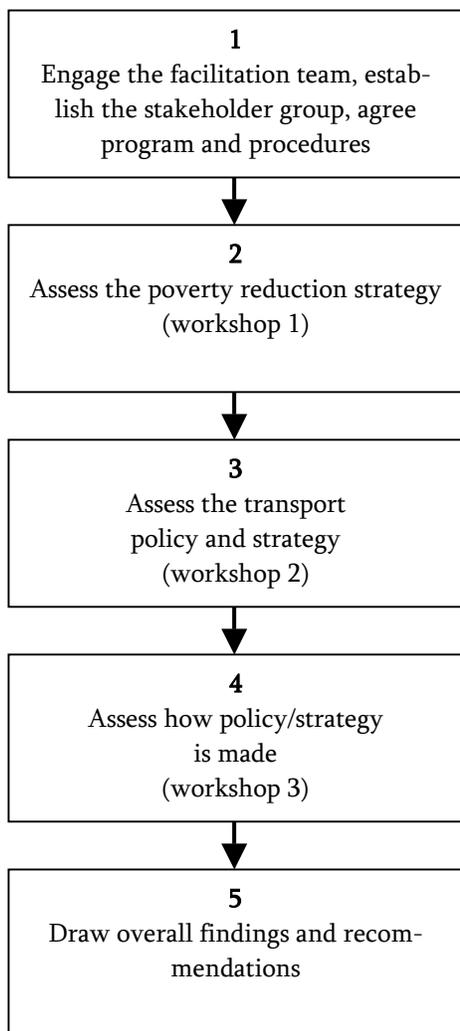
Fig.9 Possible elements of a proposal to carry out a review

1. Identity of country and agency making the proposal
2. Explanation of the purpose of the review: why will it be useful for the country?
3. Outline of the preparatory steps that have been or will be undertaken, including the stakeholder analysis and selection of documentation
4. Information on the participants:
 - 4.1 Membership of the steering group
 - 4.2 Membership of the stakeholder group who will carry out the review or, if not yet established, information on how it will be set up
 - 4.3 A list of other stakeholders that may be consulted during the review process
5. Outline of the proposed review process, listing the main activities and time schedule
6. Arrangements made for facilitation support
7. Budget and funding required

³ Metaplan is a technique of visualization that uses large sheets of brown paper attached to walls or boards, colored cards and marker pens. Information is written clearly on the cards, which are then attached – by masking tape or pins – to the charts.

PART III – PROCESS FOR REVIEWING POVERTY REDUCTION AND TRANSPORT STRATEGIES

The process for reviewing national poverty reduction and transport strategies proceeds in six steps:



III.1 Engage the facilitation team, establish the stakeholder group and agree on program and procedures

These preliminary actions establish a solid foundation for the review process. The aim is to ensure that the members of the stakeholder group and the facilitation team understand their roles and terms of participation in the review process, agree to the schedule of activities, and get ready to participate in the assessment workshops.

Engage the facilitation team

A first step is to engage the facilitation team; this may be a single facilitator with all the required skills and knowledge, or a two-person team comprising an experienced workshop facilitator and a resource person with subject knowledge and analytical skills (see II.5). Draft ToR for the facilitation services are presented in Annex 2; these can be used to draw up the contract with the facilitation team.

Organize the documentation

A first task for the facilitation team is to organize the documentation for the review process. A decision will have been taken during the preparatory phase on what documentation is to be reviewed and used (see II.4 and Fig.7). The documentation should now be assembled, and copies of the key documents made.

Each member of the stakeholder group should have his or her own set of key documents (i.e. those that will be reviewed), which can be provided to them at the first meeting of the stakeholder group.

For the background documentation, it may be sufficient to have just one or two sets prepared, which will be made available for consultation during the review process meetings and workshops.

Hold a meeting of the stakeholder group

The members of the stakeholder group will have been identified during the preparation of the review process (see II.3). They should now be contacted and invited to participate in a first meeting of the stakeholder group.

The first meeting of the stakeholder group and the facilitation team discusses and clarifies the following issues:

- The purpose and expected outcomes of the review;

- The roles and responsibilities of the members of the stakeholder group⁴ and the facilitation team;
- The terms and conditions of participation of the members of the stakeholder group in the review process;
- The program of the review process, especially the location and timing of the workshops and meetings, so as to ensure that all members of the stakeholder group can participate;
- How to organize the reading of the documentation before the assessment workshops (see below);
- Any other issues relating to the organization and functioning of the review process.

Location of meetings and workshops

The locations chosen for the meetings and workshops will depend partly on their accessibility for the participants and also on the budget available. Meetings of the stakeholder group might be held at the premises of one or some of the participants.

The workshops should be organized in an accessible location with simple but practical workshop facilities. A light and spacious meeting room with extensive wall space on which paper charts can be fixed is ideal. Seating should not be fixed; it must be possible to move chairs and tables in different arrangements. Training centers, for example of commercial banks or research institutes, often offer appropriate and inexpensive facilities.

Reading of the documentation

Prior to the assessment workshops, it is necessary for all the members of the stakeholder group to read the key documents concerned (e.g. the poverty reduction strategy prior to the first workshop and the transport policy/strategy prior to the second). This enables the workshop time to be used to maximum effect.

In addition, it may be helpful to divide the stakeholder group into small “task teams”, each of which takes responsibility for a more detailed reading of particular documents or sections of documents. This too will help to make effective use of the workshop time, and to improve the depth of the assessment. Suggestions for how to share out the reading of the documentation are given in the descriptions of process of the three workshops.

⁴ Draft ToR for the members of the stakeholder group are presented in Annex 1.

III.2 Assess the poverty reduction strategy

Assessment of the poverty reduction strategy is the first analytical step in the review process. This lays the basis for the subsequent review of the transport policy and strategies, which are assessed in the light of the analysis of the poverty reduction strategy. The assessment of the poverty reduction strategy is undertaken by the stakeholder group in a workshop lasting one to two days.

The objectives of the assessment

The aims of the assessment of the poverty reduction strategy are to provide all members of the stakeholder group with a shared and comprehensive understanding of:

- The national poverty reduction strategy. This includes the goals and objectives, the challenges faced, the priority population groups targeted, the strategies and interventions planned for the key social and economic sectors, and the cross-cutting issues to be addressed by all sectors⁵;
- How problems and issues relating to transport infrastructure and services – such as access to social services and economic opportunities, mobility and cost of transport services for the poor – are addressed in the poverty reduction strategy.

Establish the duration of the workshop

The duration of the workshop will depend to some extent on the availability of the members of the stakeholder group and the budget available. Previous experiences indicate that two days will allow a much more thorough analysis of the strategy documents, especially if the strategy is rather complex and the documentation substantial, and if many of the participants do not have prior experience of participatory workshops that use visualization techniques. One day is the minimum to produce any useful outputs, and is feasible only if there is very good preparation and facilitation and if the participants work intensively for one full day. If a one-day workshop is chosen, some follow-up work by members of the stakeholder group may be needed to complete the analysis of specific aspects of the strategy.

⁵ When “cross-cutting issues” are referred to this means any issue that should be considered across all the sectors and priority areas of intervention. These might be expressed in poverty reduction strategies as general objectives or as cross-cutting or transversal issues. Important cross-cutting issues in poverty reduction strategies often include: good governance; decentralization and local capacity-building; human resource and skills development; employment creation and labor standards; gender equality; HIV/AIDS; safety and security; environmental sustainability, etc.

The program of the workshop

Whatever the duration, the workshop follows the same sequence of steps and addresses the same issues and questions (see Fig.10).

Fig.10: Outline program of workshop to analyze the poverty reduction strategy

	Welcome and introductions Explanation of workshop method and program	Plenary session
Session 1	Identification of relevant information in poverty reduction strategy, especially concerning: goals, objectives and targets economic sectors social sectors priority population groups key cross-cutting issues	Working groups
Session 2	Presentation and clarification of the information identified Completion of the poverty reduction strategy analysis matrix	Plenary session
Session 3	Assessment of the poverty reduction strategy, focusing especially on its treatment of: The transport needs of priority economic sectors The transport needs of social sectors Access and mobility needs of the poor Priority population groups Geographical and regional variations Cross-cutting issues relevant to the transport sector	Plenary session and working groups
Session 4	Overall findings and recommendations Agreement on any additional steps (consultations, further analysis)	Plenary session
Session 5	Agreement on reporting of workshop and validation of report Preparation for workshop 2 (assessment of transport policy and strategy)	Plenary session

Methodology of the workshop

The workshop is run using participatory methods and Metaplan visualization techniques. The program combines plenary sessions with work in small groups. The aim is to ensure that all members of the stakeholder group participate actively and equally in the workshop discussions and sessions, and that the information generated during the workshop is recorded fully and clearly. The facilitator should be experienced and highly skilled in these methods and techniques, and will explain these to members of the stakeholder group either at the first meeting or at the outset of the first workshop.

A brief guidance note for the facilitation team on how the workshops should be prepared and facilitated is contained in Annex 3.

Conduct of the workshop

Following the welcome and introductions, the assessment of the poverty reduction strategy proceeds as follows:

- Identification and extraction of relevant information from the documentation on the poverty reduction strategy (Session 2);
- Presentation of this information on a large chart, using a matrix to structure the information, so that it can be seen and read easily (Session 3);
- Assessment of the information using a structured series of questions (Session 4);
- Agreement on the findings, especially the strengths and weaknesses of the strategy, and drawing of initial recommendations (Session 5).

The procedures for each Session are described in the following sections.

Session 1: Identification and extraction of relevant information from the poverty reduction strategy

The workshop participants identify and highlight relevant information contained in the poverty reduction strategy documents, following the guide in Fig.11. The relevant information should be written on green cards, which will be supplied by the facilitator. Each piece of information should be summarized clearly on one card only.

If the workshop is two days long, the identification and extraction of relevant information may be done during Session 1, in small working groups. If the workshop is only one day, the identification and extraction of relevant information must be done prior to the workshop, ideally by sub-groups of the stakeholder group. Each sub-group takes responsibility for identifying and highlighting the information on one of the five aspects listed in Fig.11 and brings their findings to the workshop. Avoid undertaking this task individually, as the discussions in the sub-groups

can be very useful to clarify the information selected and to build a shared understanding of the contents of the strategy.

The information should be extracted as accurately as possible, i.e. as expressed in the poverty strategy document/s. It is possible that information on some of the issues and aspects indicated in Fig.11 is not mentioned in the strategy. If so, this can be noted, but separately. It is important that, at this point in the assessment, participants do not include information that is not in the documents, for example based on their own understanding of the situation on the ground. This knowledge will, however, be useful later on, when the poverty reduction strategy is assessed for completeness.

Fig.11: Information to be identified in the documentation on the poverty reduction strategy

- A. The goals, objectives and targets of the **strategy overall**, the main challenges it aims to overcome, and the general issues relating to the transport sector and especially to transport infrastructure and services;
- B. The priority **economic sectors**, and for *each* sector or sub-sector: the objectives and main interventions; the difficulties relating to access and mobility; and the main interventions that are proposed concerning transport infrastructure and services;
- C. The priority **social** sectors, and for *each* sector: the objectives and main interventions; the difficulties relating to access and mobility; and the main interventions that are proposed concerning transport infrastructure and services;
- D. The priority population **groups and other important actors**, and for *each* group: the objectives and main interventions; the difficulties relating to access and mobility; and the main interventions that are proposed concerning transport infrastructure and services;
- E. The key **cross-cutting issues**. These are general issues affecting all sectors and policy areas, which can be potentially very important in the fight against poverty and inequality. They typically include good governance, decentralization and capacity-building, employment creation and conditions, gender equity, the fight against HIV/AIDS, environmental sustainability, etc. For *each* issue, the objectives to be achieved, the key difficulties to be overcome and the main actions to be taken that are relevant to the transport sector and to the management of transport infrastructure and services should be identified.

Note: Especial attention should be paid to the **geographical dimension** of the above aspects - for instance if certain localities or regions have particular difficulties or offer important development opportunities - and these should be noted wherever relevant. If maps are available, for example showing the poverty situation or areas with development potential across the country, it will be very useful to refer to these.

Session 2: Presentation and clarification of the information

When all the relevant information has been extracted from the poverty reduction strategy document/s and written on green cards, the cards are attached to a chart, using the matrix presented in Fig.12. As there will be many cards, the chart will be very large.

Each group places the cards they have written in their appropriate location on the chart. Then a member of the group reads aloud the contents of their cards to the rest of the working group, checking that all participants understand what is written.

Reading aloud the cards, and checking that all members of the group understand the information, ensures that all the participants have sufficient knowledge and understanding of the contents of the poverty reduction strategy to go forward with the assessment.

Fig.12: Matrix for analysis of the poverty reduction strategy

	Poverty reduction strategy (general issues)	Difficulties to be overcome	Issues relating to <u>transport infrastructure</u>	Issues relating to <u>transport services</u>
Main objectives and targets	Indicate the main goals and objectives, including key targets, of the poverty reduction strategy	Indicate the main difficulties to be overcome by the poverty reduction strategy	Main issues relating to transport infrastructure	Main issues relating to transport services
Priority economic sectors	For <i>each</i> priority economic sector, indicate the key objectives and main components of the sector strategy	For <i>each</i> priority economic sector, indicate the key difficulties relating to access and mobility	For <i>each</i> priority economic sector, indicate the main interventions identified in the poverty reduction strategy relating to transport infrastructure	For <i>each</i> priority economic sector, indicate the main interventions identified in the poverty reduction strategy relating to transport services
Priority social sectors	For <i>each</i> priority social sector, indicate the key objectives and main components of the sector strategy	For <i>each</i> priority social sector, indicate the key difficulties relating to access and mobility	For <i>each</i> priority social sector, indicate the main interventions identified in the poverty reduction strategy relating to transport infrastructure	For <i>each</i> priority social sector, indicate the main interventions identified in the poverty reduction strategy relating to transport services
Priority population groups and other actors	For <i>each</i> priority population group or actor, indicate the intended improvements to their situation	For <i>each</i> priority population group or actor, indicate the key difficulties relating to access and mobility	For <i>each</i> priority group or actor, indicate the main interventions identified in the poverty reduction strategy relating to transport infrastructure	For <i>each</i> priority group or actor, indicate the main interventions identified in the poverty reduction strategy relating to transport services
Cross-cutting issues	For <i>each</i> cross-cutting issue, indicate the objectives to be achieved	For <i>each</i> cross-cutting issue, indicate the key difficulties to be overcome that concern the transport sector	For <i>each</i> cross-cutting issue, indicate the main actions to be taken that are relevant to transport infrastructure interventions	For <i>each</i> cross-cutting issue, indicate the main actions to be taken that are relevant to the management of transport services

Session 3: Analysis of the poverty reduction strategy

Once all the cards are read and verified, the participants analyze the information presented on the chart. Of particular interest are the links between poverty and transport, and how the poverty reduction strategy identifies and addresses access, mobility and other transport-related issues. Gaps in the strategy should be noted, as well as its particular strengths with respect to making links between transport and poverty reduction. This is the moment when participants should be encouraged to draw on their own knowledge and experiences, comparing how issues are addressed in the poverty reduction strategy with their own understanding of the situation.

The questions presented in Fig.13 will help to structure the analysis, and to present the observations and conclusions reached. The analysis may be done in a plenary session, or in small working groups, each group focusing on a specific question. The observations of each group are then presented to all the participants in a feedback session, with opportunities for further discussion and clarification.

The discussions need not be limited to the questions in Fig.13. There may be other questions and observations that the group considers important. Open reflection on the information on the chart and on the issues raised by the analysis of the poverty reduction strategy should be encouraged.

All comments, observations and questions must be recorded carefully and in detail, e.g. on flip chart sheets.

Session 4: Drawing of conclusions and recommendations

In this final session, participants go over the various comments, observations and questions and draw out the overall findings and conclusions. Suggestions and recommendations for strengthening the poverty reduction strategy may also be made.

Participants should also consider if – before assessing the transport policy and strategy - there is a need to obtain additional information on the poverty reduction strategy, for example on specific sector priorities and strategies or particular issues concerning population groups or cross-cutting issues. It may be that, in course of analyzing the poverty reduction strategy, some issues or aspects could not be dealt with in sufficient depth. If so, the stakeholder group should agree on what needs to be obtained, how it will be obtained (e.g. telephone contact or meetings with the responsible people) and who from the stakeholder group or facilitation team will obtain it.

Fig.13: Key questions for assessing the poverty reduction strategy

1. How clear is the place of transport in the poverty reduction strategy? How well does it specify the expected contribution of the transport sector to the overall poverty reduction objectives?
2. Are the transport-related difficulties of the priority economic sectors well identified in the strategy? Does the strategy indicate clearly how the transport sector can or will contribute to reducing the problems and to developing these priority economic sectors? If not, what aspects are missing?
3. Are the transport-related difficulties of the priority social sectors well identified in the strategy? Does the strategy indicate clearly how the transport sector can or will contribute to reducing the problems and to developing these priority social sectors? If not, what aspects are missing?
4. Are the access and mobility difficulties of the priority population groups, and of other key actors in reducing poverty, well identified in the strategy? Does the strategy indicate clearly how the transport sector can or will contribute to reducing the difficulties they face and to supporting their efforts to reduce poverty? If not, what aspects are missing?
5. How well are the geographical dimensions of the issues addressed, such as the differences between rural and urban areas, or the problems and development opportunities of different regions?
6. Does the strategy indicate which cross-cutting issues are relevant to the transport sector, and how they might be addressed? To which cross-cutting can the transport sector make a contribution?

Recording the workshop discussions and findings

Following the workshop, the facilitation team writes up the findings of the assessment of the poverty reduction strategy. As well as the completed charts and all the comments and observations made by participants, the report should include the list of participants and the program of the workshop. The draft report should be circulated to the stakeholder group for their comments and approval.

All the outputs of the workshop – the chart, the flip sheets and any other notes – should be kept safely, as they will be needed again during the review process.

III.3 Assess the transport strategy from a poverty reduction perspective

Against the background of the analysis of the poverty reduction strategy, the country's transport policy and strategy are now assessed. As for the analysis of the poverty reduction strategy, the assessment is undertaken by the stakeholder group in a workshop, lasting two to three days.

The objectives of the assessment

The aims of the assessment of the transport policy and strategy are:

- To provide all members of the stakeholder group with a shared and comprehensive understanding of the extent to which the country's transport policy and strategy takes into account poverty reduction objectives.
- To identify the strengths and weaknesses of the country's transport policy and strategy – both on paper and as actually implemented – in terms of its contribution to poverty reduction.
- To agree how the transport policy and strategy might be improved to better contribute to poverty reduction.

Duration and process of the workshop

A similar process to the first workshop is followed: identification of relevant information in the documentation; extraction of this information on cards, clarification by the participants and presentation of the cards on a large matrix; discussion and analysis of the extracted information and recording of all comments and observations. However, the assessment of the transport policy and strategy is undoubtedly more complex and demanding than the analysis of the poverty reduction strategy. Firstly it makes a comparison between the transport policy and strategy and the poverty reduction strategy. Secondly it looks not only at the policy intentions, but also at what is actually happening in practice (i.e. at the implementation of the policy and strategy).

A three-day duration will enable a more thorough analysis of the policy and strategy documents, especially if the material to be reviewed is substantial and fairly complex. A two-day duration is the minimum to produce any useful outputs, and is feasible only if there is very good preparation and facilitation and if the participants work intensively for two full days. If a two-day workshop is chosen, some follow-up work by members of the stakeholder group may be needed to complete the analysis of specific aspects of the transport strategy.

The program and methodology of the workshop

Whether two or three days, the workshop follows the same sequence of steps and addresses the same issues and questions (see Fig.14).

The methodology is the same as the workshop assessing the poverty reduction strategy, i.e. it is participatory, combines plenary sessions with group work and uses Metaplan visualization techniques.

Fig.14: Outline program of workshop to assess the transport policy and strategy

	<ul style="list-style-type: none">▪ Welcome and introductions▪ Explanation of workshop method and program	Plenary session
Session 1	<ul style="list-style-type: none">▪ Identification and extraction of relevant information from the transport policy and strategy	Working groups
Session 2	<ul style="list-style-type: none">▪ Presentation and clarification of the information	Plenary session
Session 3	<ul style="list-style-type: none">▪ Comparative analysis of the transport policy/strategy and poverty reduction strategy	Plenary session and working groups
Session 4	<ul style="list-style-type: none">▪ Drawing of overall findings and recommendations▪ Agreement on any additional steps (consultations, further analysis)	Plenary session
Session 5	<ul style="list-style-type: none">▪ Agreement on reporting of workshop and validation of report▪ Preparation for workshop 3 (assessment of policy and strategy processes)	Plenary session

Session 1: Identification and extraction of relevant information from the transport policy and strategy

Following the introductions, the workshop participants identify and highlight relevant information contained in the transport policy and strategy documents, using the guide in Fig.15.

Whether the workshop is two or three days, it is advised to undertake the reading of the documentation and identification of relevant information prior to the workshop, ideally by sub-groups of the stakeholder group. If this is difficult to organize or if the stakeholder group prefers to undertake this step together, it can be done in sub-groups during Session 1 of the workshop; but in this case the workshop must be three days long.

Each sub-group takes responsibility for identifying and highlighting the information on one of the five aspects listed in Fig.15. Once again, this task should not be done individually, as the discussions in the sub-groups can be very useful to clarify the information selected and to build a shared understanding of the contents of the policy and strategy.

Accurate extraction of the information actually contained in the policy and strategy documents is again important. If participants consider that information on some of the issues and aspects indicated in Fig.15 is missing, this should be noted separately.

This time, however, it is necessary to distinguish between *intentions* and the actual *realization* of the policy and strategy, since it is inevitable that not all commitments have been, or are currently being, realized. Clarification of this distinction with the stakeholder group, and guidance on how to distinguish between intention and actual realization (e.g. according to the type of document being reviewed) will be essential, to ensure that everyone is distinguishing in the same way.

The information is then written on cards, one piece of information on each card. Different colors of card should be used to distinguish intentions from realization: orange for intentions, white for actual realization.

Fig.15: Information to be identified in the transport policy and strategy documents

- A. The **general objectives** of the policy and the **main difficulties** it aims to overcome, especially as they relate to pro-poor growth and poverty reduction;
- B. The transport-related problems faced by **growth economic sectors** (especially those sectors or sub-sectors identified as important to poverty reduction), and the strategy and interventions aimed at supporting the development of these sectors. The aspects relating to specific economic sectors should be identified wherever possible.
- C. The transport-related problems faced by the **social sectors** (especially those sectors identified as important to poverty reduction), and the strategy and interventions aimed at improving access and mobility by actors and users in these sectors. The aspects relating to specific social sectors should be identified wherever possible.
- D. The transport-related problems of priority **population groups and other important actors**, and the strategy and interventions aimed at improving their access and mobility. Specific aspects that relate to particular priority groups or actors (e.g. women, children, people with disabilities) should be identified wherever possible.
- E. How the transport sector intends to address the key **cross-cutting issues** identified in the poverty reduction strategy, such as good governance, employment creation and conditions, environmental protection, gender equity, the fight against HIV/AIDS, etc. For each issue, the key difficulties to be overcome and the main actions to be taken by the transport sector should be identified.

Note: During the reading of the documents and extraction of the information, particular attention should be paid to:

the **geographical dimension** of the above aspects (rural or urban, particular regions and localities, etc.);

how issues of access and infrastructure **and** of mobility and services are addressed, paying particular attention to **all modes of transport**, and to **motorized and non-motorized means of transport**;

the interventions and actions of not only **public**, but also **private and civil society actors**, including the **informal** sector.

Session 2: Presentation and clarification of the information

When all the relevant information has been extracted from the transport policy and strategy documents and written on orange or white cards, the cards are attached to a chart, using the matrix presented in Fig.16. There will again be many cards, so the chart will be very large.

As during the first workshop, each group places the cards they have written in their appropriate location on the chart. Then a member of the group reads aloud the contents of their cards to the rest of the working group, checking that all participants understand what is written. This ensures that all the participants have sufficient knowledge and understanding of the contents of the transport policy and strategy to go forward with the assessment.

Fig.16: Matrix for assessment of transport policy and strategy

	Challenges to be overcome	Strategy relating to access and transport infrastructure	Strategy relating to mobility and transport services (all modes)
Overall policy and strategy	The main difficulties and problems to be overcome by the transport policy/strategy, especially relating to poverty and growth	Overall policy objectives and intentions relating to improved access and transport infrastructure, especially those aimed at contributing to poverty reduction	Overall policy objectives and intentions relating to improved mobility and transport services, especially those aimed at contributing to poverty reduction
Issues relating to economic sectors	For <i>each</i> priority economic sector, indicate the key difficulties identified in the transport policy/strategy relating to access and mobility	For <i>each</i> priority economic sector, identify the strategy and main interventions relating to improved access and transport infrastructure	For <i>each</i> priority economic sector, identify the strategy and main interventions relating to improved mobility and transport services
Issues relating to social sectors	For <i>each</i> priority social sector, indicate the key difficulties identified in the transport policy/strategy relating to access and mobility	For <i>each</i> priority social sector, identify the strategy and main interventions relating to improved access and transport infrastructure	For <i>each</i> priority social sector, identify the strategy and main interventions relating to improved mobility and transport services
Issues relating to priority population groups and other actors	For <i>each</i> priority population group or actor, indicate the key difficulties identified in the transport policy/strategy relating to access and mobility	For <i>each</i> priority group or actor, identify the strategy and main interventions relating to improved access and transport infrastructure	For <i>each</i> priority group or actor, identify the strategy and main interventions relating to improved mobility and transport services
Cross-cutting issues	Indicate for <i>each</i> cross-cutting issue the key difficulties that the transport policy/strategy identifies should be addressed	Indicate how <i>each</i> cross-cutting issue will be addressed, according to the transport policy/strategy, in the context of the planning and management of transport infrastructure	Indicate how <i>each</i> cross-cutting issue will be addressed, according to the transport policy/strategy, in the context of the planning and management of transport services

Session 3: Comparative analysis of transport policy/strategy and poverty reduction strategy

With all the information assembled, comparisons can now be made between the transport policy/strategy and the poverty reduction strategy, to identify the links and gaps.

To make the comparison, the information on the transport policy/strategy chart is compared with that on the poverty reduction chart (which has been saved from the first workshop). To compare “like with like”, the two charts are cut up and re-assembled, so that the related themes and issues of the charts are alongside each other. The end result will be five re-assembled charts (see Fig.17).

Once the charts are re-assembled, it is advisable for the participants to spend some time reading through the cards, to refresh their memories of the main elements.

A careful and structured process of discussion – to identify, clarify and understand the links and coherences, and the gaps and inconsistencies – is now undertaken.

The questions in Fig.18 will help to structure the comparisons and discussions, and to present the conclusions reached.

Other questions and observations that the group considers important should also be discussed. This is the moment when participants should be encouraged to draw on their own knowledge and experiences, comparing how issues are addressed in the transport policy and strategy documents with their own understanding of the situation.

All comments, observations and questions must be recorded carefully and in detail on flip chart sheets or on the charts.

If participants feel that it is useful to add information to the charts, for example where there are significant *gaps* in the treatment of particular issues in the policies and strategies and where there are suggestions for what should be included in the policies or strategies, this can now be done. So that the suggested additions are visible, these should be noted on *yellow* cards, and placed in their appropriate location on the chart.

Fig.17 Format for re-assembling the poverty reduction and transport strategy charts so that the strategies can be compared

Poverty reduction strategy: Main objectives and targets of	Main goals and objectives, including key targets, of the poverty reduction strategy	Main challenges to be overcome by the poverty reduction strategy	Main issues relating to transport infrastructure	Main issues relating to transport services
Transport policy and strategy: Overall issues and objectives	The main difficulties and problems to be overcome by the transport policy, especially relating to poverty and growth		Overall policy objectives and intentions relating to improved access and transport infrastructure, aimed at contributing to poverty reduction	Overall policy objectives and intentions relating to improved mobility and transport services, aimed at contributing to poverty reduction
Poverty reduction strategy: Priority economic sectors	Key objectives and main components of the sector strategy	Key difficulties relating to access and mobility	Main interventions identified in the poverty reduction strategy relating to transport infrastructure	Main interventions identified in the poverty reduction strategy relating to transport services
Transport policy/strategy: Issues relating to economic sectors	Key difficulties identified in the transport policy/strategy relating to access and mobility		Strategy and main interventions relating to improved access and transport infrastructure	Strategy and main interventions relating to improved mobility and transport services
Poverty reduction strategy: Priority social sectors	Key objectives and main components of the sector strategy	Key difficulties relating to access and mobility	Main interventions relating to transport infrastructure	Main interventions relating to transport services
Transport policy/strategy: Issues relating to social sectors	Key difficulties relating to access and mobility		Strategy and main interventions relating to improved access and transport infrastructure	Strategy and main interventions relating to improved mobility and transport services
Poverty reduction strategy: Priority population groups	Intended improvements to their situation	Key difficulties relating to access and mobility	Main interventions relating to transport infrastructure	Main interventions relating to transport services
Transport policy/strategy: Issues relating to priority population groups	Key difficulties identified in the transport policy/strategy relating to access and mobility		Strategy and main interventions relating to improved access and transport infrastructure	Strategy and main interventions relating to improved mobility and transport services
Poverty reduction strategy: Cross-cutting issues	Cross-cutting objectives to be achieved	Key difficulties to be overcome that concern the transport sector	Main actions to be taken that are relevant to transport infrastructure interventions	Main actions to be taken that are relevant to the management of transport services
Transport policy/strategy: Cross-cutting issues	Key difficulties relating to cross-cutting issues that the transport policy/strategy identifies should be addressed		How each cross-cutting issue will be addressed in the context of the planning and management of transport infrastructure	How each cross-cutting issue will be addressed in the context of the planning and management of transport services

Fig.18 Key questions for assessing the links between transport policy/strategy and poverty reduction strategy

1. Which poverty reduction goals and objectives does the transport strategy contribute to achieving? Which poverty reduction goals and objectives are less well addressed by the transport strategy? Which poverty reduction goals and objectives must be better addressed by the transport sector in the future?
2. To what extent is the transport strategy meeting the objectives and needs of the *economic* sectors prioritized in the poverty reduction strategy? Which economic sectors or sub-sectors are well served by the transport strategy, and which not so well? How could the transport strategy improve its contribution to the development of priority economic sectors?
3. To what extent is the transport strategy meeting the objectives and needs of the *social* sectors prioritized in the poverty reduction strategy? Which social sectors must be better served by the transport strategy? How could the transport strategy better meet the needs of the social sectors?
4. To what extent is the transport strategy meeting the access and mobility needs of the *population groups and other actors* targeted by the poverty reduction strategy? Whose needs, and which needs, must be better served by the transport strategy? What are the priorities for action within an improved transport strategy?
5. If the transport strategy needs to be adapted to better meet the needs of priority social and economic sectors and of population groups targeted by the poverty reduction strategy, what are the implications for *transport sector plans and priorities*?
6. Which *cross-cutting issues* are relatively well taken into account by the transport strategy, and which are less well addressed? How can the transport sector make a more substantial contribution to meeting cross-cutting goals, for instance to good governance, decentralization and capacity-building, employment creation and labor standards, gender equity, reducing the incidence of HIV/AIDS, environmental sustainability, etc?

Session 4: Drawing conclusions and recommendations

In this final session, participants go over the various observations, questions and suggestions, and draw out the overall findings and conclusions. Clear suggestions and recommendations for strengthening the transport policy and strategies should be made. There may be further suggestions for improving the poverty reduction strategy so that it provides a more robust framework for transport sector strategies.

Participants should also consider if there is a need to obtain additional information on the transport strategy to complete the analysis and ensure that the conclusions and recommendations are as soundly based as possible. It may be that some issues or aspects could not be dealt with in sufficient depth in the workshop. If so, the stakeholder group should agree on what needs to be obtained, how it will be obtained (e.g. telephone contact or meetings with the responsible people) and who from the stakeholder group or facilitation team will obtain it. How this additional information will be assessed and integrated into the analysis already conducted should also be clarified; an additional meeting of the stakeholder group may be necessary to finalize the assessment.

Recording the workshop discussions and findings

Following the workshop, the facilitation team writes up the findings of the assessment of the poverty reduction strategy. As well as the completed charts and all the comments and observations made by participants, the report includes the list of participants and the program of the workshop. The draft report should be circulated to the stakeholder group for their comments and approval.

All the outputs of the workshop – the chart, the flip sheets and any other notes – should be kept safely, as they will be needed later on.

III.4 Assess how policies and strategies are made

Assessment of how policies and strategies are made is the next step in the review process. Previous steps have focused on the content of policies and strategies. Now attention is turned to how policy dialogue and formulation is currently organized and who is involved.

The policy process is important because there is a close link between how policy is made and the quality of the resulting policy. Criteria for good public policy-making include: the involvement of a broad range of stakeholders, including those who are most directly affected by a policy; collaboration between the different agencies and actors responsible for policy design and implementation; and ensuring that policies are inclusive and take full account of the needs and experiences of those likely to be affected by them.

Assessing how policies and strategies are made involves collection of relevant information and its assessment by the stakeholder group in a workshop lasting one or two days.

Objectives and scope of the assessment

The assessment has two aims:

- To identify and assess the current institutional arrangements and mechanisms for policy dialogue and formulation;
- To propose improvements to these arrangements and mechanisms so that transport policy and strategy is coherent and coordinated with the poverty reduction strategy.

The assessment focuses on mechanisms for consulting stakeholders about policies and strategies (and the stakeholders consulted), and on mechanisms for making decisions about policies and strategies (and the stakeholders involved). It looks at the formulation both of transport policy and strategies, and of the transport aspects of the poverty reduction strategy.

For the assessment to be manageable, some simplification of the actual situation will be needed. For instance, the stakeholder group will have to decide which of the various forums and mechanisms for dialogue and decision-making on transport and poverty reduction strategies to consider in the assessment, and which are “consultative” and which “decision-making”.

Preparing for the assessment

Prior to the assessment workshop, information on policy and strategy processes is assembled. Use will be made of the stakeholder analysis carried out during the preparatory phase (see II.3) as well as the findings of the previous two workshops, especially the identification of priority

economic and social sectors, priority population groups and cross-cutting issues. Additional information may also be required.

The facilitation team takes responsibility for obtaining the information, with the assistance of members of the stakeholder group, especially those with knowledge of the policy processes concerned. Some information may not be documented, in which case key people involved in the processes could be contacted, to find out from them what happens and who is involved.

Fig.19: Information needed to assess the policy process

- The main forums and mechanisms for consulting stakeholders and making decisions on poverty reduction strategies and on transport policies and strategies;
- The people and organizations currently involved in dialogue and decision-making on transport policies and strategies;
- The mechanisms for consulting and making decisions on the transport aspects of poverty reduction strategies, and the people and organizations involved;
- The mechanisms for ensuring dialogue and cooperation between the different agencies and actors responsible for transport policies and strategies, and the organizations and people involved.

Once the information is obtained, assemble it into four groups:

1. On the consultative processes that are used to develop the transport aspects of the poverty reduction strategy, and on who is consulted;
2. On the decision-making processes used to agree the transport aspects of the poverty reduction strategy, and on who is involved;
3. On the consultative processes that are used to develop the transport policy and strategies, and on who is consulted;
4. On the decision-making processes used to agree the transport policy and strategies, and on who is involved.

In preparation for the workshop, the members of the stakeholder group – perhaps divided into two or four working groups – should familiarize themselves with the assembled information.

Program and methodology of the workshop

The assessment of the information on how policy is made is undertaken by the stakeholder group in a workshop, one to two days long.

As before, a choice is made about the duration of the workshop. A one-day workshop is only feasible if the information has been very well prepared, if there is excellent facilitation and if participants work intensively for a full day. A two-day workshop will enable a more thorough assessment of the information, and more time for drawing findings and conclusions.

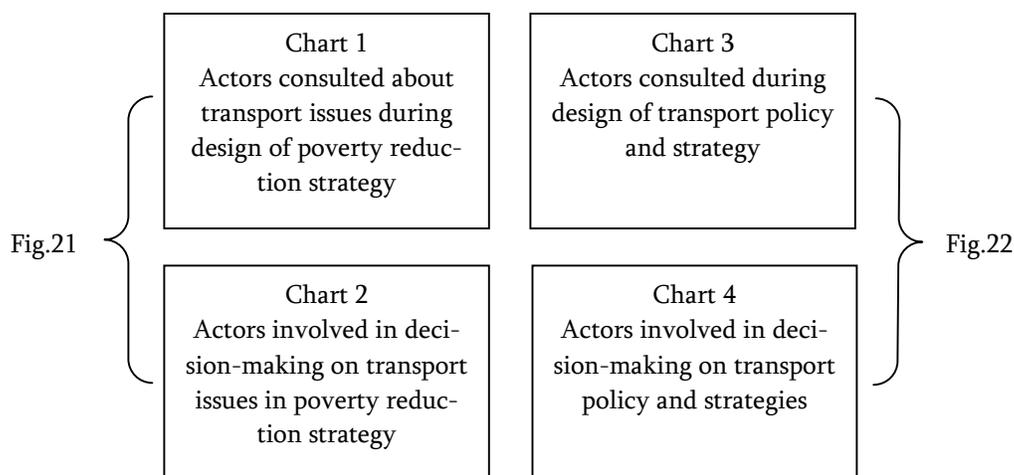
Fig.20: Outline program of workshop to assess how policy is made

	<ul style="list-style-type: none">▪ Welcome and introductions▪ Explanation of workshop method and program	Plenary session
Session 1	<ul style="list-style-type: none">▪ Identification of relevant information on the policy process	Working groups
Session 2	<ul style="list-style-type: none">▪ Presentation of the information on the policy process (creation of four charts)	Plenary session
Session 3	<ul style="list-style-type: none">▪ Assessment of the policy processes	Plenary session and working groups
Session 4	<ul style="list-style-type: none">▪ Draw overall findings and recommendations▪ Agreement on any additional steps (consultations, further analysis)	Plenary session
Session 5	<ul style="list-style-type: none">▪ Agreement on reporting of workshop and validation of report▪ Preparation of next steps (elaboration of action plan)	Plenary session

Sessions 1 and 2: Identification and presentation of relevant information on the policy process

As in previous workshops, relevant information is identified and extracted, summarized on colored cards⁶ and placed on charts. This can be shared between members of the stakeholder group, according to their knowledge of the different forums and mechanisms for consultation and decision-making.

Four charts are then prepared, following the matrices presented in Figs. 21 and 22 and corresponding with the four groups of information (see “Preparing for the assessment” above):



⁶ Four different colors should be used, one color for each chart.

Fig.21: Matrix for presenting information on the actors involved in processes of consultation and decision-making on transport aspects of the poverty reduction strategy

	Public sector / government	Private sector	Civil society
Transport sector actors	Public sector transport actors who are involved and how	Private sector transport actors who are involved and how	Civil society transport actors who are involved and how
Economic sector actors	Public economic sector actors who are involved and how	Private economic sector actors who are involved and how	Civil society economic actors who are involved and how
Social sector actors	Public social sector actors who are involved and how	Private social sector actors who are involved and how	Civil society social actors who are involved and how
Priority population groups and other actors	Public sector representatives of priority groups / actors who are involved and how	Private sector representatives of priority groups / actors who are involved and how	Civil society representatives of priority groups / actors who are involved and how
Actors representing cross-cutting issues	Public sector representatives of cross-cutting issues who are involved and how	Private sector representatives of cross-cutting issues who are involved and how	Civil society representatives of cross-cutting issues who are involved and how

Fig.22: Matrix for presenting information on the actors involved in processes of consultation and decision-making on transport policy and strategies

	Public sector / government	Private sector	Civil society
National development planning / PRSP actors	Public sector actors representing national development planning / PRSP who are involved and how	Private sector actors involved in national development planning / PRSP who are involved and how	Civil society actors involved in national development planning / PRSP who are involved and how
Economic sector actors	Public economic sector actors who are involved and how	Private economic sector actors who are involved and how	Civil society economic actors who are involved and how
Social sector actors	Public social sector actors who are involved and how	Private social sector actors who are involved and how	Civil society social actors who are involved and how
Priority population groups and other actors	Public sector representatives of priority groups / actors who are involved and how	Private sector representatives of priority groups / actors who are involved and how	Civil society representatives of priority groups / actors who are involved and how
Actors representing cross-cutting issues	Public sector representatives of cross-cutting issues who are involved and how	Private sector representatives of cross-cutting issues who are involved and how	Civil society representatives of cross-cutting issues are involved and how

The matrices are to help structure the collected information and to aid understanding of who is involved and in what way in policy and strategy processes. Because the matrices simplify what is, in reality, a quite complex picture they will have to be used flexibly. Some actors may not fall neatly into specific boxes in the matrices, and others may play several roles. Moreover, there will be different policy-making bodies and forums, and this complexity will also need to be handled carefully, so that participants neither get lost in too much information, nor oversimplify the situation so that important aspects are missed out. It will be a good idea to note down the observations of the group on these aspects during the work.

When all the information is placed in its respective position on the charts, the information is read out and clarified by the rest of the stakeholder group.

Session 3: Assessment of how policies and strategies are made

As in previous workshops, the assessment is undertaken by participants by means of discussions on and answers to a series of questions (see Fig.23). The questions are discussed thoroughly in turn and the answers noted carefully.

The assessment need not be limited to these questions; other questions and issues that the participants feel are important should also be discussed. The aim is to ensure as full an assessment of the policy process as possible.

Additional questions may be posed concerning the role and functioning of SSATP in future policy and strategy processes (Fig.24). These questions may be appropriate for the stakeholder group to address in the workshop, or may be better addressed by a more targeted group of people, e.g. those who are more directly concerned by SSATP's role in the country. The steering group and facilitation team may wish to decide which is the best forum for these discussions.

Fig.23: Key questions for assessing how policies and strategies are made

Transport policy and strategy

1. How well are the interests of the following **sectors and groups** currently represented in dialogue and formulation of transport policy and strategies?
 - a) the key economic sectors
 - b) the social sectors
 - c) the population groups and key actors targeted by the poverty reduction strategyWhich sectors and groups are well represented? Which are not so well represented?
2. If some sectors and groups are not well represented, which organizations or bodies could best represent them?
3. How well are the **cross-cutting issues** prioritized in the poverty reduction strategy represented in the formulation of transport policy and strategies? Which issues need to be better represented, and who could represent them?
4. What are the **mechanisms for dialogue and formulation** of transport policy and strategies? How well do they function to ensure that the needs and experiences of stakeholders and users are taken into account, fully and equitably?
5. What are the **mechanisms for consultation and collaboration** between the different agencies and actors responsible for the design and implementation of transport policy and strategy, taking into account the need to anchor transport policy and strategy in the national strategy for poverty reduction and pro-poor growth?
6. How could the arrangements and mechanisms for formulating transport policy and strategy at national level be improved, so that transport policy and strategy takes full account of poverty reduction?

Poverty reduction strategy

7. How are **transport-related issues** addressed in the poverty reduction strategy process? Who represents transport issues in this process, and what are the mechanisms for taking transport-related issues into account?
8. How could the poverty reduction strategy process be improved, so that transport-related issues are fully taken into account?

Fig.24: Questions on SSATP's role and functioning in the context of the anchoring of transport strategies in poverty reduction

1. Who should be involved in SSATP activities in the country, taking into account the need to anchor transport policy and strategy firmly in the national strategy for poverty reduction? Who should take the lead and coordinate activities?
2. What structures and mechanisms at national level would ensure that all the main stakeholders are involved in SSATP actions, and that the interests of key economic and social sectors and priority population groups are taken fully into account?

Session 4: Clarification of conclusions and recommendations

In a final session, participants draw out clear suggestions and recommendations for how to improve the consultation and decision-making processes for formulating policies and strategies on transport, so that poverty reduction goals, and the needs and interests of the poor, are taken fully into account.

The charts can be used to identify and recommend additional stakeholders who should be involved in processes of consultation and decision-making on policies and strategies. Cards can be added to the charts so as to indicate the identity of these additional stakeholders, and where and how they should be involved (mark them with a symbol to identify them clearly as stakeholders who are not currently involved, but who should be).

Participants may also consider if there is a need to obtain additional information on any specific aspects of policy and strategy processes, to ensure that the conclusions and recommendations are soundly based. If so, agreement is needed on what needs to be obtained, who will obtain it and how, and how then the information will be taken into account in the final conclusions and recommendations.

Recording the workshop discussions and findings

Following the workshop, the facilitation team writes up the findings of the assessment of the policy process. The draft report should be circulated to the stakeholder group for their comments and approval.

III.5 Draw overall findings and recommendations

The final step in the review process is to confirm the overall conclusions and recommendations of the review process, and to produce the final report.

Confirmation of the overall conclusions and recommendations may be done at the end of the third workshop (if there is time), or at a separate meeting of the stakeholder group. A suggested structure for the presentation of conclusions and recommendations is presented in Fig.25.

Fig.25: Outline structure for presenting the conclusions and recommendations

- Outline of the review process and the people involved
- The poverty reduction strategy and transport
 - How transport issues are currently treated
 - How the poverty reduction strategy can provide a stronger framework for aligning transport strategies and priorities with poverty reduction
- Transport policy/strategy and poverty reduction
 - The current contribution of transport strategy to poverty reduction
 - How transport policy and strategy should be adapted to optimize the contribution of the transport sector to poverty reduction
- Policy and strategy processes
 - How current processes of dialogue and decision-making involve and represent stakeholders involved in transport and poverty reduction
 - How dialogue and decision-making can be improved so that transport and poverty reduction issues and interests are fully taken into account in national policies and strategies on poverty reduction and transport
- Role and function of the SSATP (*if addressed*)
 - How SSATP can function in the country to support the anchoring of transport policy and strategies in poverty reduction

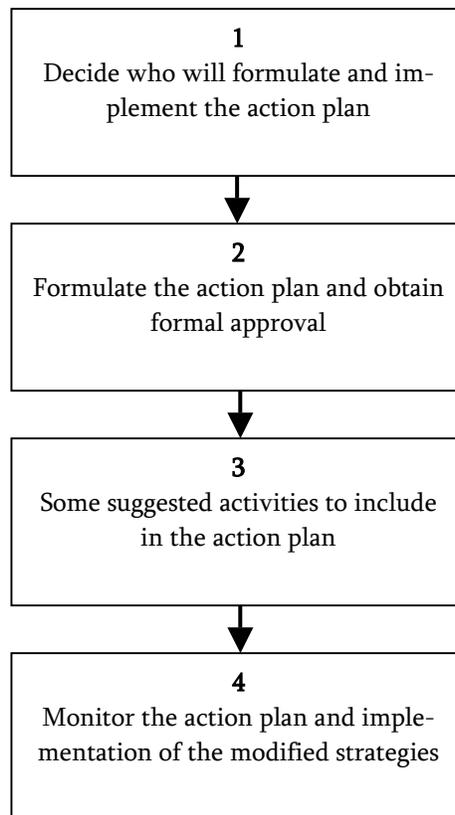
The stakeholder group agrees on the format of the final report. Clarifying how the report will be disseminated and used is important, to ensure that the final report is readable and accessible to the targeted audiences. It may be useful to consider producing a full report, for those who are directly involved in decision-making on policies and strategies, and a summary report, synthesizing the key findings and recommendations, for a wider public. This decision will be linked to the action plan (see Part IV).

The final report must be verified and validation by all members of the stakeholder group, so as to give credibility and weight to the findings and recommendations. One idea is for them to sign a preface to the report indicating their agreement with its contents.

PART IV – IMPLEMENTING THE ACTION PLAN TO INFLUENCE POLICY AND STRATEGY CHANGE

In this phase, an action plan to influence the adaptation of policies and strategies on transport and poverty reduction is formulated and implemented. This part of the guidelines presents some aspects to consider in formulating and implementing an action plan, as well as some suggestions on activities that may be included in a plan.

The activities in this phase are:



IV.1 Decide who will formulate and implement the action plan

The action plan may be formulated and implemented by the stakeholder group that conducted the review - or by a more limited or more extensive group of people.

There is a strong argument for involving all the members of the stakeholder group in the formulation of the action plan, so that the action plan is firmly based on the deep knowledge and understanding that has been accumulated during the review process. Subsequently, this group may decide that a different group of people – an “action plan steering group” - will be responsible for the implementation of the plan. The decision on the composition of the action plan steering group can best be taken once the main elements of the action plan have been clarified, so as to select those who are best placed to implement the recommendations.

IV.2 Formulate the action plan

Identify the main elements of the plan

Globally, the action plan aims to influence changes to the content and design of transport and poverty reduction strategies, following the recommendations of the review. The recommendations are the desired outcomes of the action plan. A concrete and clear plan is required for these changes to be effectively achieved, since policy change cannot be achieved overnight. A strategic perspective is required. Adaptations of the plan will certainly be needed as it evolves (this is why monitoring is vital – see IV.4).

A good starting point for the formulation of an action plan is to extract all the recommendations agreed by the stakeholder group (see III.5), and then to identify how these could be achieved and by whom. Fig.26 suggests how this information may be presented. The findings of the review of how policies and strategies are made will be especially useful at this point.

Fig.26: Identifying how the recommendations can be achieved, and by whom

Recommendations for changes	How these changes can be achieved	The key people who can bring about these changes
Improving the poverty reduction strategy: - - - - -	- - - - - -	- - - - - -
Improving transport policy and strategies: - - - - -	- - - - - -	- - - - - -
Improving how policies and strategies are made: - - - - -	- - - - - -	- - - - - -

Design the action plan

The information on how the recommended changes to policies and/or strategies can be achieved, and by whom, provides the basis for identifying the main elements of the action plan. Some questions that will help to identify the main elements of an action plan are indicated in Fig.27.

Fig.27: Questions to help formulate an action plan

- What is the best order in which the changes can be addressed? Are some changes more important, and more feasible, than others?
- What will be particularly successful in raising the awareness of influential people about the findings of the review and the recommended changes?
- Are there particularly influential people or bodies (“opinion-makers”), whose support is vital to bring about the recommended changes? E.g. leading elected or appointed officials, donor organizations, etc. How can their support be secured and promoted?
- What will convince the people who can bring about the recommended changes to take action? Are there particular information or messages that will convince them of the importance of these changes?
- What types of action will be the most effective in convincing them (e.g. high-level meeting, expert workshop, media coverage, evidence of strong public support for the change, etc.)?
- What resistances might there be to implementing the changes? How can these be overcome?
- Who can best implement these activities to raise awareness and convince people of the importance of policy/strategy change? Who can take responsibility for which activities?
- What resources are available? What other inputs might be needed?

Using the responses to the questions in Fig.27, decisions can be taken on the design of the action plan: the outcomes to be achieved and how to measure them; the most effective activities to achieve these outcomes; and who should be involved in, and responsible for, the activities. The technical and financial inputs that will be required can also be identified. Identifying the indicators of the outcomes will assist both in clearly defining the outcome and in monitoring the action plan during its implementation.

Use of a simplified log-frame to present the action plan is recommended (see Fig.28). There may, of course, be more than five outcomes. For each outcome, the indicators, the activities, the actors involved (especially the person or organization responsible) and the required inputs are indicated in the respective vertical column.

Fig.28 Possible format for presentation of the action plan

Outcomes	1.	2.	3.	4.	5.
Indicators of outcomes					
Activities to achieve the outcomes					
Actor/s responsible (and other who should be involved)					
Inputs					

Obtain formal approval of the action plan

To ensure effective implementation of the action plan, it will be essential to obtain the support of Government and other key stakeholders, including the main agencies involved in providing financial support to the transport sector. It is recommended that this be included as the first task – and output – of the action plan. Adoption of the action plan by Governments will take different forms in different countries. Ideally, approval by Cabinets, or Councils of Ministers will be the most secure way to ensure full ownership by all at the highest levels of the state. Approval by a line Minister, for example the Minister for Transport, may be a desirable and necessary step, but it may not be sufficient for sustainable implementation.

IV.3 Some possible activities to include in the action plan

The contents of action plans will vary from country to country, depending the findings and recommendations of each review. Some outline suggestions are given here to stimulate ideas about what types of activities might be included in an action plan. These suggestions are not comprehensive, and other activities might well be considered, inspired perhaps by the experiences of other SSATP member countries.

Raising the awareness of people who can influence decisions

- **Dissemination of the review report** to people who can influence and make decisions could be a first step. This includes senior public officials, private and civil society actors involved in policy and strategy-making bodies, donors, the media, leading researchers, etc. The list of stakeholders put together during the preparatory phase of the review (see II.3) and the review of how policies and strategies are made (see III.4) will have identified many names. A summary version of the final report (e.g. maximum of 10-12 pages) may be more appropriate for widespread dissemination, as this is more likely to be read than a long report. Wide dissemination of the report is recommended, so as to create broad awareness and interest as well as a possible “multiplier effect”.
- **Media coverage** can be sought, including issuing a press release, arranging press interviews and encouraging the media to put the spotlight on the links between poverty and transport.
- Producing and disseminating **popular versions of key policy and strategy documents and reports** might be required; these should be in the right language, attractive and easy to read and understand for different audiences.

Increasing knowledge about poverty and transport

- The organization of national, **regional and district** seminars, on the links between transport and poverty reduction, provide opportunities for disseminating the findings of the review, and also for discussing the implications of the findings and recommendations at decentralized levels. The increased awareness and knowledge of key stakeholders at district and regional levels can inspire demands for action at national level, consequently helping to convince decision-makers to adapt policies and strategies.
- **Media coverage** can increase knowledge as well as raise awareness. Encouragement and support could be given to a special “in depth” report on the radio, TV or in the press on the links between transport and poverty reduction.

- **Training workshops** for people involved in the formulation of strategies and plans of key sectors and initiatives – e.g. concerning transport, social sectors, economic sectors, private sector development, decentralization and capacity-building, fiscal reform, etc. – might be organized, aimed at raising their awareness of issues concerning poverty and transport in their specific domains and providing the opportunity for deeper, and more operational, discussions on the implications of the findings and recommendations of the review.
- Undertaking **studies of the impact of transport and poverty reduction** might be useful, as a follow-up to the review and to improve the evidence base for choosing priorities and planning strategies. These might involve participatory audits or other studies and surveys involving stakeholders.

Convincing decision-makers to adapt policies and strategies

- Experience suggests that organizing **high-level meetings of Directors** of all relevant government departments and/or public agencies involved in poverty reduction strategy and transport, to discuss the review findings and recommendations, is an important action following completion of the review. The discussions might focus not only on the transport strategies and priorities of particular sectors, but also how to better coordinate sector strategies and plans.
- **Presentations at decision-making forums, such as committees or boards**, could be extremely useful as these can have a major influence on decisions about policy change and the adaptation of strategies and priorities. Important forum will have been identified during the assessment of how policies are made. These can be contacted to find out the schedule of their meetings and to request that there is an agenda item (early in the meeting) on the review findings. The task of arranging or making the presentations could be shared amongst members of the steering or stakeholder group, depending on their membership of particular bodies or committees.
- A **high-level seminar** and/or **public conference** on transport and poverty reduction – with very influential sponsors and speakers – may be an effective way of giving credibility to the findings of the review, and demonstrating that the recommendations have the support of leading people. This can attract media coverage, thus reaching beyond the immediate participants.

Establishing coordination structures

- A very useful action may be to set up a **transport working group** within the consultative and decision-making structures of the poverty reduction strategy, or to extend the membership of an existing working group to improve the representation of transport

and poverty interests (following the recommendations of the assessment of how policies and strategies are made).

- A similarly broad-based stakeholder **group** could be established for the transport sector or sub-sectors, or the membership of existing committees and groups could be extended to better represent transport and poverty interests.
- The **SSATP coordinator or coordination function** should also play a leading role, advocating and facilitating the formulation and implementation of coherent transport strategies anchored in poverty reduction, disseminating relevant information and experiences, and supporting the monitoring and evaluation of the policy/strategy implementation process. Keeping funding agencies informed of the review findings, and securing their support for the action plan and the implementation and monitoring of the adapted strategies, is another key role.

Providing technical advice and support

- Providing **technical support** to the Ministry or Departments in charge of transport, to prepare and advocate for changes in their policies and strategies may be required.
- This support may involve **drafting revised policy and strategy documents** in line with the recommendations of the review, and in consultation with the broad range of stakeholders concerned by transport and poverty reduction.
- Inputs into the **formulation and revision of ongoing programs and sector-support initiatives**, to translate the recommendations on strategies into practical effect, may also be required.
- Useful advice might also be given, on the basis of the review findings, concerning the **formulation of indicators** for the monitoring and evaluation of transport's contribution to poverty reduction.

IV.4 Monitor the action plan and its outcomes

Last but not least, the action plan must be monitored. There are three levels of monitoring to be undertaken:

- monitoring the **activities and outputs** of the action plan, to check on the effectiveness of the activities and to adapt, as necessary, the plan to achieve the desired outcomes;

- monitoring the **outcomes** of the action plan, i.e. the modifications made to policy and strategies as recommended by the review;
- monitoring the **implementation** of the modified policy and strategies, to verify that the recommendations are being translated into practice in the planning of ongoing and future sector programs and budgetary-support initiatives.

Some outcomes may be achieved more easily than anticipated, and some of the planned activities can be scaled back. Other changes to policy and strategy may be more difficult to achieve, and additional activities may be needed. There may be unforeseen resistances, which need to be tackled through some targeted actions.

Moreover, the wider policy (or political) environment may change during implementation of the action plan, enhancing or hindering the opportunities to carry forward the recommended changes into practice.

The monitoring of the action plan and its outcomes will be the responsibility of the steering group. It may be useful to share out responsibility for the monitoring and reporting of specific activities and outcomes amongst the members of the group.

Regular meetings of the steering group to review progress will be essential, so that timely adaptations can be made to the action plan.

Finally, reporting on the progress achieved will be of great value, not only to stakeholders in the country but also to SSATP and other member countries. Sharing the achievements and lessons of the review process enables others to benefit from the experiences and strengthens the visibility of transport's contribution to poverty reduction and pro-poor growth.

ANNEX 1 – DRAFT TERMS OF REFERENCE FOR THE STAKEHOLDER GROUP

1. Introduction

SSATP has developed a process that enables SSA countries to carry out a review of the links between their transport and poverty reduction strategies, and to take steps to put into practice the findings and recommendations.

The purpose of the process is the creation of a shared understanding – by a broad range of influential people from the public sector, private sector and civil society – of how to adapt national policies and strategies so as to optimize the contribution of transport to poverty reduction, and the implementation of a plan of action to make this happen.

The activities to achieve these results include a participatory assessment of the coherence between a country's transport policy and strategy and its poverty reduction strategy, and the formulation of recommendations for the creation of a sound strategic basis for optimizing the contribution of the transport sector to poverty reduction. The review process also includes activities to initiate implementation of the findings and recommendations, including raising the awareness and knowledge of key people from the public and private sectors and civil society about the links between transport and poverty reduction.

Ownership of the process by people from the countries concerned is a fundamental principle, and is crucial to achieve the intended results. Policy change occurs when those who can influence and make decisions reach a consensus on what changes are required and on how to achieve them. These conditions for policy change can best be created through a shared process of review and analysis, involving people who are knowledgeable about poverty reduction and transport in the country and who have the capacity to influence the design of policies and strategies in these areas.

For more information please read the Guidelines for the SSATP Process for Reviewing National Strategies on Transport and Poverty Reduction.

2. The composition of the stakeholder group

The review is undertaken by a stakeholder group, composed of 15-20 people from the public and private sectors and civil society. The areas of knowledge covered by this group should include: national planning and the poverty reduction strategy; the issues and strategies of the economic and social sectors; the needs and interests of population groups targeted by the poverty reduction strategy, such as women, young people, etc; transport sector (infrastructure and

services, all modes); and the key cross-cutting issues (e.g. good governance, decentralization and capacity-building, employment creation and conditions, gender equity, HIV/AIDS, environmental protection, etc).

A Chair, and perhaps co-Chairs, will be nominated by the group to steer the process. A facilitation team will provide support during the process, especially during the workshops.

3. The role and tasks of the stakeholder group

The role of the stakeholder group is to undertake the review and assessment of the country's transport and poverty reduction policies and strategies.

The main tasks of the members of the stakeholder group are to:

- Provide inputs into the planning of the review process, including identification and provision of relevant documentation, help with securing venues for the meetings and workshops, etc.
- Read the documents and material that are selected for review prior to the workshops;
- Participate actively and fully in the three participatory workshops, and in other meetings of the stakeholder group;
- Provide comments on the reports of the workshops and on the final report of the review process;
- Participate in the formulation of the action plan to take forward the recommendations of the review.

Members of the stakeholder group may also be asked to speak about the review process and its findings to the media and at events, and to contribute to the production of articles and reports.

4. Terms of participation

The names of all members of the stakeholder group who participate in the review process will be clearly indicated in all reports.

The reimbursement of expenses directly related to participation in the review process (e.g. travel, accommodation) will be clarified with all members of the stakeholder group at the outset of the process.

ANNEX 2 – DRAFT TERMS OF REFERENCE FOR THE FACILITATION SERVICES

1. Background

SSATP has developed a process that enables SSA countries to carry out a review of the links between their transport and poverty reduction strategies, and to take steps to put into practice the findings and recommendations.

The purpose of the process is the creation of a shared understanding – by a broad range of influential people from the public sector, private sector and civil society – of how to adapt national policies and strategies so as to optimize the contribution of transport to poverty reduction, and the implementation of a plan of action to make this happen.

The activities to achieve these results include a participatory assessment of the coherence between a country's transport policy and strategy and its poverty reduction strategy, and the formulation of recommendations for the creation of a sound strategic basis for optimizing the contribution of the transport sector to poverty reduction. The review process also includes activities to initiate implementation of the findings and recommendations, including raising the awareness and knowledge of key people from the public and private sectors and civil society about the links between transport and poverty reduction.

Ownership of the process by people from the countries concerned is a fundamental principle, and is crucial to achieve the intended results. Policy change occurs when those who can influence and make decisions reach a consensus on what changes are required and on how to achieve them. These conditions for policy change can best be created through a shared process of review and analysis, involving people who are knowledgeable about poverty reduction and transport in the country and who have the capacity to influence the design of policies and strategies in these areas.

For more information please read the Guidelines for the SSATP Process for Reviewing National Strategies on Transport and Poverty Reduction.

2. The role and tasks of the facilitator in the review process

The facilitation of the review process will be undertaken by one facilitator, who may be supported by a specialist resource person (see section II.5 of the Guidelines on the review process). These Terms of Reference cover the tasks to be conducted by the facilitator and, if engaged, the resource person. Reference should be made to the Guidelines on the review process for a more detailed explanation of the tasks to be undertaken during the review process.

The facilitator plays a central role in the review process. In particular he/she will be responsible for four main tasks:

1. Assisting with the collection of background documentation, making a complete list of the documents selected for the review, and providing members of the stakeholder group with all relevant material;
2. Participating in the meetings of the stakeholder group and providing support and guidance on the planning and implementation of the review process;
3. Provision and organization of the materials needed to conduct the workshops and assessments, including Metaplan visualization materials;
4. Organizing, facilitating and reporting on the participatory workshops following the methodology specified in the Guidelines, including:
 - arranging a suitably-equipped workshop venue;
 - facilitating the workshops using visualization techniques and using the analytical matrices described in the Guidelines;
 - producing reports of the process and outcomes of the workshops and ensuring their validation by the working group;
 - assisting with the production of a final report of the process and outcomes of the review process as a whole, including the recommendations for future action.

One of the important roles of the facilitator is to animate the discussions during the workshops, ensuring the full involvement of all members of the stakeholder group in the review process and ensuring that all outputs (the reports) are validated by the group. The facilitator shall support the stakeholder group in its task of undertaking the assessment of policies and strategies and elaborating conclusions and recommendations.

The facilitator shall not intervene in the content of the discussions, but shall help to ensure that the analyses and findings are comprehensive. He/she must at all times be neutral concerning the views and opinions expressed by the members of the stakeholder group, and shall endeavor to ensure that the reports are an accurate and balanced expression of the discussions, conclusions and recommendations.

He/she will work closely with the stakeholder group, and will seek guidance from the group as and when necessary. The facilitator shall endeavor to ensure that the case study process runs on time and produces the required outputs.

3. Qualifications required

The facilitator must be an experienced workshop facilitator, able to use participatory methods and Metaplan visualization techniques. He/she must have good analytical skills and be familiar

with the use of analytical matrices for collecting and assessing information and data. He/she must have a good understanding of development issues in the country (including transport and poverty reduction issues), he/she does not need to be an expert in these issues. He/she must also have excellent report-writing skills (preferably in the main international language of the country).

These skills and experience might be provided by one person, or by a skilled workshop facilitator and a specialist resource person with good analytical skills and knowledge of poverty reduction and transport issues in the country. However, it is very important that this resource person is a neutral party, is good at helping others to analyze and does not take over the analysis him/herself.

4. Terms and conditions

Remuneration and other terms and conditions will be negotiated with the facilitator at the outset of the process, and a contract signed specifying the roles and responsibilities of the parties.

ANNEX 3 – PREPARATION AND CONDUCT OF THE WORKSHOPS

Guidance to the facilitation team

Preparation of the room

- Create a comfortable and practical working environment in the workshop room.
- Display relevant maps and charts (e.g. a map of the country, a map showing incidence of poverty in the country, a map showing the transport network, posters illustrating poverty or transport issues) and place documents on a table.
- Create a large working chart using large sheets of paper, placing them alongside each other, ideally on one wall of the room. (Stick them firmly to the wall – when they have many cards on them they become quite heavy.) Place title cards on this chart following the matrices presented in the guidelines. Do not draw lines, as some “boxes” may require more space than others.
- Arrange chairs in a semi-circle, in front of and close to the working charts. Create an arrangement that treats all participants as equals (e.g. no top table).
- A flip chart will also be needed – ensure there is sufficient paper.
- Provide all participants with a black marker pen, and place the cards and other materials in an accessible location.

Facilitating the workshops

- Ensure that all participants (men and women) participate equally in the discussions and work. Pay attention to “quieter” participants, making sure that their views are heard.
- Record all ideas and information thoroughly and clearly – on flips or on cards/charts, as appropriate.
- Encourage discussions and exchanges of views and experience. Encourage participants to question and analyze the information being presented on the charts.

Guidance to participants

- Bring to the workshop any relevant documents, maps or posters on poverty and/or transport issues in the country. These may help to focus the discussions and analyses (e.g. on the scale of particular problems, on regional variations or on specific issues).

- Participate fully in the discussions and work. Your views and contributions are important.
- The purpose of the workshops is to analyze and assess the policies and strategies on poverty reduction and transport. The spirit is critical and positive! Be open to questioning about approaches and priorities. Be ready to accept that there may be weaknesses in current policy and strategy, and come forward with suggestions for strengthening and improving them.
- Respect the views of other participants and listen to their contributions.
- Ensure that your ideas are recorded!
- When writing on cards:
 - Express one idea or piece of information only on each card.
 - Write clearly so that it can be read from a distance.
 - No more than three lines of text on each card.

ANNEX 4 –BACKGROUND INFORMATION ON TRANSPORT AND POVERTY

In English

- World Bank Web site on « Transport and Poverty Reduction » is a key source of background information: <http://www.worldbank.org/html/fpd/transport/pov&tra.pdf>

See particularly:

- Transport Chapter of the PRSP Sourcebook
- Transport Technical Notes in PRSP Sourcebook
- Toolkit on “Poverty and Transport”, prepared by Overseas Development Institute in June 2000 for the World Bank and DFID.

Go to: http://www.odi.org.uk/pppg/publications/papers_reports/dfid/issues/trans02.html

- GTZ Document on “Urban Transport and Poverty in Developing Countries: Analysis and Options for Transport Policy and Planning”, published in August 2002.

Go to: <http://www.gtz.de/themen/environment-infrastructure/download/gtz-2002-urban-transport-and-poverty.pdf>

- “Rural Transport Policy Toolkit”, published in 2002 by TRL Ltd for DFID: www.transport-links.org/rtpt/English/Intro.htm
- “The Rural Transport Knowledge Base 2001”, created by TRL Ltd for the SSATP Rural Travel and Transport Program with financial support from DFID, contains a series of reference documents. See: <http://www.transport-links.org/rtkb/English/>

In French

Draft versions of the Transport Chapter and the Transport Technical Notes produced by C. Gannon and Z. Liu for the PRSP Sourcebook can be downloaded from www.worldbank.org/poverty/french/strategies/srcbook/tran1031.pdf

or

<http://www.worldbank.org/poverty/french/strategies/srcbook/trtn1031.pdf>.

“La Base de connaissances sur le transport rural”, réalisée pour le SSATP/PTMR avec l’appui financier de DFID, contient une série de documents de référence:

<http://www.transport-links.org/rtkb/French/>