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**The consolidated report on sub-regional workshops
on Human Resources Management capabilities within the
Transport and Communications sector in Sub-Sahara Africa**

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Table of Contents

	<u>Page</u>
I. Background	1 - 5
(a) The Sub-Saharan African Transport Programme (SSATP)	1
(b) The Human Resources and Institutional Development Component of SSATP	2
(c) The Sub-regional workshops	3
(d) Preparatory meetings for the workshops	5
(e) The regional workshops	5
II. Consolidated recommendations of the six sub-regional workshops	5 - 16
A. Sectoral recommendations	6
B. Modal recommendations	10
C. Recommendations on land-locked countries	15
D. General recommendations	16
III. Conclusions	
IV. Annexes	
Annex I Executive summaries of modal reports	
Annex II The programme on workshops	
Annex III Lists of workshops' participants	

**The consolidated report on six sub-regional workshops on
human resources management capabilities within the
transport and communications sector in
Sub-Saharan Africa**

I. Background

(a) The sub-Saharan Africa Transport Programme

Inefficient transport is a major impediment to economic growth and national and international trade in most countries in Sub-Saharan Africa. Sector needs for improvement are vast. Systems suffer from inadequate maintenance, burdensome regulations, and inefficient operations that result in high costs and unreliable services. Human resources are relatively untrained and the region lacks indigenous institutions capable of addressing these problems.

The Sub-Saharan Africa Transport Programme (SSATP) was initiated to improve efficiency and sustainability through major policy reform programmes. An International Advisory Committee (IAC) was established and, met for the first time in Washington D.C. in March 1987 under the chairmanship of Professor Adebayo Adedeji, U.N. Under-Secretary General and Executive Secretary of the Economic Commission for Africa (ECA) to launch the program. The Infrastructure Division of the World Bank's Technical Department in the Africa Region has overall responsibility for managing the programme in coordination with the Transport, Communications and Tourism Division of the ECA. SSATP components are coordinated by Co-ordinating Committees representing key donors, ECA and the World Bank.

The programme has proceeded along the principles laid down in the second IAC meeting held in Oslo in November 1988, namely:

- Focus on policy responses to key transport sector issues and strengthening of capabilities for policy development at the national and regional levels;
- Implementation through a series of discrete components each defined in terms of specific outputs - in partnership with development agencies and African institutions with participation of African experts and advisors and;
- Light management structure with flexible arrangements for participation and each component defined up to closure with specific outputs.

SSATP initiatives also share a structural progression, beginning with operational reviews of country experiences through analysis of ongoing policies; these reviews lead to the identification of key issues and new directions, and the selection of suitable case studies. This is followed by case studies of policies, institutions and programmes that illustrate positive responses to key issues.

Dialogue on these findings through workshops and seminars is followed by circulation of proceedings outlining policy options validated by the countries themselves in the seminars and recommended follow-up actions. Further, to ensure full transparency and communication about the programme, regular progress reports are issued. These are complemented by a newsletter, "Africa Transport" which is issued and distributed periodically.

The SSATP has eight components as follows:

- Railway Management
- Road Maintenance Initiative
- Rural Travel and Transport
- Human Resources and Institutional Development
- Trucking Industry
- Urban Transport
- Transport Survey
- Transport Data Component

(b) The Human Resources and Institutional Development Component of SSATP

The marginal success of long standing efforts to improve the performance of transport operations in Sub-Saharan Africa (SSA) has led to an increasing appreciation of the importance of the human resource issues in the transport and communications sector. Accordingly, the Human Resources and Institutional Development project was established as a component of SSATP.

At a meeting in Addis Ababa, Ethiopia, May 24 - 27, 1988, representatives from UNDP, ECA, ICAO, ILO, IMO, UNCTAD and the World Bank all agreed that programmes should be developed to raise the awareness of African policy makers, managers and organisations on effective human resource and institutional development within the transport and communications sector.

Actual comparative case studies providing significant lessons related to effective institutional performance were written up and analyzed, and finally used as a basis for seminar and policy recommendations.

In the first phase of the human resources and institution development component, the World Bank and various UN Agencies undertook to conduct studies within selected countries to identify and describe the factors that affect the development of institutions, operators and human resources in all transport and communications modes. Accordingly countries' case studies were analyzed and proposals made to address these factors.

The various agencies and transport sectors entities were:

ECA- Dissemination of sub-regional workshops

ICAO- Civil Aviation Administrations and airlines

ILO- Road Transport operators and institutions

IMO- Shipping

ITU- Telecommunications

UNCTAD- Ports freight forwarding and multimodal transport organizations

WORLD BANK- Railways and highways.

The studies were based on common guidelines prepared by UNDP in association with all agencies. A steering committee composed of all agencies under UNDP coordinated the activities of the projects. UNDP prepared a sectoral synthesis report which underlined the common concerns based on case studies and modal report, prepared by the various UN agencies. Executive summaries of each modal report including their recommendations are attached as annex 1 to this document.

(c) The Sub-regional workshops

The Economic Commission for Africa (ECA) in collaboration with UNDP, the World Bank, UNCTAD, ILO, ICAO, IMO, and ITU organized six subregional workshops covering 45 sub-Saharan countries between February and March 1991 to be followed by a regional policy workshop; in May 1991. The workshops' objectives were as follows:

- (i) To enhance a practical understanding of the importance of the institutional reforms and human resources management for creating a self sustaining and self reliant transport and communications sectors;

- (ii) To review and exchange views on those factors which promote or constrain institutional and human resources development and performance within the transport and communications sectors;
- (iii) To evolve strategies and plans for the development of institutional capacity and human resources management capabilities within the sector for implementation during the second transport and communications decade.

To achieve the objectives of the workshop the inter-agency steering committee for the preparation and conducting of the workshop resolved that workshop participants should be high level experts composed of Permanent Secretaries or Chief Administrative Officials from the ministries dealing with transport and communications and Chief Executives of selected transport and communications agencies. The programme for the workshop is attached as annex II to this document.

Six subregional workshops were conducted between February and March 1991 as following:

25 February 1991 to 1 March 1991 and 4 to 8 March 1991

- Two workshops for anglophone countries in Eastern and Southern Africa and two for francophone Central African countries were conducted at the Eastern and Southern African Management Institute, (ESAMI) Arusha, Tanzania, and at Ecole Superieure Africaine der Cadres de Chemin de Fer (ESACC), Brazzaville, Congo, respectively.

18 to 22 March 1991

- One workshop for anglophone countries in Western Africa and one for francophone Western African countries were conducted at the Regional Maritime Academy, Accra Ghana and at Institut de Devellopement Economique et de Planification (IDEP), Dakar, Senegal respectively.

The lists of participants to each of the six workshops including the countries that participated are given as annexes III(a), to III(f), to this document. All together 104 participants from 25 SSA countries participated in the workshops.

(d) Preparatory meetings for the workshops

Resource persons from IMO, ICAO, ITU, UNCTAD met at ECA for briefings 20-21 February 1991. The meeting agreed on all aspects of the workshop including its programme and resolved that the workshops should be conducted in a flexible manner depending on the number of participants and countries represented. Resource persons met again in Accra 12-13 March 1991 to draw conclusions on the first four workshops and to write down the outline of the consolidated report. The third meeting of the resource persons was held in Addis Ababa 25-29 March 1991 to prepare the draft consolidated workshops report.

(e) The regional workshop

One regional workshop is being organized as agreed during the Eighth meeting of the Conference of African Minister of Transport Communications and Planning held in Abuja, Nigeria on 9-11 February 1991. The objectives of the policy workshop are as follows:

- to create a better understanding and appreciation of the issues and problems of the human resources management and institutional reforms and development in the transport and communications sectors;
- to enable the participants to study and exchange views on the issues and to appreciate the recommendations proposed by the subregional workshops;
- to lay the ground against which the Ministers can initiate action on policy reforms in the sector in their respective countries preferably, through policy making organs and interaction with other sectoral policy makers.
- to review UNCTAD II projects proposed by UN agencies and African governments in the field of human resources and institutional development in the transport and communications sector in Africa.

II. Consolidated Recommendations of the six Sub-Regional Workshops

The participants of the six sub-regional workshops agreed with all the recommendations (as contained in annex I) made by the UN agencies in respect of:

1. The Sectoral Synthesis
2. Modal Reports on:
 - a. Shipping
 - b. Ports
 - c. Multimodal Transport
 - d. Road
 - e. Road Transport
 - f. Railways
 - g. Civil Aviation
 - h. Telecommunications

Furthermore, participants placed more emphasis on the following sectoral recommendations grouped under:

- Institutional
- Human Resource

Further recommendations were also made in respect of mode specific and land-locked countries. Finally, some General Recommendations were made.

A. SECTORAL RECOMMENDATIONS

- INSTITUTIONAL

1. GOVERNMENT CONTROL

In order for the institutions in the Transport and Communications sector to operate as business entities, and to shorten the decision making process which is essential for institutional performance, governments should review the structures and control mechanisms guiding their activities by introducing the following:

- set clear achievable objectives for each institution and adopt systems of management by results;
- appointment of chief executives should be based on meritocracy, and the reconstituting of management boards in such a way that most major interest groups are represented;

- services which put pressures on the operations and finances of the institutions but are deemed necessary by governments must be financed or subsidized by governments. In addition, governments should promote the objectives of institutional and financial performance improvements through prompt payment for the services rendered to government by the institutions;
- managerial and operational autonomy should be given to parastatals to enable them conduct their business without interference from outside.
- cost-benefit analysis into the possibilities of changing the ownership structures of some institutions if this will solve their liquidity and other related management problems.
- encourage the use of local experts in institutional and human resources development.
- curative measures should be instituted to eliminate overstaffing and appropriate policies should be adopted to forestall overstaffing of institutions. Strategies to eliminate overstaffing include comprehension of establishment standards, redeployment and retrenchment. In view of social consequences of these strategies, re-training and self employment programmes may be instituted. Specialized UN agencies should be called upon in planning and implementation of these appropriate strategies and programmes.

2. INTEGRATED INVESTMENT PLANNING

- Considering the crucial role of transport and communications in economic and social development, the shortages of financial resources for their operations and development, and the inefficiencies caused by ad-hoc investment and frequent duplication of effort resulting from poor co-ordination between sectors and sub-sectors, governments should introduce alternative integrated

investment planning systems and procedures based on close planning cooperation and coordination by the institutions themselves, so that national development plans and programmes are balanced and mutually supportive.

- Government Planning Ministries should also endeavour to regularize the allocation of foreign exchange and annual investment funds for each sector and sub-sector, so that, coupled with the increased financial autonomy assigned to each institution, the institution can improve its investment planning performance.

3. STANDARDIZATION OF EQUIPMENT

Considering the adverse effect which different makes of equipment have on the performance of the institutions in transport and communications, governments should facilitate the standardization of equipment by:

- giving full responsibility to the institutions' management to set the technical specifications and the standards, and to identify the most appropriate equipment suppliers;
- assigning full powers to the institutions' management to negotiate with donors in the choice of technologies and equipment;
- minimizing the problems associated with multiple equipment standards from foreign donors by providing as much foreign exchange as possible to this important sector, so that the most appropriate equipment and technologies, with adequate supplies of supporting items and spare parts, can be purchased on the most economical terms;
- ensuring that in case of equipment donations, every effort must be made to ensure an adequate supply of the special tools and spare parts needed to maintain the equipment over its expected life.

4. INDUSTRIAL RELATIONS

Acknowledging the role and impact of unions, governments should encourage institutions to adopt the consultative style of management. Attempts must be made to promote good industrial relations. Emphasis should be placed on flexible and attractive reward structures, and set in place other motivational improvement practices which will promote a healthy environment conducive to good organizational performance, motivation, and productivity.

HUMAN RESOURCES

1. REWARDS AND SALARY SYSTEMS

Governments should institute better motivation and incentive schemes for top level managers.

- Governments through their relevant Ministries, should actively seek new ways of rewarding the valuable human resources engaged in sector development and operations, so that they are able to meet their basic life support needs, and at the same time concentrate their energies and attention on the work of developing and maintaining the transport and communication infrastructures and equipment.

2. PERSONNEL DEVELOPMENT AND TRAINING

Institutions should be encouraged to develop the necessary mechanisms for continuous human resources development through:

- progressive development of well structured in-service training programmes;
- improved utilization of existing national, sub-regional, and regional training institutions, and continuous efforts to improve the quantity and quality of training at these institutions;
- increased financial allocations for external specialized training where national, sub-regional, and regional training institutions are unable to provide the requisite training.

3. CORPORATE CULTURES AND WORK ETHICS

Governments should support and encourage institutions to develop corporate cultures and work ethics conducive to modern human resources management practices. Such corporate cultures

should be designed to encourage individual contributions to enterprise objectives, continuous improvement in human resource management processes, and continuous improvement motivation and productivity.

B. MODAL RECOMMENDATIONS

a. SHIPPING

1. Shipping lines in sub-Sahara African are facing fierce international competition with lines in developed countries. These lines from developed countries are joining forces by way of joint ventures and slot charter arrangements to gain economy of scale advantages while reducing their costs. Therefore, future institutional development strategies in shipping in SSA must assume a multinational dimension, by way of sub-regional cooperation, as a survival strategy.

2. In view of the enormous foreign exchange pressure put on shipping lines in dry docking and repairs in Overseas yards, and considering the foreign currency savings that could be realized by carrying such activities locally, and also the availability of cheap labour in SSA, it will be desirable if some selected existing shipyards in the region could be revitalized on sub-regional cooperation basis (perhaps with the involvement of IMO and UNCTAD) to handle vessels from the region.

3. While it is noted that there exist facilities for training sea-going personnel in sub-Saharan Africa, it is equally observed that no such facilities exist for the training of shore based personnel. It is therefore recommended that the existing Regional Maritime institutions be upgraded, encouraged and supported financially to provide courses in the field of Maritime studies. Courses should cover the training needs of the Shipping Lines, Port Authorities, Freight forwarders and Multi-modal Transport Operators.

4. Regional bodies should continue to hold dialogue with the European Economic Community (EEC) and other similar organizations concerning shipping policies with a view to protecting SSA shipping interests.

b. PORTS

1. In most of the countries of sub-Sahara Africa, government officials, particularly those based at hinterlands with no maritime traditions, do not have a balanced appreciation

of the effects of performance in port activities on their national economies. This problem should be given serious consideration by policy makers.

2. Action should be taken to streamline port organizational structures and strengthen training activities to improve their performance.

3 Consultation with regard to port training should be strengthened with a view to optimize the use of existing potentials and to achieve possible complementarities in this field.

4. It is necessary to take into account the needs of the various ports in the region, namely, Sea, river, lake and dry ports, under the Decade Programme.

5. Establishing effective communication systems, including the Advance Cargo Information System (ACIS) to facilitate cargo flows and forward planning should be encouraged.

6. In order to put an end to the clash of interests and competition, it is recommended that ports should be reorganized and their role redefined by specifying the sphere of activity of each port operator.

7. The interest of land-locked countries should be taken into account in port development projects.

8. Port Management Associations of the sub-regions should be strengthened and existing expertise identified within the association should be developed.

9. Continued assistance and establishment of TRAINMAR programmes, where they do not exist, is recommended.

c. MULTI-MODAL TRANSPORT

1. Considering the fact that in sub-Saharan African countries the role of freight forwarding and multi-modal transport is not widely recognized and has not developed, action to promote the profession should be taken by:

- creating or strengthening national trade and transport facilitation committees;
- creating external and internal training structures;

- creating national professional associations.

2. The participants, particularly those from land-locked countries stressed the need for the transit countries to grant them facilities that would speed up the transportation of their goods. In this respect, it is recommended that bilateral or international conventions on multi modal transport should be signed and respected.

3. For effective co-ordination, all modes under the multi-modal transport chain must be under one Ministry, preferably under the Ministry of Transport.

4. Government should take action to ratify the UN Convention on International Multi-modal Transport, and the Hamburg Rules.

d. ROAD TRANSPORT AND HIGHWAYS

1. The Workshops recognized the performance of private road transport operators and their contribution to the development of the transport sector and recommended that Governments should support private initiatives in the road transport sub - sector.

2. A project designed to strengthen the capacity of road transport operators focusing primarily on managerial capabilities of small scale operators and transport cooperatives should be initiated. A Regional Training and Consultancy Institution supported by selected national institutions be the vehicle for conducting project activities.

3. Governments should speed up the completion of the missing links in trans-African highway networks. Governments should also encourage institutional efforts to:

- enforce road safety regulations and procedures and other sector-specific standards such as axle-load controls;
- harmonize and enforce licensing and other regulations;
- establish sub-regional maintenance workshops for road building and maintenance equipment.

4. Governments should encourage the development of regional standards in the design and construction of inter-state highways and the related axle-load limits and safety standards.

5. Understanding should be reached and associations developed for the purpose of:

- Harmonizing road legislations and procedures,
- Exchange of information.

6. The construction and maintenance of road infrastructure should be centralised, especially:

- Interstate roads;
- Urban roads;
- Interurban roads;
- Feeder roads.

c. RAILWAYS

Given the importance of the railway sub-sector, and the high levels of investments required to expand and operate railway transport networks, governments should:

- encourage the establishment of bi-lateral agreements for inter-state railway systems to ensure smooth movement of inter-state and international traffic. These agreements should focus on equitable exchange of rolling stock, maintenance standards for commonly used equipment and common management processes to facilitate quicker rolling stock turn-round;
- consider setting up sub-regional mechanical and other workshops with a view to producing the bulk of railway spare parts and components within each sub-region, thereby minimizing duplications;
- make efforts to complete the sub-regional Railway Training Centres which were started during UNTACDA I, namely Zaria (Nigeria), and Kabwe (Zambia),
- make sure that interstate road and rail-link projects be executed, strengthened and included in the Decade Programme;
- Should strengthen Union of African Railways (UAR).

f. CIVIL AVIATION

1. Noting the many efforts to improve regional co-operation in the Civil Aviation sub-sector, and the very significant benefits

that will arise from such co-operation, it is recommended that governments continue their efforts to facilitate the early implementation of the Yamoussoukro Declaration.

2. It is also recommended that governments should encourage Airlines, Civil Aviation and Telecommunications organizations to co-ordinate their activities at national and sub-regional levels.

3. Governments should encourage co-ordination between Civil Aviation Administrations, Airlines and Airport Authorities to facilitate the establishment of comprehensive plans of national civil aviation.

4. It is recommended that governments should establish autonomous civil aviation administrations that would have sufficient operational and financial independence.

5. Continued assistance and establishment, of TRAINAIR programme, where they do not exist, are recommended.

g. TELECOMMUNICATIONS

1. Given the rapidly changing nature of telecommunications, particularly the changes in technologies, the introduction of new services, and the likely shortage of network systems and spare parts for the basic telecommunication networks forming the bulk of the sub-regions requirements, governments should examine the effects of such changes on their telecommunications needs; and review their telecommunication policies and regulations with a view to providing some measure of protection against the negative impacts of such changes, and to optimize their beneficial elements.

Given also the broad nature and influences of these technological changes, governments should maximize regional and sub-regional cooperation in the development of appropriate regulations, policies and strategies, in addition to seeking the assistance of relevant international organizations to monitor developments and trends in industrialized countries, and to provide advice on the most appropriate responses by the countries of SSA.

2. Governments should seriously pursue the setting up of sub-regional telecommunications equipment manufacturing organizations, based on detailed market analyses, equitable sharing and distribution of research and manufacturing facilities, and commitments by each government to support these ventures, provided

standards and equipment qualities meet the set minimum International standards.

3. In view of the extremely low telephone densities in all countries of the region, and the resulting failure of telecommunication services to support all other social and economic development efforts, governments of the region should seek ways of sustaining continuous growth of telecommunication services through consistent investment policies based on re-investment of institutional profits and regular allocations of foreign exchange for equipment purchase.

4. Governments should consider the separation of postal and telecommunication services, so that the specific needs of each specialized activity can be developed and managed efficiently and independently of each other.

C. RECOMMENDATIONS ON LANDLOCKED COUNTRIES.

In order to address the issues facing transportation in land-locked countries the following are recommended:

- strengthening both institutional and operational arrangements to enhance the flow of trade along transit corridors;
- promotion of joint ventures among countries of the region to provide and improve essential services along transit corridors;
- promotion and establishment of freight forwarders and Multimodal Transport Operators (MTOs);
- speeding up the establishment and development of dry ports.
- establishment of National Trade and Transport Facilitation Committees;
- establishment of shippers' councils where they do not exist;
- given the landlockedness of most of the SADCC countries, ECA and other UN agencies should endeavour to conduct further studies to highlight the sector problems in the region;

- a forum for policy makers and top managers of institutions (such as these workshops) should be established where all the countries of the sub-region, organisations such as SATCC, PTA, the specialized UN Agencies, World Bank and ADB meet to discuss issues in transport and communications, formulate sub-regional policies and discuss coordination of national sector policies.

D. GENERAL RECOMMENDATIONS

1. The Workshop regretted the fact that inland water transport and postal communications sub-sectors were not included in this study. Governments should, therefore request the Executive Secretary of ECA to include these modes of transport and communication in future studies and address their specific problems during the implementation of the Second Decade.

2. Given the importance of human resources and institutional development, Workshop participants recommended that all UN specialized agencies in Transport and Communications which do not have regular Human Resources and Institutional Development (HRID) Modal Conferences should make every effort to convene them on a regular basis.

3. Governments should sign and accede to international conventions.

4. Data banks should be established for the Transport and Communications sector.

5. The implementation of the above recommendations should be in cooperation with all UN agencies at the national, sub-regional and regional levels.

III CONCLUSION

The six sub-regional workshops conducted were successful. In some cases there were fewer participants than expected for a workshop, but the standard of discussions and the quality of recommendations still remained high. Although some modes were not adequately represented but discussions covered all modes.

The spirit which has been established among the UN agencies dealing with HRID issues in transport and communications should be maintained and efforts be made where possible, in implementing joint projects and programmes. It is recommended that all agencies that have been involved in the implementation of Phase I of the approved project on Human Resources Management Capabilities within the Transport and Communications sector in Africa should prepare specific projects for the implementation of recommendations of the workshops. The project proposals should be included in the programme of the second Decade.

TRANSCOM/491

ANNEXES

HUMAN RESOURCES AND INSTITUTIONAL DEVELOPMENT IN THE MARITIME TRANSPORT SECTOR

EXECUTIVE SUMMARY

The purpose of this summary is to highlight the major findings of the maritime transport sub-sector investigations, and to provide outlines of the recommendations contained in the maritime transport report.

1. EXTERNAL TRADE – BACKGROUND

1.1 Because of the geo-political situations of the African countries south of the Sahara, almost all their trade with the outside world is carried on by sea.

1.2 Moreover, for historical reasons which date back to the establishment of European trading posts at the beginning of the 17th century, for the largest volume of exported goods the destination is Northern Europe, i.e., ports located between the Atlantic seaboard of Spain and Scandinavia.

1.3 It must also be pointed out that during the current decade, most of these countries have experienced major economic problems, reflected in a net slowdown in economic growth, a serious downturn in output and a significant reduction in foreign trade.

2. MARITIME TRAFFIC

2.1 Consequently, in the past five years there has been a marked fall in the volume of goods in transit through the ports of these African countries. This fall has been especially marked in the case of exports.

2.2 Import cargoes consist, for the most part, of general cargoes (capital goods, consumer goods and various industrial products) with a relatively high unit value.

2.3 Export cargoes vary from one country to another, but consist mainly of agricultural products: cocoa, coffee, cotton and unprocessed timber, with a low unit value.

3. SEA PORTS

3.1 Except for the port of Abidjan and Lagos, where imports and exports are almost on a par, most of the other African ports show a marked imbalance, since the average volume of exports is scarcely 10% of the value of imports.

4. MARITIME FREIGHT

4.1 Regular liner services to West African ports from the ports of western Europe fall into two categories.

4.2 Members of the COWAC liner conference (Continent West Africa Line) total 29 maritime companies, divided as follows:

- 12 African companies

- 17 European companies

4.3 These shipping companies include two leading European companies:

- SNCDV (France) which alone represents more than half the total capacity available;
- SCADOA (France-Norway) which operates a carrier service every 10 days to three ports (Abidjan, Lomé, Cotonou), and a single African shipper, SITRAM (Ivory Coast) which offers a weekly service by polyvalent container ships to Abidjan and Cotonou.

4.4 Freight handled by OWAC is, in principle, divided among the members of the Conference according to the cargo sharing formula laid down in the Code of Conduct for Liner Conferences adopted by UNCTAD in 1974 and which came into force in 1983, i.e.:

- 40 per cent for African shippers;
- 40 per cent for shipowners in European countries;
- 20 per cent for shipowners belonging to the Conference and flying flags other than those of the importing or exporting countries.

4.5 According to this agreement, it is possible for any shipowner belonging to the Conference to cede its rights to another shipowner, by paying a fee equivalent to a certain percentage of the freight rate in force.

4.6 Outsiders who operate outside the Conference use a modern fleet, technologically well advanced and well adapted, enabling them to control operating cost and to charge competitive freight rates. These operators pose formidable competition to all the conference shipowners, and especially to shipowners in the sub-region.

5. THE FLEET

5.1 The size of the vessels operating on this line ranges between 4,500 and 30,000 tonnes dead weight. These ships are often multi-purpose vessels carrying containers, general cargoes and even unprocessed timber. Conventional vessels are often used for sundry merchandise. Generally speaking, the ships are old and ill-suited for freight traffic.

5.2 Because of the low capacity of the fleet and the lack of appropriate resources, the actual share of freight traffic achieved by most African shipowners from their own resources remains very low (ranging from 3 to 6 per cent of total goods traffic in transit through their respective ports).

6. COMPETITION

6.1 There is strong and sometimes fierce competition on the COWAC line, which is responsible for most of the freight carried by the 12 African companies belonging to the Conference.

- Rebates amount to 20 per cent of the freight rate.
- Commercial costs amount to 60 per cent of revenue.

6.2 These practices have tended to aggravate the financial difficulties experienced by virtually all the African shippers which operate on this line.

6.3 As a result, many African shipowners have been obliged to sell their ships, and are now without any means of transport, i.e., they are in the position of "shippers without a fleet of their own".

THE ENVIRONMENT

7. The international environment

7.1 The allocation of freight is governed by the Code of Conduct for Liner Conferences, which was adopted by the United Nations in April 1974, and came into force in 1983. This Code is an international agreement on the principle for determining market shares between exporting countries, importing countries and third countries, generally known as the cargo sharing principle according to the so-called 40/40/20 formula. This agreement applies, in the main, to general cargoes traded among nations. Despite this agreement, the share of traffic carried by the fleets of the sub-Saharan countries of Africa is very low, and does not match up to initial expectations.

8. The sub-regional environment

8.1 It is useful to summarise briefly the legal framework in which the maritime transport companies operate in West and Central Africa:

- In 1973, the Treaty of Abidjan established the Economic Community of West Africa (ECOWAS), which recommended:
 - establishing a multinational maritime navigation company;
 - setting up national shippers' councils;
 - identifying the main bottlenecks which affect the transit of goods, and taking steps to enable them to be moved rapidly.
- In 1975, the Ministerial Conference of West and Central African States on Maritime Transport (MINCONMAR) was created. Comprising 25 States (from Mauritania to Angola) its purpose is to strengthen maritime co-operation in the Sub-region and to improve co-ordination of their maritime services.
- The Abidjan Charter for maritime transport defines the steps to be taken in developing maritime transport companies and ports, and in giving assistance to landlocked countries.

8.2 Finally, a number of specialised organs of MINCONMAR were established, such as:

- The Shippers' Council Union;
- The Association of National Shipping Companies;
- The Committee on Freight Negotiations;
- The Regional Maritime Academy of Accra, Ghana (anglophone); and

- The Regional Maritime Academy of Côte d'Ivoire (francophone).

9. The national environment

9.1 The majority of maritime companies in the sub-region, including those established in the 1970s under the above-mentioned Community provisions, were set up by the States concerned. They are, accordingly, controlled by those States. This is a dual constraint, since it gives the State a veto on almost all the activities of a given enterprise, from the appointment of its manager to the process of endorsing the various bodies involved, and it has often proved a hindrance to the effective function and the development of these institutions.

9.2 However, it should be noted that the status of a State company or a national shipowner has enabled these enterprises to defend their interests more effectively within liner conferences, and to obtain the support they require from national shippers' councils, although their roles occasionally conflict.

10. OPERATING RESULTS – PROBLEMS

10.1 Most of the maritime companies in the sub-region of sub-Saharan Africa experience problems, the most obvious symptom of these being the series of poor operating results recorded during the past five years. This situation is due both to external factors, often wholly outside the control of the enterprises, and to internal factors, where corrective measures are a possibility.

- Culture

The influence of tribal allegiances and work ethics and leadership concepts in the staff selection and promotion processes;

- Politics

The influence of political controls on overall human resources and institutional performance which became in some cases counter-productive because of the direct role played by the State in the management of enterprises and administrative shortcomings in the Sector.

11. Human resource management factors

Management processes directly related to individual staff productivity shows most national shipping companies in the sub-region were found to be grossly over-staffed and the personnel management functions were poorly developed (poor salaries coupled with gross over-staffing resulted in poor morale and motivation)

12. Financial management

Financial management in many national shipping companies was found to be under-developed.

13. Planning

The lack of strategic planning was identified as a major constraint to institutional performance.

14. Other external factors can be summarised as follows:

- the poor state of the economy in their respective countries;

- the marked drop in the volume of freight generated by the foreign trade of these countries;
- the strength of the competition in the maritime freight sector, which results in low freight rates and a poor return on investment;
- the excessive price increases for transport equipment, for both purchase and chartering;
- the lack of any clear national policy on maritime transport.

15. The factors internal to the enterprise include the following:

- the low capacity available, an ageing fleet which is not adapted to the traffic;
- the poor financial results;
- the obsolescence of the organisation as a whole;
- there are no reliable management tools;
- there is no handbook of procedures, no management control and no cost-accounting;
- the personnel of the enterprise lack proper training and a professional outlook;
- there are no programmes or plans for human resource development;
- there is no career development plan, and this in turn has an unsettling effect on the staff and tends to sap morale.

RECOMMENDATIONS FOR IMPROVING PERFORMANCE

16. Within the enterprise:

- to combat the situation prevailing in the shipping companies of the countries of sub-Saharan Africa, the following measures are urgently needed:
- a scheme of reorganisation; the new model of organisation must take due account of the activities and goals of the companies, and must contain a clear and complete definition of tasks at every level, so that responsibilities can be properly defined;
- devising a recovery plan, with a view to achieving the financial stabilisation which is vital to the survival of the institution;
- setting up reliable management tools (management and cost auditing, cost accounting, an information system, a plan for computer storage of information);
- developing human resources by implementing a plan for medium and long-term training and career development.

17. At the national level

17.1 In view of the major role played by maritime transport in developing the foreign trade of African countries (90 to 95 per cent of the volume of international trade is carried on by sea) and for the purpose of:

- guaranteeing supplies to these countries, especially of staple necessities.

17.2 These States must take adequate measures to enable these enterprises, and the national fleet generally, to develop and gain strength.

17.3 These measures may consist of:

- taking the necessary steps to simplify administrative procedures (which are often unduly constrictive);
- diluting the immediate State responsibility for the enterprises by replacing the a priori control of the State by a posteriori control, through programme contracts (in the case of national enterprises);
- encouraging traders and shippers in the country to buy FOB and sell CIF;
- defining and adopting a clear policy for maritime transport;
- allowing access to private clients (privatisation of the sector) and promoting activities which tend to be reserved to State enterprises through legislation to encourage such activities; this may take the form of a code of maritime investment, similar to the various codes adopted to encourage and promote tourism or industry.

18. At the subregional level

The low level of maritime traffic is a major handicap to the development of a maritime company; hence co-operation at the sub-regional level must be encouraged and promoted. Such co-operation may take a variety of forms, including:

- operating a joint service;
- establishing a consortium;
- merging two to three companies of the same subregion;
- establishing joint ventures.

19. At the inter-regional level

The various forms of co-operation which are possible at the subregional level may be extended to the international plane.

HUMAN RESOURCE AND INSTITUTIONAL DEVELOPMENT ON PORTS

EXECUTIVE SUMMARY

1.1 Four ports were studied. Two have full responsibility for cargo-handling, whilst the role of two is limited to providing facilities and regulating independent operators. Two benefit from currency convertibility in the West African Monetary Union whilst two suffer severe foreign exchange shortages.

1.2 Table 1 shows the main problems in each of the cases. There is considerable variation and danger in generalising; issues which had negative effects on performance in some cases had positive effects in others. But the following remarks attempt to extract general findings.

2. OVERALL ASSESSMENT OF PERFORMANCE

2.1 The ports studied are all making a fair contribution to the transport systems and international trade of their country. They do not bear any heavy responsibility for deficiencies in the transport sector of Sub-Saharan Africa.

2.2 Management has been excellent at the top and moderately effective at lower levels. However, there is a long way to go in adoption of a modern styles.

2.3 Some port functions have been excellent, others less than satisfactory. In no case has there been either outstandingly good or outstandingly bad productivity, although there are cases of serious overmanning, excessive control and inspection in container operations, and of inadequate supervision of dock labour in break-bulk operations. Most ports have a long way to go to achieve internationally competitive unit costs and efficient application of modern technology.

2.4 Financial performance has generally been healthy, but in one case there have been serious problems, solved only after long delay. Investment in modern port facilities has been universally good, with no cases of serious infrastructure defects.

2.5 Management information systems vary widely; in one case an exemplary accounting informations system is being used as a model for the regions.

3. INSTITUTIONAL DEVELOPMENT ISSUES

3.1 All cases studied have undergone institutional re-structuring in a search for the right formula. In no case has it been considered feasible to privatise the port authority function. This is partly because of a perceived need for public control, and partly because the necessary private investment capital is not considered to be available.

3.2 Success has been most apparent when the port has been given the freedom to apply commercial operating principles. All governments embrace this aim in principle, but in no case has it been achieved in practice. The main reason for this failure is that, whatever was the original intention, the government-port relationship has subsequently been overlaid with controls. These excessive controls have often seriously delayed

financial decisions, and have caused a de-motivating loss of management freedom, plus administrative waste and higher unit costs.

3.3 The root causes of this serious problem are unwillingness in the middle ranks of central government to delegate authority; lack of appreciation of the key role of that a port can play in national development; and lack of coordination between different government departments.

3.4 Serious operational difficulties have been caused by:

- excessive controls by customs and by security police;
- unsympathetic and bureaucratic procedures in financial departments of the government;
- shortages of foreign exchange and lack of a foreign exchange budget for the port;
- equipment procurement, through bilateral aid, becoming too diverse causing severe maintenance difficulty;
- inability of the port to exercise normal control over facilities provided to landlocked neighbor countries.

3.5 The most successful institutional solution has been where:

- a radical and systematic restructuring has taken place;
- there is a single body, with formal and wide-ranging delegated powers, separate from the central government but responsible to it for all port matters;
- government retains financial control only of major investments, approval of the budget, and some parts of the tariff;
- this restructuring is carried through to a similar form of delegation within the port management;
- the institutions, of whatever type, are broken up into smaller self-governing operational units.

3.6 The least successful solutions have been where the institutions have been large, monolithic bodies under close control of the civil service.

4. HUMAN RESOURCE DEVELOPMENT ISSUES

4.1 Staff welfare and social benefits are very good, and often mitigate other weaknesses. Reasonable steps have been taken in manpower planning, training, salary structure, etc., although much more emphasis is needed on longer-term strategies.

4.2 Top management is excellent, all chief executives being dynamic, experienced and sympathetic to staff problems. The result is that morale is usually good, in spite of faulty organisational structures and poor management styles at middle and lower levels.

4.3 Organisational structures are in the majority of cases badly flawed:

- there are too many levels of hierarchy, too many departments with overlapping responsibilities, and too many staff;
- structures tend to be designed either on conceptual grounds without considering individual workloads, or on manpower grounds in order to fit the jobs to the manpower and avoid redundancy;
- clear objectives for each department, and correct job descriptions, are usually absent, incomplete or out-of-date.

4.4 These serious organisational problems appear to have 3 main causes:

- the indirect influence of national unemployment;
- lack of skill/experience in organisational development;
- traditional work attitudes and management styles.

4.5 In all cases ports are taking steps to improve organisational deficiencies, but their steps are generally not sufficiently radical or comprehensive, whether tackled by internal staff or consultants. There is a widespread lack of knowledge of modern organisational development and human resource management.

4.6 Traditional African social attitudes have both positive and negative effects, but major changes are needed before the work ethic will be satisfactory. These include encouraging much more delegation, acceptance that a full day's work every day is the norm, and that reliance on additional external income has to be replaced by adequate remuneration.

4.7 Although most ports have programmes in the development of computer systems, most of these are still traditional. The advantages of distributed networks in boosting departmental involvement and personal motivation have not yet been appreciated.

SOLUTIONS

4.8 Although positive features have been found, in all cases there are deficiencies that should be tackled. The chief executives of the port institutions are well able to introduce any changes needed. However, their freedom is often inhibited by central government departments. For this reason, a principal feature of the solutions is the sensitising of senior policy-makers to problems and priorities.

5. EXTERNAL RELATIONS

5.1 Joint seminars for policy-makers and decision-makers in ministries of transport, trade, finance and central planning units, to change attitudes on the importance of ports to the national economy, their need for freedom to operate, and the need to avoid excessive union power; and to develop improved policies on the government/port relationship, co-ordinated procedures for handling urgent port problems, and financial controls.

5.2 Consultancy would be needed to help in detailed design, writing of regulations, and implementation. There would also be follow-up seminars.

6. ORGANISATIONAL DEVELOPMENT

Short courses for port managers, with the following training aims:

- appreciate need for modern management approach;
- accept need for radical change;
- be able, with the help of consultants, to:
 - analyse organisational needs
 - design an effective organisation
 - write clear job specifications.

7. HUMAN RESOURCE DEVELOPMENT

Short courses for port managers, with training aims:

- appreciate the need for implanting the modern work ethic;
- appreciate the strength of modern human resource techniques;
- appreciate the impact of modern information technology on HRD;
- be able, with the help of consultants, to:
 - design appropriate local methods of human resource management
 - implement the human resource management methods chosen.

7.1 Consultancy would be needed to assist with design and implementation, and the training of training managers in UNCTAD's TRAINMAR network would be valuable.

8. INFORMATION SYSTEMS

Training programmes for port managers and staff, with training aims:

- be able to explain the main principles of:
 - data processing and the use of computers in ports
 - port management information systems (PMIS);
- be able, with the aid of consultants, to:
 - analyse needs and design the functions of a distributed PMIS
 - design an implementation and test plan for the PMIS.

8.1 Fellowships for staff to selected modern ports would be valuable, plus consultancy to assist with analysis, design and implementation.

9. EQUIPMENT PROCUREMENT

Action to produce guidelines for donors, government procurement agencies and others.
(Note: this activity is already planned in IBRD and the UNCTAD Ad Hoc Inter-Governmental Expert Group on Ports.)

10. OVERMANNING, LABOUR RELATIONS AND PRODUCTIVITY

These actions need to be discussed with ILO. They should include international action to publish manning norms for ports, and government policy statements on manning levels and unemployment.

Table 1 – SUMMARY OF ISSUES IN FOUR PORTS CASE-STUDIES

Case:	A	B	C	D
1. Government control				
Govt.inter-dept. co-operation	4	2	2	1
Government financial control				
on day-to-day spending	2	4	2	2
on budgeting	4	4	4	4
on borrowing	3	2	5	2
Legal status	2	4	4(a)	3
Financial obligations to govt.	2	3	4	4
2. General management				
Quality of top management	1	1	1	1
Management style	4	3	4	3
Management structure	4	3	4	1
Bureaucracy	4	4	4	3
Regulations	2	2	4	2
Administration, info.system	3	1	3	3
3. Procurement				
Equipment & spares procurement	5	2	3	2
Maintenance standards	5	3(b)	1	2
Purchasing procedures	4	2	3	2
Provision of foreign currency	5	1(c)	1(c)	5
4. Operational				
Inland transport bottleneck	2	2	3	5
Infrastructure	1	1	3	3
Cargo-handling standard	4	1(d)	2(d)	3
Customs practices	2	3	5	-(e)
Users behavior	2	2	4	2
5. Financial				
Financial performance	5	1	3	2
Budgetary procedure	3	4	2	3
Cargo-handling costs	4	2	2	2
6. Human resource management				
Govt. intervention in manpower	3	3	3	3
Manpower planning	3	3	3	3
Overmanning	5	4	3	3
Training policy	3	3	3	3
Career management	3	3	4	1
Salary structure	2	2	3	2
Performance standards	3	3	3	3
Conditions of work	2	2	3	2
Labour relations	4	1	2	2

/...

● **Key:**

The issue has been handled in a way that gives:

1. A positive contribution to performance
2. No significant problem
3. A minor problem
4. A serious problem, constraining performance
5. A crucial problem, causing inadequate performance.

● **Notes:**

- (a) Formally excellent, but not properly implemented.
- (b) Maintenance not an issue since cargo-handling is contracted out; but some concern.
- (c) Convertible local currency.
- (d) Cargo-handling is contracted out.
- (e) Information not collected.

HUMAN RESOURCES AND INSTITUTIONAL DEVELOPMENT IN INTERMODAL TRANSPORT

EXECUTIVE SUMMARY

1.1 Transport mode/interface operations have an important role to play in the economic development of a country. This role is even more important when the operations are part of an international transport chain which serves foreign trade and might increase currency earnings/savings. International transport operations require the responsible combination of modal and interface operations together with the preparation of trade and transport documents. These operations are intermodal transport operations.(1)

1.2 Over the years, freight forwarders have arranged such operations as agents for the importers/exporters. They are today increasingly taking a carrier's responsibility by offering door-to-door transport operations and, by doing so, they are becoming multimodal transport operators (MTOs). At a time when international transport was confined to port-to-port operations, freight forwarders were considered as subordinates of shipping companies and their agents. With the advent of containerisation and the growing demand for tailored transport services, freight forwarders started identifying their role as complementary to modal operators by securing a certain continuity in the intermodal movement of goods across borders. Today, they are becoming carriers and their profession is now essential to the international trade of a country.

1.3 Unfortunately, this profession is lacking an internationally unified image. Its legal status and the corresponding regulations differ widely from country to country. Apart from auxiliary services for transport such as Customs broking, documentation and packaging, freight forwarders participate, in many countries, in unimodal, segmented and multimodal transport operations at national and international levels, but with responsibilities and legal status varying from country to country. In some countries, their status depends on the mode of transport as well as on the scope of the transport services (domestic or international) they provide while, in others, national legislation and regulation apply irrespective of the mode of transport or the scope of their services.

1.4 As a result, the freight forwarding and multimodal transport sector is not widely recognised and has not developed in the same way across the countries of Sub-Saharan Africa.

1.5 The two case-studies on this sector carried out respectively in Sénégal and Kenya confirmed that the development of freight forwarders and MTOs is confronted with a number of problems related to the institutional context within their country and to the human resource management within their profession.

2. Institutional development issues

2.1 The main institutional development issues are the following:

- A. Reduction in foreign trade due to fragile national economies;
- B. Strategic location of a country along a transit corridor;

- C. Lack of recognition of the profession by Government entities and users;
- D. Inappropriate legal framework on transport operations;
- E. Financial constraints imposed on the profession;
- F. Customs policy and practices;
- G. Diversity in size and organisation of the companies;
- H. Limited support/back-up given by the freight forwarders and MTOs to their national association.

3. Human resource development issues

3.1 The main human resource development issues are the following:

- I. ~~Limited recruitment~~ policy and internal mobility within the profession;
- J. Personal attitude and behavior of employees;
- K. Poor delegation of power;
- L. Limited promotion and internal mobility within companies;
- M. Lack of appropriate internal and external training structures;
- N. Biased recruitment procedures.

4. Proposed improvements

4.1 This modal summary has elaborated a set of possible improvements to the above mentioned institutional and human resource development issues. Improvements related to institutional development include:

- (a) Awareness campaign on the most appropriate use of trading terms (INCOTERMS);
- (b) Awareness campaign on the need to promote national freight forwarders and MTOs, in particular in countries located along transit corridors towards land-locked countries and remote regions;
- (c) Stimulate the creation of a national association of freight forwarders and MTOs to serve as official counterpart in all negotiations with Government and other parties on trade and transport related issues;
- (d) Creation of national trade and transport facilitation committees with the participation of all concerned public and private parties, including the national association of freight forwarders and MTOs;
- (e) Through the national committee, revision of the existing national laws and regulations concerning all transport modes and interfaces in order to harmonize rights and duties of transport and terminal operators, particularly in relation with liability;

- (f) Through the national committee, concerned revision of Customs and banking procedures imposed upon freight forwarders and MTOs, including performance bonds and procedures for the payment of import duties and taxes.

4.2 Improvements related to human resource development include:

- (a) Elaboration of regular information campaigns on the profession by the national association to draw the attention of potential employees on the specific commercial sector;
- (b) Creation by the national association of a recognised professional grid system to promote mobility within the profession;
- (c) Increase management awareness on the importance of manpower planning, selection, job placement and rotation, training and development;
- (d) Promote, through the national association, the creation of external training structures specifically designed for the needs of the profession.

4.3 These improvements can be implemented by the various entities concerned, namely: the Government bodies, the national associations and the freight forwarding and multimodal transport companies. They require a certain political wish and extensive concertation to determine the most suitable means to be used at national level.

4.4 International institutions and, particularly, UNCTAD whose mandate is the promotion of trade and development, can offer technical assistance and training experience in the implementation of the improvements in a given country is presented. Potential savings can obviously be obtained by co-ordinating actions within a country and at sub-regional level.

NOTES

- (1) Intermodal transport is the transport of goods by several modes of transport from one point or port of origin via one or more interface points to a final port or point where one of the carriers organises the whole transport. Depending on how the responsibility for the entire transport is shared, different types of transport documents are issued. If the carrier that organises the transport only takes responsibility for the portion he is performing himself, he may issue an intermodal bill of lading; the intermodal transport operation is made of a series of segmented transport operations. If the carrier that organises the transport takes the responsibility for the entire transport, he issues a combined or multimodal transport document; the intermodal transport operation then becomes a combined or multimodal transport operation.

HUMAN RESOURCES AND INSTITUTIONAL DEVELOPMENT IN AVIATION

EXECUTIVE SUMMARY

1. Background

- 1.1 In the vast and difficult terrain of African countries, transport has a very vital role to play in economic and social fields of development, the movement of passengers, freight, and mail within and across international borders, and in facilitating national exchange of communication in tourism and trade. ICAO was established in 1944 and since then has been assisting various countries in the regulation and development of aviation. ICAO has also directly and indirectly established in the African region more than 20 institutions for training and development, and these institutions have produced a large number of technical personnel.
- 1.2 An increase of trained personnel in civil aviation administrations and national airlines does not, in itself, lead to improvement of performance and the rational development of these institutions.
- 1.3 To attain self-reliance, higher levels of cost recovery and higher project margins through increased efficiency and productivity, there is an attendant need for improved utilisation of manpower and human resources, and better institutional development.
- 1.4 The Economic Commission for Africa's "Report of a Regional Survey on Manpower and Training Needs in all Transport Modes", dated December 1986, has concluded that there is an urgent need to improve indigenous transport institutions in Africa. It appears from this report, as well as from studies carried out by the World Bank's Sub-Saharan Africa Transport Programme, that African countries have not adequately utilised their increased training capability and products for development of the institutional and human capacity which is required to operate and maintain effectively their transport infrastructure and services.
- 1.5 Considerable efforts have been made to improve and expand many of the international airports in Africa, and more than half are now able to handle wide-body aircraft. These improvements have been achieved despite the financial difficulties experienced by many states and reductions in foreign aid. Nevertheless, financial constraints have delayed needed airport improvements in some countries and led to abandoning plans for some new airports in favour of modernising existing facilities.
- 1.6 Despite general improvements in basic infrastructure, many problems remain in such areas as the provision of adequate ground aids, aeronautical information services, air traffic services, communication facilities, and meteorological services. Maintenance of existing facilities and equipment is rendered more difficult due to the lack of trained personnel and to the variety of makes of equipment obtained through different aid programmes.
- 1.7 Few, if any, airports in Africa generate enough revenue to cover the investments and staff training necessary to efficiently meet future traffic requirements. There is an increasing need for internal financing and, to this end, improvement in the fiscal and

operational management of airports is essential. At many airports the provision of services is the responsibility of a number of government departments, resulting in a lack of managerial coordination and accountability.

1.8 The Limited African/Indian Ocean (COM/MET/RAC) Regional Air Navigation Meeting held in Lomé from 12 to 27 April 1988 recommended that:

- (a) *where this could improve operational efficiency and financial results, States consider establishing autonomous authorities to manage their major international airports, route facilities or both;*
- (b) *such authorities be vested with financial autonomy and sufficient operational and financial independence; and*
- (c) *the decision to establish an authority should be based on a feasibility study identifying potential improvements in efficiency and financial results to be gained therefrom and describing how these could be realised.*

In response to this recommendation a number of African States have already created or are in the process of establishing autonomous civil aviation or airport authorities.

1.9 In Africa, as in other regions, there is a diversity of national practices and procedures applied by states, often in contrast with the Standards and Recommended Practices specified in Annexes to the Chicago Convention. Often such practices and procedures represent serious obstacles which prevent travellers and shippers from taking full advantage of the speed and convenience of international air services. While some progress on various facilitation aspects is evident, considerable scope remains for further improvement.

1.10 The project on human resources development and institution building was designed as a pilot study to conduct a detailed investigation that could be utilised by ECA and ICAO in the preparation of relevant documents leading to:

- finalisation of an HRD/ID strategy for Africa through the organisation of sub-regional workshops for senior officials of transport establishments and senior personnel in Ministries responsible for transport and human resources management;
- adoption of the HRD/ID strategy for Africa through the organisation of a regional workshop for policy makers at the Permanent Secretary level in the Ministries and chief executives from transport establishments responsible for transport and human resources management;

and at a subsequent stage:

- production of training material to strengthen HRD/ID capability in Africa which could be utilised in regional/sub-regional training centres;
- assistance to a selected number of countries/operators in establishing human resources units within either the over-all sector of transport or in selected modes;
- establishment of conditions for implementing the UNDP/NATCAP (National Cooperation Assessment and Programming) approach.

1.11 The studies were designed to utilize multi-dimensional exploration through:

- literature analysis pertaining to the history and growth of the organisations and their documentation, annual reports, financial commercial, and traffic data, various indicators of performance, house journals, and documented reports which were subjected to content analysis.
- diagnostic group work was undertaken to study the qualitative aspects of the work culture, micro-case studies of organisational change, and field observations.

1.12 The reliability and validity of the data is ensured through checking the perceptions of outsiders and insiders so that inter-subjectivity of perceptions is balanced. Quantitative data and various other studies provided sufficient means of objective assessment. It is difficult to ipso facto transfer the findings to all other African institutions, as they are based on a limited sample of four institutions. Nevertheless, the experience of other ICAO professionals and common cultural factors provide enough material to assure a reasonable degree of confidence in generalising the findings.

1.13 Based on the content analysis of interviews during the field studies and secondary data, key environmental factors have been prioritised. The same approach has been followed with respect to key human resources factors. Additionally key human resource management factors were identified and analysed. The classifications, as presented in the modal summary reports, have been made with a view to analysing various causes, but are necessarily overlapping, as in reality this situation is complex and a variety of etiological factors operate simultaneously.

2. Conclusions

2.1 One conclusion is clear with regard to the health and success of organisations: whatever the ideology or technology adopted, unless it has matching managerial skills and culture, it cannot succeed in an international and regional competitive market. The basic change from non-performing institutional structures to performing ones, especially in developing countries, needs the transformation of psychology and awareness of political as well as institutional managers. To create this awareness, it would be useful to convene a series of seminars and conferences on human resources management and institutional building in the aviation sector in East and West Africa.

2.2 Another objective of this awareness programme is to involve various decision-makers in the aviation sector in jointly producing action programmes for implementation.

3. Recommendations

3.1 It will be useful to organize regional or sectoral seminars through ICAO in the professional management of the aviation sector. These seminars will serve to educate and create an awareness of the need to change the existing attitudes from management by regulations to management by results.

3.2 Emphasis on greater professionalism is needed by the selection of personnel with the right background and by giving them a clear mandate to manage the institution on a long-term basis, the minimum of which should be five years.

3.3 It is also recommended that governments review the wage policy, not necessarily to increase the salaries, but to provide adequate incentives to specialised jobs to halt the

current exodus of trained personnel. In this respect, States may wish to consider the establishment of autonomous civil aviation or airport authorities.

3.4 It is recommended to offer a post-graduate degree course in aviation management through a central school of management established in Africa.

3.5 Along with the refresher programmes, there is a need to start a long-term course for a least one year for newly recruited management trainees. Many advanced countries' airlines are offering long-term courses even extending up to three years, which include on-the-job training. Paradoxically, in the African sector, where this training is needed most, no such institution offers such a programme.

3.6 In case the building of a new institution, which appears to be a high priority need, is not considered feasible, it would be necessary to develop a curriculum to cover the areas suggested in this report for launching a long-term training programme in one of the existing institutions. The alternative of building a new institution is preferable since aviation management has its own unique background and expertise which cannot be covered by general management institutions.

3.7 It is also recommended that future fellowships be earmarked more in the area of training the trainers in aviation management in order to achieve a multiplier effect. It will also enhance self-reliance in various countries.

3.8 Training programmes to promote a work culture and attitudinal change towards discipline and accountability need to be arranged.

3.9 It is recommended that more software and systems in management be developed. Along with this, hardware changes, introducing computerisation in management areas is recommended.

3.10 Management training on a short-term basis could be organised in-house through the help of external facilities.

3.11 For developing short-term and long-term training programmes, a committee of experts will have to be instituted to work out the curriculum, training materials, along with the budgets. However, to keep the cost low, it is suggested that such a training institution could be built up on a minimum number of core faculties and maximum utilisation of networking arrangement.

HUMAN RESOURCES AND INSTITUTIONAL DEVELOPMENT IN ROAD TRANSPORT

EXECUTIVE SUMMARY

1. The policy issues

1.1 Sub-Saharan Africa is facing a severe economic crisis. For the region as a whole, medium growth prospects are not favourable. There is also evidence of deterioration in the social sectors. Open unemployment is a significant concern in virtually every African country. Some of the causes of the crisis are exogenous to the region, such as the deterioration of terms of trade, decrease in the level of credits and frequent droughts. Other reasons are endogenous, such as neglect of the agrarian sector resulting from policies adopted by the countries themselves.

1.2 Low performance of the transportation sector exacerbates the crisis and in turn is affected by it. The low overall efficiency of operations and maintenance in public sector in all transport modes burdens African economies with transport cost which are too high, and constrains economic growth and development. On the other hand, the economic difficulties faced by all the countries worsen the road transport situation because of non availability of capital and foreign exchange needed both to expand and renovate transport fleets.

1.3 Only few countries in the region have come to grips with defining policies that relate the value and needs of the transport sector to macro-economic considerations. Very little has been done to develop comprehensive, country-wide or urban transport policies. What exists in some countries is a collection of high level decisions and policies concerned with related sectors such as roads, other modes of transport, infrastructure, rural and urban development which are not integrated into a comprehensive framework. A further shortcoming frequently met is the lack of follow-through on policy implementation.

1.4 The important policy issues which have caused difficulties in the countries visited as well as in other African countries are:

- the way government should pursue economic and social objectives of public transport;
- the choice between public and private transport enterprises;
- the degree of control of public transport enterprises that is really needed;
- the question of control of the private transport sector by government;
- how structural adjustment affects the growth and viability of public road transport.

1.5 While the above can be considered key causal policy issues affecting public road transport, other government policies negatively affecting the operations of transport enterprises are:

- non-availability of foreign exchange;
- currency devaluations;
- restrictive civil service regulations (affecting mostly public sector enterprises in matters of recruitment and conditions of service);
- price and tariff controls;
- bureaucratic labyrinths causing delays in decisions.

1.6 The transport sector's efficiency and effectiveness will be improved only if these key policy issues are first addressed. In particular a government's pursuit of both economic and social objectives in its regulation of the road transport sector demands translation into operational measures in order to identify and resolve conflicts and contradictions.

1.7 Choice of ownership mix as well as government controls over transport operators, both public and private, must be clearly defined. Management of traffic demand should form part of long-term planning, and a mechanism for integrating and coordinating transport policies should be established. Because these policy issues are not present to the same degree in all countries, actions have to be devised on a country-to-country basis including policy changes which recognise existing economic constraints.

1.8 A way to facilitate such a process for countries is first to have solid commitment of government for creating an enabling policy environment supportive of the transport sector. Based on such commitment and political will, changes can be expected to occur through the mobilisation of local expertise including the social partners (government, employees and trade unions) to study in-depth the constraints created by financial (monetary and fiscal) policies, bureaucratic regulatory frameworks, sectoral policies and regulations and non-availability of support institutions; and in turn recommend appropriate policy changes and programme planning may be used, e.g., policy action planning, performance improvement planning, etc. The principal objective is to create political will and commitment to pursue and follow through the changes that must be made.

2. The institutions

2.1 The term "institution" refers to ministries of transport, transport authorities, national and local authorities exercising supervision and control of transport issues.

2.2 The breadth and depth of responsibilities of these institutions differ in each country. In some one finds several small ministries dealing with a few responsibilities, while in others almost the totality of responsibilities that concern road transport are assigned to a single institution. In some cases countries have set up special bodies to deal with road transport. Concentrated in such bodies are a multitude of responsibilities and authorities such as regulation of road safety, pollution, noise, speed; registering of vehicles, immatriculation; technical controls; drivers' licences; regulation of tariffs; administration of training schools for this industry; control of traffic; and management and supervision of public owned transport companies. Naturally, large organisations face more severe problems associated with large chains of command and span of control.

2.3 In other cases, responsibilities are divided among different government departments, e.g., ministries of transport, public works, licencing authorities, policing of traffic

and training institutions. In these cases some demarcation line disputes inevitably arise on authority.

2.4 In all countries all these institutions are government departments. Their performance is much determined by the socio-economic, political and cultural characteristics of the country which affect work attitudes, technical attitudes, discipline, communications, supervision and management styles.

2.5 Within these constraints, the country studies have encountered certain institutions (even very large ones) where staff were disciplined and appeared motivated. Yet, it was also noticed that in all countries the prevailing culture of the institution was bureaucratic and typical of the civil service milieu to which it belonged. They were inward looking, supply oriented, and concerned with keeping the rules rather than with the service and the efficiency of the organisations. The major factors affecting organisational performance found were:

- lack of short- and long-term planning of transport issues (made worse by the lack of planning capabilities);
- delegation was missing and, hence, authority highly centralised;
- co-ordination was non-existent, turning the institutions and their functions into highly compartmentalised units;
- controls were more ex-ante and on rules and procedures rather than based on plans and performance targets.

2.6 These institutions suffered, however, not only from internal shortcomings but also from external difficulties, including inconsistencies in the policy environment.

2.7 Conditions of work were civil service bound, where performance standards, incentives and sanctions were almost non-existent. These coupled with a non-involved management attitude tended to create a less motivational environment. Similarly, training and human resource development policies and practices were almost nil. There were no strong specialised programmes aimed at improving performance or in providing the needed skills in planning and engineering. Personnel departments charged with such responsibilities were not part of the observed structures.

2.8 A number of development strategies and actions are necessary to streamline the roles, structures and performance of institutions. The major ones recommended are:

- clarification of objectives of institutions and their harmonisation with government policies. In this respect institutions should concentrate on basic issues such as:
 - improving traffic management including the provision for adequate vital controls and law enforcement of traffic regulations in order to improve travel conditions, particularly in overcrowded cities;
 - strengthening planning capabilities in order to respond to demand, and developing strategies and policies that encourage alternative means of transport;
- restructuring of institutions and their organisations in order to minimise the negative effects of huge organisations. In this respect consideration could be given to

decentralising tasks to separate, more independent units including the assignment of certain duties to private organisations;

- development of human resources requiring – even within the limitations of the civil service – specific organisational and developmental measures including, inter alia:
 - assessment of training needs based on clarity of organisational objectives and performance criteria;
 - development of the internal organisations and systems of institutions to respond to performance objectives;
 - development of managerial staff to respond to such organisational and system changes, with particular reference to planning programming, coordination, resource management and staff performance;
 - provision of facilities - probably at regional or sub-regional level in Africa – for the education and training of engineering staff and planners;
 - development of internal capabilities for continuous appraisal of organisational performance and systems development;
 - establishment of effective personnel and human resource management to respond and to provide the above.

3. The operators

3.1 These are enterprises engaged in the passenger transport business. The type of enterprises existing in the countries surveyed were:

- publically-owned companies belonging: (1) directly to the State (Ghana); (2) operating under a special transport authority (Ethiopia); (3) owned by municipalities (Congo);
- private companies (Ghana, Congo and Niger);
- mixed enterprises established by special concession between public capital and foreign enterprises (a model prevalent in Congo and the Niger where such joint ventures were established with French transport industries);
- informal sector enterprises (examples were the Foula-Foula in Congo, the mini-buses in Ghana and similar operators in Niger).

3.2 The efficiency of these enterprises was clearly a function of the type of ownership, size, autonomy of authority and managerial capacity.

3.3 Major problems of big public road transport enterprises were:

- large size of organisations which created problems of communications, control and direction, and larger overheads. These were compounded by additional problems of over-centralised structures, bureaucratic culture, lack of autonomy, and weak systems of management;

- interference by the supervisory authorities through rules and regulations concerning finances, employment, discipline, procurement, etc., by imposition of government procedures and/or even of political expediencies;
- conflicting social and economic objectives as explained above;
- lack of long-term planning and vision;
- lack of adequate material and financial resources despite the fact that public enterprises were supported by government budgets and subsidies. These enterprises being totally dependent on government institutions suffered from the financial difficulties faced by their supervisory bodies.

3.4 In countries where public enterprises co-exist with private enterprises, the performance of the latter was found better despite the fact that the public ones enjoyed state financing and other supports.

3.5 Mixed enterprises operated efficiently but always were under special concessions granted to the investors and with expatriate managers at various levels. The informal sector operators demonstrated that they could provide broader and more competitive services than the larger enterprises. This was due to the lower costs of operations and being more responsive to demand. This sector has been growing in most countries. Safety of passengers, however, could be a serious consideration with these operators.

3.6 The development of the operators and their available human resources requires both external and internal support. With respect to external support, operators could function better if the policy environment and institutional roles were more enabling and less constraining. Particular emphasis is thus needed in:

- encouraging the entry and functioning of private sector small and medium enterprises and informal sectors operators to meet the growing demand for transport services. The regulatory environment must offer better incentives;
- improving access to credit facilities for small and informal operators;
- allowing larger public enterprises to function with autonomy and to develop a performance culture;
- exploring linkages between national companies and successful foreign ones for the transfer of managerial know-how and training.

3.7 Internal management and operational systems must be made consistent with long-term plans and performance improvement goals of the operators. There is need to develop good operating policies and systems in areas such as:

- selection of buses and procurement of spares and supplies
- maintenance and engineering
- store keeping
- financial management

3.8 Overall strengthening of the system requires build-up of managerial competence at all levels in the management hierarchy. Weaknesses in strategic and operational planning, budgeting, organisational development, among others, have been identified.

3.9 An integrated approach to organisational performance improvement should be introduced making use of participative problem-solving and performance improvement techniques. Managers must be developed in problem identification and analysis, and in the formulation of solutions linked to realistic objectives and time based targets.

3.10 An organisational culture that is less bureaucratic oriented but rather more market and service oriented, and geared towards organisational performance improvement must be created. This is particularly true for government owned operators. Various external conditions that will stimulate the creation of such an organisational culture have been cited. Priority should be given to granting managers autonomy and freedom from unnecessary interventions by supervising authorities. Internally, management styles and systems must be sensitive to local cultures in the establishment of practices for reward as well as discipline which will achieve accountability and performance within established targets. Finally, chief executives with the capacity to manage effectively are needed.

4. Need to develop supportive programmes

4.1 Policy making bodies, institutions and operators are in need of support from training and consultancy institutions in order to introduce improvements in their organisation systems and in human resources development. There is a need, therefore, to develop national institutions to respond to internal needs of a country's transport sector and for regional institutions to offer training and educational programmes to support in the development of local institutions, and to reinforce country level initiatives.

4.2 Technical co-operation is needed to provide assistance for improving the policy environments, institutions and transport operators.

HUMAN RESOURCE AND INSTITUTIONAL DEVELOPMENT IN THE ROAD CONSTRUCTION SECTOR

EXECUTIVE SUMMARY

THE SSA ROAD SUBSECTOR (1)

1.1 Beginning in the mid 1960s the region saw two decades of concentrated road construction. The concern for construction and upgrading diverted attention from the need to provide for routine and periodic maintenance of the road networks. The impact of this neglect was not immediately apparent; by the early 1980s, however, the deterioration of the road networks in SSA had become both evident and major policy issue. (2) Initial efforts to upgrade the capacity for road maintenance focused on financial and technical solutions. Post project evaluations indicated that the major limits on the performance of maintenance arose from the need for institutional and human resource development. Despite substantial investment, however, the HRID objectives of road projects have often not been met and institutional capacity has not been substantially upgraded. The case studies have indicated that the improvement of institutional performance in the road sub-sector requires the resolution of many issues at different levels. The interaction of the causal factors affecting HRID suggests the need to address these issues on an integrated basis. The extent and dynamics of HRID, moreover, go beyond the application of remedies and require systematic, comprehensive reform.

2. Operation in the public sector

2.1 Road operations in SSA face the limits common to all public sector activity in the region. The central governments in SSA exercise considerable control over their national economies, often resulting in political interference in technical decision-making for road operations. Pressure has continued for the construction of new roads at the expense of maintaining the existing network, often without consideration of the added recurrent cost for the maintenance of the new roads. Also, inadequate financing and the constraints imposed by the civil service erode autonomy, accountability, and motivation. This weakens the overall ability of management to lead and seriously constrains the institutional development of road organisations.

3. Organisation and management of road operations

3.1 The management of road operations is complicated because the mission of road operations is seldom well defined in relation to overall development objectives and priorities. The provision of the functions associated with road operations, moreover, is divided between several ministries or government agencies. Administrative problems within the road organisations include overlapping functions and tensions between the responsibilities accorded to headquarters and regional staff. Road organisations have generally consolidated decision-making at the expense of delegation. This results in senior management being preoccupied with control responsibilities at the expense of strategic management.

4. Human resource constraints

4.1 The quality of the human resources supporting road operations depends upon the external human resource environment. Primary considerations include the qualitative

and quantitative characteristics of the output of the educational system, competition from other sources of employment, and the difficulties in managing and motivating staffs employed under civil service pay and career structures. The management of human resource development is an evolving skill in SSA. Training is often provided without the benefit of realistic projections of needs or accurate assessments of the skills required for the performance of work. Poor supervision and utilisation often counter-balance the impact of training.

5. Development assistance: donor policies and practices

5.1 Development projects have often been inadequately conceived, designed, or implemented; donor policies and practices in some cases have resulted in such new difficulties as the evolution of mixed fleets of equipment or required project support in excess of the capacity of the road organisations being assisted. The coordination of in-country operations by donor groups on a national basis has become relatively effective. The different policies and practices of different donors continue to be confusing or complicating for host governments. More active monitoring of project implementation is needed. The dependency on aid, often including limited government participation in decision-making for project and programme design, has reduced the sense of government ownership and responsibility for road maintenance.

INSTITUTIONAL DEVELOPMENT

6.1 Although there is no fixed plan or formula for the administration of road operations, the modal summary suggests a framework for the implementation of interventions supporting institutional development (ID). The framework is based on the apparent ranking of institutional issues and the order in which they should be addressed. The framework builds upon examples of success and failure. It mirrors reality in the successful change at one level is generally dependant upon prior conditions having been made at a higher more strategic level. The framework is a conceptual guide to action which must be fit to the specific political, economic and social environment in which an individual road organisational must operate.

7. Review of the subsector mission and performance

7.1 The starting point is a review of the mission defined for the transport sector – and respectively for the road subsector. This should be followed by an assessment of the performance of the institutional systems supporting that mission.(3)

8. Develop commitment to the need for reform

8.1 Experience indicates that successful reform in the road sub-sector requires the firm commitment of governments and the acceptance of change by the management of road organisations. Where a government has not understood the requirements of road operations, policy objectives have often been inappropriate. Where management has not supported change, the results of ID efforts have been disappointing. The facilitation and funding of the reform process also requires the support of the donor community. Thus, commitment to the reform process is required by a tripartite group composed of government, management, and donors. The generation of commitment is a complex process which requires the participation of the tripartite group in all phases of reform activities. Policy action planning workshops have proved to be effective mechanisms for both the development of government ownership of the reform process and the specification of the general terms for reform policies and options for management of road operations. The success of these workshops is based on preworkshop inputs, participatory sessions during the workshop, and follow-up actions.

9. Develop and refine reform policy

9.1 Once there is an initial commitment to the need for reform the government, the road organisation, donors, and other stakeholders should participate in the definition of a specific reform policy. The elements of the reform policy will vary from country to country on the basis of country-specific evaluations of institutional performance. Organisational autonomy will be a key management issue and road maintenance will be a central technical issue.

9.2 The reform policy must focus on the need to reduce external constraints, including political interference in decision making, funding requirements, and reform of the civil service. It may require the modification of institutional arrangements and the shifting of certain functions such as maintenance to the private sector. The road organisation itself may need enhanced management, restructuring, additional resources, or management systems. Implementation of the reform policy will require a comprehensive action plan which integrates the identified interventions needed to meet reform policy objectives, provides an implementation and transition schedule, identifies support requirements, and provides concurrence on methodology. An inter-ministerial steering committee can be established to continue development of the reform policy and coordinate the implementation of the policy action plan.

10. Strengthen top management environment, motivation and incentives

10.1 High levels of institutional performance are dependent upon competent top management. Managerial competence needs to be nurtured by supportive external and organisational environments. Management needs to be motivated and given incentives to perform. The restructuring of institutional arrangements and the initiation of strategic reform would seem preconditions to increased performance by managers. The existence of a strong top management provides the basis for the spread of sound management throughout the entire road organisations. In support of strategic planning, subordinates may need to be encouraged to participate in key decisions, make delegated decision, and take actions on their own. Communication and reporting channels should be improved. A Management Plan which outlines the specific responsibilities and expectations for each department should be prepared and annually reviewed. It should specify the indicators by which to judge performance and the realisation of objectives.

11. Improve resource availability

11.1 The availability of financial resources represents a major constraint throughout the region. At issue are the size of budgets, the proportion of the budget allocated to maintenance, the flow of disbursements, and the availability of foreign currency. The level of funding for roads has often been based on a percentage of allocations in prior years rather than keyed to actual requirements. Road organisations throughout SSA should consider introducing performance-based budgeting as a means of evaluating the adequacy of annual allocations. Maintenance operations have been frequently deferred because allocations for roads were diverted to other uses. The creation of an autonomous fund financed by taxes or charges on road users may be necessary to safeguard road maintenance spending.

11.2 Throughout SSA plant and equipment availability and utilisation are consistent constraints on road operations, especially maintenance. The key issue is the lack of preventive maintenance, in turn restricted by the lack of spare parts, procurement policies and procedures, and the limited availability of foreign currency. Projects have focused on both equipment purchases and training, but unless supplemented by invest-

ment in maintenance systems and management skills these activities have not significantly increased availability or utilisation rates on a long-run basis. Throughout SSA, human resources are a qualitative and quantitative constraint on ID and performance in the road sub-sector. Human resource constraints are often more difficult to resolve than are the improved availability of financial or material resources. Their resolution often requires a long-term frame.

12. Implement organisational restructuring and management control

12.1 In the past, ID activities in the region only too often have focused on the organisational restructuring of a road agency as the key to the resolution of management problems. Often conducted without the resolution of more strategic issues, such restructuring has seldom been an effective means of increasing institutional performance. The case studies provide examples of such activities which have lacked adequate provision for preparation, follow-up, monitoring, evaluation, and adjustment.

12.2 The need for the clear specification of objectives and the linkage of objectives to the realities of both road organisations and their environments is clearly supported in the case studies. The objectives should be linked to the Management Plan development by management and consistent with the terms of the Policy Action Plan. Once objectives have been established they can provide the basis for management and supervision throughout the road organisation, including the definition of the performance requirements of individual position descriptions and the design of work systems.

13. Managerial systems, processes, and procedures

13.1 The case studies indicate a widespread deficiency in the managerial systems, processes and procedures (MSPP)(4) used by the road organisations in SSA. Existing systems are often inappropriate, incomplete, ineffective, or even inoperative. The primary impact of the MSPP deficiencies is inadequate management control. In turn, resources are used ineffectively, performance is impaired, and hazards to safety may increase. Many road sector projects in SSA have included MSPP components. These have sought to either build upon existing MSPP elements or introduce new ones. Over time the results of investment in MSPP can be easily eroded, however, as a result of faults in system design, installation, or maintenance. A central issue is the availability and handling of management data. Data needs to be accurately collected in a timely manner. This requires the support of field personnel for the data collection process. Time must also be spent in gaining the confidence of management personnel in the utility of systems and consolidated reports. Investment in the design and installation of MSPP will not guarantee increased institutional performance. Their operation is dependent upon an accountable management and staff and operable incentives.(5)

HUMAN RESOURCE DEVELOPMENT(6)

14.1 The case studies illustrate the interdependence of ID and HRD; they suggest the importance of supportive institutional context as a precondition of HRD. The institutional context necessary for HRD would seem to require both an enabling institutional environment and the internal organisational conditions in which people wish to stay, can perform, and can develop their practical skills, knowledge, and professional careers. Road organisations may wish to address ID and HRD concurrently, but without consideration of the institutional requirements discussed in Section 111 the impact of HRD on the performance of road organisations is likely to be marginal and difficult to sustain.

15. Improve human resource policies and management

15.1 Human resource management – ranging from recruitment and motivation to personnel administration and training – is a vital determinant of institutional performance. It has often been neglected as road organisations have concentrated on the more tangible aspects of budgets and material resources. It is necessary that all levels of management come to see that it is just as important to manage human capital as it is to manage the other resources of the road organisation. Human resource management requires a capacity for long-term manpower planning. Manpower planning requires the possession of accurate manpower data. It may be necessary to conduct a manpower assessment which includes an inventory of the current and future manpower requirements.

16. Adjust workforce to employment needs

16.1 In many road organisations the majority of the budget is required to meet salaries, leaving little funding for maintenance and other operations. Nearly all road organisations in SSA will be faced with redundancy programmes involving larger numbers and more compressed time-frames than in the past. Most road organisations will need assistance in the design and implementation of redundancy programmes.

17. Strengthen accountability, incentives, and sanctions

17.1 Accountability, incentives, and sanctions needs to be strengthened at all levels throughout the road organisations. The basis of accountability is the establishment of clear and realistic objectives for both work units and individuals. An essential first step for road organisations may be the building of specificity into objectives, procedures, and position descriptions. Meaningful incentive must be offered in order to motivate personnel. The factors motivating different groups within the organisation are likely to vary. Management at all levels must be concerned about the motivation of the staff they direct. Well motivated workforces are generally well disciplined and require infrequent use of sanctions. Accountability requires, however, that management have both the means and the will to apply sanctions when workers need to be disciplined.

18. Manpower utilisation and job resources

18.1 Institutional performance can be significantly enhanced by improving the utilisation of the existing staff, and manpower utilisation is an issue that should be addressed well before the initiation of major training interventions.(7) Road organisations are often only generally aware that they have a manpower and resource utilisation problem, and it may be useful to conduct a resource utilisation and availability audit to determine the extent of the problem and target specific issues for resolution. Systematic and periodic monitoring should follow.

19. Develop supervisory skills

19.1 Most road organisations have given priority to technical training at the expense of the development of supervisory skills. Project experience, however, has shown that the development of technical competence in a functional area is not adequate preparation for the supervision of that function. Inattention to the development of supervisory skills for foreman has often eroded the projected benefits of training offered to their work crews. Individuals with little potential to develop supervisory skills may need to be re-assigned to other positions

20. Develop personnel systems and practices

20.1 The existence of well-functioning personnel systems and practices is essential to the coordination and implementation of HRD intervention. Personnel departments

need to actively support human resource management and the development of a performance oriented work culture. Particular attention needs to be given to the availability of meaningful personnel data, the effective administration of personnel actions, and the integrity and objectivity of all personnel systems. Management must take specific actions to ensure that the staff servicing the personnel function see themselves and are seen by the organisation itself as part of the organisation and come to participate in the new management work culture being promoted.

21. Management of technical assistance

21.1 Experience has suggested that the delivery of technical assistance is a complex process and requires careful and sustained management. The case studies, however, indicate low commitment by governments, road organisations, and donors to the management of TA for the road subsector in SSA. As a result, the impact of TA on organisational performance has often been weakened.⁽⁸⁾ Donors, governments, and road organisations should jointly share the responsibility for the management of TA. TA should be seen as an expensive alternative to the development of organisational or local expertise, and it should not be used to avoid the need for institutional reform. Continuity is a particular concern which may be met by an increased use of local consulting firms, local training institutions, twinning with more developed road authorities, and non-governmental organisations.

22. Appropriateness of training

22.1 The existence of a well-trained workforce is essential for effective road operations. Training alone, however, will not guarantee improved sub-sector performance. Training must be provided within an institutional setting that motivates trainers to train and trainees to both learn and apply what they have learned. Training cannot compensate for insufficient levels of equipment, fuel, or spare parts. In the long-run, however, improved training seems essential to the sustained development of road organisations. Most ministries responsible for road operations offer internal training programmes. The primary targets for improving the effectiveness of internal training include better training programme design, improved curriculum development, and upgrading the skill of the trainers. Identifying the training needs of each road organisation is the first step in designing an effective training programme. The identification of training needs should be based on a comprehensive systematic assessment.

HRID: METHODOLOGICAL ISSUES(9)

23. Internal nature of HRID

23.1 The most fundamental methodological lesson in HRID is the limited potential for induced HRID. External development assistance agents can promote the recognition of the need for change and can assist in setting the proper stage for the development process. They can influence, guide, direct and otherwise serve as catalysts to HRID, but they cannot force or impose it. The reform process itself takes place within the institutional context of a road organisation, its environment, and the individuals making up that organisation. Acceptance of the need for, commitment to, and the initiation of HRID interventions must come from within.

24. HRID: Discrete activity and long time frame

24.1 Activities addressing HRID in the road sector have usually been designed as components set within larger projects. The primary objectives of such projects were technically-oriented and gave insufficient attention to ID requirements. HRID is perhaps best seen as a distinct process which should be conceptually separate from techni-

cally oriented activities. It has different kinds of goals, methods for implementation, and techniques for verification and monitoring. Experience shows that in order to monitor and, if necessary, adjust the institutional changes made and ensure their permanence HRID requires a longer period of time than the average project cycle, perhaps ten years or more. This extended time frame requires giving particular attention to continuity and commitment throughout the implementation process, including staff, objectives, and resources.

25. Facilitation, collaboration, participation

25.1 External agents should act in a facilitative manner to jointly evolve policies and solutions in the promotion of HRID. The organisations targeted for HRID should be actively involved in the design and implementation of interventions. Participation should be sought from government planners, the managers and staff of the road organisation, and external users and suppliers. Experience suggests that the collaborative participation of donors, governments, and road organisations in the definition of conditionality enhances the commitment to meeting the terms which have been mutually established. Donors should, however, be willing to put a hold on lending until commitment has been reached and can be supported with action.

26. Institutional assessment, research, and analysis

26.1 In order to formulate effective responses and specify developmental measures for a specific institution, it is important to conduct an institutional assessment of both the internal and external factors affecting the HRID of that organisation and the attainment of its mission and goals. In order for this primary prerequisite to be useful, it must be thorough, allowing sufficient time and resources to examine the institution and its setting. Development activities can draw on an extensive body of HRID literature. These can be useful, but in all cases they must be fitted to the realities of the specific organisation and its institutional environment.

27. Process nature of HRID and change management

27.1 HRID cannot be approached mechanistically. There are no fixed blueprints for intervention, but rather there are only guidelines and general frameworks for HRID. They must be applied and adapted to each organisation and the environment in which it exists. Interventions are often imperative and require progressive adjustments and refinements. At the very core of HRID is the process of change. Few institutions and individuals readily accept change and often either avoid or resist change. In such instances special management techniques which facilitate change are required. The management of change is also facilitated by an active organisational leadership which challenges the status quo and is open to modification of institutional arrangements and the adoption of new management techniques.

CONCLUSIONS

28.1 Before initiating interventions keyed to internal and organisational issues, the external and public sector constraints may need to be addressed. These include macro economic and civil service reforms as well as the need to ensure organisational autonomy and external accountability. Bold steps may need to be taken based on major institutional reform – including the restructuring of institutional arrangements and the introduction of certain forms of privatisation – rather than on the improvement of the existing organisation. The development of commitment and motivation is fundamental to HRID. Methodologically, the promotion of the reform and introduction of change is facilitated by a process approach which uses collaboration of donors and governments

as the means of evolving policies and actions. Interventions should be applied within the context of the causal hierarchy discussed.

28.2 The application of the framework suggested in the report may be complicated, first, because commitment to road sub-sector policy reform must be related to the larger economic and public sector reform process. Secondly, policy and institutional reforms cannot be managed in the same way traditionally used for project design and implementation. Extended time-frames will be required, and substantial investment in change process management mechanisms will be necessary. Finally, the methodology associated with process consultation requires new skills, approaches, and attitudes. Externally recruited HRID and process specialists initially may be needed to support the policy reform and HRID process.

NOTES

- (1) The marginal success of long-standing efforts to improve the performance of the agencies responsible for the administration of road networks in Sub-Saharan Africa (SSA) has led to an increasing appreciation of the importance of human resource and institutional development (HRID). Using the findings of four institutional case studies, a modal summary for most organisations has been prepared under the HRID project. Organisations were examined in Madagascar, Malawi, Senegal and Tanzania. Each of the case studies examined four categories of factors constraining HRID: institutional environment factors, institutional factors, human resource factors, and development assistance factors. The report also draws upon the experience of the World Bank in the SSA road subsector.
- (2) Data collected in 1967 and 1988 indicated that neglected maintenance had resulted in half of Sub-Saharan Africa's paved roads and more than 70 per cent of the unpaved roads being in only poor to fair condition. Deferring road maintenance results in increased rehabilitation and reconstruction cost, elevates vehicle operating costs, and increases the transport costs which must be added into the production costs of other sectors.
- (3) The importance of road maintenance and alternate institutional arrangements for providing it must be central to review process. The assessment of institutional performance indicates the degree to which reform is required and indicates such key issues for policy review as the establishment of a separate road fund; the reduction of overstaffing; the revision of career and pay structures; roles for the private sector in the provision of road maintenance; and an increased use of labor-intensive methods.
- (4) Management systems range from comprehensive management information systems for such activities as road maintenance or equipment management. Processes and procedures range from the administrative steps required to requisition resources to the steps required for patching potholes.
- (5) Management systems do not need to be computer-based systems, but the need to process data and provide meaningful management reports for the direction and control of road operations can be greatly facilitated by the use of microcomputers. Simple processes and procedures should not be overlooked as effective means of controlling or enhancing performance. Operating check lists, equipment use and maintenance cards, diagrams, and even posters can assist quality control and the standardisation of operations.

- (6) As with ID, human resource development (HRD) cannot be guaranteed by any fixed plan or formula. It must be addressed within the context of each road organisation and its institutional environment. Evidence drawn from the case studies, however, does support a conceptual framework to guide actions in support of HRD. Because many of the needs are interconnected, their solution may require simultaneous interventions. The sustainability of HRD appears assured, however only if needs are addressed in an ordered manner.
- (7) The ineffective use of manpower arises primarily as a result of unclear roles, areas of responsibilities, or job objectives; incorrectly structured work units, tasks, and procedures; the mismatching of personnel and their skills to the positions to which they are assigned; and the inadequate provision of material and equipment resources to carry out assigned tasks.
- (8) Deficiencies have included co-ordination, identification and design, selection of specialists, institutional support, monitoring, evaluation, and sanctions, and continuity.
- (9) A framework of methodological lessons for the implementation of HRID interventions has been drawn from the case studies and the existing HRID literature. Effective application of these lessons will often require HRID specialists.

HUMAN RESOURCE AND INSTITUTIONAL DEVELOPMENT IN THE RAILWAY SECTOR

EXECUTIVE SUMMARY

1. The purpose of the report

1.1 The poor result of long standing efforts to improve the performance of the railways in Sub-Saharan Africa (SSA) has led to an increasing appreciation of the importance of human resources and institutional development (HRID). This report is an examination of the factors that have constrained HRID and the actions and approaches which are necessary for sustained improvements within the SSA railway sector. It is not intended as a blueprint for reform or restructuring but as a guide for those involved in the process: railway management team, government ministries, railway training institutions, consultants and donors.

2. The SSATP HRID project

2.1 The high relative costs, poor availability and low quality of SSA transport services have been recognized as major constraints to economic and social development. Deficiencies in basic infrastructure remain but it is clear that priority should be given to the more efficient use of existing assets and systems. The Sub-Saharan Africa Transport programme (SSATP) was established by the ECA and World Bank to promote increased transport efficiency, through policy reform and improved institutional arrangements, and to build up the transport policy analysis capacity within African components. The HRID component was developed with the purpose of elucidating the determinants of successful long term capacity building; it covers all transport modes as well as the telecommunications sector. The project is funded primarily by UNDP and is a broad effort of specialized UN agencies involved with transport and communications; the World Bank is the executing agency for the studies of the rail sector and road maintenance; UNCTAD is responsible for ports; IMO for shipping; ILO for road transport; ITU for Telecommunications; and ECA for dissemination of the findings.

2.2 Four case studies were commissioned for each sector to provide a cross-national perspective and the results analyzed and synthesized into Modal Summaries. This summary is based upon case studies of railways in: Cameroon; Ghana; Madagascar and Tanzania, and other experience of the World Bank in the SSA railway sector.

2.3 The report complements the on-going activities of the SSATP Railway Management Component which is being undertaken in partnership with the Union of African Railways. Phase 1 of the Railway Component culminated with the Railway Management Workshop held in Brazzaville, Congo in November 1988. This workshop, which was attended by representatives from 22 railways, brought a large measure of consensus on the need to restructure African railways and outlined key elements of the necessary reforms namely cost reduction through improved management efficiency, service re-orientation, transit efficiency and better utilisation of equipment. Follow-up SSATP railway activities are directed toward railway restructuring, marketing and traffic costing and improved management of locomotive maintenance.

3. The SSA railway sector

3.1 SSA railways, with few exceptions, have been unable to respond positively to the major changes that have taken place in the SSA transport sector since Independence. Most SSA railways are in financial crisis, dependent on government for meeting recurrent deficits and external financing institutions for capital investment and sometimes even for operating inputs. Many railways also face severe operating problems with declining levels of output and efficiency and continued dependence on external technical assistance. The problems have reached such proportions in some railways that institutional collapse may be the most appropriate description.

3.2 While country-specific circumstances are important in explaining the problems of individual railways, a number of causal factors are common to most SSA railways. Since Independence the paved road networks have been extended to most major inter-urban axes and this, together with larger and more cost-effective trucks, has faced the railways with intense competition for traffic from privately owned road transport. The railways could not effectively respond to the competition, losing market share and in many cases the actual volume of traffic carried by rail has fallen significantly. Road transport is now by far the most important motorized transport mode in Africa for both passengers and freight. The loss of traffic to road transport is not the only critical factor and in many countries, effective capacity has fallen to such levels that the railways cannot move the traffic which is offered. While their contribution to transport services is in many cases marginal, SSA railways have become a heavy burden on public finance.

3.3 The general economic problems of SSA — economic stagnation, falling export revenues, inflation and growing unemployment — and government's response have exacerbated the problems. Government has pursued a strong interventionist role in the economy both directly through involvement in production and distribution and indirectly through planning controls and directives. The railways are almost always state owned in SSA and have been subject to very considerable government intervention in all aspects of operations, personnel management, investment decisions and rate setting.

- The railways were expected to perform their pre-road role: providing the same range of services and the same rate structure with some low-rated services cross-subsidized by others. Road transport had, however, removed the high rated traffic on which the cross-subsidisation was based.
- Crucial decisions on employment, wages and tariffs have been taken by government and have led to excess unskilled workers, acute shortages of skills and uneconomic transport rates.
- Government control over foreign exchange allocation has both delayed and restricted the purchase of essential spare parts which has helped reduce equipment availability.
- Government has even dictated traffic movements with priority often being given to unprofitable passenger services at the expense of freight movement.

The extent of government micro-management of the railways has been such that any real management accountability has been lost. Government bemoans the financial losses and the inefficiency of services, management point to the shortage of resources and government interference.

3.4 Substantial foreign assistance may have maintained the existence of some railways but has not achieved the sustained improvement expected and in some respects has

added to the problems — large debts, inappropriate equipment and multi-make locomotive fleets.

3.5 The problems faced by SSA railways are not unique; road competition and government intervention affects almost all railways, and the systems of several developed countries run massive financial deficits. Change to the sector has normally resulted from a shift in government doctrine away from state intervention and/or a decision that the financial losses can no longer be supported. In SSA the need to reduce the overall public sector financial deficit as part of the structural adjustment process is likely to be the driving force for change in most countries. Railways are usually not perceived simply as transport organisations but more as important national institutions. This perception helps to explain the complacency of rail management and workers because there is a presumption that the railway performs such an essential service that closure is unthinkable. Fundamental reform of the SSA railway sector will be neither quick nor easy and considerable resistance should be expected.

3.6 The infrastructure and equipment of many SSA railways could be improved but these are rarely the primary constraints to improved performance. Poor services, ineffective management, and the inefficient use of existing facilities are much more basic shortcomings. The reform process will need the financial assistance but this can only be a complement to more profound changes to the nature and orientation of the institution, its management and workforce. Without these changes, additional financial assistance will continue to have the very limited impact that it has had in the past and may in fact be counterproductive by relieving the pressure for reform.

4. Approach to HRID reform in the railway sector

4.1 The core of the study was the detailed examination of the factors that have constrained institutional and human resource performance within the case study railways. A comprehensive analytical framework was applied with the potential causal factors grouped into four categories:

- **External environment:**
historical, political, economic, socio-cultural, legal, etc.
- **Institutional factors:**
institutional arrangements, management incentives and accountability, resource availability, organisational structures and systems, etc.
- **Human resources:**
availability, grading, salaries and benefits, promotion, training, etc.
- **Donor assistance:**
donor priorities, programmemes, technical assistance, training assistance, etc.

This framework allowed the systematic identification, classification and ranking of the major causal factors which have prevented the development of efficient, self-reliant institutions and competent, motivated and disciplined workforces. On the basis of this diagnosis a set of broadly hierarchical interventions were developed which address these causal factors. The reforms and processes required to promote institutional and human resource development are presented below as distinct sets of actions. In reality the two issues are so inter-related that concerted and sustained action over a broad

front will be necessary if the HRID constraints are to be removed and SSA railways are to play their potential role in the SSA transport sector.

5. External reforms for institutional development

5.1 The present railway institution is little different from that which had an effective transport monopoly during the pre-road period. The railways are managed as output rather than market orientated institutions, organized on a functional basis to produce scheduled train operations rather than to respond to customers' demand for transport services. Senior management has often been promoted from within the institution and tends to be technically rather than commercially orientated. The commercial failure of some of the railways in a competitive environment is not surprising.

5.2 It is generally agreed that successful performance is promoted when there are clear and realistic institutional objectives and competent and motivated managers who are given autonomy to achieve these objectives and are held accountable for results. In most SSA railways none of these conditions are currently met.

5.3 The very basis for the reform process must be a clear definition of government of the railway's role in the transport sector. The government should determine, therefore, a national transport strategy and policy framework. At present the railways have usually a statutory commercial obligation but also have other non-commercial government obligations. The railway role could be established as a pure commercial enterprise which would probably have a very different service pattern to that presently operated: concentration on bulk and long haul freight services with few, if any passenger services.

5.4 Alternatively the railway role could be set as a commercial enterprise with social service obligations and specific financial arrangements made for these non-commercial obligations. This might have fewer political costs and risks and could provide clear objectives. It would not, however, significantly reduce or simplify management tasks. In view of the limited managerial capability, this could be a major disadvantage.

5.5 Setting the appropriate role for the institution must necessarily assess the capability of the organisation. A major shortcoming in past improvement efforts may have been the acceptance of the existing rail services and activities and attempts to raise capability to perform them. A more realistic approach may be to accept that sustained management capability can only be increased slowly and consequently attention should be directed to reduce management needs by concentrating on core services and activities. The railways still operate as self-contained entities but many of their ancillary activities could be contracted out or divested, allowing railway management to concentrate on organizing efficient transport services. Privatisation may be feasible in some countries but a pragmatic and realistic position is that Government ownership will continue. Within the overall framework of Government ownership, however, the privatisation of certain aspects of railway operations would, in many cases, be essential elements of railway restructuring.

5.6 The government, as the present owner, must define the role of the railway and be committed to both the role and the reforms that will be necessary to achieve it. Having set the railway objectives the government must allow railway management the freedom to manage to achieve them. The reforms may necessitate very considerable government commitment: redundancies, higher tariffs for commercial services, closure of lines, reduction/termination of particular services, new wage and incentive structures, etc. To provide the framework for clear objectives and delineation of the respective responsibilities of government and management some form of contract or memorandum of un-

derstanding may be useful. Unless, however, management and government are committed to the process of reform, the agreement will be largely meaningless.

6. Internal reforms for institutional development

6.1 Management and managerial systems are critical constraints for most SSA railways. If the railways are to respond effectively to the competitive transport environment, less complacent management with commercial, entrepreneurial attitudes will be necessary. One of the fundamental weaknesses of the railways is the concentration of power within the technical department which leads to a situation in which the role of the chief executive of the railway is immense. He is often the sole railway manager and the creation of a strong corporate planning department is a prerequisite for reform. A second major weakness has been the centralisation of decision-making at the top of the institution. Central Government interference in operational matters, weak middle management and a reluctance among lower level management to take decisions has led to a situation where senior management time is largely devoted to making decisions on routine issues. Strategic planning is consequently weak and is often not considered useful as government priorities and budgets are subject to frequent alteration.

6.2 Some of the reforms required within SSA railways appear self-evident but they respond to the basic problems found in many railways. The case studies indicated a broad hierarchy of interventions that were required to improve management within the railways. Crucial to the process of internal reform are competent, motivated managers operating within an environment of clear objectives and performance targets, management autonomy and accountability. Competence and performance should replace political position and seniority as the basis for recruitment and promotion. The chief executive will play a key leadership role and the quality of the appointment will be a guide to the real level of Government commitment.

6.3 Railway management often works within a performance expectation vacuum. The broad objectives within a contract plan arrangement provide the framework for management but they must be translated into specific performance expectations for each department and manager through an internal management plan. Without such established expectations a performance based management system, providing for greater incentives and accountability within the railways, will not be possible.

6.4 The railway management plan will only form a realistic basis for action if there is an assured flow of funds from rate revenue and the financial arrangements for any public service obligations. Commercial and marketing functions have normally been considered secondary to the core activity of running trains. Railway restructuring will give the railways far greater commercial freedom but this can only be fully exploited if the commercial functions become the driving force within the institution: higher status in the hierarchy, senior managers recruited and appropriate costing, rate setting and marketing systems introduced. SSATP is already providing assistance in this field by developing traffic costing models for SSA railways. Outside the CFA zone, inadequate access to foreign exchange for spare parts and other foreign inputs has proved a major constraint and the railway cannot become fully competitive until it has the same level of access to foreign exchange as the other transport modes.

6.5 Top railway management must have the time and resources to make the major strategic decisions. This will necessitate devolving routine management decisions, but in most railways middle management is critically weak. Much better focused training and motivation will be needed to raise performance at this level. Most SSA railways are small but the level of communications between the regions and HQ is often poor and consequently greater decentralisation may be appropriate, especially those functions in-

involved with routine personnel managerial systems, processes and procedures could often be improved but they will have little impact unless management has the understanding and motivation to use them. Computerisation is neither sufficient nor necessary for improved railway management.

6.6 The reforms will meet resistance from entrenched interests from within the existing hierarchy. Experience suggests that the chief executive will need strong support from government to force effective change within the institution. In planning the nature and phasing of railway reform a thorough institutional assessment is basic to determine the changes necessary and where and why resistance will be encountered and how it should be overcome.

7. Reforms for human resource development

7.1 Over the last 25 years the output of the education system in SSA has expanded very significantly and enormous sums have been invested in training efforts within the railways. Investments have been made in training facilities, courses financed and fellowships provided. The assistance has had a negligible effect and human resources remain a major constraint on performance in most SSA railways. Workers have little motivation, inadequate technical skills, low productivity and little discipline. The work culture has been so badly eroded in some institutions that management seriously questions whether it can ever be re-established.

7.2 Co-ordinated programmes for human resource development will be new for most SSA railways. Traditionally personnel management and training have been considered of marginal importance. The management of human resources has often been confined to routine personnel administration. The primary reform needed in most railways is, therefore, recognition of the importance of human resource management and development by top railway management. Some chief executives are taking an active part in determining HRD policies in some railways but awareness of the key role of HRD has to be extended throughout the institution. There will, however, be little opportunity for positive HRD unless the railways have the freedom to determine their own policies. Separating railway grading, remuneration, recruitment and promotion systems from those of the civil service is a critical element in railway reform.

7.3 A major shortcoming of previous improvement initiatives has been to limit HRD to training needs. A much wider perspective is necessary if the railway workforce is to be matched to the size and skill needs of the institution, motivated to work and committed to the railway, and disciplined with good work ethics. Manpower reduction will generally be necessary but it is important that the reductions are targeted to avoid the emergence of specific labor shortages which has occurred in several railways. Unfortunately the capability for basic manpower often does not exist within the railways. Natural attrition and voluntary redundancy may be relatively painless for the government and the railways but they are not usually efficient and a more active approach is necessary. Government and external financing institutions should be prepared to fund redundancy schemes.

7.4 A substantial increase in technical railway skills is necessary but even the available skills are not well utilised. Real wages have fallen substantially, and workers have developed other sources of income to the detriment of the institution. Increasing motivation is critical and the reform of the system of rewards and sanctions is vital. Management needs the freedom to establish salary levels which are competitive with the private sector in order to attract and retain scarce mechanical and financial skills. Regarding the reflect skill requirements and the use of performance-linked rewards and promotion will commonly have to be introduced into the railway sector.

7.5 Higher financial rewards will, by themselves, be insufficient to eliminate the irregular practices that have developed in many railways: theft of materials, retention of passenger fares, absenteeism, etc. Streamlining systems to minimise the opportunities for such practices and the reintroduction of effective disciplinary actions should form an integrated package of measures. To implement performance-linked human resource policies, job specifications and expectations have to be established and the necessary equipment and resources provided.

7.6 Existing personnel information systems (PIS) reflect the past neglect of HRD and are simply inadequate for rational manpower planning and utilisation. Personnel information is spread between personnel, finance and the functional departments and the information is nowhere co-ordinated. A more active policy of HRD will require radical improvement of PIS, if performance appraisal, career development and promotion, and reformed compensation and benefit systems are to be instituted. PIS systems cannot be a substitute for commitment to HRD.

7.7 All railways have established training programmes and training schools but, with few exceptions, they are neglected by management. Training courses are often too long, inappropriate in style and out-dated in content, too few staff receive training and the trainers receive few incentives, little status and no pedagogic training. As part of their corporate plan, individual railways should formulate training policies that take into account entry levels, needed specialisations, criteria for promotion and frequency of refresher training. Based on these policies, a training plan and training programmes can be developed in coordination with overall human resource development planning. Such plans must reassess training needs, courses/contents, use of in-house/external training institutes and the relevant roles of formal and on-the-job training. The plan should also provide for the development of well-qualified and motivated trainers. Past experience shows, however, that more training will not materially improve the situation unless the fundamental reforms to manpower motivation and utilisation have been introduced.

7.8 The acquisition of higher-level skills and expertise has also been promoted by the provision of technical assistance over many years. Temporary successes have been achieved but it is clear that TA has, in most railways, led to little sustained transfer of skills and the need for external adviser/experts has not diminished. The failure of past TA efforts basically revolved around the lack of commitment to TA programmes by railway management, poor management of the TA efforts, and the absence of an institutional and human resource environment conducive to the transfer and retention of skills within the railways. These three factors explain the lack of clear TA objectives, inappropriate or incompetent experts, inappropriate assignments, inadequate monitoring of TA performance, unqualified and/or unmotivated counterparts, retention difficulties for skilled staff, etc. Significant reforms to the TA systems are possible. Twinning may be a better delivery system, but is conditional on change to the basic causal factors.

8. The role of external financing institutions

8.1 Donor policies toward to SSA railway sector have not always had long-term beneficial effects. The provision of additional material and financial resources has often allowed government and railway management to evade the basic changes necessary to achieve an adequately functioning institution: more locomotives rather than reformed maintenance, experts rather than adequate motivation and training for local staff, etc. Aid-trade packages, in particular, have often been positively harmful with equipment ill-adapted to need and maintenance capability.

8.2 Donor co-ordination and real commitment to assisting SSA railways rather than promoting domestic equipment suppliers is necessary if aid is to support government

and management reform efforts. Loan conditionality can help to ensure that government/management commitment for reform is maintained in the face of changing short-term priorities but cannot replace this overall commitment. Where such commitment demonstrated by fundamental reforms does not exist, donor funding should probably be directed elsewhere. Experience in the sector has demonstrated the uncertainty of achieving the expected levels of traffic and operational efficiency; quite often investments have not brought in the expected returns. Project design should, therefore, incorporate coordinated monitoring by donors and include trigger points linked to performance to activate successive tranches of investment. This will avoid front-loaded lumpy investments and place more emphasis on early efficiency improvements. Phasing financial assistance to the achievement of specific operating and financial performance targets will also provide additional incentives for reform.

9. Lessons for HRID

9.1 A number of broad methodological lessons can be drawn from the analysis of the railway HRID case studies. Perhaps the most important is that HRID cannot be imposed by external forces. External assistance can stimulate recognition of the problems, propose possible solutions and provide guidance during the process of change but cannot replace internal commitment to reform. Sustain HRID must essentially be an internal process which can be induced only to a limited extent. The HRID process must be founded on active involvement and ownership by the institution. The approach must be founded on facilitation, collaboration, and participation by the railway, the government and the donors supporting HRID.

9.2 It must also be recognised that HRID will rarely be achieved rapidly, it is essentially a long-term process which must be approached accordingly. Unfortunately the long time-frame perspective raises difficulties with the standard project-based and lending-cycle approach of most donors. Continuity of support can only be assured by the commitment of government, railway and donor and it must be accepted that political/economic crises may affect the speed of change. Without this realisation, HRID expectations will be too high and, when not fulfilled, could lead to disillusion with the process.

9.3 HRID are distinct activities with different goals, methods, outputs and time frame to most technical project activities. While combining HRID into project packages may be inevitable, the specific nature of the activities must be recognised with appropriate resources and expertise. HRID extends beyond projects and many of the necessary adjustments to the external environment would be most pertinently discussed at the level of structural and sectoral adjustment.

9.4 A thorough institutional assessment is basic to the development of well-structured HRID policies, but has been very rarely carried out. Such an assessment must determine the external and internal factors that constrain institutional performance, the formal and informal systems operating within the institution, the key actors, etc. The case studies suggest that it is unrealistic to expect that short visits by individuals unfamiliar with the country and institution will provide the depth of analysis necessary.

9.5 Change is at the core of HRID and the process of change is often uncomfortable for institutions and individuals. In these circumstances the need for leadership rather than conventional, control orientated management within the institution is paramount.

10. The structure of the report

10.1 The report first presents the HRID analytical framework used to study the external and internal factors that determine the institutional performance of the case railways. It then provides a broad perspective of institutional performance in the railways sector and a discussion of the key interacting causal factors that have constrained railways' performance. The suggested intervention framework for institutional development of railways is then developed in detail:

- Define railway role
- Develop commitment to the role
- Implement appropriate transport policy framework
- Implement strategic reform and restructuring
- Strengthen top management environment, motivation and incentives
- Improve resource availability
- Implement reorganisation and improved management control
- Strengthen managerial systems, processes and procedures.

10.2 This is followed by the parallel suggested intervention framework for human resources development:

- Improve human resource policies and management
- Adjust employment to needs
- Strengthen accountability, incentives and sanctions
- Improve manpower utilisation and job resources
- Improve personnel systems
- Increase the effectiveness of technical assistance
- Improve the impact and appropriateness of training

10.3 The report concludes with the series of methodological lessons for HRID derived from the examination of the key constraining causal factors and suggested interventions.

HUMAN RESOURCE AND INSTITUTIONAL DEVELOPMENT FOR TELECOMMUNICATIONS SERVICE MANAGEMENT

EXECUTIVE SUMMARY

The purpose of this summary is to highlight the major findings of the telecommunications subsector investigations, and to provide outlines of the recommendations contained in the telecommunications modal report.

1. TELECOMMUNICATION NETWORKS IN SUB-SAHARAN AFRICA

1.1 Annex 1 of the telecommunications report provides a statistical analysis of the state of telecommunication networks in African countries south of the Sahara. The statistics are presented as graphical comparisons between selected regions and sub-regions of the world. The regional and subregional groups chosen for the comparisons are as follows:

- **SUB-SAHARAN AFRICA:** All African countries excluding Algeria, Egypt, Libya, Morocco, Tunisia, and South Africa. The major reasons for the choice of this classification were two-fold: (1) besides South Africa, the above countries do not fall within the sub-Sahara classification; (2) because of their relatively higher level of telecommunications development, their inclusion in the statistical analyses would tend to distort the statistical averages for the majority of African countries south of the Sahara.
- **AFRICA:** All African countries. The inclusion of this classification for comparison purposes verifies the wisdom of the sub-classification outlined above — huge contrasts in performance statistics between sub-Sahara Africa and Africa as a whole are demonstrated in the report.
- **LOW INCOME ASIA AND PACIFIC COUNTRIES:** All Asia and Pacific countries excluding Australia, Hong Kong, Japan, New-Zealand, Singapore, and South Korea.
- **HIGH INCOME ASIA AND PACIFIC COUNTRIES:** The high income countries of the Asia and Pacific region, namely those countries listed in the subparagraph above.
- **LATIN AMERICA AND CARIBBEAN COUNTRIES:** All countries of the American region excluding the United States of America and Canada. The inclusion of these two countries in the statistical representation would have distorted the regional averages, and deprived the report of valuable clarity.
- **EUROPE:** All European countries.

2. The development and performance comparisons between each of the sub-regional classifications outlined above are summarised in table 1. The telecommunications modal summary report contains additional statistical comparisons to support specific analyses and discussion of factors that promote or constrain human resources and in-

stitutional development. A brief outline of deviations from the sub-regional averages is included.

2.2 The conclusions drawn from the statistical analyses, and which gave rise to the need for further analyses of the underlying factors, are summarised as follows:

- Sub-Saharan African countries have the least developed telecommunications networks in comparison with all other regions and sub-regions.
- Sub-Saharan African countries feature the lowest average annual growth rates of telecommunication services in comparison with all other sub-regions. This fact is particularly disturbing given that the telecommunication networks in sub-Saharan African countries are comparatively small, and relatively high rates of growth for comparatively low levels of investment should be expected. This concern can be confirmed by comparing the growth rates in sub-Sahara Africa with those in the low income group of Asia and Pacific countries, which have on average a similar level of economic development (GNP/CAPITA for S.S. Africa was \$384, against \$333 per annum at the time of the analyses), a similarly low level of telecommunications development, and yet the latter countries feature the highest average growth rates of all regions.
- The profitability of telecommunication administrations in sub-Sahara Africa compares favorably with all other sub-regions. This fact, coupled with the lowest rates of growth, suggests imbalances in investment policies and practices, and financial management in the telecommunications sub-Saharan African countries.
- Operating costs in the telecommunications institutions of sub-Saharan African countries are the highest in all sub-regions. Economy of scale considerations do not provide an adequate explanation for this phenomena, given that telephone densities and geographic considerations are similar in low income Asia/Pacific and Latin American countries, but average operating costs in the latter sub-regions are between one quarter and one half of those in sub-Sahara Africa.
- Main line telephone to staff ratios in the telecommunications institutions of sub-Sahara Africa are high compared to the more developed sub-regions of the world. Although the statistical averages indicate that sub-Sahara Africa has lower staff to telephone ratios than the low income countries of Asia and Pacific, the discussion in the main body of the telecommunications modal summary indicates that the extremes in sub-Sahara Africa are much greater. This statistic is of crucial importance in that over-staffing is one of the major contributory factors to poor human resources performance, motivation and morale.

3. HUMAN RESOURCE MANAGEMENT AND INSTITUTIONAL FACTORS

The following chapter-by-chapter summary of the telecommunications report provides a convenient vehicle for the summarised presentation of the major findings and the resulting recommendations. Chapters 1 and 2 of the report consist of the introduction and an outline of the methods of analyses respectively, and are not therefore outlined in this summary.

3.1 CHAPTER 3 – CULTURAL, POLITICAL, AND ECONOMIC INFLUENCES

Chapter 3 examines the influences of culture, politics, and national economies on institutional and human resources performance. The major conclusions for each of these elements is outlined below:

- **CULTURE**

Cultural factors, consisting mainly of tribal and group allegiances, work ethics, and leadership concepts, are discussed in some detail in the report. The major conclusions were that cultural factors in sub-Saharan Africa had significant impact on the HRID processes: The end results of the development process would not be materially affected by local cultural norms but the process towards achievement of the end results depend heavily on cultural influences. Further research into how cultural factors influence the change process were suggested.

- **POLITICS**

The study avoided the temptation to discuss the relative merits of different political ideologies and systems. Only the influence of political controls on overall human resources and institutional performance was analysed, with the conclusions that in most countries of the sub-region, political controls went beyond the limits expected from any political ideology, to the extent that such controls became counter-productive. Managers were appointed by the political leadership to manage the institutions in the common national interests, but the multiple high level political controls effectively deprived them of the ability to manage effectively. A detailed review of the need for high level control of the management processes was strongly recommended.

- **NATIONAL ECONOMIC CONSIDERATIONS**

The low levels of economic development in virtually all countries studies contributed significantly to the discouragingly slow progress of telecommunication services development. National economic development was considered to be outside the short-term control of both the political leadership and the institutions' managers, but the negative influences of national economies demanded that new innovative systems of investment and financial management be researched and introduced. The evidence suggested that the negative influence of under-developed economies were frequently exacerbated by poor investment decisions and controls, and poor financial management within the institutions.

Chapter 3 ends with four recommendations addressing the need for further research into cultural influences, and for improved coordination by international development agencies in the development of alternative high level control mechanisms to replace the existing multiple political controls.

3.2 CHAPTER 4 – LEGAL AND REGULATORY CONTROLS

Chapter 4 of the report discusses legal and regulatory controls for the telecommunications subsector in sub-Saharan Africa. The chapter reviews the range of control mechanisms encountered in the countries participating in the studies, and comments on the extent to which legal and regulatory mechanisms are enforced. The discussion also reviews the relevance of the regulatory frameworks in the light of the changing nature of telecommunications, which are led more by technological developments and market forces in industrialised countries, than by the telecommunication needs of developing countries. The studies identified the threat of serious future supply problems for the countries of the sub-region, as technological developments move towards the provision of advanced telecommunication services to replace basic services which form the mainstay of developing countries requirements.

Chapter 4 ends with three recommendations for the development of appropriate regulatory framework for the countries of the sub-region which will minimize the supply

problems expected to result from new technological and market trends in industrialised countries.

3.3 CHAPTER 5 – MANAGEMENT PROCESSES

Chapter 5 provides a comprehensive analysis and discussion of the management process, and identifies the absence of strategic planning as one of the major handicaps to effective human resource and institutional performance. The major elements discussed in chapter 5 are the following:

- **INTERNAL MANAGEMENT STRUCTURES**

A wide variation of institutional organisational structures were encountered during the field studies. Several administrations in the sub-region were known to have undergone extensive structural changes recently, but performance improvements in terms of network growth and quality of service had been mostly negligible. The consultants concluded that restructuring alone was unlikely to result in significant performance improvements. The well known management theory that the best structures cannot guarantee good performance, but the wrong structures are likely to promote poor performance, seemed to be applicable to those institutions that had attempted restructuring as a solution to their performance problems.

- **HUMAN RESOURCE MANAGEMENT FACTORS**

Management processes directly related to individual staff productivity and motivation are discussed in detail in chapter 5 of the report. Most telecommunications institutions in the sub-region were found to be grossly overstaffed, and the personnel management functions were so poorly developed that in some institutions, the administrations were unable to determine the number and grades of employees. Poor salaries, coupled with gross overstaffing, were identified as the major reasons for extremely poor institutional performance. The development of specific solutions and recommendations was clearly beyond the scope of the studies, however, the identification of these constraining factors was considered to be a useful first step in the development of appropriate responses.

- **FINANCIAL MANAGEMENT**

Financial management in many telecommunications institutions in sub-Saharan Africa were found to be underdeveloped. In many administrations, the financial management function had been reduced to simple book keeping. Negligible investment planning, cost control analyses, and other essential elements of financial management were undertaken systematically. Excessive central government control of the most important elements of financial management contributed significantly to the situations prevailing in the sub-region. One crucial factor constraining the development of effective financial management systems was the failure by some governments to honour their debts to their telecommunication administrations. In one country, the accumulated accounts receivables from Government amounted to more than 4 times the administrations's net annual surplus. In yet another country, the debt collection period had increased from 303 days in 1982 to 666 days in 1988. These and other similar examples indicate the urgent need for improved financial management systems.

- **PLANNING**

The studies identified a large measure of confusion between strategic planning and telecommunications network planning. Long range technical network development plans were often submitted as the strategic business plans of the institutions. The lack of strategic planning was identified as the single major constraint to institutional perfor-

mance, in that well prepared strategies should automatically lead to the identification of environmental and other constraints resulting in poor performance, and lead to the development of appropriate strategies for every element of the management processes. A detailed discussion of the basic elements of strategic planning is presented in chapter 5 of the telecommunications report.

3.4 CHAPTER 6 – WORK PROCESSES

Chapter 6 provides a brief summary of the need to develop effective work processes for the telecommunications institutions of sub-Sahara Africa. Detailed analyses of work processes was clearly beyond the scope of the study, given that work processes differ from function to function, and that they should in principle be improved knowledge, and as telecommunications technologies change.

The chapter discusses a few selected observations and examples from the sub-region, and ends with the 3 recommendations for the development of effective work processes and performance indicators, upon which both management and work processes depend.

3.5 CHAPTER 7 – GENERAL COMMENTS AND CONCLUSIONS

The modal summary report for Human Resources and Institutional Development for telecommunication services in the African countries south of the Sahara ends with a general discussion of the many factors that influence human resources and institutional performance, and a discussion of the complementary roles of international donors and agencies. A strategy for future development efforts is suggested, which consists of detailed research in the specific areas that need such research as identified by this study, followed by an implementation phase which addresses all the factors that constrain HRID in the telecommunications subsectors of all countries of the sub-region.

Chapter 7 is followed by two annexes, annex 1 providing a statistical analysis of telecommunication services in sub-Saharan Africa compared to the situations in other sub-regions, as well as notes to guide the consultants who undertook the field studies. Annex 2 provides a record of the UNDP guidelines upon which the whole project was based.

INDICATOR	SSA	AFRICA	LOW I/C ASP	L. AMERICA & CARIBBEAN	EUROPE	HIGH I/C ASP
Main line tel. density (per 100)	0.3	0.67	0.66	5.41	29.56	35.2
Growth of tel. density (% per annum)	2.14	6.72	7.01	5.27	4.49	3.34
Annual profit (total surplus per mainline tel. in US\$)	94	108	67	117	62	109
Annual operating costs (US\$ per mainline)	473	390	209	110	248	97
Staff ratios (total staff per 1000 mainlines))	65	46	98	15	9	7

TABLE 1 – DEVELOPMENT AND PERFORMANCE COMPARISONS

ANNEX II

**WORK PROGRAMME FOR SUBREGIONAL WORKSHOPS ON STRENGTHENING HUMAN
RESOURCES MANAGEMENT CAPABILITIES WITHIN THE TRANSPORT AND
COMMUNICATIONS SECTOR IN AFRICA**

DAY 1 Plenary

08.00 - 09.00 Registration of participants
09.00 - 10.00 Agenda item 1: Opening ceremony

- (1) Welcoming address by the representative of the host institution.
- (2) Address by the representative of the Executive Secretary of ECA.
- (3) General introduction by participants and workshop personnel.
- (4) Briefing of participants by ECA representative on workshop arrangements.
- (5) Presentation by representative of ECA on objectives and purposes of the subregional workshops.

10.00 - 10.30 Coffee/tee break
10.30 - 12.00 Agenda item 2:

Presentation of sections I, II and III of the Sectoral Synthesis Report followed by discussions

12.00 - 13.00

Presentation of section 4 of the sectoral synthesis report followed by discussions

13.00 - 15.00 Lunch break
15.00 - 16.30

Continuation with the discussions on agenda item 2

16.30 - 17.30

Coffee/tee break / Video presentation

17.30 - 18.00

Continuation with agenda item 2,

DAY 2

09.00 - 10.30 Agenda Item 3:

Presentation of Modal Reports by representatives of the UN specialized agencies (Highways and Railways; Roads; Shipping; Ports / Multi-Modal; Civil Aviation; Telecommunications)

11.00 - 13.00

Continuation with presentations and discussions under agenda item 3, and formation of workshop groupings.

Group A : Water - based transport : Ports, Shippings, and multi - modal transport

Group B : Highways, Roads and Railways

Group C : Aviation and Telecommunications.

13.00 - 15.00 Lunch

15.00 - 18.00 Agenda item 4: Group meetings. Each group to elect its chairman and rapporteur, and agree on its methodology of work.

DAY 3 Continuation with group work - agenda it 3.

DAY 4

08.30 - 10.30 Agenda item 5:

Report to the plenary by group A. followed by discussions.

10.30 - 11.00 Coffee / tea

11.00 - 13.00

Report to the plenary by group B, followed by discussions.

13.00 - 15.00 Lunch break

15.00 - 17.00

Report to the plenary by group C. followed by discussions.

DAY 5

08.00 - 13.00

Preparation of the workshops draft report.

13.00 - 15.00 Lunch break

15.00 - 17.00 Agenda item 6

Considiration and adoption of the workshop report.

17.00 - 18.00 Agenda item 7 : Any other business.

Agenda item 8 : Closing of the workshop.

DAY 6

Departure of workshop participants.

ANNEX III (a)

EASTERN AND SOUTHERN AFRICAN MANAGEMENT INSTITUTE
WORKSHOP ON STRENGTHENING HUMAN RESOURCES MANAGEMENT
CAPABILITIES WITHIN THE TRANSPORT AND COMMUNICATION
SECTOR IN AFRICA

(25 February to 1 March 1991 ESAMI, Arusha)

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ANNEX III (b)

**ECOLE SUPERIEURE AFRICAINE DES CADRES
DE CHEMINS DE FER - ESACC
BRAZZAVILLE, CONGO**

**ATELIERS SOUS REGIONAUX SUR LE RENFORCEMENT DES CAPACITES DE
GESTION DES RESSOURCES HUMAINES ET DES CAPACITES INSTITUTION-
NELLES DANS LE SECTEUR DES TRANSPORTS ET COMMUNICATIONS EN
AFRIQUE.**

25 FEVRIER - 1^{er} MARS 1991

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ANNEX III (c)

EASTERN AND SOUTHERN AFRICAN MANAGEMENT INSTITUTE
WORKSHOP ON STRENGTHENING HUMAN RESOURCES MANAGEMENT
CAPABILITIES WITHIN THE TRANSPORT AND COMMUNICATION
SECTOR IN AFRICA

(4 - 8 March 1991. ESAMI, Arusha)

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ANNEX III (d)

**ECOLE SUPERIEURE AFRICAINE DES CADRES
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REGIONAL MARITIME ACADEMY

WORKSHOP ON STRENGTHENING HUMAN RESOURCES
MANAGEMENT CAPABILITIES WITHIN THE
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