



**RENFORCEMENT DES CAPACITÉS INSTITUTIONNELLES :
CONCEPT ET ÉTUDE DE PROJETS DANS LE SECTEUR ROUTIER**

**THE CONCEPT OF INSTITUTIONAL CAPACITY BUILDING
AND REVIEW OF ROAD SECTOR PROJECTS**

Commission des Échanges technologiques et du Développement de l'AIPCR
PIARC Commission on Technological Exchanges and Development



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A propos de l'AIPCR

L'Association mondiale de la Route (AIPCR) est une association à but non lucratif fondée en 1909 pour favoriser la coopération internationale et les progrès dans le domaine de la route et du transport routier.

L'étude faisant l'objet de ce rapport a été définie dans le Plan stratégique 2004-2007 approuvé par le Conseil de l'AIPCR dont les membres sont des représentants des gouvernements nationaux membres. Les membres du Comité technique responsable de ce rapport ont été nommés par les gouvernements nationaux membres pour leurs compétences spécifiques.

Les opinions, constatations, conclusions et recommandations exprimées dans cette publication sont celles des auteurs et ne sont pas nécessairement celles de la société/organisme auquel ils appartiennent.

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Statements

The World Road Association (PIARC) is a nonprofit organisation established in 1909 to improve international co-operation and to foster progress in the field of roads and road transport.

The study that is the subject of this report was defined in the PIARC Strategic Plan 2004 – 2007 approved by the Council of the World Road Association, whose members and representatives of the member national governments. The members of the Technical Committee responsible for this report were nominated by the member national governments for their special competences.

Any opinions, findings, conclusions and recommendations expressed in this publication are those of the authors and do not necessarily reflect the views of their parent organizations or agencies.

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RÉSUMÉ

Le présent rapport étudie le renforcement des capacités institutionnelles (RCI) dans le secteur routier dans les pays en développement et dans les pays à économie en transition. Il aborde la question de la définition du RCI et de comment il doit être compris. Sont également présentés ici les résultats d'une étude de différents projets dans le secteur routier qui ont été menés dans des pays en développement dans le cadre des réformes institutionnelles et du renforcement des capacités.

Le présent rapport suggère qu'une bonne définition du RCI doit tenir compte à la fois des éléments matériels (compétences techniques et cadre organisationnel) et des éléments immatériels (ordonnancements sociaux). Il ressort de l'étude des projets que le RCI n'a pas donné de bons résultats faute d'avoir su inscrire les éléments matériels et immatériels simultanément à l'ordre du jour. Souvent, les éléments immatériels sont ignorés ou sous-estimés.

Ce rapport suggère que le RCI doit être considéré comme un instrument permettant d'instaurer la bonne gouvernance et l'intégrité car il poursuit le même objectif – à savoir le développement d'ordonnancements institutionnels efficaces et efficaces pour fournir un système de transport routier fiable et sécurisé.

EXECUTIVE SUMMARY

This report discusses the issue of institutional capacity building (ICB) within the road sector in developing countries and countries with transitional economies. It raises the question of what ICB is and how it should be understood. It further presents findings from a review of selected road sector projects in developing countries aiming at institutional reforms and capacity building.

The report suggests that ICB should be appropriately defined to include both tangible factors (technical competence and organizational framework) and also an understanding of intangible factors (social arrangements). From the review of projects, it appears that ICB has not worked well because it has not been appropriately put on the agenda to include both tangible and intangible factors. Intangible factors are often ignored or underestimated.

The report proposes that ICB should be seen as an instrument for creating good governance and integrity as it pursues the same objective - being the development of effective and efficient institutional arrangements so as to provide a reliable and safe road transport system.



I N T R O D U C T I O N

L'Association mondiale de la Route (AIPCR) s'est intéressée ces dernières années au renforcement des capacités institutionnelles (RCI) comme moyen d'améliorer l'état des routes et donc de contribuer à soulager la pauvreté. Sa Commission des Échanges technologiques et du Développement a pour objectif d'encourager l'identification, l'analyse et l'examen systématiques des grandes thématiques du développement routier dans les pays en développement et dans les pays à économie en transition. Le RCI est l'une de ces grandes thématiques.

La Commission a présenté un premier rapport en 2005 ayant pour objectifs : (i) de définir le RCI et d'expliquer comment il doit être compris, (ii) de décrire les stratégies de RCI utilisées par le passé, (iii) d'étudier de précédents projets d'aide au secteur routier pour déterminer si l'objectif du RCI a été atteint ou non, et (iv) de formuler des enjeux que le RCI doit relever dans le secteur routier. Cet exposé de principe a été suivi d'un examen plus approfondi de différents projets dans le secteur routier qui ont été menés dans des pays en développement dans le cadre des réformes institutionnelles et du renforcement des capacités. Le présent rapport est une compilation de ces travaux.

QU'EST-CE QUE LE RENFORCEMENT DES CAPACITÉS INSTITUTIONNELLES ?

Le renforcement des capacités est actuellement l'une des principales thématiques du développement du secteur routier dans les pays en développement et les pays en transition. Pourtant, ce concept reste complexe, difficile à saisir et à mettre en pratique.

► RENFORCEMENT DES CAPACITÉS : CONCEPT ET DÉFINITION

Le RCI recouvre essentiellement trois activités :

1. le perfectionnement professionnel,
2. l'amélioration des procédures et
3. le renforcement de l'organisation.

Telle est sa définition la plus courante dans les documents de la Banque mondiale. Le RCI dans le secteur routier concerne donc des investissements en termes de personnes, d'institutions et de pratiques qui permettront aux

I N T R O D U C T I O N

In recent years, institutional capacity building (ICB) as means of improving road conditions and thereby help in alleviating poverty has preoccupied PIARC. The PIARC Technological Exchanges and Development Commission has the objective to promote the systematic identification, analysis and review of key issues for road development in developing countries and countries with economies in transition. ICB is one of these key issues.

The Commission presented a position paper in 2005 with the objectives to: (i) describe what ICB is and how it should be understood, (ii) describe some strategies for ICB that have been used in the past, (iii) survey previous aid projects on roads so as to identify the extent to which the goal of ICB has or has not been achieved, and (iv) draw some challenges that face ICB in the road sector. As a follow up to the position paper, a more in-depth review of some road sector projects in developing countries aiming at institutional reforms and capacity building has been carried out. This report compiles this work.

WHAT IS INSTITUTIONAL CAPACITY BUILDING?

Capacity building is currently one of the leading issues in the development of the road sector in developing countries and transition countries. Yet the concept of capacity building remains complex and difficult to grasp and put into practice.

► THE CONCEPT AND DEFINITION OF CAPACITY BUILDING

ICB encompasses three main activities:

1. skill upgrading,
2. procedural improvements, and
3. organizational strengthening.

This is the most frequent definition found in World Bank documents. Thus, road sector related ICB refers to investment in people, institutions and practices that will enable developing countries and transition countries to achieve their road



pays en développement et aux pays en transition d'atteindre leurs objectifs de développement dans ce secteur.

Ainsi défini, le RCI se traduit par l'acquisition de ressources (humaines, financières, réseaux, connaissances, systèmes et culture) et par leur intégration de manière à induire des changements de comportement individuel pour, au final, rendre plus efficace et plus efficient le fonctionnement des institutions et des organismes.

Mais le RCI renvoie également à deux catégories de ressources : les éléments matériels et les éléments immatériels. Les éléments matériels englobent notamment les biens corporels que sont les infrastructures, les machines, et les ressources naturelles, la santé de la population et l'éducation. Les systèmes et la structure d'organisation, les cadres juridiques et les politiques relèvent également de cette catégorie. Les éléments matériels peuvent être qualifiés de capacités de contrainte. Ils sont généralement favorables en termes physiques ou en termes d'indices.

Les éléments immatériels ont trait pour leur part aux compétences sociales, à l'expérience, à la créativité, à la cohésion sociale, au capital social, aux valeurs, à la motivation, aux usages, aux traditions, à la culture institutionnelle, etc. Ils peuvent, par conséquent, être qualifiés de capacités d'influence. Généralement difficiles à quantifier, ils pourraient aussi être qualifiés de capacités fondamentales dans la mesure où ils renvoient à la créativité, à l'ingéniosité et à la capacité d'apprentissage et d'adaptation des individus et des entités sociales.

Dans le RCI, les éléments immatériels sont tout aussi importants que les éléments matériels car ils déterminent dans quelle mesure une société donnée parvient ou non à utiliser correctement les ressources à sa disposition. Ces éléments permettent à la société concernée de réaliser pleinement son potentiel humain et social.

Le RCI ne sera adapté et équilibré que si les éléments matériels et les éléments immatériels sont équilibrés. C'est ce qu'illustre la [Figure 1, page suivante](#), qui montre que le développement institutionnel a plus de chances de réussir s'il tient compte à la fois des éléments matériels (compétences techniques et cadre organisationnel) et des éléments immatériels (ordonnancements sociaux).

sector development objectives.

Defined in this way, ICB occurs by acquiring resources (human, financial, networks, knowledge, systems and culture) and integrating them in a way that leads to change in individual behavior and ultimately to more efficient and effective operations of institutions and organizations.

However, ICB also has to do with two types of resources that are emphasized; tangibles and non-tangibles. The tangibles include physical assets such as infrastructure, machinery, natural resources, health of the population and education. Organizational structure and systems, legal frameworks and policies are also included in this category. The tangibles can be referred to as hard capabilities. These are factors that generally are amenable in either physical terms or in terms of indices.

The intangibles on the other hand, have to do with social skills, experience, creativity, social cohesion, social capital, values, motivation, habits, traditions, institutional culture etc., and hence can be referred to as soft capabilities. These are normally difficult to quantify. Others may term these capabilities as core capabilities as they refer to the creativity, resourcefulness and capacity to learn and adapt of individuals and social entities.

In ICB, the intangibles are as important as the tangibles because they determine how well a given society uses the resources at its disposal. They are what allow them to realize their human and social potential to the highest possible level.

To achieve a proper and balanced ICB a balance is required between the tangibles and intangibles. This is illustrated in [figure 1, next page](#). What the figure illustrates is that, institutional development is more likely to succeed if it promotes both the tangibles (technical competencies and organizational framework) and intangibles (social arrangements).

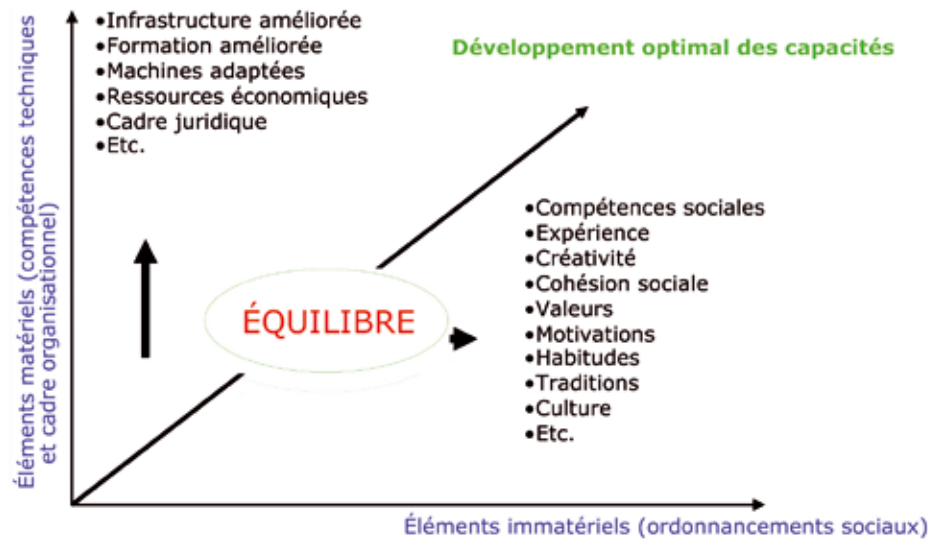


Figure 1 – Équilibre entre les éléments immatériels et les éléments matériels dans le cadre du RCI

► **EXPÉRIENCES DE RENFORCEMENT DES CAPACITÉS DANS LE SECTEUR ROUTIER**

Les définitions qui précèdent incitent à attribuer avant tout le manque de réussite du RCI dans le secteur routier au fait qu'un seul des deux axes a été pris en compte. Cette remarque se vérifie si l'on considère ce sur quoi l'accent a été mis ces trois dernières décennies pour renforcer les capacités dans ce secteur.

Les années 1970 : L'accent a été mis sur le développement de l'individu à travers des bourses, la formation sur le tas et la fourniture d'équipements. Cette approche a sérieusement échoué en termes de RCI car les boursiers ne sont pas revenus pour la plupart. Ceux, néanmoins, qui sont revenus ont accédé à de bien meilleures opportunités de carrière, assez éloignées de leur formation et mieux rémunérées, etc. En outre, les équipements fournis n'ont pas fait l'objet du moindre entretien et sont finalement devenus plus ou moins inutiles à long terme. La formation individuelle à elle seule n'a jamais suffi à dynamiser le développement des capacités.

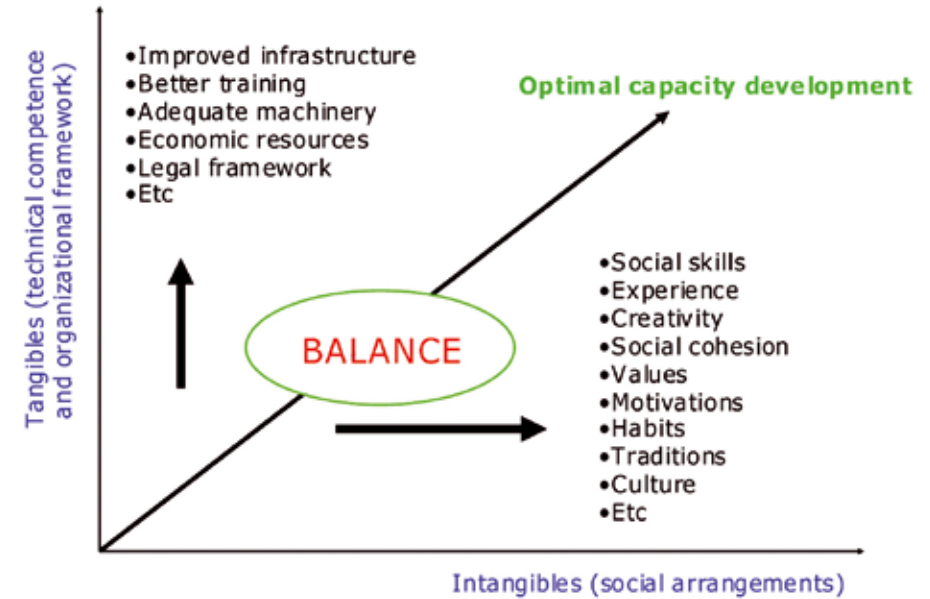


Figure 1 - Balance between intangibles and tangibles in ICB

► **PAST EXPERIENCES WITH CAPACITY BUILDING IN THE ROAD SECTOR**

Given the definitions above, there are reasons to believe that ICB within the road sector has had success problems primarily because only one of the axes and not both have been emphasized. This claim is verified by looking back at what has been the focus for capacity building in the road sector in the last three decades.

The 70s: The focus was on developing the individual through scholarships and on-the-job-training and on providing equipments. Serious failures have been witnessed in this approach as far as ICB is concerned. Many of those who received scholarship never returned, and those who returned got much better job opportunities quite different from their training giving better payments etc. In addition, the equipments provided were never maintained and eventually became more or less useless in the long run. Individual training alone never prospered capacity development.



Les années 1980 : Dans les années 1980, l'accent a été mis sur l'audit, les fonds alloués étant bien souvent détournés. Les donateurs ont cherché à restructurer et à revoir la conception des organisations pour éviter ces détournements. Des audits organisationnels et des supports externes ont servi à mettre en place des soutiens financiers clairs et précis pour les institutions. L'idée était que l'argent aille à ce pour quoi il était prévu. Pourtant, les choses ne se sont pas bien passées en termes de RCI car l'accent n'a été mis que sur un seul aspect, uniquement la gestion des fonds accrédités.

Les années 1990 : Une plus grande compréhension du cadre institutionnel au sens large est apparue, qui a souligné la nécessité de mettre l'accent sur les résultats. La Banque mondiale a par exemple introduit le concept de contrôle des performances et défendu l'importance du renforcement des capacités comme objectif d'aide au développement. L'idée a été suivie par beaucoup de pays donateurs et organismes de développement. Au cours des années 1990, le RCI restait pourtant un objectif secondaire de nombreux projets d'aide, un certain flou subsistant au niveau des définitions et des moyens de réalisation.

Les années 2000 : De nouveaux facteurs mondiaux – la mondialisation, la révolution de l'information, la formidable croissance des marchés internationaux, l'accélération de la démocratisation ou encore la décentralisation des pouvoirs nationaux – incitent les organismes tels que la Banque mondiale, le PNUD et presque tous les autres organismes internationaux de développement à réévaluer leurs rôles et leurs compétences dans leur offre d'aide. Le développement humain durable – stratégie intersectorielle en faveur de l'éradication de la pauvreté, de moyens d'existence durables, de la régénération environnementale et du paritarisme – est désormais considéré comme le meilleur moyen de parvenir à un développement durable sur le long terme. De plus en plus, il est reconnu que des processus basés sur des partenariats avec les pouvoirs publics et la société civile, et notamment les rapports professionnels entre les individus, sont indispensables pour y parvenir. Ces processus sont conçus selon des approches de facilitation et de participation. Ils doivent tenir compte des priorités et des objectifs nationaux et les respecter. Ces caractéristiques sont les principes fondamentaux d'une bonne gouvernance de la société et renouvellent les principaux objectifs de la coopération pour le développement : la durabilité à long terme et un environnement favorisant le développement humain. Le RCI est l'un de ces principes fondamentaux. Des projets d'aide récents s'intéressent à la manière de le faciliter. Le concept de RCI reste difficile à saisir. C'est là où nous en sommes aujourd'hui et c'est pourquoi il est important de poursuivre le concept des deux axes défini ci-dessus.

The 80s: In the 80s, auditing came into focus because of the prevalent embezzlements of allocated funds. The donors were preoccupied with restructuring and redesign of the organizations to avoid embezzlements. Organizational audits and external supports were used to develop clear-cut financial supports for institutions. The idea was that money went to what they were intended for. Still, things never went well as far as ICB was concerned as the focus was one-sided, only the management of accredited funds.

The 90s: An increased understanding of the wider institutional framework emerged and the need to focus on outcomes. The World Bank for instance, introduced the concept of monitoring performance and that capacity building must be an important objective of development aid. The idea has been followed by many donor countries and development organizations. Yet, throughout the 90s, ICB was still a secondary objective of many aid projects with no clear-cut definitions and ways of achieving it.

2000 +: New global factors - such as globalization, the information revolution, the tremendous growth in international markets and the acceleration in the democratization and decentralization of national authorities - are causing international organizations such as the World Bank, UNDP and almost all other international development organizations to reassess their roles and competencies in offering development aid. Sustainable Human Development - a cross-sectoral strategy for poverty eradication, sustainable livelihoods, environmental regeneration and gender mainstreaming - is now being considered the best way of achieving long term sustainable development. It is now more and more recognized that achieving it requires processes based on partnerships with both government and civil society including the inter-relationships between individuals. These processes are being designed through facilitative and participatory approaches, and should be responsive and accountable to national priorities and objectives. These characteristics are not only the core principles of good governance in society; they also renew the main goals of development cooperation: long-term sustainability and an enabling environment that facilitates human development. One of its cores is ICB. Recent aid projects are concerned with how to facilitate ICB. The concept of ICB still remains difficult to grasp, and that is where we stand today and that is why the concept of the two axes defined above are important to pursue.



► RENFORCEMENT DES CAPACITÉS DANS LES PAYS À ÉCONOMIE EN TRANSITION

La discussion qui précède concerne tout autant les pays en développement que les pays à économie en transition. Cependant, la généralisation peut être dangereuse dans le cadre d'un processus tel que le renforcement des capacités. Les mesures institutionnelles étant bien différentes entre les pays en transition et les pays en développement, la priorité du RCI dans ces pays doit, bien évidemment, être différente elle aussi.

Le terme de *pays à économie en transition* décrit des pays qui sont en train de passer d'une économie à planification centrale à une économie de marché. Il s'applique essentiellement aux anciens pays de l'Europe de l'Est mais peut également s'utiliser pour certains pays d'Asie. Après la dislocation de l'Union soviétique, la plupart des pays de l'Est ont été confrontés à des distorsions économiques profondes, à d'importantes perturbations des échanges et à l'absence d'institutions tournées vers le marché.

Pour les économies en transition européennes, le RCI doit être apprécié à la lumière des conditions posées pour intégrer l'Union européenne selon lesquelles tout candidat membre doit : être une démocratie stable, respecter les droits de l'homme, la règle de la loi et la protection des minorités ; pratiquer une économie de marché ; et adopter les règles, les normes et les politiques communes qui constituent le code de l'UE.

Dans ces pays, le RCI est une affaire de démocratisation et de commercialisation pour adapter les économies en développement orientées vers le marché. Le processus d'accession à l'EU a joué un rôle de catalyseur dans l'accélération des réformes institutionnelles et politiques [1]. Dans le secteur routier, il se traduit par : la transformation de l'administration routière en une organisation à gestion commerciale ; la mise en place de systèmes modernes de financement des routes ; le développement des capacités au niveau des aspects de gestion, de fourniture et financiers, notamment la gestion des contrats ; le développement des compétences de gestion et financières de l'industrie contractante nationale ; l'amélioration de la gouvernance pour une gestion plus efficace ; l'instauration d'une discipline en matière de paiement, des règlements transparents, des réformes d'entreprise, etc.; et l'augmentation de la participation publique.

Néanmoins, il ne faut pas considérer la privatisation comme la panacée. La fourniture privée d'infrastructures appelle un contrôle public. Les instances gouvernementales qui ne sont pas capables de fournir des services publics efficaces ne sont pas non plus capables de contrôler efficacement les entreprises

► CAPACITY BUILDING IN COUNTRIES WITH ECONOMIES IN TRANSITION

The preceding discussion applies to both developing countries and countries with economies in transition alike. However, generalization about a process like capacity building can be dangerous. The institutional settings in transition countries are quite different from those of developing countries, and obviously the focus of ICB in these countries should be different.

Countries with transitional economies is a term used to describe countries that are in the process of moving from a centrally-planned economy towards free market principles. This term is used mostly for former eastern European countries but may include other Asian countries too. After the break of the Soviet Union, most of the eastern European countries faced deep economic distortions, major trade disruptions and absence of market-oriented institutions.

ICB for the European transitional economies should be seen in the light of the requirements for joining the European Union according to which a prospective member must: be a stable democracy, respecting human rights, the rule of law, and the protection of minorities; have a functioning market economy; and adopt common rules, standards and policies that make up the body of EU law.

ICB in these countries is a question of democratization and commercialization to fit the developing market-oriented economies, and the EU accession process has played a catalytic role in accelerating institutional and policy reforms [1]. In the road sector, this process translates into: making the road administration a commercially operated management organization; developing modern road financing systems; developing capacity within management, procurement and financial issues including contract management; developing managerial and financial skills of the domestic contracting industry; improving governance to ensure effective management; developing payment discipline, transparent regulations, enterprise reforms etc.; and increasing public participation.

Privatization should, however, not be seen as a panacea. Private provision of infrastructure needs public control. Government bodies which are unable to efficiently deliver public services are also unable to efficiently control private enterprises contracted to do it. There are examples of transition countries facing



privées auxquelles la fourniture a été sous-traitée. Certains pays en transition se heurtent à des difficultés parce qu'ils ont sauté trop vite le pas de la privatisation, sans suivre le rythme progressif des réformes.

► **RENFORCEMENT DES CAPACITÉS – UN OUTIL POUR PROMOUVOIR LA BONNE GOUVERNANCE ET L'INTÉGRITÉ**

La gouvernance peut être définie comme un ensemble de traditions et d'institutions dans le cadre desquelles l'autorité est exercée au service du bien commun. La bonne gouvernance et l'intégrité se caractérisent par la transparence, la responsabilité, la prévisibilité et la crédibilité.

Aujourd'hui, la plupart des organisations gouvernementales ont inscrit à leur ordre du jour la question de la bonne gouvernance et de l'intégrité. Pour les administrations routières, il s'agit de mettre en place des institutions efficaces et efficaces pour fournir un système de transport routier fiable et sécurisé.

Au vu de ce qui précède, le lien entre la bonne gouvernance et le RCI doit être évident. Puisqu'il poursuit le même objectif, le concept de RCI doit être considéré comme un moyen de promouvoir et de développer la bonne gouvernance et l'intégrité.

► **STRATÉGIES DE RENFORCEMENT DES CAPACITÉS**

La présente section étudie des stratégies de RCI qui ont été utilisées par le passé dans les pays en développement à la lumière de la définition du RCI à deux axes.

► **AIDE FINANCIÈRE ET OFFRE DE RESSOURCES PHYSIQUES**

Dans cette stratégie, le simple manque de ressources, financières ou biens physiques, est perçu comme la principale insuffisance de capacités institutionnelles. Cette stratégie est répandue dans de nombreuses agences à travers le monde. Elle repose sur l'idée que l'institution n'a pas toutes les ressources ou tous les financements nécessaires pour être efficiente. La stratégie pour les donateurs est alors de fournir plus d'équipements, plus de fonds pour les frais d'exploitation, le paiement des salaires, plus de locaux, de personnels qualifiés, etc. afin d'améliorer les conditions pour développer les capacités.

L'aide au développement a été dominée par le passé par cette stratégie qui présente l'avantage d'être relativement facile à mettre en application pour les donateurs et, en outre, de ne pas trop s'immiscer dans les affaires des participants. Dans bien

difficulties because they have jumped too fast towards privatization without going through the right sequence of reform.

► **CAPACITY BUILDING – A TOOL TO PROMOTE GOOD GOVERNANCE AND INTEGRITY**

Governance can be defined as a set of traditions and institutions through which authority is exercised with the objective of achieving common good. Good governance and integrity is characterized by transparency, accountability, predictability and credibility.

The issue of good governance and integrity is on the agenda of most government organizations today. For road administrations, this is about developing effective and efficient institutions with the ultimate objective to provide a reliable and safe road transport system.

From the preceding discussion, the relationship between good governance and ICB should be obvious. The ICB concept pursues the same objective, and should thus be seen as a way of promoting and developing good governance and integrity.

► **STRATEGIES FOR CAPACITY BUILDING**

In the following some ICB strategies that have been used in the past in developing countries are discussed in the light of the definition of ICB with the two axes.

► **FINANCIAL ASSISTANCE AND SUPPLY OF PHYSICAL RESOURCES**

In this strategy, simple lack of resources, either financial or physical assets, are seen as the major lack of institutional capacity. This strategy is prevalent among many aid agencies throughout the world. The rationale of this strategy is that the concerned institution lacks adequate supplies or finances to achieve its efficiency. The strategy for the donors is then to provide more equipment, more funds for operating costs, salary payments, more buildings, trained staff etc. so as to improve the conditions for capacity development.

This strategy has in the past dominated development aid. It has the advantage that, for donors it is relatively easy to implement and, furthermore does not intrude much into the affairs of participants. In several circumstances, the provision of



des cas, l'apport de fonds, de formation et de machines a aidé les institutions à se développer et en particulier à traverser les périodes critiques. Cependant, cette stratégie peut ne pas bien fonctionner. Il arrive que des membres d'institutions s'approprient les ressources fournies pour servir leur intérêt personnel. En outre, l'apport de ressources peut aussi créer une dépendance à long terme des institutions envers les donateurs. L'apport de ressources devient dès lors une source de profits plutôt qu'une incitation et n'entraîne pas un développement soutenu des institutions. Pour revenir à la Figure 1, cette stratégie n'améliore réellement qu'un seul des deux axes, les éléments matériels, et de ce fait ne soutient pas correctement le RCI.

► AMÉLIORATION DES CAPACITÉS D'ORGANISATION ET TECHNIQUES DES INSTITUTIONS

Cette stratégie a pour but d'améliorer les capacités personnelles, techniques et d'organisation des institutions pour leur permettre d'optimiser les tentatives en cours. À la différence de la stratégie précédente, dont elle est une variante ou un sous-ensemble, elle est motivée, plutôt que par les ressources, par le manque de capacités techniques et de structure institutionnelle adaptées. Dans le secteur routier notamment, cette stratégie devenue courante est généralement l'approche de renforcement des capacités qui est envisagée. Les activités comprises sont du type :

1. assistance technique en termes de personnel,
2. formation technique des personnels locaux, sur place ou sous forme de bourses à l'étranger,
3. amélioration des systèmes de gestion et financiers, et
4. amélioration des conditions de travail.

Cette stratégie a réellement amélioré les capacités techniques de nombreuses institutions, du moins à court terme. La valeur de la formation et du perfectionnement professionnel est assurément importante pour le développement des capacités et doit être encouragée. Par ailleurs, les pays en développement continuent à pâtir du mauvais fonctionnement des organismes et d'un manque de personnels qualifiés et de systèmes de gestion appropriés.

Mais cette stratégie peut aussi être inefficace pour promouvoir le développement institutionnel. Nombre d'institutions subissent des contraintes bien au-delà des éléments dits matériels qui ne sont pas du ressort du support technique. Ces contraintes peuvent être la politique, la motivation, la culture, etc. et peuvent empêcher les institutions et les individus d'opérer, quels que soient leurs niveaux de compétences techniques. Alors que l'accent a été mis pendant tant d'années

funds, training and machinery has helped institutions develop and in particular get through critical periods. However, this strategy may not function well. There is the risk that the resources supplied may be appropriated by officials of the institutions for their own personal benefits. In other circumstances, the supply of resources may make the institutions donor-dependent also in the long run. The supply of resources becomes pay-offs rather than incentives and does not lead to a sustained development of the institutions. Returning to the illustration in figure 1, this strategy definitely improves only one of the axes; the tangibles, and therefore will not promote ICB appropriately.

► IMPROVING THE ORGANIZATIONAL AND TECHNICAL CAPABILITIES OF INSTITUTIONS

This strategy has the aim of improving the personal, technical and organizational capabilities of the institutions so that they better perform what is already being attempted. It is thus a variant or a subset of the strategy above with the difference that it is motivated by lack of technical capabilities and proper institutional structure rather than resources. In the road sector in particular, this strategy has become common, and it is the one mostly considered as capacity building approach. Activities included are such as:

1. technical assistance in terms of personnel,
2. technical training of local personnel either locally or in form of scholarships abroad,
3. improvement of management and financial systems, and
4. improved working conditions.

This strategy has definitely improved technical capabilities of many institutions, at least in the short term. The value of training and skill improvement are undoubtedly important for capacity development and should be encouraged. It also remains true that many developing countries suffer from poorly performing organizations and lack of trained staff and proper management systems.

However, this strategy may also be inefficient in promoting institutional development. Many institutions are under constraints far beyond what can be termed tangibles and what technical support is not about. Such constraints may include politics, motivation, culture etc., which may prevent institutions and individuals from performing regardless of their technical skill levels. The current situation, after so many years of emphasis on education and training as a means of



sur l'éducation et la formation comme moyens de développer les capacités, il apparaît dans nombre de pays que les qualifications et la formation sont moins une contrainte aujourd'hui qu'il y a 15 ou 20 ans. L'important désormais est d'utiliser et de préserver les capacités existantes. Ce qui n'est possible qu'en tenant sérieusement compte des éléments immatériels évoqués précédemment. Encore une fois, c'est en combinant des deux axes de la *Figure 1, page 16* que l'on peut optimiser le développement des capacités.

► DÉTERMINATION DES OBJECTIFS STRATÉGIQUES D'UNE INSTITUTION

Le problème est que les institutions n'ont pas d'orientations claires ou ne parviennent pas à définir une orientation cohérente. Prenons l'exemple de la direction de la circulation routière. Le renforcement des capacités doit-il porter sur la sécurité routière, une plus grande fourniture de routes, l'amélioration de l'environnement des villes, le développement économique ou tout à la fois ? De même, la pression des différents groupes peut être énorme, chacun poursuivant ses propres objectifs. Ou il peut n'y avoir aucun consensus au niveau du système politique sur l'objet de l'institution.

Le but de la stratégie est de contribuer à décider d'une politique ou d'une direction générale permettant de guider les actions et le développement des capacités sur le long terme. Cette stratégie a l'avantage d'être simple. Les idées développées peuvent être comparées à d'autres expériences. Le problème, malgré tout, est de savoir si les éléments immatériels sont effectivement bien pris en compte. Si ce n'est pas le cas, la démarche risque fort de se solder par un échec.

► RENFORCEMENT DU SYSTÈME AU SENS LARGE, DES RÉSEAUX ET DU CADRE ORGANISATIONNEL

Le but de cette stratégie est d'aider un groupe d'institutions à coopérer pour exécuter des tâches complexes tels qu'un budget national, des programmes nationaux pour la santé ou les transports. Le système n'a pas l'organisation ni les subdivisions nécessaires pour remplir ces fonctions. Ou il faut pour cela repenser les rapports professionnels entre les acteurs du secteur/système. Pour que cette stratégie fonctionne, l'accent doit être mis à la fois sur les rapports professionnels entre les organismes et les individus et les groupes d'individus. Là encore, les deux axes évoqués précédemment sont importants. Cette stratégie est peut-être la plus complexe à suivre pour les organismes de développement.

developing capacity, reveals that skills and training has become less of a constraint in many countries than what was the case 15-20 years ago. What should matter now is the utilization and retention of the already available capacities. That can only be achieved if the intangibles discussed above are considered seriously. Again, it is the mix of the two axes in *figure 1, page 17* that can lead to optimal capacity development.

► SETTING STRATEGIC GOALS FOR AN INSTITUTION

The problem is that institutions do not have clear directions or cannot define a consistent direction. Take the case of a road traffic directorate. Should the capacity building be traffic safety, increased supply of roads, environmental improvement in cities, economic development or all? And further, pressure from the different groups may be enormous, each wishing to achieve their own goals. Or, there may be no consensus in the political system about the purpose of the institution.

The aim of the strategy is to help induce a policy or a general direction that can guide actions and the development of capacity in the long term. The advantage with this strategy is that it is simple. Ideas developed can be compared to experiences elsewhere. The problem, however, is whether the intangibles really are taken into account in an appropriate way. Otherwise it will most likely result into a failure.

► STRENGTHENING THE LARGER SYSTEM, NETWORKS AND ORGANIZATIONAL FRAMEWORK

This strategy aims to help a group of institutions to work together to carry complex tasks such as national budgeting, national health plans and national transport plans. The system lacks the organization or its sub-units to perform these functions. Or the interrelationship between actors in the sector/system needs reshaping to perform their functions. For this strategy to work well, focus must be both on the interrelations between the organizations and individuals and groups of individuals. Again, the two axes explained above are important. Perhaps this strategy is the most complex one for development organizations to accomplish.



QUELS ONT ÉTÉ LES RÉSULTATS DE PRÉCÉDENTS PROJETS DE RENFORCEMENT DES CAPACITÉS ?

Ces vingt dernières années, presque tous les pays et organismes de développement ont considéré le renforcement des capacités comme faisant partie intégrante de l'aide au développement. Pour mieux cerner les résultats des expériences passées, différents projets de renforcement des capacités menés dans plusieurs pays en développement ont été étudiés sous la forme d'une revue de la littérature s'appuyant sur les rapports d'évaluation des projets.

► PORTÉE ET OBJECTIFS DE L'ÉTUDE

Cinq cas ont été étudiés dans différents pays en développement.

1. Durabilité institutionnelle et développement des capacités dans le cadre de projets de sécurité routière financés par l'Agence suédoise de coopération pour le développement international (SIDA) [2]
2. Aide norvégienne au secteur routier au Botswana (Agence norvégienne de coopération pour le développement) [3] [4]
3. Aide norvégienne au secteur routier en Tanzanie (Agence norvégienne de coopération pour le développement) [5]
4. Aide au secteur des transports au Ghana (Banque africaine de développement) [6]
5. Gestion du secteur routier en République démocratique populaire Lao (RDPL), en Papouasie Nouvelle-Guinée et aux Philippines (Banque asiatique de développement) [7]

Ces travaux ont cherché à répondre aux questions suivantes :

- Comment le RCI est-il perçu ?
- Comment le RCI est-il traité ?
- Dans quelle mesure les cas relèvent-ils du concept de RCI ?
- Quels ont été les enseignements (succès et échecs/défauts) de projets spécifiques ?

Les performances et les résultats de ces projets sont évalués selon le système de notation de la Banque mondiale. Les critères retenus sont les suivants :

Résultats – englobe trois facteurs : (Notes possibles : Fort, Substantiel, Modeste, Négligeable)

A REVIEW OF HOW CAPACITY BUILDING PROJECTS IN THE PAST

For the last two decades, capacity building has been seen as an integral part of development aid by almost all countries and development organizations. With the aim to examine how capacity building projects have worked, a review of such projects in some developing countries world-wide has been undertaken. The review has been carried out as a literature study using project evaluation reports as the data source.

► THE SCOPE AND OBJECTIVES OF THE REVIEW

The review comprises five cases from different developing countries.

1. Institutional sustainability and capacity development within SIDA financed road safety projects (Swedish International Development Cooperation Agency) [2]
2. Norwegian assistance to the road sector in Botswana (Norwegian Agency for Development Cooperation) [3] [4]
3. Norwegian assistance to the road sector in Tanzania (Norwegian Agency for Development Cooperation) [5]
4. Assistance to the transport sector in Ghana (African Development Bank) [6]
5. Road sector management in Lao PDR, Papua New Guinea and Philippines (Asian Development Bank) [7]

The objectives of the review have been to find out:

- how ICB is perceived
- how ICB is addressed
- to what extent the cases relate to the ICB concept
- which experiences have been gained (successes and failures/short-comings) from specific projects

In the assessment of the projects' performance and results, the World Bank rating system is used. The following factors are considered:

Outcome - consists of the following three factors: (Possible ratings: high, substantial, modest, negligible)



Pertinence – rapport entre les objectifs du projet et les besoins et priorités institutionnelles du pays.

Efficacité – dans quelle mesure les objectifs de développement ont été atteints.
Efficiency – dans quelle mesure les objectifs du projet ont été atteints en n'utilisant que les ressources nécessaires.

Durabilité – probabilité de maintenir ou de dépasser au cours de la durée de vie du projet les bénéfices nets estimés. (Notes possibles : Hautement probable, Probable, Peu probable, Hautement peu probable, Non évaluable)

Impact du développement institutionnel – dans quelle mesure le projet améliore la capacité d'un pays à mieux utiliser ses ressources. (Notes possibles : Fort, Substantiel, Modeste, Négligeable)

► RÉSULTATS

Les résultats sont résumés ci-après et organisés selon les quatre objectifs définis. Ils sont développés en annexe au présent rapport.

(i) Comment le RCI est-il perçu ?

Le terme *renforcement des capacités* est perçu ou compris de plusieurs manières. Dans certains cas, il renvoie à des activités qui visent à développer des structures, des processus et mécanismes d'organisation, et les ressources humaines. Dans d'autres, les termes renforcement des capacités et renforcement institutionnel sont utilisés dans le sens de la formation et du transfert de technologies.

(ii) Comment le RCI est-il traité ?

Les projets de sécurité routière (cas 1) ont utilisé différentes approches du RCI. Il apparaît cependant que le développement des capacités institutionnelles n'a été l'objectif principal que de quelques projets seulement.

Au Botswana (cas 2), le renforcement des capacités/institutionnel a été traité en fournissant des personnels expatriés, une formation, et en développant les technologies, les méthodes de travail et les procédures. La coopération institutionnelle (accord de jumelage) a été mise en place comme mode de renforcement des capacités/institutionnel.

Relevance - the project's objectives in relation to country needs and institutional priorities.

Efficacy - the extent to which the development objectives have been achieved.
Efficiency - the extent to which its objectives have been achieved without using more resources than necessary.

Sustainability - the likelihood that the estimated net benefits will be maintained or exceeded over the life of the project. (Possible ratings: highly likely, likely, unlikely, highly unlikely, not evaluable)

Institutional development impact - the extent to which the project improves the ability of a country to make better use of its resources (Possible ratings: high, substantial, modest, negligible)

► FINDINGS OF THE REVIEW

A summary of the review findings are presented below and structured according to the four objectives set for the review. More information on the findings is annexed to the report.

(i) How is ICB perceived?

The term capacity building is perceived or understood in different ways. In some cases it refers to activities aimed at developing structures, organizational mechanisms and processes, and human resources. In other cases, the terms capacity building and institution building are used in the sense of training and technology transfer.

(ii) How is ICB addressed?

In the road safety projects (case 1), various approaches to ICB have been used. It appears however, that only a few projects have had institutional capacity development as the main objective.

In Botswana (case 2), capacity/institution building has been addressed through the provision of expatriate staff, training, and development of technology, work methods and procedures. As a means of capacity/institution building, institutional cooperation (twinning arrangement) is set up.



En Tanzanie (cas 3), le renforcement des capacités est dispensé à travers la coopération institutionnelle (accord de jumelage) en faisant appel à des conseillers en mission de courte durée.

Au Ghana (cas 4) et dans les pays d'Asie du Sud-Est (cas 5), le renforcement des capacités se limite à des services de conseil et à une formation en gestion et technique.

(iii) Dans quelle mesure les cas relèvent-ils du concept de RCI ?

Il s'avère que les interventions et les activités en général se sont orientées vers les capacités de contrainte (éléments matériels). Les capacités d'influence (éléments immatériels) ont fait l'objet de peu d'attention bien que les conditions locales aient, dans une certaine mesure, été prises en compte dans la conception et la mise en œuvre des différentes activités.

(iv) Expériences de projets spécifiques

Cas 1 : Projets de sécurité routière financés par l'agence suédoise SIDA

La Suède a soutenu dans les pays en développement des projets de sécurité routière axés sur le développement des capacités de grandes institutions.

Le fait que l'impact de ces projets n'ait pas été optimal s'explique en partie par l'absence de stratégie globale en matière de développement des capacités institutionnelles. Cette absence s'est traduite par le morcellement de financements limités en un trop grand nombre de composantes et d'activités et par l'attribution de ressources à la conception plutôt qu'à la mise en œuvre.

Autre enseignement : les interventions doivent être adaptées au niveau de développement et à la capacité d'absorption du destinataire. Une expertise en matière de renforcement des capacités institutionnelles et de processus de réforme est par ailleurs nécessaire tant au niveau secteur qu'au niveau macro.

Les facteurs suivants s'avèrent critiques pour soutenir les résultats : un soutien politique ; des mécanismes institutionnels d'obtention et d'allocation des ressources ; des instances opérationnelles pour communiquer et coordonner la contribution des parties prenantes ; ainsi que des individus qualifiés et expérimentés.

In Tanzania (case 3), capacity building is provided for through institutional cooperation (twinning arrangement) involving advisors on short-term assignments.

In Ghana (case 4) and in the South-East Asian countries (case 5), capacity building is limited to consulting services and training on managerial and technical matters.

(iii) To what extent do the cases relate to the ICB concept?

It appears that interventions and activities in general have been geared towards hard capabilities (tangibles). Little attention has been paid to soft capabilities (intangibles) although local conditions have to some extent been taken into account in the design and implementation of the various activities.

(iv) Experiences from specific projects

Case 1: SIDA financed road safety projects

Sweden has supported road safety projects in developing countries with a focus on capacity development of key institutions.

The projects have not had an optimal impact which is partly due to the lack of an overall strategy for institutional capacity development. The lack of an overall strategy has resulted in spreading of limited funds thinly into too many components and activities and in allocation of resources to the design of activities rather than to the implementation stage.

Another lesson learned is that interventions need to be adapted to the recipient's level of development and absorption capacity. Further, expertise within institutional capacity building and reform processes is needed both at the sector-level and the macro-level.

For results to be sustained, the following factors are found to be critical: political support; institutional mechanisms to secure and allocate resources; functioning bodies for communication between and coordination of stakeholder contribution; and individuals with the necessary knowledge and experiences.



TABLEAU 1 – RÉSUMÉ DES PERFORMANCES DE PROJET : DURABILITÉ INSTITUTIONNELLE ET DÉVELOPPEMENT DES CAPACITÉS DANS LE CADRE DE PROJETS DE SÉCURITÉ ROUTIÈRE FINANCÉS PAR L'AGENCE SUÉDOISE SIDA

Critères	Projets de sécurité routière
Pertinence	Forte
Efficacité	Substantielle
Efficiéce	Modeste
Durabilité	Peu probable
Impact du développement institutionnel	Modeste

Cas 2 : Aide norvégienne au secteur routier au Botswana

Un programme de coopération pour le développement dans le secteur routier existe depuis le début des années 1970 entre le Botswana et la Norvège.

Les facteurs jugés importants pour la réussite de ce programme sont les suivants : une aide au développement déterminée par la demande ; un démarrage prudent de l'aide tenant compte de la situation locale ; l'élaboration de technologies et de méthodes de travail adéquates ; l'accent mis sur le transfert de technologie et le développement des ressources humaines ; et la coopération à long terme (30 ans).

Les bas niveaux de salaire dans le secteur public constituent néanmoins un problème important qui rend difficile de recruter et de garder des ingénieurs locaux. Le régime d'obligation de rendre compte a été remplacé par des travaux sous contrat, et le Département des routes du Botswana s'intéresse aujourd'hui à la façon de garder le savoir-faire technique interne en matière de travaux routiers et de devenir un client professionnel.

TABLEAU 2 – RÉSUMÉ DES PERFORMANCES DE PROJET : AIDE NORVÉGIENNE AU SECTEUR ROUTIER AU BOTSWANA

Projet	Administration et gouvernance	Construction et entretien de routes rurales	Centre de formation routière	Développement matériel	Technologie basée sur le travail
Critères					
Pertinence	Forte	Forte	Forte	Forte	Forte
Efficacité	Modeste	Substantielle	Substantielle	Substantielle	Substantielle
Efficiéce	Modeste	Substantielle	Substantielle	Substantielle	Modeste
Durabilité	Probable	Probable	Probable	Probable	Probable
Impact du développement institutionnel	Substantiel/ Modeste	Substantiel/ Modeste	Substantiel/ Modeste	Substantiel/ Modeste	Substantiel/ Modeste

TABLE 1 – SUMMARY OF PROJECT PERFORMANCE: INSTITUTIONAL SUSTAINABILITY AND CAPACITY DEVELOPMENT WITHIN SIDA FINANCED ROAD SAFETY PROJECTS

Criteria	Road safety projects
Relevance	High
Efficacy	Substantial
Efficiency	Modest
Sustainability	Unlikely
Institutional development impact	Modest

Case 2: Norwegian assistance to the road sector in Botswana

Botswana and Norway have had a development cooperation program in the road sector since the early 70s.

The factors which are identified as being important to the success of this cooperation program are: demand-driven development assistance; careful start of the development assistance adapted to the local situation; development of appropriate technology and work methods; focus on technology transfer and human resource development; and the long-term cooperation (30 years).

The low salary levels within the public sector represent, however, a major problem. There are problems recruiting and retaining local engineers. The force account regime has been replaced by contract works, and a concern of the Botswana Roads Department today is how to maintain the in-house technical know-how of road works and become a professional client.

TABLE 2 - SUMMARY OF PROJECT PERFORMANCE: NORWEGIAN ASSISTANCE TO THE ROAD SECTOR IN BOTSWANA

Project	Administration and Governance	Rural roads construction and maintenance	Roads Training Centre	Material development	Labour-based technology
Criteria					
Relevance	High	High	High	High	High
Efficacy	Modest	Substantial	Substantial	Substantial	Substantial
Efficiency	Modest	Substantial	Substantial	Substantial	Modest
Sustainability	Likely	Likely	Likely	Likely	Likely
Institutional development impact	Substantial/ modest	Substantial/ modest	Substantial/ modest	Substantial/ modest	Substantial/ modest



Cas 3 : Aide norvégienne au secteur routier en Tanzanie

La Banque mondiale a entrepris vers 1990 des réformes institutionnelles au niveau du secteur routier dans certains pays d'Afrique subsaharienne parmi lesquels la Tanzanie. Les axes du programme de réforme sont les suivants :

- Gestion – création d'une agence routière autonome
- Financement – instauration d'un fonds routier, administré par une commission dédiée, pour appuyer l'exploitation et l'entretien des routes
- Responsabilité – une structure d'organisation cohérente pour gérer les réseaux routiers : le ministère est le client, la commission du fonds routier est l'acheteur et l'agence routière est le prestataire de service
- Appropriation – participation des usagers à la gestion du fonds routier.

L'aide norvégienne au processus de réforme en Tanzanie a permis de renforcer la capacité du Ministère des travaux et de la nouvelle administration routière TANROADS. Le Ministère des travaux doit redéfinir et appliquer son nouveau rôle de décideur en matière de politique, de réglementation et de planification stratégique. TANROADS peut désormais recruter son personnel en faisant jouer la concurrence, obtenir et gérer des financements routiers, et contrôler l'utilisation des fonds. Le processus de réforme a pris cependant beaucoup plus de temps que prévu.

Dans l'expérience tanzanienne, le nouveau cadre institutionnel a créé un besoin en professionnels qualifiés ayant des compétences financières et de gestion pour contribuer au développement des nouvelles institutions. Le processus de réforme a, dans une certaine mesure, sous-estimé le besoin de développement des ressources humaines pour accompagner les nouvelles dispositions institutionnelles.

**TABLEAU 3 – RÉSUMÉ DES PERFORMANCES DE PROJET :
AIDE NORVÉGIENNE AU SECTEUR ROUTIER EN TANZANIE**

	Programme pour le secteur routier
Critères	
Pertinence	Forte
Efficacité	Substantielle
Efficienne	Substantielle
Durabilité	Probable
Impact du développement institutionnel	Substantiel

Case 3: Norwegian assistance to the road sector in Tanzania

The World Bank initiated road sector institutional reforms in some Sub-Saharan African countries around 1990, among others in Tanzania. The reform program components are:

- Management – establishment of a autonomous road agency
- Financing – establishment of a road fund to support operation and maintenance of roads which is administered by a road fund board
- Responsibility – a consistent organizational structure for managing the road networks where the Ministry is the client, the road fund board the purchaser and the road agency the service deliverer
- Ownership – user involvement in the management of the road fund

The Norwegian assistance to the reform process in Tanzania has been useful in building up the capacity of the Ministry of Works and of the new road agency TANROADS. The Ministry of Works needs to redefine and implement its new role as a policy maker, regulator and strategic planner. TANROADS is now able to recruit staff on a competitive basis, to secure and manage road funding, and to monitor use of funds. The process of reform has, however, taken much longer than foreseen.

The experiences in Tanzania with this reform program show that the new institutional setting has created a need for professional staff with financial and managerial skills to help develop the new institutions. The reform process has to some extent underestimated the need for human resources development to go along with the new institutional settings.

**TABLE 3 - SUMMARY OF PROJECT PERFORMANCE:
NORWEGIAN ASSISTANCE TO THE ROAD SECTOR IN TANZANIA**

	Road Sector Program
Criteria	
Relevance	High
Efficacy	Substantial
Efficiency	Substantial
Sustainability	Likely
Institutional development impact	Substantial



Cas 4 : Aide de la Banque africaine de développement au secteur des transports au Ghana

Au Ghana, les précédentes tentatives de restructuration sous différentes formes du Ministère n’ont pas entraîné d’améliorations significatives des ordonnancements institutionnels. Le financement de la Banque africaine de développement comportait des composantes de renforcement des capacités à court terme de nature à faciliter la mise en place du projet. L’impact de cette aide a été limité dans sa portée, n’a pas été soutenu et doit être renforcé. Les études et les projets financés par la Banque ont contribué néanmoins au transfert des compétences des consultants et des prestataires engagés pendant la mise en œuvre.

Les pouvoirs publics ont progressé ces dernières années dans la mise en place d’une structure et de financements adaptés pour l’entretien du réseau routier. Pour soutenir l’infrastructure routière, le fonds routier dispose de ses propres Conseil d’administration et Directeur général depuis sa restructuration en 1997. Le fonds se consacre à la préservation des réseaux de routes interurbaines, d’accès et urbaines du Ghana.

**TABLEAU 4 – RÉSUMÉ DES PERFORMANCES DE PROJET :
AIDE AU SECTEUR DES TRANSPORTS AU GHANA**

	Secteur des transports du Ghana
Critères	
Pertinence	Substantielle
Efficacité	Modeste
Efficience	Modeste
Durabilité	Probable
Impact du développement institutionnel	Modeste

Cas 5 : Soutien de la Banque asiatique de développement à la République démocratique populaire Lao, à la Papouasie Nouvelle-Guinée et aux Philippines

Le soutien de la Banque asiatique de développement à la République démocratique populaire Lao (RDPL), à la Papouasie Nouvelle-Guinée et aux Philippines avait pour objectif commun de renforcer la gestion du secteur routier dans ces pays.

L’un de ses enseignements est qu’une implication à long terme (accompagnement et suivi sur cinq ans ou plus) est nécessaire pour entretenir l’incitation et l’intérêt des parties prenantes.

Case 4: African Development Banks’s Assistance to the transport sector in Ghana

In Ghana, previous efforts to restructure the Ministry in different forms did not produce any significant improvement in institutional arrangements. The African Development Bank’s financing included some capacity building components of a short-term nature to facilitate project implementation. The impact of such assistance was limited in scope and not sustained and needs to be strengthened. However, Bank financed studies and projects have assisted in transfer of skills from consultants and contractors engaged during implementation.

The Government has made progress in recent years to put appropriate structure and funding for maintenance of the road network. In order to sustain the road infrastructure, the road fund was restructured in 1997 to have its own Board and managing director. The fund is dedicated to the preservation of Ghana’s trunk, feeder and urban road networks.

**TABLE 4 - SUMMARY OF PROJECT PERFORMANCE:
ASSISTANCE TO THE TRANSPORT SECTOR IN GHANA**

	Ghana transport sector
Criteria	
Relevance	Substantial
Efficacy	Modest
Efficiency	Modest
Sustainability	Likely
Institutional development impact	Modest

Case 5: the Asian Development Bank to the three countries Lao PDR, Papua New Guinea and Philippines

The support by the Asian Development Bank to the three countries Lao PDR, Papua New Guinea and Philippines have had the common purpose to strengthen the road sector management in the respective countries.

A lesson learned is that a long-term involvement with the stakeholders, with support and follow-up over a period of five years or more is required to maintain momentum and stakeholders’ interest.



Au-delà des structures bureaucratiques, de la corruption et des détournements, les facteurs qui ont nui au projet ont été le manque de facilités de crédit pour les équipements et les matériaux, un financement inadéquat au secteur routier et les bas salaires.

The project interventions have been hampered by bureaucratic structures, corruption and misappropriations. Other factors having negatively affected the project are lack of credit facilities for equipment and materials, inadequate funding for the road sector, and low salaries.

TABEAU 5 – RÉSUMÉ DES PERFORMANCES DE PROJET : GESTION DU SECTEUR ROUTIER EN RDP LAO, EN PAPOUASIE NOUVELLE-GUINÉE ET AUX PHILIPPINES

Projet	LAO	PHI	PNG1	PNG2
Critères				
Pertinence	Substantielle	Forte	Forte	Forte
Efficacité	Substantielle	Substantielle	Substantielle	Substantielle
Efficiency	Substantielle	Substantielle	Substantielle	Modeste
Durabilité	Probable	Probable	Peu probable	Peu probable
Impact du développement institutionnel	Substantiel	Modeste	Modeste	Modeste

TABLE 5 - SUMMARY OF PROJECT PERFORMANCE: ROAD SECTOR MANAGEMENT IN LAO PDR, PAPUA NEW GUINEA AND PHILIPPINES

Project	LAO	PHI	PNG1	PNG2
Criteria				
Relevance	Substantial	High	High	High
Efficacy	Substantial	Substantial	Substantial	Substantial
Efficiency	Substantial	Substantial	Substantial	Modest
Sustainability	Likely	Likely	Unlikely	Unlikely
Institutional development impact	Substantial	Modest	Modest	Modest

► **QUELQUES ENSEIGNEMENTS PRATIQUES**

Il ressort de cette étude que le terme de renforcement des capacités est perçu de différentes manières. Le plus souvent, il renvoie à des compétences techniques et d'organisation tandis que le cadre social et culturel est généralement ignoré ou sous-estimé.

Les études de cas permettent de discerner des facteurs clés pour la réussite des objectifs de renforcement des capacités, en l'occurrence : une implication à long terme ; une aide au développement déterminée par la demande ; des interventions adaptées au niveau de développement et à la capacité d'absorption des institutions concernées ; l'accent mis sur le développement des ressources humaines.

À regarder les scores d'impact du développement institutionnel, les résultats ne sont pas impressionnants tant que les projets ont pour objectif principal le renforcement des capacités. Les scores vont de Modeste à Substantiel. Il semblerait que certains facteurs, lorsqu'ils ne sont pas pris en compte, entraînent clairement des défauts ou l'échec des interventions. Un facteur important à cet égard est le besoin d'une bonne compréhension/compétence en matière de processus de réforme institutionnelle et de renforcement des capacités. De plus, il est nécessaire de développer les ressources humaines pour favoriser le développement de nouveaux ordonnancements institutionnels, un aspect qui est souvent sous-estimé.

Les faibles niveaux de salaires dans le secteur public semblent également poser

► **COMMON LESSONS LEARNED FROM THE REVIEW**

This review reveals that the term capacity building is perceived in different ways, and in most cases, it addresses technical competence and organizational issues while the social and cultural setting is often ignored or underestimated.

From the case studies, it is possible to identify some key factors leading to success in achieving capacity development objectives. These factors seem to be: long-term involvement; demand-driven assistance; interventions adapted to the level of development and absorption capacity of the institutions involved; and focus on human resources development.

Looking at the scores on institutional development impact, the results are not impressive as long as the projects have capacity building as a main objective. The scores vary from modest to substantial. Some factors seem clearly to cause short-comings or failures of interventions unless they are taken into account. An important factor in this respect is the need for a proper understanding/competence of institutional reform processes and capacity building. Further, human resources development is needed to help develop new institutional arrangements, and this aspect is often underestimated.



problème pour atteindre les résultats tant ils sont loin de pouvoir concurrencer les salaires pratiqués dans le privé. Indépendamment des problèmes de recrutement et de maintien des personnels qualifiés, les bas salaires favorisent la corruption et les détournements au sein des organisations gouvernementales.

Il ressort de l'étude que les processus de réforme institutionnelle et le renforcement des capacités doivent intégrer les compétences techniques et le cadre organisationnel (éléments matériels) ainsi qu'une compréhension des ordonnancements sociaux et culturels (éléments immatériels). Ce qui appelle une expertise en matière de processus de réforme tant au niveau secteur qu'au niveau macro.

Cette étude montre également qu'il ne faut pas sous-estimer le temps nécessaire pour que les processus de réforme institutionnelle donnent des résultats. La complexité des structures bureaucratiques et des processus de décision freine facilement les processus de réforme.

Pour finir, il apparaît que la durabilité des processus de réforme institutionnelle dépend beaucoup de l'engagement politique, de l'appropriation par les parties prenantes des objectifs et des processus, et des mécanismes d'obtention et d'allocation des ressources humaines et financières.

CONCLUSION

Il ressort du présent travail que les différents acteurs du développement du secteur routier ne définissent ni ne comprennent pas tous le RCI de la même manière, et que les efforts engagés pour sa réalisation manquent, eux aussi, de clarté.

La définition du RCI proposée ici tient compte à la fois des éléments matériels (compétences techniques et cadre organisationnel) et des éléments immatériels (ordonnancements sociaux). Cette définition s'appuie sur les résultats de l'étude des projets de renforcement des capacités.

Comme le souligne le présent rapport, il existe un lien étroit entre RCI et bonne gouvernance. Cependant, pour que le RCI soit un instrument utile pour créer une bonne gouvernance, il faut à l'avenir que les efforts de développement des pays et des organismes autorisés mettent davantage l'accent sur les éléments immatériels.

Low salary levels of the public sector also seem to cause problems in achieving results. These are far from competitive with salary levels of the private sector, and apart from facing problems with recruiting and retaining qualified staff, low salary levels make government organizations prone to corruption and misappropriations.

The review findings do indicate that institutional reform processes and capacity building need to comprise technical competence and organizational frameworks (tangibles) and an understanding of the social and cultural arrangements (intangibles). This requires expertise in reform processes both at the sector-level and the macro-level.

This review also shows that the time required for institutional reform processes to yield results should not be underestimated. Complex bureaucratic structures and decision-making processes easily hamper reform processes.

Lastly, the sustainability of institutional reform processes appears to strongly depend upon political commitment, stakeholders' ownership of the objectives and processes, and mechanisms to secure and allocate human and financial resources.

CONCLUDING REMARKS

This work on ICB in the road sector reveals that there is no clear definition and understanding of ICB among the various actors involved in road sector development, and efforts to achieve it are equally unclear.

A definition of ICB is suggested which takes into account both tangible factors (technical competence and organizational framework) and intangible factors (social arrangements). This definition is supported by the findings of the review of capacity building projects.

As this report states, there is a close relationship between ICB and good governance. However, if ICB is to serve as a useful instrument to create good governance, countries and development organizations need to put much stronger emphasis on intangible factors in their future development efforts.



APPENDIX

CASE 1: INSTITUTIONAL SUSTAINABILITY AND CAPACITY DEVELOPMENT WITHIN SIDA FINANCED ROAD SAFETY PROJECTS [2]

► PROJECT OVERVIEW

During more than two decades, the Swedish International Development Cooperation Agency (SIDA) has supported road safety projects in developing countries. The SIDA support focuses on capacity development of key institutions.

SIDA has identified the need for a better understanding of mechanisms for institutional capacity development in road safety projects in order to improve future support in this area. For this purpose, SIDA has carried out a comparative evaluation of the experiences gained in the various road safety projects.

The evaluation report summarizes experiences and lessons learned concerning institutional capacity development from 16 projects in 14 countries. Five of these projects were selected for in-depth reviews. These are projects in Jordan, Lebanon, Morocco, Costa Rica and Jamaica.

Project performance and results

Relevance

The evaluation finds that road safety as a measure against poverty needs to be approached more strategically in the future. Only a few evaluated project countries did prioritize road safety because of macro-economic reasons.

Efficacy

The evaluation has not made a comparison between the different projects as the circumstances in countries differ largely. In general, there is a perception that the projects have contributed to the establishment and acceptance of road safety as a discipline in itself, rather than an aspect of road management, health or other related subjects. Cooperation between agencies within and outside the government have been established and strengthened.

A similar approach has been applied in the more comprehensive projects:

- a) Review of the road safety situation in the country concerned and elaboration of recommendations concerning remedial actions.
- b) Institutional support including policy formulation and action planning as well as setting up the necessary bodies.

- c) In parallel to b): commencement of various activities and counter measures, introduction of technology, expertise, etc.
- d) Consolidation of support, phasing out.

Conditionality for support, for example the setting up of a road safety board, has sometimes been used and proven successful. The combination of conditionality and later support has often produced the planned results. The success of conditionality approach might be attributed to the limited assistance provided by other donors in the same areas, i.e. there are no conflicting interests among donors.

Ideally, a project should be presented in the context of the recipient organization's own development plans. Project proposals are, in many cases, stand-alone documents with little reference to the organizational context within the projects are implemented. They rarely present any other process or activities than those supported by the projects. It is therefore difficult to assess the projects in relation to available absorption capacity, potential conflicts with other on-going or planned change process, funding, support from other donors etc.

The time required for interventions to yield results is often underestimated. There are examples where the implementation of reforms have been assumed to take place within a year, not three to five years, which was the time is actually took for results to materialize. To avoid that the reform process discontinues once the project comes to an end, there is a need to follow up the recipient's reform process after the project period.

Efficiency

A main concern with regard to efficiency is that limited resources are sometimes spread thinly as opposed to concentrated, and the potential impact of interventions is reduced.

Implementation takes longer than expected and there is a need to follow up and maintain focus, commitment and pressure. In addition to concentration there is also a need to consider extension of cooperation phase.

The support from SIDA provides knowledge and experience mostly from Sweden. There is a demand in some recipient countries for considering solutions and models also from other countries, in particular from countries within the same region.

Some projects have suffered from the lack of necessary expertise within institutional capacity development. Such expertise is needed both at the sector level and the macro-level.



Sustainability

No particular strategy seems to exist in the projects to create the best possible conditions for results to be sustained.

The evaluation identifies four main factors as being important to explain why results are sustained:

- The level of political support
- The existence of institutional mechanisms to secure and allocate resources
- Functioning bodies for communication between and coordination of stakeholder contribution
- The provision of individuals with the necessary knowledge and experiences

► HOW ICB IS PERCEIVED

The evaluation report refers to institutional capacity development to activities aimed at establishing and/or strengthening structures, organizational mechanisms and processes at sector level or within institutions.

The report makes a small distinction between the terms ‘capacity development’ and ‘capacity building’. Capacity development more strongly emphasizes the ownership aspect and the fact that capacity and competence is built from within the client organization, not provided from the outside through, for example, the provision of technical experts.

► HOW ICB IS ADDRESSED

The evaluation report focuses on the following categories of interventions:

- Processes aimed at establishing, developing or strengthening the institutional framework for road safety work: national policies, sector strategies, national master/action plans, legislation, coordinating and decision-making entities within government, and similar mechanisms that embrace the entire sector.
- Establishment and strengthening of bodies for lobbying, collaboration and coordination between all main stakeholders within and outside the government structure.
- Development of mechanisms and instruments for national and local level mobilization of resource for funding of road sector activities.
- Strengthening of mechanisms and programs for public campaigns, road safety education, dissemination of information, and other activities that raise the awareness and influence the attitudes among men, women and children concerning road safety.

- Capacitating organizations, through assistance aimed at strengthening core functions and processes, within the road safety sector to perform their roles and fulfill their tasks as formulated by each organizations owner or constituency.

As stated in the report, successful interventions require a multi-faceted approach that acknowledges the need to assist a range of institutional players through different measures. Coordination and cooperation is important for success.

In reviewing the projects’ objectives and capacity development content, the evaluation finds however that only a few projects have had institutional capacity development as the main objective. A limited number of projects have had such objectives in parallel to other objectives. In many projects, a great deal of efforts has been geared towards other purposes than institutional capacity development.

► TO WHAT EXTENT THE CASE RELATES TO THE ICB CONCEPT

None of the road safety projects have had a strategy for achieving institutional capacity development. The projects’ interventions and activities have been geared towards hard capabilities (tangibles), while soft capabilities (intangibles) seem to have been ignored.

► WHICH EXPERIENCES HAVE BEEN GAINED

According to the report, institutional capacity development can be achieved through relevant organizational reforms, establishment of mechanisms and systems for communication, coordination and collaboration between concerned entities, application of relevant funding arrangements and other similar measures. A change or reform process characterized by stakeholders’ ownership of objectives and processes facilitates institutional capacity development and sustainability.

Recommendations are made on how the relevance, efficacy, efficiency and sustainability of the investments can be improved. A more focused approach is recommended, prioritizing allocation of resources to fewer, strategic areas. Assistance needs to be included not only in the design but also in the implementation stage.

The report suggests a framework for assessment and design of interventions. A phased approach is proposed, where the interventions are adapted to the recipient’s level of development and absorption capacity. Important elements of the proposed framework are political commitment, existence of an institutional framework, mechanisms for stakeholder participation and coordination, national funding arrangements, establishment of knowledge management systems and availability of human resources.



The projects have followed an approach that is questioned by the evaluation. The projects have not produced the optimal impact. Limited funds have been spread thinly into too many components and activities. Resources have been allocated to the design of activities, too little assistance has been provided at the implementation stage. This is partly due to the lack of an overall strategy for institutional capacity development.

Education and staff training should be planned and conducted in the framework of a human resource development strategy. Knowledge management should be institutionalized to ensure its contribution to capacity development and knowledge management in a sustainable way.

Donor coordination both in the design and implementation of projects will increase the efficacy and will promote synergy.

► CASE 2: NORWEGIAN ASSISTANCE TO THE ROAD SECTOR IN BOTSWANA [3 AND 4]

► PROJECT OVERVIEW

The development cooperation between Norway and Botswana started in the early 70s. Botswana's request for assistance was primarily directed towards development in rural areas including rural roads. As part of the cooperation, the Norwegian Public Roads Administration has provided assistance to the Botswana Roads Department through three decades. The financial support from the Norwegian Agency for Development Cooperation (NORAD) was concluded a few years ago. The Roads Department of Botswana has wanted to continue the cooperation with the Norwegian Public Roads Administration financed by own resources.

The development cooperation has embraced the following components:

- Administration and governance
- Rural roads construction and maintenance
- Roads Training Centre
- Material development
- Labour-based technology

Since the early 90s, the Norwegian Public Roads Administration has provided support to the Botswana Roads Department through institutional cooperation (twinning arrangement). The cooperation covers fields in which technical

assistance is needed such as within improved road management procedures, research and documentation of technical standards, and to some extent application of labour-based methods.

► PROJECT PERFORMANCE AND RESULTS

Relevance

During the 30-years period, the development cooperation has been in consistency with Botswana's National Development Plan and with the road sector goals and priorities.

Administration and governance: Due to lack of local qualified personnel, Norwegian technical assistance staff, together with other expatriates, has been filling positions within the Botswana government.

Rural roads construction and maintenance: From the beginning of the development cooperation the focus was on providing improved access to rural communities. Roads Training Centre: The Norwegian support to the training centre of the Roads Department has consisted of providing principals and trainers and developing training materials.

Material development: The soil condition (clay and sand) in Botswana requires the use of non-conventional approaches with regard to road surfacing and material-utilization.

Labour-based technology: At the beginning of the development cooperation, the use of methods that generated employment in rural areas was important. Today, it appears more appropriate to combine manpower and machines in a cost-effective way.

Efficacy

The Roads Training Centre and the Rural Roads projects have served as recruitment and training ground for engineers and technicians. Several high level managers in the Roads Department today were trained at the Roads Training Centre at the beginning of their career.

A large number of new rural roads have been constructed to good quality standard at reasonable costs. The roads are, however, not maintained at the most optimal level.

Developing appropriate surfacing techniques has been a challenge. Most gravel material available is not suited for road construction. The use of Otta-seal has proved to be very appropriate in Botswana.



Employment creation was an important goal in the 70s. The construction and maintenance of earth roads generated employment and income to a large number of people in rural communities. Labour-based construction and maintenance of rural earth roads were introduced into all nine districts. However, in some parts of the country this method did not work well partly because of higher road standard requirements and partly because of lack of labourer. Over the years, the methods have been developed, particularly maintenance methods, and today a combination of labourer and machines appears to be more cost-effective.

Efficiency

The Norwegian support to Botswana has changed over the time as concerns the form and content.

The Botswana economy has grown dramatically since its independence. From 1988 Norway has provided technical assistance only, and since then Botswana has provided all investment and recurrent funds to the development cooperation.

The phasing out of Norwegian long-term experts took longer than expected. During the 80s more and more operations became mechanized, and it proved particularly difficult to recruit local qualified mechanics. Still the Botswana Roads Department faces difficulties in recruiting local staff.

The assistance has been concentrated into a few selected technical and managerial areas over a relatively long period of time. The positive results may be attributed to the long-standing support.

As regards human aspects, the personal contacts between the parties and their motivation and attitudes have played an important role. The Botswana people have been open-minded and willing to learn, while the Norwegian staff has been pragmatic and flexible and adapted well to the environment.

Sustainability

The most critical part as concerns sustainability of the assistance seems to be the lack of local qualified staff. The Botswana Roads Department is still facing problems recruiting and retaining local engineers. The main reason for this problem is explained to be non-competitive Government salaries. Several positions within the Roads Department are still filled by expatriates.

► **HOW ICB IS PERCEIVED**

The reports do not give any particular definition of the term institutional capacity building. The terms capacity building and institution building are used in the sense of training and technology transfer.

► **HOW ICB IS ADDRESSED**

As Botswana had very limited technical and managerial competence in the 70s, there was a demand for technical assistance in addition to the construction and maintenance support.

Gap filling positions were gradually scaled down, and priority was given to positions charged with developing systems for planning, management, cost control etc. and strengthening training aspects.

The technical assistance has consisted of provision of engineers, training, research, and development of appropriate technology, work methods and procedures.

The long-term expert arrangement was replaced by institutional cooperation between the road authorities of the two countries.

► **TO WHAT EXTENT THE CASE RELATES TO THE ICB CONCEPT**

The activities of the development cooperation have focused on hard capabilities (tangibles). Soft capabilities (intangibles) have not been addressed explicitly, although local conditions were taken into account in the design and implementation of the various activities.

► **WHICH EXPERIENCES HAVE BEEN GAINED**

Important factors leading to the achievements of the assistance:

- Demand-driven development assistance
- Careful start of the development assistance adapted to the local situation
- Development of appropriate technology and work methods
- Focus on technology transfer and human resource development
- Optimal solutions have been more important than national prestige-projects
- Good personal contact and relationship between the two partners based on mutual respect and understanding
- Long-term development cooperation (30 years)



Short-comings:

The Botswana Roads Department is still facing problems recruiting and retaining local engineers. The main reason for this problem is explained to be non-competitive Government salaries. Several positions within the Roads Department are still filled by expatriates.

The development of the road construction and maintenance operations within the Botswana Roads Department was based on force account operations. The force account regime has been replaced by contract works, and a concern of the Botswana Roads Department today is how to maintain the in-house technical know-how of road works and become a professional client.

CASE 3: NORWEGIAN ASSISTANCE TO THE ROAD SECTOR IN TANZANIA [5]

► PROJECT OVERVIEW

Norway's assistance to the road sector in Tanzania started with construction and maintenance of gravel roads in 1972. Over the years, the Norwegian assistance has developed into a comprehensive Road Sector Program with the purpose to increase the competence and efficiency in road administration in Tanzania.

The current Norwegian assistance focuses on institutional strengthening of the Ministry of Work and the Tanzania National Roads Agency (TANROADS). Institutional cooperation with the Norwegian Public Roads Administration constitutes the main element of the program.

The program under review consists of 10 components: Management and Organizational Development, Financial Management System, Maintenance Management, Road Safety and Axle Load Control, Bridge Management, Central Material Laboratory, Equipment Management, Appropriate Technology Advisory and Training Project, Miscellaneous Support and Program Administration.

► THE ROAD SECTOR INSTITUTIONAL REFORMS

The Road Sector Program forms part of the Integrated Roads Program launched by the World Bank in Tanzania around 1990. This program was initiated in response to a concern over deteriorating road infrastructure despite substantial capital investments. Institutional reforms were seen as the remedy to the problem. Inadequate funding of road maintenance, poor working environment

in the government and bureaucratic procurement procedures were some of the contributory factors to the non-performance. The initial time span of the Integrated Roads Program was ten years.

The reform process has addressed the following aspects:

- Management – establishment of an autonomous road agency
- Financing – establishment of a road fund to support operation and maintenance of roads which is administered by a road fund board
- Responsibility – a consistent organizational structure for managing the road networks where the Ministry is the client, the road fund board the purchaser and the road agency the service deliverer
- Ownership – user involvement in the management of the road fund

Such a process implies making major changes to the traditional road sector organization and operation. Naturally, there was some resistance to such a change. However, since 1990, much has been done to build up consensus for this transformation.

A road fund and a road fund board were established in 1998 with the main source of funding being the fuel levy. TANROADS was established in 2000 with the responsibility to undertake procurement and management of road contracts and provide advice to the Minister on regulations and road standards. The role of the Ministry of Works has been restructured to deal with policy formulations, strategic planning and regulations.

TANROADS is in charge of the primary and secondary road networks, while the tertiary network is under the jurisdiction of local authorities. All the three classes of roads are to be funded from the road fund.

► PROJECT PERFORMANCE AND RESULTS

Relevance

The purpose of the Road Sector Program, which is to increase the competence and efficiency in road administration in Tanzania, is a key element in the institutional reform process and a precondition for its successful implementation. All the program components are regarded as highly relevant.

Efficacy

One component, Equipment Management, is considered having achieved full effectiveness. The component Organizational and Management Development has been largely effective, and has contributed to the establishing of TANROADS. The



components Road Safety and Axle Load Control Program, Bridge Management, Central Materials Laboratory and Appropriate Technology Advisory and Training Project are considered to be only partially effective. Two components, Financial Management and Maintenance Management, have hardly had any activity, but achievements have been made by funding from other sources. The administrative components, Miscellaneous Support and Program Administration, have contributed to effective operation of the program.

It appears that two third of the components have been fully or partially effective. The program as a whole is considered as effective.

Efficiency

It is found difficult to say whether the results of the program are reasonable compared to the resources spent as there is no standard for determining whether the amounts spent are reasonable for this kind of program. However, substantial results have been achieved and limited continued support will most likely lead to full achievement for most of those components, which results are only partially achieved.

The results that are not fully up to expectations can partly be explained by less resource input than budgeted, and partly by objectives that may have been too ambitious.

Sustainability

The program components are at different stages of development, and hence their levels of sustainability are also different.

Sustainability cannot be considered achieved for the overall program although some components can be considered as sustainable while others are moving towards sustainability. In general, the components linked to TANROADS appear to be sustainable or are moving towards sustainability. It appears likely that Tanzania will continue the development activities after the program completion.

Road safety and appropriate technology in road works are activities still under the Ministry of Works, and they have not achieved sustainability. Further management and organizational development of the Ministry will facilitate the move towards sustainability for these components.

Institutional development impact

The program components considered effective or partially effective have contributed to increasing the competence and efficiency of road administration. Their impacts have started to show, and it is likely that they will be significant in the future.

The program has made an important contribution to the reform process by the successful establishing of TANROADS.

► HOW ICB IS PERCEIVED

There is no particular definition of the term institutional capacity building. The term capacity building refers to training and human resources development.

► HOW ICB IS ADDRESSED

Institutional cooperation with the Norwegian Public Roads Administration constitutes the main element of the program. Norwegian Public Roads Administration provides advisors who work with staff of the Ministry and TANROADS on short-term assignments.

► TO WHAT EXTENT THE CASE RELATES TO THE ICB CONCEPT

The activities of the development cooperation have focused on hard capabilities (tangibles). Soft capabilities (intangibles) have not been addressed explicitly, although local conditions were taken into account in the design and implementation of the various activities.

► WHICH EXPERIENCES HAVE BEEN GAINED

The Road Sector Program has contributed to the establishment of TANROADS which is considered as a major step towards a more efficient organization of the road sector in Tanzania. TANROADS had 16 months of transition during which time it took over former staff of the Ministry of Works on secondment and prepared all requisite operational details. TANROADS is now operational and aims at consolidating its position and recruiting new specialist staff.

The reform process has taken much longer than ten years as foreseen by the Integrated Roads Program in 1990. Also the Ministry of Works needs time and support to redefine and implement its new role as a policy maker, regulator and strategic planner, and to continue with further reforms in the sector. In general, it seems that the reform process to some extent underestimated the need for professional staff with financial and managerial skills to help develop the new institutions.

The institutional cooperation with the Norwegian Public Roads Administration has been useful in building up the capacity of the Ministry and TANROADS, particularly within road safety, axle load control, bridge management, the Central Materials Laboratory, and equipment management.



Ministry and TANROADS staff have found it easier to deal with a “sister organization” than to deal with consultants because they are able to relate to the same individuals all the time. This ensured better continuity of the program activities. The success of the various program components has depended on how closely the advisors have followed up the activities. It appears that a substantial advisory input is required to secure a high rate of success.

Local, rural roads have been seen as an unfinished part of the road sector reform. To rectify this situation, the reform process has been re-focused to address the problems related to local roads. A development program of road management and maintenance of local roads was started more recently. The Prime Minister’s Office is the responsible agency of the program which is expected to go on for a period of 10-15 years.

CASE 4: AFDB ASSISTANCE TO THE TRANSPORT SECTOR IN GHANA [6]

► PROJECT OVERVIEW

The African Development Bank (AfDB) has been engaged in lending and non-lending activities in the transport sector of Ghana since 1978. During this time, it has financed three studies and eight projects in the road and railway sub-sectors. By the end of 2003, the loans and grants for the transport sector represented about 15 per cent of the financing for the country.

The objectives of the review has been to assess the policies and strategies put in place over the years both by the Government and the Bank to guide priority setting for the development of the transport sector and the performance of the projects based on the standard evaluation benchmarks: relevance, efficacy of bank assistance, efficiency of implementation, institutional development impact and sustainability including impact on cross-cutting issues.

► PROJECT PERFORMANCE AND RESULTS

Relevance

The Bank’s financed transport projects were in line with the country’s development plans the Bank’s lending strategy of the time. They were identified for financing and implementation to redress the deteriorating conditions of the transport system of the country. In this context, the projects were rated relevant. Nevertheless, the evaluations finds out that, for future interventions, there is need to carry out front-end economic and sector works that clearly determine sectoral

priorities and sub-sectoral linkages (for example road and railway sub-sectors) to effectively allocate scarce resources and achieve an optimal development of related sub-sectors.

Efficacy

The efficacy of the completed road and railway network as a whole has declined over the years due to inadequate maintenance. In the case of the railway network, the efficacy has declined due to the low fares charged for its overall services, which resulted in inadequate revenue. It cannot even meet its operation and maintenance costs further resulting in overall inefficient services. The project could have reduced the heavy traffic on the congested road network but the poor performance of the Ghana Railway Company has resulted in failure to sustain the objectives and the output of the project.

Implementation of some of the on going road projects have suffered enormously with changes of objectives and scopes at different stages of project implementation largely resulting from faulty design and unforeseen circumstances. Further, lack of coordination has adversely affected the flow of funds from donors engaged in joint or parallel financing resulting in delays thus, curtailing the benefits from flowing on time. In view of the above, the evaluation finds the efficacy of the projects, which have been overly delayed for completion, to be unsatisfactory.

Efficiency

Projects were faced with cost overruns which were covered by scaling down the scope of projects. Further, projects nearing completion are faced with delays and the resulting cost overruns. The major causes for the delays are reported to be delays in fulfillment of loan conditions, non-availability of counterpart funds, delays in procurement and disbursement processing both at the Borrower and Bank level, delays resulting from faulty designs, poor performance of local contractors (resulting from lack of managerial skills and delayed settlement of invoices) and unforeseen circumstances such as the political situation of Cote d’Ivoire that forced the rerouting of traffic through Ghana, which in turn resulted in changing the rehabilitation works to reconstruction works. Due to these problems the evaluation rates efficiency as inefficient.

Sustainability

The road sub-sector is the predominant mode of transport accounting about 94 per cent of freight and 97 per cent of passenger traffic movements in Ghana. Further, the road transport industry is dominated by the private sector, which is competitive with no restriction to entry. The Government has made progress in recent years to put appropriate structure and funding for maintenance of the road network. In order to sustain the road infrastructure, the road fund was restructured



in 1997 to have its own Board and managing director. The Fund is exclusively dedicated to the preservation of Ghana's trunk, feeder and urban road networks through efficient and effective maintenance activities. The evaluation rate overall sustainability as likely.

Institutional development impact

In the past, the restructuring of the Ministry in different forms did not produce any significant improvement in institutional arrangements. Bank's financing had included some capacity building components of a short-term nature to facilitate project implementation. The impact of such assistance was limited in scope and not sustained and needs to be strengthened. However, Bank financed studies and projects have assisted in transfer of skill from consultants and contractors engaged during implementation. Overall institutional development impact is rated modest.

► HOW ICB IS PERCEIVED

The evaluation refers to institutional capacity development to such things as training, better equipments, enhancing managerial efficiency and improved financial management. The term is not explicitly defined.

► HOW ICB IS ADDRESSED

ICB is addressed as consultancy aid to prepare strategies such as analysis of black-spots, impact assessment procedures, national road safety strategies etc. It is therefore assumed that there will be a knowledge transfer through consultancy.

► TO WHAT EXTENT THE CASE RELATES TO THE ICB CONCEPT

ICB in this case study refers only the vertical axis i.e. tangible issues.

► WHICH EXPERIENCES HAVE BEEN GAINED

In the past, the restructuring of the Ministry in different forms did not produce any significant improvement in institutional arrangements. Bank's financing had included some capacity building components of a short-term nature to facilitate project implementation. The impact of such assistance was limited in scope and not sustained and needs to be strengthened. However, Bank-financed studies and projects have assisted in transfer of skills from consultants and contractors engaged during implementation. A lesson that has been learnt is that lack of managerial skills can contribute to contractors failing in meeting their contractual obligations.

CASE 5: ROAD SECTOR MANAGEMENT IN LAO PDR, PAPUA NEW GUINEA AND PHILIPPINES [7]

► PROJECT OVERVIEW

The three projects supported by the Asian Development Bank (ADB) and covered by the report have had the common purpose to strengthen the road sector management in the respective countries.

More specifically, the purpose of the projects in Lao PDR and Philippines has been to support privatization and management of road sector institutions. In Papua New Guinea, the purpose has been to strengthen road sector management through the implementation of a road asset management system.

In Lao PDR, the objective of the project has been to provide management assistance to already privatized road transport enterprises and assist in the privatization of the remaining state-owned enterprises.

The objective of the Philippine project has been to determine the optimum strategy for managing plant, equipment and workshops of the Department of Public Works and Highways for which the Bureau of Equipment and the Regional Equipment Services were responsible.

In Papua New Guinea, the project consisted of two components. The objective of the first component has been to introduce the road asset management system for national roads, while the objective of the second component has been to expand the use of the system to the 19 provinces.

► PROJECT PERFORMANCE AND RESULTS

Lao PDR

Relevance

Relevant – as it provided the basis for institutional changes and was in consonance with the Government strategy to privatize state institutions.

Efficacy

Effective – as its objective to assist the Government in privatizing state institutions was largely met.



Efficiency

Efficient – with the consultants using their time and technical assistance resources efficiently.

Sustainability

Likely – as the privatization momentum has been sustained.

Other impacts

Significant – as privatization enables efficient use of human and financial resources.

Philippines

Relevance

Highly relevant – as it addressed the need to rationalize the Department of Public Works and Highways in the aftermath of putting into effect the policy on the use of private contractors for maintenance.

Efficacy

Effective – as its objective is likely to be met with the cabinet decision to close down the Bureau of Equipment (BOE).

Efficiency

Efficient – as the consultants utilized their time and resources to formulate strategy for rationalizing the BOE operations.

Sustainability

Likely – as the Government has decided to close down BOE.

Other impacts

Moderate – as BOE has not yet disbanded and the decision to increase the private sector share to 75 percent in maintenance contracts has not been taken.

Papua New Guinea

Relevance

PNG1: Highly relevant in providing a planning and budgeting tool and improving the credibility of the Department of Works and Transport budget submission.

PNG2: Highly relevant in providing a planning and budgeting tool.

Efficacy

PNG1: Effective – as the Road Asset Management System (RAMS) has been installed and is in use.

PNG2: Effective – as the Road Asset Management System (RAMS) has been installed and is in use.

Efficiency

PNG1: Efficient – as the consultant input was vital to establishing the RAMS.

PNG2: Less efficient – as there is inadequate feedback from RAMS HQ to provincial counterparts.

Sustainability

PNG1: Less likely in the long run – as there are problems with operating RAMS to funding for road maintenance, institutionalizing RAMS, and assigning trained staff.

PNG2: Less likely for the same reasons as for PNG1 and present incomplete provincial coverage of the RAMS program.

Other impacts

PNG1: Moderate – with little impact on actual budget allocations even though there is appreciation of the strength of the RAMS analysis.

PNG2: Moderate for same reasons as for PNG1.

► HOW ICB IS PERCEIVED

The report does not give any particular definition of the term institutional capacity building.

► HOW ICB IS ADDRESSED

In all three countries, the support from ADB included consulting services and training on managerial and technical matters.

► TO WHAT EXTENT THE CASE RELATES TO THE ICB CONCEPT

The design of the projects focuses on hard capabilities (tangibles). It appears that soft capabilities (intangibles) have not been considered.



► WHICH EXPERIENCES HAVE BEEN GAINED

The three projects share the common lesson of requiring long-term involvement with the stakeholders, with support and follow-up over a period of five years or more, to maintain momentum and stakeholders' interest.

Issues having negatively affected the projects:

- complex bureaucratic structures and decision-making
- governance issues (corruption and misappropriations)
- lack of credit facilities for equipment and materials
- inadequate funding for the road sector in general
- difficulties in retaining qualified local staff due to low salaries in comparison with the private sector

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