

# PUBLIC WORKS DEPARTMENT

Government of Uttar Pradesh, India

## UTTAR PRADESH STATE ROADS PROJECT Under IBRD Loan No. 4684-IN

Technical Assistance for Implementation of  
Institutional Reforms in the Road Sector of Uttar Pradesh

### ANNUAL STAKEHOLDER ROAD FORUM TO REVIEW ROAD SECTOR PERFORMANCE (FINAL)

**Report No. 14**

October 2008



**LEA International Ltd., Canada**

*in joint venture with*

**LEA Associates South Asia Pvt. Ltd., India**

*in association with*

**Ministry of Transportation of Ontario, Canada**

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## Glossary

AADT	Annual Average Daily Traffic	ISAP	Institutional Strengthening Action Plan
ADB	Asian Development Bank	JE	Junior Engineer
ADT	Average Daily Traffic	LAN	Local Area Network
AE	Assistant Engineer	LRS	Linear Referencing System
BOOT	Build Own Operate Transfer	MDR	Major District Roads
BOT	Build Operate Transfer	MIS	Management Information System
CAG	Complaints and Grievances	MOST	Ministry of Surface Transport
CAD	Computer Aided Design	MoSRTTH	Ministry of Shipping, Road Transport & Highways
CCL	Court Cases and Litigation	MoRTH	Ministry of Road Transport and Highways
CE	Chief Engineer	MSS	Mixed Seal Surface
CEO	Chief Executive Officer	NABARD	National Bank of Agricultural and Rural Development
CRF	Central Road Fund	NITHE	National Institute for Training of Highway Engineers
CRRRI	Central Road Research Institute	NH	National Highway
DBC	Dense Bitumen Concrete	NHAI	National Highways Authority of India
DGPS	Differential Global Positioning System	ODR	Other District Road
EE	Executive Engineer	O-D	Origin-Destination
E-in-C	Engineer in Chief	OS	Operating System
EIA	Environmental Impact Analysis	PCC	Project Coordinating Consultant
EIS	Environment and Social Information System	PCI	Pavement Condition Index
E & M	Electrical and Mechanical	PCU	Passenger Car – equivalent Unit
FAR	Floor Area Ratio	PMS	Pavement Management System
GPS	Global Positioning System	PrMS	Project Management System
GSDP	Gross State Domestic Product	PWD	Public Works Department
GIS	Geographic Information System	RDBMS	Relational Database Management System
GNP	Gross National Product	RES	Rural Engineering Services
GNSS	Global Navigation Satellite System	RoW	Right of Way
GO	Government Order	RIS	Road Information System
GOI	Government of India	RWM	Right of Way Management
GoUP	Government of Uttar Pradesh	RMMS	Road Maintenance Management System
HDM	Highway Design Model	RtMMS	Routine Maintenance Management System
HDM-4	Highway Development and Management System	SDBC	Semi Dense Bitumen Carpet
HQ	Head Quarter	SE	Superintending Engineer
HR	Human Resource	SH	State Highway
HRD	Human Resource Development	SRF	State Road Fund
HRM	Human Resource Management	SRP-II	State Road Project-II
HRMS	Human Resource Management System	SWAN	State Wide Area Network
IBRD	International Bank for Reconstruction and Development	TA	Technical Assistance
IDS	Institutional Development Strategy	TCS	Tata Consultancy Services
IDSP	Institutional Development And Strengthening Plan	TEA	Taj Expressway Industrial Development Authority
IRC	Indian Road Congress	ToR	Terms of Reference
ISO	International Organisation for Standardisation	TNA	Training Needs Assessment
ISRO	Indian Space Research Organisation	UP	Uttar Pradesh
IT	Information Technology	UPSRP	Uttar Pradesh State Road Project

UPIEDA	Uttar Pradesh Expressways Industrial Development Authority
UNDP	United Nations Development Programme
VOC	Vehicle Operating Cost
VR	Village Roads
WB	World Bank

## 1. INTRODUCTION

The Tata Consulting Engineers (TCE) carried out a Policy Support and Institutional Development study in the year 2000-2002. During their review it was found that:

### *Planning Process – Key Concerns<sup>1</sup>*

- *Lack of Strategic Planning activity in the Department – currently limited to road policy and not based on full discussion with stakeholders:*
- *Lack of knowledge within the organisation and others concerned with the sector about the Department's various activities, achievements, future action plans and operating statistics. No organization can expect support, even from its own staff, if good reporting and coverage of complaints etc. is not provided for.*

This prompted TCE to recommend that:

### *Stakeholders Involvement – Recommendations<sup>2</sup>*

*The Department should solicit inputs from road users and other stakeholders in developing road policies, plans and prioritisation criteria.*

The Government of Uttar Pradesh endorsed the above recommendation, and included in the present contract with the TA Consultants for Institutional Development and Strengthening Plan (IDSP) as a part of item 1E of Annex II, the following:

1. *Inaugurate annual stakeholder road forum to review road sector.*

The mandate of the TA Consultants is to prepare a Report based on 'Annual stakeholder road forum to review road sector performance'.

The previous Stakeholders Forum (Workshop) had taken place on 11<sup>th</sup> April 2005. The objective through this TA Consultancy Project was that these Stakeholder Forums would become an annual event. As such they would be included in the Annual Report published by the PWD.

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<sup>1</sup> Chapter 4, Page 1 of 22, Policy Support and Institutional Development Study (IDS) study carried out by the TCE Consulting Engineers Limited, Final Report, June 2002

<sup>2</sup> Chapter 4, Page 2 of 22, Policy Support and Institutional Development Study (IDS) study carried out by the TCE Consulting Engineers Limited, Final Report, June 2002

## 2. BACKGROUND

As preparation for the Stakeholders Forum the TA Consultant had numerous discussions with the PWD and also wrote to them on this topic as follows:

- 17<sup>th</sup> June 2008: subject of Stakeholder Forum was raised with the Chief Engineers IDS Cell. TA Consultant advised to telephone IDS Cell to fix date
- 6<sup>th</sup> July 2008: further meeting with Chief Engineer to discuss Stakeholder Forum
- 18<sup>th</sup> August 2008: TA Consultant met with the Principal Secretary and raised the subject of the Stakeholder Forum. Discussions took place with respect to the Key Note Speaker and Chairman of the Forum. Principal Secretary agreed to consider the request to Chair the Stakeholder Forum.
- 18<sup>th</sup> August 2008: Letter No. IDSP/08/1382/aars sent to the Chief Engineer regarding the date for the Stakeholder Forum, the location, the Key Note Speaker, and the Chairman of the Stakeholders Forum. Attached with that letter was a 'Review of the Road Sector Performance' which was to be sent to all potential participants, a proposed time-table, possible issues for discussion, and a list of potential participants.
- 1<sup>st</sup> September 2008: discussions with the Chief Engineer when it was agreed that the Stakeholder Forum would take place during the week ending 20<sup>th</sup> September 2008
- 1<sup>st</sup> September 2008: TA Consultant received a letter from PWD confirming that the Stakeholder Forum would take place on 25<sup>th</sup> September 2008
- 2<sup>nd</sup> September 2008: Meeting with the Chief Engineer and members of IDS Cell in TA Consultant's Project Office. Topics for discussion were revised and it was made clear to the PWD that it was neither the role nor responsibility of TA Consultant to invite participants to attend the Stakeholder Forum.
- 3<sup>rd</sup> September 2008: Letter No. IDSP/08/1393/aars sent to the Chief Engineer which included the revisions made to the Possible Topics for contribution and discussion.

The intention was that the PWD would invite participants to attend the Stakeholders Forum and enclose along with that invitation the following:

- Review of Road Sector Performance
- Agenda / Proposed Time -Table
- Possible topics for contribution and discussion

### 3. PREPARATION FOR STAKEHOLDER FORUM

Every effort was made to ensure that the invited participants were provided with background information as to the purpose and objective of the Stakeholders Forum. The intention was to avoid negative, unhelpful, and uninformed comments. The list of participants was carefully drawn up to include the public and private sector. All of these issues, resulting documents and their acceptance, were the subject of discussion with members of the IDS Cell.

The objectives of the Stakeholders Forum were twofold. The first was to enable the PWD to present the current situation and to expand on the problems which they faced. In particular the problems of over loaded vehicles, and their impact on the road network, was to be highlighted together with the problems surrounding road safety.

The second was to receive feedback from the road users regarding some of the problems which they faced and which could be taken up by the PWD as underlining the need for increased budget provision in specific areas.

The following Sections detail the documents that were to be sent to each participant Section 3. 4 gives a list of Participants.

#### 3.1 BRIEF NOTE ON STAKEHOLDER FORUM

The objective of this brief note was to provide the participants with a background to the Stakeholders Forum. The actual note is given below under the heading 'Review of Road Sector Performance'.

##### **Review of Road Sector Performance**

It is planned to hold the above Forum so that those who are involved in the road sector can share their knowledge and concerns.

The objective is to gain a better understanding of those issues which affect the performance of the road sector. These issues cover a wide range of concerns embracing road safety, road design, road maintenance, damage to roads, and economics.

From the standpoint of the State of Uttar Pradesh an effective and well maintained road network is a pre-requisite for economic growth. Future investment in the State by manufacturers and others can be encouraged, or put off, by the road network and its general condition.

The intention of holding this Forum is to provide the opportunity for those responsible for managing the road assets to meet with, and exchange positive and worthwhile comments with those whose livelihood depends upon an effective and well maintained road network.

At the same time it is important that others responsible for law and order, the fire service, those who respond to accidents, and those responsible for the care of the injured are able to make their contributions. This may well provide the basis for re-assessing design standards and the need to possibly revise and enforce road regulations.

The Forum has been designed in two distinct sessions. In the first session those engaged in the public sector will make their presentations / contributions. At the end of which all participants of the Forum will have the opportunity to ask questions and comment upon the contributions. The second session is for those from the private sector to make their presentations / contributions. As for the first session participants will have the opportunity to ask questions and comment upon the contributions.

To that end all participants are encouraged to prepare their contributions in advance so that they can make valid and informed contributions. Each contributor will be limited to 5 minutes so that the Forum focuses on important issues. It is hoped that this approach will ensure the success of the Forum and that the conclusions reached can be used as future performance indicators for those responsible for the management of road network and also for those who use the road network.

### 3.2 AGENDA

The agenda / proposed time-table for the Stakeholder Forum is given below.

#### Agenda / Proposed Time-table

Introduction and objective of the workshop	10.00 - 10.30
Keynote speaker	
Government sector – contribution / discussion	10.30 - 11.45
Tea break	11.45 - 12.00
Private sector – contribution / discussion	12.00 - 13.15
Wrap up	13.15 - 14.00
Lunch to be served	14.00

### 3.3 TOPICS FOR CONTRIBUTION AND DISCUSSION

This list was prepared with the specific objective of providing guidance to participants so that their contributions would be specific and helpful. The actual document prepared is given below under the heading, 'Possible topics for contribution and discussion'.

#### Possible topics for contribution and discussion

1. The road network
  - Extent of the network, and whether it meets the needs
  - Measures underway for the expansion / future development
  - Role of various sectors / departments
2. Road design parameters, present traffic etc.
  - Effects of increased traffic
  - Traffic congestion and delays
  - Ways to improve traffic flow
  - Expressway construction
3. Quality of roads in the State
  - Maintenance standards, needs and priorities
  - Condition of roads, bridges and culverts
  - Measures underway for improvement
  - Encroachment and drainage
4. Consequences of poor road conditions
  - Poor roads:
    - Cause discomfort and increase in travel time
    - Cause more damage to goods and vehicles
    - Increase vehicle operating cost
    - Are more unsafe
5. Accidents
  - Causes of accidents
  - Incidences of traffic violation
  - Poor driving habits
  - Delays in reaching accident spots
  - Lack of safety barriers and traffic controls at construction sites

6. Road signs and markings

Desirability of sufficient and appropriate and signs road markings

Undesirability of roadside hoardings causing distraction and obstruction

Lack of signs at construction or maintenance sites - a very dangerous situation

7. Suggestions to improve road conditions for safer and smoother travel

Encroachments – safety concern

Overloading – premature damage of roads

Theft and damage to road signs and other components (e.g., divider median, curb, manholes, joint seals, lights etc.)

8. Views for improving road sector in the future

Need a Master Plan for the state road network

Public and / or private sector participation

Raise adequate funds from road user levies, cess on fuel, and loans etc.

Set performance indicators to measure the achievements and critically review the funds spent

Set and implement a comprehensive road safety policy to reduce the high accident rates and deaths

Interaction with other departments

### 3.4 LIST OF PARTICIPANTS

#### A. SPONSORS

1. Principal Secretary, UP PWD
2. Engineer-in-Chief, UP PWD
3. UP PWD Traffic / Safety Representative

#### B. GOVERNMENT SECTOR

4. Transport Commissioner + Regional Transport Officer (RTO)
5. Director Traffic + 2 (Senior officers in charge of traffic)
6. Urban Development
  - Chief Engineer (Urban Development)
  - Town Planner

7. Health and Medical
  - Director Medical
  - Chief Medical Officer (CMO)
8. Commissioner Agricultural Produce
9. Mandi Parishad Representative
10. Cane Development Board Representative
11. Panchayati Raj Representative
12. Zila Panchayat / Parishad Representative
13. Rural Engineering Services (RES) Representative
14. Medical College and University Representative
15. Education – Basic Shiksha Adhikari
16. Municipal Corporation Representative (Traffic Engineer)
17. Tourism Department Representative
18. Fire Services

**C. PRIVATE SECTOR**

19. Chamber of Commerce Representative
20. Bus Operators Representative
21. Trucking Operators Representative
22. Freight and Shipping Representative
23. Auto Industry: Manufacturing and Repair: Representative
24. Insurance Companies Representative
25. Tourism Industry Representative
26. Construction Industry Representative
27. Quarry Owners or their Representatives

#### **4. STAKEHOLDERS FORUM**

The Stakeholders Forum was scheduled for 25<sup>th</sup> September 2008 but in the event did not take place.

Thus it was not possible to write a Report covering this event.

## 5. CONCLUSION

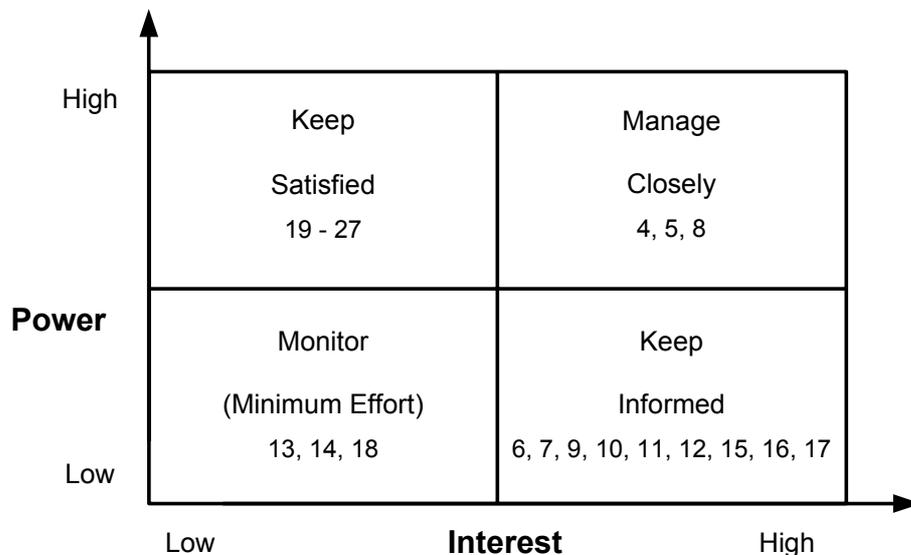
An annual Stakeholders Forum is considered to be of significant importance to the role of the PWD.

The benefits of such an approach are:

1. The PWD can use the opinions of the more powerful and more interested stakeholders to help shape their future work plans. The end result is that they are more likely to support the PWD in the future, but their input can influence the quality of the work undertaken.
2. Gaining support from the more powerful stakeholders may enable the PWD to use their influence to gain additional resources.
3. By communicating with their stakeholders the PWD can ensure that they fully understand the reasons behind various decisions.
4. The PWD can anticipate the reaction of their stakeholders and thus build into their plans those issues which will enlist their immediate support.

Stakeholders Forums may also help to allay some of the concerns that are beginning to be expressed by the general public. However there is a distinct possibility that these concerns may continue to be raised and it may become increasingly difficult to provide answers that are acceptable to a discerning public.

The following grid was used to 'position' the various stakeholders and measuring the PWD's response to them. The numbers in the grid relate to those given against the participants listed in Section 3.4. The positions given will need to be assessed by the PWD since power and interest can fluctuate over a period of time and are included here as an indication of the way in which the grid could be used.



High Power, Interested Stakeholders: these are the stakeholders with whom the PWD must fully engage with, and make the greatest efforts to satisfy

High Power, Less Interested Stakeholders: Do sufficient to keep them satisfied. Do not overload with information.

Low Power, Interested Stakeholders: Keep them adequately informed to ensure that no major issues are arising. This group can often be very helpful with specific details

Low Power, Less Interested Stakeholders: Monitor this group but do not overload with information

Understanding the stakeholders is a vital part of the process so that the PWD can determine best how to engage them to advantage and how to communicate with them. Some of the key questions that can help in understanding the stakeholders are:

1. What financial interest do they have?
2. What motivates them most of all
3. What information do they want
4. What is the best way to communicate with them
5. What is their current opinion of the PWD? Is it based on good and reliable information?
6. Who influences their opinion generally, and who influences their opinion of the PWD?
7. If they are not likely to be positive, what can be done to persuade them to support the PWD?
8. If that is not possible, how can the PWD best manage their opposition?

Stakeholder Management is the process by which the PWD identifies their key stakeholders and wins their support. Stakeholder Analysis is the first stage of this, where the PWD identifies and starts to understand their most important stakeholders. The next step is to prioritise them by power and interest and plot them on the grid shown above. The final step is for the PWD to get an understanding of what motivates their stakeholders, the need to win their support, and how this can best be done.

## **6. FOCUS GROUP MEETING**

A meeting of Focus Group A was held on Monday 20<sup>th</sup> October 2008 to discuss Report No. 14 submitted as draft.

The Focus Group members agreed to the suggestions made in the Report, but desired that there should be greater PWD representation from all three levels of management i.e. policy, managerial and operational. The Focus Group members also mentioned that the PWD is considering holding the meeting in November 2008.

## **7. PRESENTATION TO PROJECT STEERING COMMITTEE**

**Report No. 14 : Annual Stakeholder Road Forum to Review Road Sector Performance**

<b>PWD Focus Group - A</b>	
Sri S.K. Guni	CE, Allahabad Zone, Allahabad
Sri Govind Prasad Sharma	EE, Health System Development Project, Lucknow
Sri Vinod Kumar Bansal	EE, PMGSY Cell, Lucknow
Sri Vasudev T Gulwani	EE, RSD- 5, Lucknow
Sri Sanjay Gupta	AE, WB-1, Lucknow
Sri R.P Yadav	AE, P.D. Kanpur Nagar
Sri Yogesh Mathur	SE, Bulandshahar
Sri Anay Kumar Srivastava	AE, IDS Cell
<b>LEA International Ltd. and LEA Associates South Asia Pvt. Ltd.</b>	
Mr. Alan Stanbury	Team Leader



**TCE Concerns:**

- *Lack of Strategic Planning activity in the Department – currently limited to road policy and not based on full discussion with stakeholders:*
- *Lack of knowledge within the organisation and others concerned with the sector about the Department's various activities, achievements, future action plans and operating statistics. No organization can expect support, even from its own staff, if good reporting and coverage of complaints etc. is not provided for*

**TCE Recommendations:***Stakeholders Involvement*

*The Department should solicit inputs from road users and other stakeholders in developing road policies, plans and prioritisation criteria*



**The Terms of Reference (ToR) of the IDS Action Plan (Serial 1 E) objective states (Annex II) :**

*“Inaugurate annual stakeholder road forum to review road sector .”*

The mandate of the TA Consultants is to prepare a Report based on ‘Annual stakeholder road forum to review road sector performance’.

The objective through this TA Consultancy Project was that these Stakeholder Forums would become an annual event. As such they would be included in the Annual Report published by the PWD.



## The Report covers the following :

- Background
- Preparation for Stakeholder Forum
  - Brief Note on Stakeholder Forum
  - Agenda
  - Topics for contribution and Discussion
  - List of Participants
- Stakeholders Forum
- Conclusion



## Background

As preparation for the Stakeholders Forum the TA Consultant had numerous discussions with the PWD and also wrote to them on this topic.

The intention was that the PWD would invite participants to attend the Stakeholders Forum and enclose along with that invitation the following:

- Review of Road Sector Performance
- Agenda / Proposed Time -Table
- Possible topics for contribution and discussion



## Preparation for Stakeholder Forum

The objectives of the Stakeholders Forum were twofold. The first was to enable the PWD to present the current situation and to expand on the problems which they faced. In particular the problems of over loaded vehicles, and their impact on the road network, was to be highlighted together with the problems surrounding road safety.

The second was to receive feedback from the road users regarding some of the problems which they faced and which could be taken up by the PWD as underlining the need for increased budget provision in specific areas.

In order to hold the Stakeholder Forum, the following was prepared:

- A Brief Note
- Agenda
- Topics for Contribution and Discussion
- List of Participants



## Topics for Contribution and Discussion

1. The road network
2. Road design parameters, present traffic etc.
3. Quality of roads in the State
4. Consequences of poor road conditions
5. Accidents
6. Road signs and markings
7. Suggestions to improve road conditions for safer and smoother travel
8. Views for improving road sector in the future



## Stakeholders Forum

The Stakeholders Forum was scheduled for 25th September 2008 but in the event did not take place.

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## Conclusion

An annual Stakeholders Forum is considered to be of significant importance to the role of the PWD.

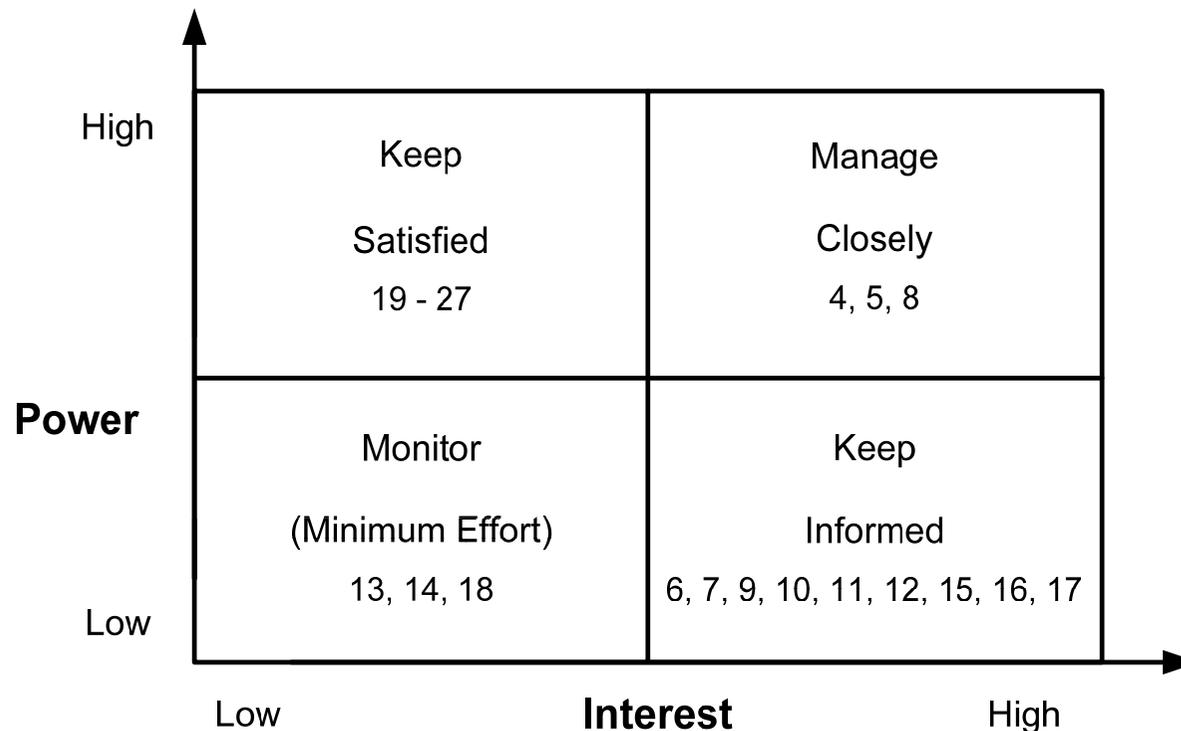
The benefits of such an approach are:

- The PWD can use the opinions of the more powerful and more interested stakeholders to help shape their future work plans. The end result is that they are more likely to support the PWD in the future, but their input can influence the quality of the work undertaken.
- Gaining support from the more powerful stakeholders may enable the PWD to use their influence to gain additional resources.
- By communicating with their stakeholders the PWD can ensure that they fully understand the reasons behind various decisions.
- The PWD can anticipate the reaction of their stakeholders and thus build into their plans those issues which will enlist their immediate support.



**Conclusion (contd...)**

The following grid was used to 'position' the various stakeholders and measuring the PWD's response to them. The numbers in the grid relate to those given against the participants listed in the Report. The positions given will need to be assessed by the PWD since power and interest can fluctuate over a period of time and are included here as an indication of the way in which the grid could be used.



Refer to Page 9 of the report



**The Focus Group made the following comments:**

The list of Participants should include a spread of PWD staff representing not only PWD HQ but the Zones, Circles, and Divisions.

It was accepted that an Annual Stakeholders Forum was important and to that end the PWD would make efforts to hold such a meeting in November 2008.

