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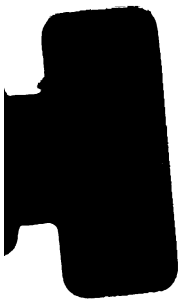
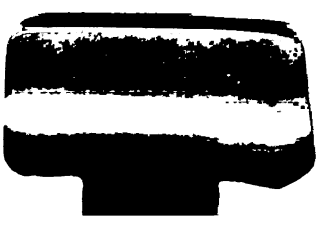
IMPROVING RURAL DEVELOPMENT PLANNING AND MANAGEMENT

Proceedings of IICA-PROPLAN/USDA-DPMC Seminar

IICA
INTER—AMERICAN INSTITUTE FOR COOPERATION ON AGRICULTURE
OFFICE OF THE DEPUTY DIRECTOR GENERAL
OFFICE OF MULTIZONAL PROJECTS
PLANNING AND PROJECT MANAGEMENT DIVISION—PROPLAN
San Jose, Costa Rica, December 1981





MANAGEMENT FOR RURAL DEVELOPMENT

PROPLAN/A PROJECT

PROCEEDINGS OF IICA-PROPLAN/USDA-DPMC SEMINAR
IMPROVING RURAL DEVELOPMENT PLANNING AND MANAGEMENT

OFFICE OF MULTIZONAL PROJECTS

PLANNING AND PROJECT MANAGEMENT DIVISION-PROPLAN

PROPLAN DOCUMENT-18

San Jose, Costa Rica, December 1981.

CONTENTS

FOREWORD

This publication contains papers and results from the Seminar on "Improving Rural Development Planning and Management" held as an activities of the PROPLAN/A Project which is jointly funded by IICA and the W. K. Kellogg Foundation. The seminar was held in Turrialba, Costa Rica in December, 1981, for the purpose of analyzing the approaches to technical cooperation that are used by IICA's Planning and Project Management Division, PROPLAN, and the Development Project Management Center of the United States Department of Agriculture.

IICA is an institution of technical cooperation. Its on-going concern is to improve the quality of its action in support of requesting member countries. For this reason, as part of its effort to improve its performance and skills, the Institute is interested in finding other organizations working in similar fields, in order to develop ties of cooperation. Thus, IICA holds a number of agreements with different Institutions.

The Seminar took place in the framework of an agreement between IICA and the United States Department of Agriculture, with which it sustains multiple relations for technical exchange. The Development Projects Management Center, known as the DPMC, has a group of professionals with whom PROPLAN believes it is essential to discuss approaches, strategy implementation, and acquired experience in the area of planning and management for development. The Seminar was held in response to this need for dialogue between the DPMC and PROPLAN.

The papers, findings, and recommendations contained in this publication are the fruit of experience accumulated over several years by IICA-PROPLAN and by USDA-DPMC. They include both technical and conceptual contributions. It also contains practical experiences resulting from an analysis of the approaches and strategies used. These analyses were

conducted by the total group of seminar participants, which included national professionals who work with the projects in the countries.

It is a great satisfaction for IICA-PROPLAN and USDA-DPMC to provide this publication to professionals in the national and international organizations and to representatives of the rural population, whose active participation will expand the possibility of obtaining substantial improvements in the performance of public sector action. In particular, we offer this contribution to all those who are involved in guiding the process of planning and implementing policies for agricultural development and the well-being of the rural population.

INTRODUCTION

This publication contains the papers, findings, and recommendations of the Seminar "Improving Rural Development Planning and Management" that was held from December 6 to 9, 1981 in Turrialba, Costa Rica. It received the active participation of specialists from IICA-PROPLAN, USDA-DPMC, and representatives from national institutions in Colombia, Jamaica, the Dominican Republic and Venezuela.

The basic document submitted to the Seminar by IICA-PROPLAN reflects the operating format of the PROPLAN/A Project, characterized by interaction between Central Group personnel and Country Group personnel. To this should be added the work shared by national specialists. P. Lizardo de las Casas and Ricardo Caceres gave conceptual presentations of the PROPLAN approach, and Alfonso Bejarano and Mariano Olazabal presented the experiences of PROPLAN/A in Colombia, which took the form of cooperative efforts between the PROPLAN/A Project and the Integrated Rural Development Program (DRI) of the Colombian government. Ana Elisa Niño de Gast discussed the key features of the DRI Program, which is operated by the National Planning Department of Colombia.

Similar contributions were made by USDA-DPMC. Marcus Ingle discussed the conceptual approach of the DPMC, and Merlyn Kettering and Conrad Smikle discussed the specific experience of DPMC assistance to the National Planning Project of the government of Jamaica.

Both Documents provided the central theme for discussion in the working groups set up during the seminar. The resulting conclusions are included in the report. The groups also worked with identifying areas that require reinforcement activities. They analyzed factors considered

determinant for the successful implementation of activities in this field.

The groups recommended that reinforcement actions be based on the acknowledgement of an integrated, continuous process of planning and implementing policies, on the importance of conceptual frameworks in development for providing orientation, and on the need to generate technology adaptable to the specific needs of the countries, in the area of planning and management for rural development.

This publication is being produced with the hope that the basic documents and results of the seminar will provide material for reference and reflection, not only for those who attended the seminar, but also for everyone involved in planning and management for rural development.

OPENING ADDRESSES

Dr. Jorge León
Acting Director of CATIE

1 WELCOME AND INTRODUCTION OF CATIE

It is a pleasure for me to address you on behalf of Dr. Gilberto Paez, who is away on a business trip. I extend you a most cordial welcome from The Director, the Personnel and the Students of CATIE. We are pleased to be hosting this Seminar, as we are very interested in the subject you will be discussing.

In a certain sense, CATIE is a unique institution. From the legal standpoint, it initially took the form of an agreement between IICA and the Government of Costa Rica, which was later joined by the governments of El Salvador, Honduras, Guatemala, Nicaragua and Panamá. As you can see, it is an

institution whose very organization has given it a regional emphasis, even though CATIE continues to work outside of Central America in certain areas. Its efforts are concentrated on research for helping small-scale farmers. Initially, we focused on crops, but we are giving more emphasis than in previous years to animals and to forest products. CATIE uses an integrated approach to the problems of small-scale farmers, working directly with them and experimenting with findings.

This has traditionally been a center of graduate training. Around 900 individuals graduated from CATIE with a Magister Scientae degree. They come from all the countries of the Americas, and several from beyond this region. This activity is coordinated with the University of Costa Rica, and is one of the most important and long-lasting endeavors of CATIE. At present, CATIE has approximately 90 students from seventeen countries. Education continues to be one of the healthiest contributions that CATIE has made to agricultural progress, especially in Latin America.

We will soon be presenting an audiovisual presentation which show you what CATIE is in general terms. As I mentioned, at present it is an institution supported by five countries and IICA. Most of our activities take place through external arrangements, especially with similar entities and with funding agencies from the United States, Canada, and other countries.

Again, welcome to Turrialba. We hope your work here will be fruitful. We wish you all success in the seminar which you are beginning, and that your stay here will not be your last. CATIE will always be eager to receive you.

Dr. P. Lizardo de las Casas
Planning and Project Management Division

2 OPENING REMARKS

The Director General, The Deputy Director-General of IICA and Director of the Office of Multizonal Projects have asked me to convey their most best wishes. They would very much have liked to be with us today; but a number of unforeseen obligations have made it impossible for them to be present . They asked me to welcome you on their behalf.

Most of you know IICA, and know that it is an Institute for Technical Cooperation, constantly concerned with upgrading cooperation with member countries. In trying to improve quality of IICA's action, the Institute makes a continual effort to get to know other organizations working in like fields and develop links with them to further the Organization's work in support of

member States.

This is reflected in a series of agreements signed between IICA and other organizations. We meet today in the context of an agreement between IICA and the US Department of Agriculture. Under this agreement we have traded technologies concerning planning and administration for rural development, with the Training Division of the Department of Agriculture and, more recently, with the Department's Technical Assistance Division. Working in this division is a group of experts we believe have a great deal to contribute to the work we are now engaged in. They are the Development Project Management Center, or DPMC.

Preliminary talks with the DPMC group suggested the possibility of joining efforts to cope with the problems faced by IICA Member States. We agreed on the need for dialogue on our respective approaches, target areas, and experiences. The outcome was this seminar.

IICA belongs to its members. Its basic action strategy is institutional strengthening through mutual, participatory, technical cooperation. This means we look together with national experts through their own organizations on their specific problems. It also means fostering direct exchange among experts of Member Countries.

This is why a meeting such as this one organized by IICA does not limit participation to experts from IICA and the US Department of Agriculture. We also need the active participation of the national experts we work with in our Member Countries.

We, therefore, ask our colleagues from Colombia, Costa Rica, Dominican Republic and Venezuela, here with us today, to share their experiences with us and help us to pinpoint those areas they feel need more support, and those

where they think we might successfully work together with DPMC.

On behalf of the Director General, the Deputy Director General of IICA, Director of the Office of Multizonal Projects and myself, I thank you for coming to Turrialba and participating in this meeting. Let us hope, as Dr. León said, that you will feel at home here and share with us this experience, which we are sure will be very interesting for all.

Thank you, and welcome to Turrialba.

Dr. Marcus Ingle,
Development Project Management Center
TAD/OICD/USDA

3 OPENING REMARKS

On behalf of the Development Project Management Center (DPMC) of the U. S. Department of Agriculture, I would like to express our enthusiasm for being invited to participate with IICA/PROPLAN in this seminar event. Morris Solomon, Coordinator of the Center, sends his sincere regrets at being unable to be here with us tonight. He asked that I convey to you the importance that both he and the Center's joint sponsors, the Technical Assistance Division within the Office of International Cooperation and Development Administration (S&T/RAD) within the U. S. Agency for International Development, attach to this seminar.

Since our arrival last week, we have been struck by the country's natural beauty, and have been impressed by the cooperative attitude,

stimulating work, and gracious hospitality of the IICA and PROPLAN staff. Now, as the seminar opens, we look forward to gaining a greater understanding of PROPLAN's conceptual approach, and to developing a working relationship with the seminar attendees. We believe that one very important objective unites all of us and provides a solid foundation for the seminar --that is, each of us is committed to the need to strengthen the management of public sector agriculture institutions in order to promote agricultural and rural development. Striving toward the accomplishment of this objective provides us with a complex, and extremely challenging, task.

Again, I would like to thank PROPLAN, and especially Dr. Lizardo de las Casas, for the invitation to cooperate in this joint effort.

We expect an open discussion of approaches and experience, and a stimulating dialogue throughout. Our hope is that this seminar will provide an initial opportunity to build mutual respect and trust between our two institutions, and lead to an ongoing professional relationship.

PROGRAM

IICA-PROPLAN/USDA-DPMC WORKSHOP

"IMPROVING RURAL DEVELOPMENT PLANNING AND MANAGEMENT: A REVIEW OF IICA-PROPLAN AND USDA-DPMC TECHNICAL COOPERATION APPROACHES"

Turrialba, Costa Rica
6-9 December 1981

This Workshop is an activity of the PROPLAN/ A Project, funded by IICA and the W.K. Kellogg Foundation.

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(Turrialba, Dec. 6-9,1981)

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MANAGEMENT FOR RURAL DEVELOPMENT:
The PROPLAN/A approach, and its experiences in Colombia

FOREWORD

An analysis of the situation predominating in many Latin American countries shows that one of the main factors obstructing public sector action in orienting the rural development process is the limited ability of the public administration to formulate and implement successful programs and projects for agricultural development and the well-being of the rural population.

In addition, one of the main concerns of the governments for achieving their proposed development objectives is to strengthen the institutions responsible for delivering the goods and services required by the rural population for their integrated development. Of particular importance among the tasks carried out by these systems, is the guidance of the planning-implementation process of rural development policies.

In an effort to coordinate cooperative actions in the Latin American and Caribbean countries seeking to solve these problems, IICA and the W.K.KELLOGG FOUNDATION joined to work together through the Management for Rural Development Project (PROPLAN/A). The specific objective of this project is to increase the efficiency and effectiveness of the public institutions that generate goods and services for rural development, by improving their directive mechanisms.

The multizonal PROPLAN/A Project follows a strategy which emphasizes strengthening directive mechanisms at the local and regional levels, and which seeks to integrate them effectively into the corresponding mechanisms which cover larger areas. Within this area-based strategy, project actions are oriented to strengthening mechanisms that will facilitate the interpretation of the problems of the rural environment, and to propose, define,and implement appropriate solutions to these problems through the interaction of public agencies with the organizations of the rural population.

This document should be considered an integral part of the activities and products of the PROPLAN/A Project. It complements, and in turn is complemented by all the studies and documents that have been developed and that are still in the process of being prepared by PROPLAN. It is a result of the studies of PROPLAN/A's hemispheric-component which, among other functions, generates documents on conceptual and methodological matters that can be applied to concrete solutions, based on the Project's work in its country-components.

This document concretely demonstrates the operational format of a multizonal project, showing the interaction which occurred between the Core-Group and the Colombia country-group, and the work shared with national technical experts. It is difficult to break down the work of each participant, since cooperation took so many different forms. Nevertheless, it can be summarized as follows:

The overall coordination, conceptual development and final publication of the document was carried out by PROPLAN/A Core-Group. Project technical specialists stationed in Colombia were responsible for systematizing and presenting the information that would be used for documenting the experience of the country. We want to mention the especially valuable participation of the officials at Colombia's National Planning Department in the entire process involved with preparing this paper, and especially, for the material summarizing the most important aspects of the Integrated Rural Development Program, DRI, which appears in the Appendix.

Finally, this document required the intense and full-time dedication of our secretarial staff, whose patient and excellent work at the IICA Office in Colombia, and the PROPLAN Office at Headquarters, were essential to the preparation of this document.

INTRODUCTION

The studies on the planning and implementation processes of the Latin American and Caribbean countries show that, with few exceptions, the Public Sector continues to be limited in its ability to guide the development process. These limitations were generated in large part by the development of Public Sector strategies for action which are based on an approach that separates the functions of policy definition and implementation. This has caused planners, on the one hand, to be identified with defining policies and formulating plans; and the rest of the bureaucracy, on the other, with implementing policies according to the provisions of the plans, within a very mechanical framework.

This document is based on the concepts developed by IICA's Planning and Project Management Division, PROPLAN, for an approach to guiding the planning-implementation process of agricultural and rural development policy. It also describes the characteristics of the Management for Rural Development Project (PROPLAN/A), and the experiences of its country-component in Colombia. Thus, the document will be of special interest to professionals providing technical cooperation services in the area of planning and management for rural development, officials of the public institutions, directors of representative institutions that participate in conducting the planning-implementation process for agricultural development and rural well-being policies, and in general, anyone who has an interest in the ongoing evolution of the disciplines of planning and management for development.

The document is divided into six Chapters and an Appendix. Chapter One focuses on IICA's view of Rural Development and describes the characteristics of its strategy of institutional strengthening through participatory and reciprocal technical cooperation. It also presents the institutional and doctrinal bases of the Institute's actions.

Chapter Two studies the multinational operational format of the Institute's multizonal projects. It emphasizes the main elements of the multizonal approach, like the activities of the "hemispheric-component" and the "country-components," and how they take place with the interaction of the Core-Group and the country-groups.

Chapter Three discusses the conceptual aspects of PROPLAN/A's basic approach to the integrated process of planning-implementing agricultural development and rural well-being policies. In addition, it introduces the subject areas of PROPLAN's work.

Chapter Four and Five present the conceptual and operational framework of the PROPLAN/A multizonal project, with an illustration of the Project's cooperation with the Integrated Rural Development Program (DRI), conducted by the National Planning Department in Colombia.

Chapter Six summarizes the experiences of this cooperative venture and analyzes some perspectives of PROPLAN's work, as an element of IICA's actions within its strategy of institutional strengthening in planning and management for rural development.

Finally, the Appendix summarizes the main points of the Integrated Rural Development Program, DRI, conducted by the Government of Colombia.

1. IICA AND RURAL DEVELOPMENT

1.1 IICA's Concept of Rural Development

The Convention governing the Inter American Institute for Cooperation on Agriculture (IICA) states that its purposes are "... to encourage, promote, and support the efforts of the Member States to achieve their agricultural development and rural welfare. " 1/ The convention goes on to state, "... to achieve its purposes, the Institute shall have the following functions:

"a. to promote the strengthening of national education, research and rural development institutions, in order to give impetus to the advancement and the dissemination of science and technology applied to rural progress;

"b. to formulate and execute plans, programs, projects, and activities, in accordance with the needs of the governments of the Member States, to contribute to the achievement of the objectives of their agricultural development and rural welfare policies and programs;

"c. to establish and maintain relations of cooperation and coordination with the Organization of American States and with other agencies or programs, and with governmental and nongovernmental entities that pursue similar objectives;

"d. to act as an organ for consultation, technical execution, and administration of programs and projects in the agricultural sector, through agreements with the Organization of American States, or with national, inter-American, or international agencies and entities." 2/

1/ IICA. Base Documents, Convention on the Inter-American Institute for Cooperation on Agriculture. Rules of Procedure of the Inter-American Board of Agriculture, the Executive Committee and General Directorate. Chapter I, article 3. "Official Documents Series" No. 22. San José, Costa Rica, 1981.

2/ Ibid. Chapter I. article 4.

Thus, IICA is a service agency, created to contribute to the general development of Latin America and the Caribbean through its actions in the area of rural development.

IICA sees rural development "...as a self-sustained process which aims to increase the income levels of the inhabitants of the rural areas and the equitable distribution of income among them, and to increase their participation in the decisions that affect them." This concept of rural development refers, then, to a process that takes place both within and outside the rural areas. Although it particularly involves rural inhabitants, its influence on the levels of development and opportunities of urban inhabitants should not be overlooked. But the main targets of rural development are the rural areas."

"IICA's concept of development is humanistic, in that human beings are viewed as the direct target of its action. It holds that economic growth, the economic and financial health of a country and its technological level have no intrinsic value, but acquire such in direct proportion to the population that benefits and participates in that process." 3/

1.2 Institutional Strengthening through Participatory and Reciprocal Technical Cooperation 4/

IICA's activities fit into a basic strategic framework of institutional strengthening. This means that it reinforces institutional systems made up of "entities interested in promoting progress in agriculture and improving rural life." 5/

3/ IICA, Marco de referencia conceptual para el desarrollo rural (p.14-15)"Papers, Results and Recommendations of Technical Events Series", No. 241. San José, Costa Rica, 1981.

4/ This section is based on the Message of the Director General to the Nineteenth Annual Meeting of the Board of Directors of IICA. p.2-6, México, 1980.

5/ IICA, General Plan. "Official Documents Series", No. 1, San José, Costa Rica, 1970.

In IICA's work to strengthen entities and public agencies, it views them, not as isolated bodies, but rather as components of an institutional system.

In accordance with its basic strategy of institutional strengthening, the IICA concept of "technical cooperation" is qualitatively different from "technical assistance." The fundamental purpose of the latter is to provide the developing countries with scientific and technological inputs and institutional models which have proven useful and of benefit to the so-called developed areas of the world.

The implication is that the developing countries, by receiving "technical assistance", can adopt new knowledge and thus recreate the processes that took place in the countries where this know-how was generated. The basic problem with this concept, however, is that in the special circumstances of Latin American countries, these models, and a large part of the technology they attempt to disseminate, become inoperable.

The countries recognize that social and economic transformation cannot depend, or be exclusively based, on models generated in the developed countries. This is why IICA uses the concept of "participatory and reciprocal technical cooperation." It holds that international action should contribute to developing adequate levels of self-sufficiency in the countries and their institutions, in order to sustain effective action to generate the internal conditions needed for maximizing the use of this cooperation.

Participatory technical cooperation is especially usefull to the countries in that when the instruments are prepared jointly with national personnel, it stimulates the development of permanent national capabilities.

These ideas formed the basis of IICA's operational strategy of institutional strengthening through reciprocal and participatory technical cooperation.

IICA's approach to technical cooperation will also enable it to develop higher levels of specialization as national capabilities are improved. As a consequence, the services the Institute offers its member countries will be of better quality and greater technical cosistency.

1.3 Characteristics of IICA's Functions

The approval of IICA's General Plan signalled an important step in the evolution of the Institute. The plan defines all of IICA's actions as: multinational, in that IICA's work is useful to more than one country; complementary, whenever the Member States request technical cooperation to train personnel who will subsequently assume responsibility for the activities; temporary, and as such, should be reevaluated after objectives and time limits are met and before other actions can begin; supportive, reinforcing the national agencies working for agricultural development and rural welfare; specific, focusing on concrete programs; receptive and flexible, in accordance with the needs of the Member States; and finally, innovative, contributing new ideas, methods, models and practices for the development of viable alternatives.

2. MULTIZONAL PROJECTS AS INSTRUMENTS OF IICA'S MULTINATIONAL ACTION

The General Plan and the Medium-term Indicative Plan are two documents that have governed IICA's actions during the greater part of the last decade. In terms of functional structures, the General Plan states that "... IICA should concentrate its action on those activities benefitting several countries and which cannot be carried out advantageously by them independently." 7/

The Medium-term Indicative Plan further supports this idea when it indicates that the Institute's country-level actions should be consistent with its multinational dimension. It states that "... IICA should concentrate on activities of a regional scope and value, even though they are implemented in one specific Member State." 8/

IICA's multinational action has been taking shape through a type of cooperative project with the Member States called the "multinational project." This type of project makes it possible to act upon problems that are shared by several countries, within a hemispheric or regional outlook.

6/ This chapter is based on the following documents: Torres, José A., "Algunas consideraciones sobre proyectos multizonales". Item H in XXIV Consejo de Directores del IICA. San José, Costa Rica; IICA, 1980; and de las Casas, P. Lizardo, "La conducción del proceso de planificación-ejecución de la política de desarrollo agropecuario y rural: el papel de la cooperación técnica del IICA " p. 9-15. Item 1B in XXV Consejo de Directores del IICA. San José, Costa Rica: IICA, 1981.

7/ IICA, General Plan. op. cit. p.9.

8/ IICA, Medium-term. Indicative Plan. p. 69. "Official Documents Series " No. 15, San José, Costa Rica, 1977.

2.1 Concept of the Multizonal Project

IICA's experience with multinational projects began over 30 years ago. Since then, the concept evolved through different forms. By the time the current decade began, the idea of multizonal projects had been institutionalized with the introduction of the Office of Multizonal Projects, responsible for systematizing IICA's many years of experience and putting them to use in multizonal projects as instruments of IICA's multinational action.

This is how the multidimensional concept of the "Multizonal Project" developed. On the one hand, it is viewed as a group of specific activities including different levels of objectives, with a defined operational strategy responding to problems shared by several countries in more than one of IICA's Zones (or areas). In addition, it serves as an instrument for implementing IICA's multinational action within the context of its basic strategy of institutional strengthening through participatory and reciprocal technical cooperation. Thus, the multizonal project can be said to:

i) integrate technical cooperation activities being conducted in several countries within a framework of conceptual and methodological unity; which will make it possible to generate technology appropriate to the needs of the member countries;

ii) concentrate part of its resources on designing appropriate technology (hemispheric-component) for adaptation and testing in the countries (country-component) which, in turn, generate information for improvement or redesign of the technology;

iii) develop activities through the interaction of two types of technical teams: those at the central level (Core-group) and those located in the countries (Country-groups);

iv) base the interaction between these groups of specialists on reciprocal support of country-level actions that respond to specific problems being faced by the national specialists in their institutions; and

on the development of conceptual and methodological unity, documenting experiences and participating in ongoing mutual training;

v) Implement participatory technical cooperation in two ways: first, through direct technical support of the work of national specialists in their institutions, focusing on their functions, and emphasizing "transfer by doing"; and second, based on the above element, training in concrete areas with stress on "learning by doing."

2.2 How Multizonal Projects Operate

Particularly important in this framework is the structuring of multizonal project activities into two components: "hemispheric" and "countries". This means that the foundation of the multizonal project approach is the idea of interaction between the two components. This interaction "... generates feedback which is crucial for the operation of these projects. It binds these components together and ensures that the products obtained can be adapted to the needs of the countries." 9/

Another important feature of the operation of these projects is the incorporation of task-forces into the various project activities. This occurs during both the hemispheric and the country stages. These two features, together with the task of directing the multizonal project, are the key elements of this operational mechanism.

2.2.1 The Hemispheric-component of a Multizonal Project

In generating technology appropriate to the needs of the countries, the hemispheric-component of the project involves:

a. The analysis of problems shared by several countries in more than one

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9/ Araujo, José Emilio G. "Introducción". In Planificación y Administración Agropecuaria para el Desarrollo Rural, p. x. Edited by P. Lizardo de las Casas. Mexico City, Mexico: IICA, 1980.

of IICA's zones or areas;

b. The gathering of information from different sources, to improve the understanding of the problem under study and to identify possible solutions;

c. The preparation of a conceptual frame of reference within which the project should operate;

d. The design of methodological guidelines to be followed in helping solve the problems of the countries;

e. The generation of teaching materials for use in differente countries;

f. The design and establishment of the bases and mechanisms to be used for collecting, processing and disseminating the information obtained on the progress of the project, so that experiences can be documented as they occur;

g. The use of experiences gained through the project for training specialists from various countries.

2.2.2 The Country-components of a Multizonal Project

Country-level actions seek to develop permanent national capabilities in solving the specific problems of the country. To this end, joint efforts are made with national personnel and institutions to hold training activities that stress "learning by doing," and direct technical support is provided, emphasizing "transfer by doing." Some examples of these actions are:

a. The presentation and discussion of methodologies developed through the activities of the hemispheric-component;

b. The adaptation of these methodologies to the specific situations of the country;

c. The application of the findings for promoting the expansion of the project within the country and toward a broader geographic area.

2.2.3 Technical Groups in a Multizonal Project

There are two types of technical groups made up of the specialists assigned to a multizonal project: the "Core-group" and the "Country-groups."

These two technical groups work in both the hemispheric-and the country-components. However, for making more rational use of resources, the responsibility for hemispheric activities falls primarily to the Central-group, while the Country groups see to the country-components.

Accordingly, it is important to note that the term "component" refers to the nature of the activities carried out through the projects and is not specifically tied to the site where the groups of specialists work, Thus, activities relative to the hemispheric-component are carried out through the joint participation of the Central-group and the specialists of the Country-groups, working in the countries. Similarly, activities related to the country-component are implemented through the joint participation of specialists working in the respective countries, the Central-group and the Country-groups located in countries other than those where the actions are being conducted.

This is conducive to true team work, given the mode of operation of the multizonal projects which consciously unites thought and action, theory and practice.

2.2.4 Directing a Multizonal Project

The purpose of managerial activities for multizonal projects is to ensure the due and timely flow of inputs to the project, harmonious working relations, between the components, and the generation of output.

In this sense, activities for directing a multizonal project can be divided into two groups: operational and performance. Operational activities look fundamentally to the internal operation of the project and involve operational strategy, programming activities, and the allocation and control of resources. Performance activities are based on the relationship between the project and the technical and scientific environment in which it unfolds. For this reason, they have to do more with maintaining the mechanism of information and exchange and analyzing the external factors that influence project development.

The purpose of differentiating between operational and performance managerial activities is simply to highlight the type of emphasis that will be given to the results. Nevertheless, these two groups are interdepedent and have an impact on each other.

3. THE PLANNING AND PROJECT MANAGEMENT DIVISION -PROPLAN 10/

3.1 General remarks

One of PROPLAN's purposes (Planning and Project Management Division, under IICA's Office of Multizonal Projects, is to help strengthen and expand the technical expertise of the Institute so as to provide Member States with improved services of institutional strengthening for the guidance of the planning-implementation process of their agricultural development and rural welfare policies.

To this end, PROPLAN was made responsible for:

a) keeping up and synthesizing IICA's experience in efforts of this sort gleaned from its multizonal and national projects;

b) managing the multizonal projects included in the target area, aiming to make them a catalyst for the Institute's actions in these fields, by generating, testing and documenting methodologies, conceptual frameworks and technical guidelines, suitable to specific needs and;

c) using the multizonal projects results to support the definition and implementation of other projects led by IICA's Offices in the Countries, providing for the strengthening of the Institute's technical expertise and improving the technical quality of this action.

The guidance of this planning-implementation process, PROPLAN's main thrust, is mostly important in terms of the acknowledged role played by such guidance in determining the efficiency and effectiveness of government action to orient agricultural development and rural welfare processes in their respective countries.

In this sense, and in line with IICA's basic strategy, PROPLAN

10/ This chapter is based on de las Casas, P. Lizardo, op. cit.

concentrates on stregthening the directive mechanisms of the public institutions which work to orient the agricultural development and rural welfare process. Thus, it focuses specifically on strengthening the directive systems of these organizations (integrating planning and decision-making systems) at the local, regional and national levels. IICA's concept of rural development in this framework of action stresses the importance of having the rural poor participate in decisions pertaining to development.

In this context, PROPLAN studies found one major stumbling-block to governmental action in orienting or guiding the development process: the limited ability of governments to formulate and successfully implement agricultural development and rural welfare plans, projects and programs.

Limitations within the public sector for guiding the development process are largely the result of an approach emphasizing a separation between the definition of policies and their implementation.

In fact, by mid-century, efforts aimed at institutionalizing planning as a governmental task were widespread throughout Latin America and the Caribbean, and "administrative reforms" were carried out. The main idea in both cases was to convert the public apparatus into a smooth-running entity capable of meeting the development needs of the countries. The problem encountered by these efforts, however, was that they were not based on an integrated concept of action in the public sector. Planners were relegated to the task of defining policies and formulating plans, and the remainder of the bureaucratic apparatus was in charge of implementing policy in a mechanical fashion as set out in the plans.

Thus, most of these efforts were directed at strengthening agencies at the national level, at the expense of regional and especially local agencies. What clearly emerges within the context of the problems of public sector action is the weak and often nonexistent participation of the rural population in the decision affecting their lives, and a corresponding lack of flexibility on the part of the organizational structures of the

public sector to respond to change.

3.2. An Approach to the Guidance of the Planning-Implementation Process of Agricultural Development and Rural Welfare Policies

To cope with the problem at hand, PROPLAN's action follows a strategy of strengthening the directive mechanisms of the public institutions whose primary tasks are agricultural development and rural welfare. The strategy follows a consistent approach of:

i) redefining policy planning and implementation to form a single planning-implementation process in which the analysis and definition of strategic and operational policies merges with program and project management;

ii) redesigning the role of directive systems at local, regional and national levels since the mechanisms for the guidance of the planning-implementation process (though they may vary at the various levels) form a coherent whole and so any partial action would fall short of the mark;

iii) adjusting the relations between the public and non-public sectors, with an eye to ensuring the active participation of the rural population in the guidance of the planning-implementation process of agricultural development and rural welfare policies. This is crucial, both for identifying actual needs and for generating an effective response.

PROPLAN's actions within this approach aim to help improve the effectiveness and efficiency of those government organizations in Latin America and the Caribbean generating the goods and services required for agricultural development and rural welfare.

3.2.1 The Planning-implementation Process of Agricultural development and Rural Welfare Policies.

One important point to consider in public sector action, in terms of agricultural development and rural welfare in the countries, is the necessary complementarity between defining and implementing its policies. Merging these into a single planning-implementation process, requires that government activities should be considered as interdependent acts necessary to achieve the expected results together with those that the private sector and the rest of the population will carry out.

In this sense, the instruments used to define strategic and operational decision must explicitly consider implementation needs. Then, monitoring activities will provide the data needed for continuous analysis of the public and non-public (private sector and the rest of the population) actions and its impact on agricultural development and rural welfare and for any adjustments that may be needed.

This is why the guidance of this planning-implementation process must consider the way decisions are implemented.

Such guidance can then monitor whether or not actions are consistent with the policies as defined. Given the existence of various organizations involved in implementing policies on agricultural development and rural welfare, one important aspect to consider in guiding the process is coordination, not only during implementation, but from the very first proposal of action.

For this reason, a fundamental aspect of PROPLAN's approach is to view the implementation process as inseparable from the planning process. This aspect should be particularly considered even for analytical purposes concerning the process. The principle underlying this concept refers to the dynamics of the interdependence among the activities involved in the planning-implementation process as the essential component of the public sector action in the rural development process.

A description of the nature of the planning and implementation processes

begins with the fact that a government, on the basis of an analysis of the socioeconomic and political situation, defines direct actions and promotes others which alter the situation so that specific objectives of the development policies of the particular country thereby become feasible.

If the basic characteristics and products generated by each of these processes are used as the basis for identification, then planning can be defined as a continual policy-producing process 11/ integrating policy analysis with decision-making. Implementation can then be defined as a continual process of execution of specific actions 12/ to generate goods and services for which the public sector is responsible.

An integrated wiew of public sector action to orient the agricultural development and rural welfare process, becomes possible when planning and implementation are defined as a single process. This means that agricultural development and rural welfare can be carried out in accordance with the ideological-political position (doctrine) of the government and the specific socioeconomic and political situation of each country.

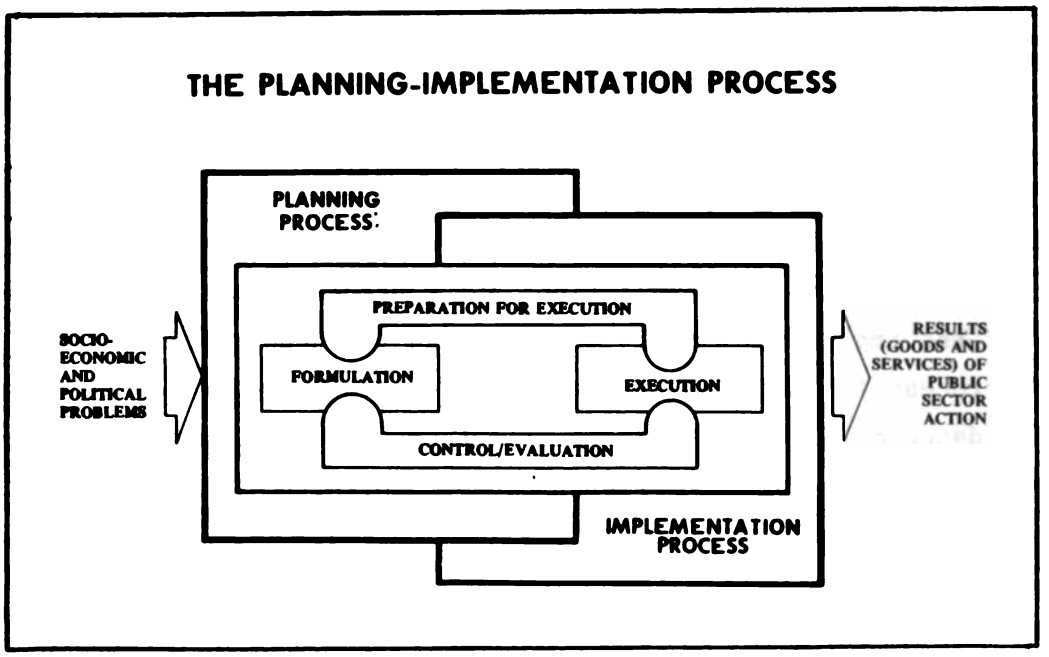
11/ The term "policies" is used generally to define the products of the various types of decisions taken by a government. These decisions can be classed according their nature, as orienting or strategic decisions (those policies generally defined as comprehensive and sectoral), or as operational decisions (referring to policy measures and specific actions). The latter generate an obligation to implement something and generally refer to well-defined programs and projects.

12/ This specific action takes place within the programs and projects implemented during budget periods. It refers to production, support and regulatory activities carried out directly by a government through the organizations which make up the public administration. Production activities generate products wanted by the organization. Support activities refer mainly to transactions taking place within the organization to obtain the necessary inputs and deliver the products generated. Regulatory activities are activities intended, within a given standard framework, to provide management of the various elements making up the organization, and the way these interrelate with their surrounding environment.

Like any social process, the policy planning-implementation process is characterized by the complex of activities that give it its specific nature. This complex of activities has four stages: formulation, preparation for execution, execution and control-evaluation. These four stages can be separated for purposes of analysis, but in practice, they comprise continuous activities shaping interdependent processes, thereby giving the sense of continuity which should typify public sector action to orient the agricultural and rural welfare process.

This integrated view of planning and implementation is borne out in the conclusions of an IICA study on the agricultural planning process in twenty-three Latin American and Caribbean countries. The study showed that planning activities could be conveniently grouped into three stages: formulation, preparation for execution, and control/evaluation. Furthermore, studies of the implementation process revealed the need to link it to the planning process so that "government action" could be analyzed with respect to the guidance of agricultural development and rural welfare. This led in turn to classify the implementation process into three stages: preparation for execution, execution and control/evaluation.

The studies indicated that an ensemble of activities common to both the planning and implementation processes were seen as isolated factors. In order for public sector actions to be consistent and continuous, it is essential that they be viewed in an integrated fashion and take place within the stages of preparation for execution and control/evaluation. These two stages articulate formulation and execution, which in turn integrate the planning and implementation processes. This requires a joint action of the sectors, which has an effect on the traditional content and mode of operation of the processes. This articulation is not a mere conceptual arrangement, it is also defined in theoretical and practical terms and considered of vital importance to a positive change in the efficiency and effectiveness of public agencies concerned with the rural development process. The following figure



shows the relationship between the stages and the above-mentioned processes.

The integrated approach to the planning-implementation process gives each of the above-described stages a specific purpose.

Thus, the formulation stage consists basically of the generation of strategic and operating policies for tackling socioeconomic and political problems.

Preparation for execution consists of specifying measures of the policies that were formulated, defining and specifying measures for correcting conjunctural situations and implementing adjustments recommended in the control/evaluation stage and the corresponding assignment of resources and responsibilities, to implement specific actions.

The execution stage concentrates on providing the internal inputs necessary, and their transformation into goods and services. It also includes delivering these in the form of public sector action.

Finally, control/evaluation deals with monitoring, evaluation, and definition of corrective measures.

On the basis of the analysis of the planning-implementation process and considering the problems mentioned in the previous section, it was concluded that PROPLAN's action should be based on a redefinition of the traditional approaches to planning and implementing policy on agricultural development and rural welfare. The redefinition has to take account of the necessary interdependence between the different activities that define the processes, and the need to get away from essential elements of these processes in Latin America and the Caribbean in the last twenty years.

One element of the "traditional approach" is the doctrine which institutionalized planning in Latin America and the Caribbean, and the "administrative reforms" of the public sector which separated policy definition

(considered the task of a group of professionals called "planners") from policy implementation (a job handled mechanically by a bureaucratic apparatus). The other element is the view that planning is the exclusive activity of these planners, who see themselves as agents of social change, not giving its whole dimension to either the ideological stance of the power groups in charge of decision-making, or the interest of the groups affected by those decisions.

Thus, most of the efforts in planning focused on preparing an overly detailed "plan" (document or book) containing what they thought "should be". This proved not to be very viable socieconomically or politically.

To define the work of planners as solely a question of defining policy is to restrict its scope to a few aspects of what has been described previously as the formulation stage. The result is that the work to be done by the reminder of the bureaucratic apparatus is limited to carrying out decisions adopted at the time the policy was defined, thus in turn restricting its scope to the single task of "executing". Thus, the traditional approach referred to, has resulted in the lack of coordination that shows up in practice between the definition of policies and the actions for implementing them, and which has had a negative effect on the efficiency and effectiveness of government action.

In addition, the coordination of policy definition and policy implementation highlights the importance that should be given to relations with the non-public sector, based on the degree of participation acceptable within the doctrinal framework of each government. The economic and political systems prevailing in Latin America and the Caribbean are such that the ability to coordinate development policy at its different levels with the non-public sectors and within the public sector itself is crucial to effective, efficient government action.

The consequent conclusion is that government action should be viewed

as a single process of planning-implementation, which comprises: problem analysis, stating the alternatives available, decision-making and execution. This concept provides an integrated (public/non-public sectors) and articulated (formulation/execution) view of the public sector action for orienting development.

It should be noted that this attitude implies a shift in emphasis in the content of the traditional concept of the planning process. PROPLAN's approach reduces the relative importance of the efforts that seek exclusively to rationalize strategic decisions. Rather, it emphasizes "action" and its iterative relation with strategic and operational decisions. It also means a needed concern of planners for specialists responsible for carrying out specific actions as well as for their relationships with other groups in the public sector holding decision-making authority and with those non-public groups affected by the decisions to be made. It also suggest that conceptual developments and technical planning and management instruments be oriented in response to the demands generated in carrying out these actions, so that the technology generated will meet these demands. An attempt is made to stress results and the processes involved in their generation (and the consequent involvement of those responsible for making and implementing decisions), rather than the intermediate products or the techniques used to generate these products.

3.2.2 The Directive System and the Guidance of the Planning-implementation Process.

PROPLAN's sphere of action is circumscribed by the directive system of the ensemble of public agencies primarily concerned with agricultural

development and the welfare of rural people. 13/ In this respect the ensemble of public agencies is considered as an open system. In other words, its components maintain a complex interaction with the system's environment. In this case, environment refers to the political and socioeconomic situation of the country in which the system acts and of which it forms a part.

The components of this system emerge from four groups of activities with specific goals, which give rise to subordinate systems of the main system: production, support, regulation, and direction. Although real differences exist between the subordinate systems, they lack meaning of their own, since their specific activities are derived from the comprehensive action of the main system, here expressed by policies on agricultural development and rural welfare.

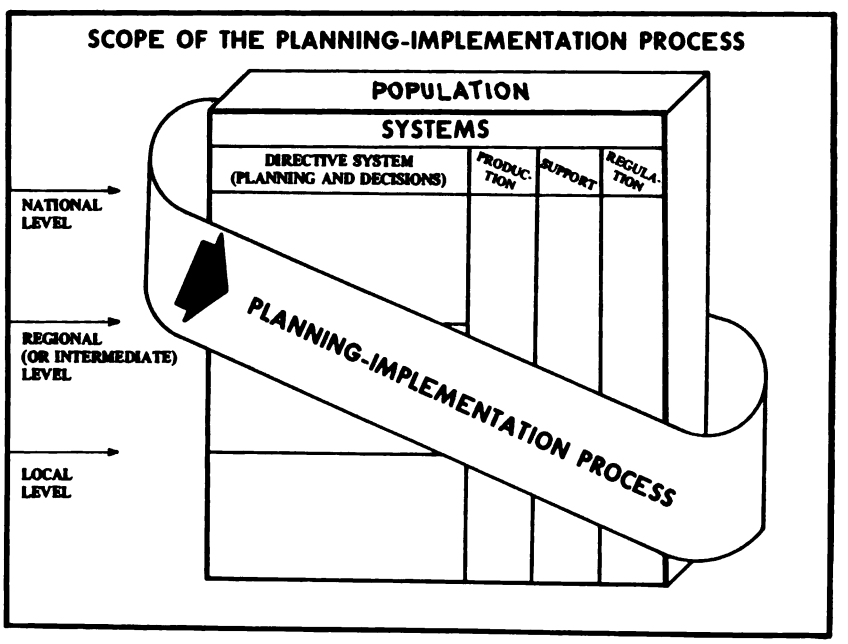
PROPLAN's approach sees the directive system with the goal of directing or guiding the actions of the main system as a whole. This implies managing the functions and performance of the subordinate systems. So the approach presented here emphasizes strengthening the directive system so as to have a comprehensive impact on the main system.

13/ This definition uses the systems approach as a theoretical tool for interpreting organization. There is an enormous body of literature on the systems approach applied to the theory of organization, but we shall refer here only to the most widespread of the concepts. For our purposes, then, the concept of systems refers to an organized ensemble of interrelated parts or components, working together to achieve a common objective, through an ensemble generated by specific processes, within the limits of the system. The parts or components of the system are those defined by other, less complex elements and are derived from an analysis of the functions to be carried out by the main system to achieve its objective. The definition of subordinate systems will depend on the reasons for analyzing the system. Thus, in some instances, the same system can be categorized in different ways.

Since the action of this system is manifested through the planning-implementation process of agricultural development and rural welfare policies, it has been determined that the strengthening action should target the mechanisms that actually direct or "guide" the process, that is, the so-called directive mechanisms.

The guidance of the planning-implementation process is done on the basis of two elements that determine the nature of its products. These are the policy analysis and decision-making processes, which determine the activities of the planning and decision-making systems, respectively, and are the reason why the directive system is seen as formed by the planning and decision-making systems. Their integration is more than a mere adding on: it involves the complex interrelationship between both systems.

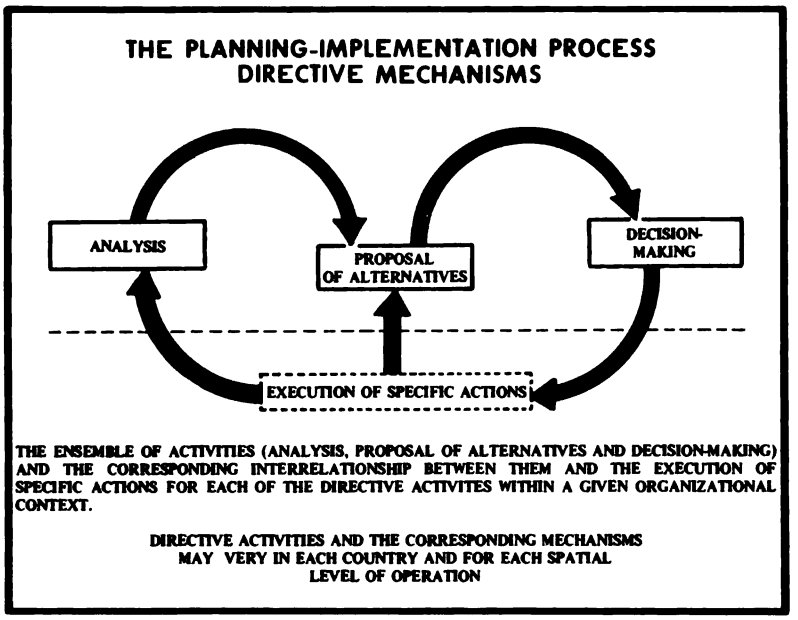
The following diagram charts the relationships between the above concepts, showing how the orientation of the agricultural development and rural welfare process is accomplished by means of the participation of all public agencies, within the planning-implementation process. In this context, guidance of the planning-implementation process pertains to the directive system.



To achieve its aim, the directive system works out a series of functions. These include: i) the characterization and interpretation of socioeconomic and political problems; ii) establishment of objectives and strategies; iii) definition of strategic and operational policies; iv) definition of the institutional organization; v) programming of specific actions and allocation of resources and responsibilities; vi) the coordination of inter-institutional efforts; vii) monitoring specific actions and behaviour of factors arising from the socioeconomic/political sphere; and viii) evaluation of accomplishments and their impact.

The directive system carries out these functions through various activities with features particular to each country. These may vary in accordance with the role and specific characteristics of each of the public sectors, and with each level of operations. Each directive activity implies analyzing (identification and interpretation of problems, formulation of alternatives to solve these problems), advising (proposal of alternative decisions), and decision-making. These lead to the accomplishment of specific actions.

This ensemble of activities (analyzing, advising and decision-making), the corresponding interrelationship between them and the execution within a given organizational context, comprise the mechanisms used by the directive system for the guidance of the planning-implementation process. The following diagram gives a breakdown of the total picture.



Thus PROPLAN's approach seeks to strengthen the directive machinery of the planning-implementation process at these different levels of coverage and thus promote greater efficiency and effectiveness of the public agencies in Latin America and the Caribbean generating the goods and services required for agricultural development and rural welfare.

3.2.3 The Relationship between the Public Sector and the Rural Population for the Guidance of the Planning-implementation Process

Although the previously mentioned strengthening actions are aimed at all the levels of coverage (national, regional and local) at which the public agencies operate, the approach described also implies a strategy which emphasizes integrating directive mechanisms at regional, or intermediate and local levels with the corresponding mechanisms of wider coverage, resulting in considerable improvement in the effectiveness and efficiency of public

sector action in the rural milieu.

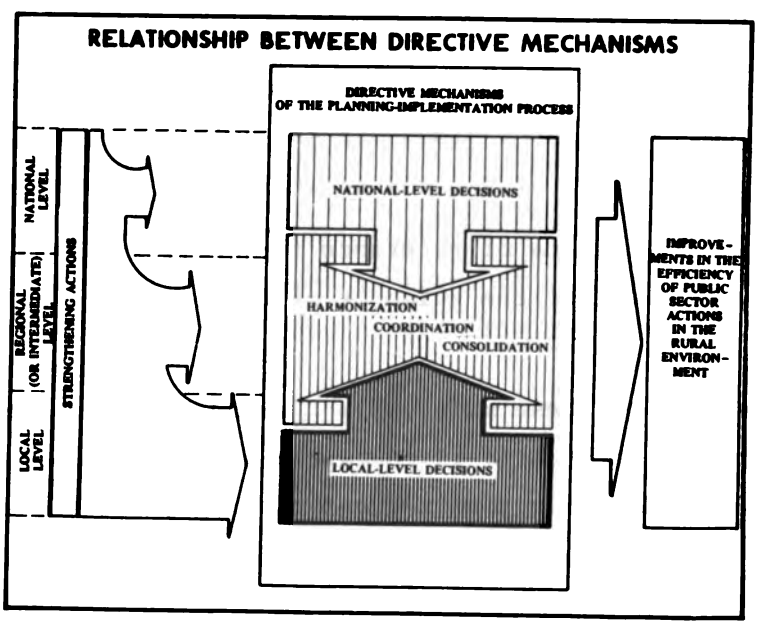
The strategy outlined assumes that the demands of the target population concerning rural development are generated at the local level. By emphasizing strengthening activities at this level, active rural participation can be enlisted in the guidance of the planning-implementation process, thus enhancing the chances of improving substantially public sector performance.

This is why action within this context must be oriented toward strengthening mechanisms to guarantee that problem interpretation, proposal of alternative/actions, decision-making, and the implementation of all these result from the interaction between public agencies and rural organizations. Only in this way can appropriate solutions be found, produced as the result of the new dynamics caused by these interactions. Social controls can thus be built into a directive system which generally tends to be rather technocratic in style, because of its governmental nature. Leaders of the rural organizations and employees of the public sector will be able to develop mechanisms which will result in their own re-education within the new socioeconomic-political dynamics thus generated.

This suggests the need to develop more joint efforts with technical staff responsible for carrying out specific actions. Also, it indicates a concern for their relationships with groups in the public sector that hold decision-making power, and with those non-public groups affected by these decisions. It should be stressed that corrections in the weaknesses of the one way, top to bottom, vertical nature of the organizational structure so widespread in Latin America can not be achieved by merely reversing the flow of the decision-making process. In fact. the approach described sees basic differences in the role played by the directive system at the different levels at which it operates.

Thus, the strategy of emphasizing the strengthening of the directive

mechanisms at the local level; as outlined above, will produce an upward flow of decisions which will have to be harmonized with the downward flow of guidelines produced at the national level. The upward and downward flows will be compatible if an intermediate operational level of the directive system is established emphasizing harmonizing, coordination and consolidation. The following figure shows the relationship between the directive mechanisms at the different levels of operation.



Finally, it should be noted that although this approach assumes that the directive mechanisms operate at three levels of coverage -- local, regional, and national -- this was done in the interest of covering the greatest possible degree of complexity. It is acknowledged, however, that intermediate directive mechanisms need not necessarily occur as some form of regional organization, since this will depend on the characteristics of each country.

3.3 The Subject Areas of PROPLAN's Work

In implementing strategy for strengthening the mechanisms of the directive system, PROPLAN's experiences together with the help of national technicians have helped in the identification of certain areas of work ranging from basic to specific topics comprising PROPLAN's action within its sphere of competence.

3.3.1 Basic Subject Areas

Basic areas serve as a frame of reference for specific areas, and include comprehensive aspects of the guidance of the planning-implementation process.

Thus, PROPLAN's work on these main subject areas seeks to contribute to keeping IICA's actions in this field conceptually and methodologically consistent. Following, in descending order of coverage, are these Basic Subject Areas:

- the planning-implementation process for agricultural development and rural welfare policies, as integrator of the

public sector action and its articulation with the non-public sector.

- The directive system, responsible for the guidance of the planning-implementation process for agricultural development and rural welfare policies.
- The process of policy analysis as technical support for strategic and operational decisions in planning-implementation for agricultural development and rural welfare policies.
- The information system, as supportive element in the guidance of planning-implementation for agricultural development and rural welfare policies.

3.3.2 Specific Subject Areas

The theoretical-practical support for defining specific subject areas is provided by the directive mechanisms, identified in the member countries as subject areas where IICA's action is requested. Thus, the purpose of these specific subjects is to determine precisely which methodologies will enable support to the task of strengthening the public agencies' directive mechanisms; at their various administrative-geographical levels (local, regional or national). These subjects have been specified in terms of groups of activities with their own particular features occurring in the operation of the directive mechanisms:

- Describing and interpreting political and socioeconomic problems as they relate to agricultural development and the welfare of the rural population.
- Identifying the actual performance of the public sector and its capability to formulate and implement programs for agricultural development and rural welfare.
- Defining strategic and operational policies.
- Preparing development programs and projects.

- Identification, preparation and prioritization of projects.
- Preparation of operational plans and programs
- Program and project management
- Design of institutional organization
- Design of inter-institutional coordination mechanisms
- Design of systems for monitoring and evaluation of accomplishments and their impact.

3.4 PROPLAN's Operational Format

In line with IICA's organizational structure, PROPLAN's responsibilities under the Office of Multizonal Projects are twofold. First: helping to develop a sub-system aiming to strengthen IICA's technical expertise in PROPLAN's area of action. Second: the management of multizonal projects falling within its sphere of action. It should be stressed that, while these two aspects are complementary and fall under the same conceptual and methodological framework, each does have its specific features.

The first, based on the experience from the projects, aims to produce alternative approaches to orient IICA's cooperation with member countries in the guidance of the planning-implementation process of agricultural development and rural welfare policies. The second seeks to ensure that the multizonal projects in PROPLAN's sphere of action develop in accordance with the provisions of IICA's agreements, doctrine and institutional policy.

With respect to the two aspects mentioned above, PROPLAN's activities are developed according to the directive function it holds on the multizonal projects which fall under its responsibility. The purpose of this function is to ensure smooth-running relationships between the various components and resources of the projects, the proper and timely flow of inputs and the proper generation of products, in order to achieve the objectives of the projects and contribute to the IICA's backlog of technical expertise.

In line with the way the managerial activities for multizonal projects are classified[14/], PROPLAN's activities for directing its projects are twofold: First: the running or operation of the projects. Second: their performance. The one basically corresponds to the internal operations of the projects, and therefore tends to emphasize relations within PROPLAN and the insertion of this unit within IICA's directive mechanisms. The other, concerning performance, deals with PROPLAN's projects and how they relate to their technical-scientific context. This has to do with IICA's action in member countries and relations with other like organizations.

In line with the foregoing, PROPLAN exercises the directive functions through the following activities:

- Concerning the project operations:

  . defining and revising operational strategy;
  . defining and revising mechanisms for strategy implementation;
  . planning activities and resource use;
  . siting the projects, allocating resources; and
  . coordinating and controlling implementation.

- Concerning the project performance:

  . maintaining and operating a network for technical information and exchange of experiences;
  . operating mechanisms for coordination with other IICA actions;
  . disseminating and transferring project achievements; and
  . analyzing determining factors in the environment of the projects.

Although these activities are differentiated, the achievement of project objectives and the generation of inputs for the technical subsystem

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14/ See: Directing a Multizonal Project. Section 2.2.4, as per above.

is nonetheless viewed as a single proposition, in terms of the generation of appropriate technology within one sphere of action of the Institute. This requires the maintenance of conceptual and methodological unity as a means to develop an effective technical subsystem.

Two multizonal project are now underway under present PROPLAN operations: The Agricultural Planning and Policy Analysis Project (PROPLAN/AP), and the Management for Rural Development Project (PROPLAN/A).

Finally, as an illustration of how PROPLAN acts to achieve conceptual and methodological unity, a representative matrix is presented of the sphere of each project with relation to the subject areas covered by PROPLAN's work.

AREAS OF PROPLAN WORK	SPHERE OF PROPLAN/A	SPHERE OF PROPLAN/AP
BASIC SUBJECTS		
. The planning-implementation process for agricultural development and rural welfare policy.	X	
. The public sector's directive system.	X	X
. The process of policy analysis		X
. The information system for the guidance of the planning/ implementation process.	X	
SPECIFIC SUBJECTS		
. Describing and interpreting economic, social and political problems.	X	
. Identifying the actual performance of public sector and its capacity to formulate and implement programs.	X	
. Defining strategic and operational policies.		X
. Preparing development programs and projects.	X	X
. Identification, preparation and priorization of projects.		X
. Preparing operational plans and programs.	X	X
. Program and project management.	X	
. Design of institutional organization.	X	
. Design of inter-institutional coordination mechanisms.	X	
. Design of systems for monitoring and evaluation of accomplishments and their impact.	X	X

4. THE MANAGEMENT FOR RURAL DEVELOPMENT PROJECT, PROPLAN/A*

An analyisis of the public sector action in many Latin American and Caribbean countries to achieve the objectives of rural development indicates that one of the most serious obstacles to the development process is the limited capabilities of government to formulate and implement rural development programs and projects.

In order to overcome this problem, multiple efforts have been made by IICA and other international agencies to provide external cooperation, aimed at improving institutional capabilities for formulating carrying out rural development programs. However these efforts have generally been short-lived, dealt with very limited areas of action, and targeted public, centrally located agencies. Likewise, specific cases of cooperation through training have often involved academic education, with a high concentration of studies being pursued abroad. As a result, these forms of institutional strengthening have had limited impact. The countries resistance to adopting new institutional guidelines for the rural development process is often due to the fact that proposals are not appropriate for the conditions in which they are to be applied.

To cope with this general problem, IICA and the W. K. Kellogg Foundation decided to join efforts in the management for Rural Development Project. The fundamental purpose of this Project, known as PROPLAN/A, is to improving the effectivieness and efficiency of the public institutions of Latin America and the Caribbean generating goods and services for agricultural development, and improving the welfare of the rural population.

To these ends, the Project's strategy concentrates on strengthening

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*Following the Spanish version of IICA's internal programming documents the project title can be literally translated as "The Institutional Strengthening Project on Planning and Management for Rural Development". Project title in this document refers to the original project proposal written in English.

the directive mechanisms [15] used by the public sector for the guidance of the planning-implementation process for rural development policies in their different contexts (local, regional and national).

4.1. Nature and Scope of the Project

The PROPLAN/A Project operates within IICA's basic strategic framework [16], and aims at the three different levels to strengthen public agencies which focus on agricultural development and the welfare of the rural population. These agencies comprise the Project's institutional sphere of action.

PROPLAN/A is a project of institutional strengthening, and as such, it operates basically through reciprocal and participatory technical cooperation, the actions of which, in accordance with IICA's doctrinary framework, are the key element for self-sustained institutional development.

PROPLAN/A actions for institutional strengthening target the directive activities of the public sector agencies in which it works. These activities may vary according to the nature of each country's public sector, but in general, they fulfill the following directive functions: interpreting socioeconomic and political problems; establishing objectives and strategies; defining strategic and operational policies; defining the institutional organization; programming specific actions and assigning resources and responsibilities; conducting inter-institutional coordination; monitoring specific actions undertaken and the status of the factors that cause socio-economic and political problems; and evaluating the impact and effect of public sector actions.

15/ See Chapter III. "The directive system and the guidance of the planning-implementation process". Section 3.2.2

16/ See Chapter I. "Institutional strengthening through participatory and reciprocal technical cooperation." Section 1.2

On this basis, the systems approach [17] used by PROPLAN/A limits its actions to the directive systems of all the public sector organizations whose primary objectives are agricultural development and the welfare of the rural population.

Project actions within this framework do not take place in isolation, but rather are linked to the planning-implementation process targeted by this Project. PROPLAN/A bases its concrete actions on the principles, standards and methodologies used in the fields of development planning and development administration. These fields are considered ideally suited to finding solutions that will have an impact on the capability of the public sector to formulate and implement rural development programs and projects.

4.2. Project Objectives

Three types of objectives were identified for guiding the Project's activities:

General Objective. To strengthen public institutions in Latin America and the Caribbean related to rural development in their efforts to establish and respond to the needs of low-income rural populations.

Specific Objectives. To increase the efficiency and effectiveness of the public institutions generating goods and services for rural development by improving their directive mechanisms.

Intermediate Objectives.

a. To elicit the active commitment of public institutions for rural development, through resources and institutional policy geared toward improving their directive mechanisms, as a basic means to

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17/ See footnote 12. Section 3.2.2.

achieving the objectives of agricultural development and the welfare of the rural population.

b. To equip public institutions for rural development to carry out the self-sustained improvement of their performance and organizational capabilities in carrying on the processes of planning and implementing rural development policies.

c. To equip public, local, regional, and national rural development institutions to successfully implement directive instruments for improving their organizational capabilities.

d. To help public institutions for rural development establish appropriate institutional linkages with users organizations and consumers of public services in the rural milieu.

e. To establish a hemispheric information network for identifying, adapting and disseminating experiences and knowledge on matters of development planning and development administration in the rural sphere.

4.3. Project Strategy

The sphere of action of the PROPLAN/A multizonal project strategy stresses the strengthening of directive mechanisms at the regional, intermediate and local levels, incorporating them into corresponding mechanisms at the national level. A key consideration of the strategy is that directive mechanisms at the different levels must interpret the problems of the rural environment, and propose, define, and implement appropriate solutions through the interaction between public agencies and the organizations of actual and potential beneficiaries

Another important aspect of the Project strategy is that actions for

institutional strengthening can take place in support of any of the activities of the planning-implementation process. Thus, it is not necessary for PROPLAN/A activities to enter at the formulation stage. Nevertheless, one of its most important objectives is to see that microregional and regional rural development programs are formulated, as these are essential to fully consistent integration of public sector action.

4.4. Implementation of Strategy

PROPLAN/A strategy adheres to the same operational format as IICA's other multizonal projects, as described in Chapter II.

Implementation of PROPLAN/A strategy is based on three features. The first has to do with country/hemispheric interaction. At project-level, action is threefold: basic studies and research, training and direct technical support.

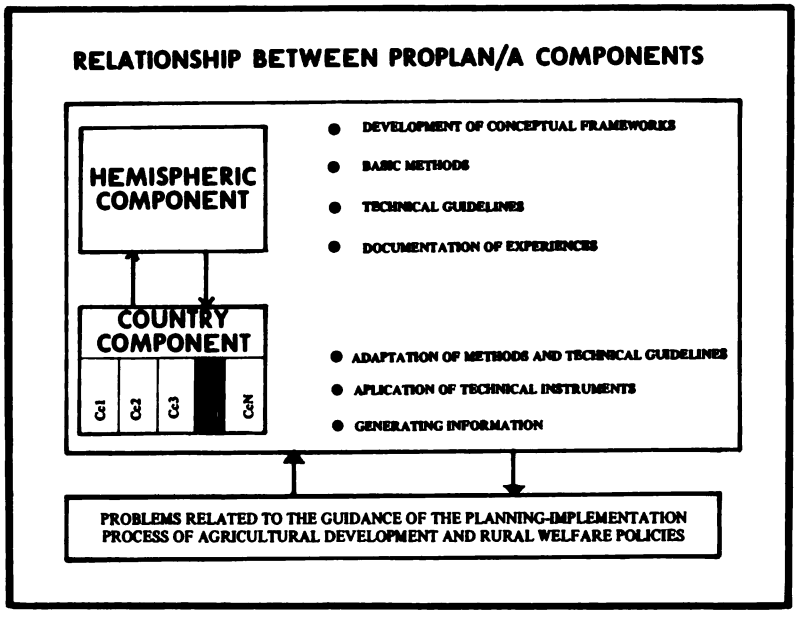
Secondly, this interaction corresponds to a kind of technical cooperation based on "transfer by doing" and "learn by doing". These methods stress participation and reciprocity (the basis of IICA"s institution strengthening strategy).

The third basic feature of project implementation concerns the relationships between the project technical groups working out at the Institute's Headquarter and those who are in the IICA Offices in the countries. In the multizonal context, even though these groups are located in different place, they are part of a joint effort.

The country/hemispheric relationship is a basic characteristic of the multizonal projects. In the case of PROPLAN/A, the hemispheric-component is oriented towards developing conceptual frameworks, technical guidelines and basic methodologies, as well as documenting concrete experiences. The

country components deal with the adaptation and application of these technical instruments and generating data to improve them. The interrelatedness of the two components determines that information is used to document experiences for eventual application through other country-components or joint actions at IICA offices in other member countries.

The following diagram schematizes the relationship between the two components.

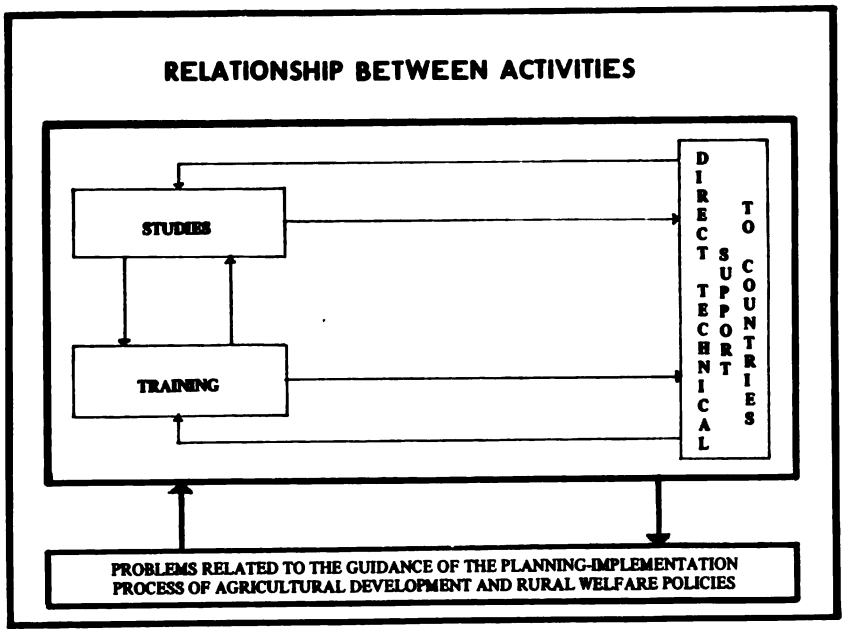


To attain its objectives, the Project develops three kinds of activities for each subject area: basic studies, training and direct technical support.

Direct technical support activities shape and determine the other two kinds of activities, since the Project is subject to the needs for support based on specific problems identified and as requested by the countries. These are not conjunctural requests they are based on specific problems already identified.

The research and studies generate or spread knowledge for the purpose of training and technical support, with feedback from these experiences.

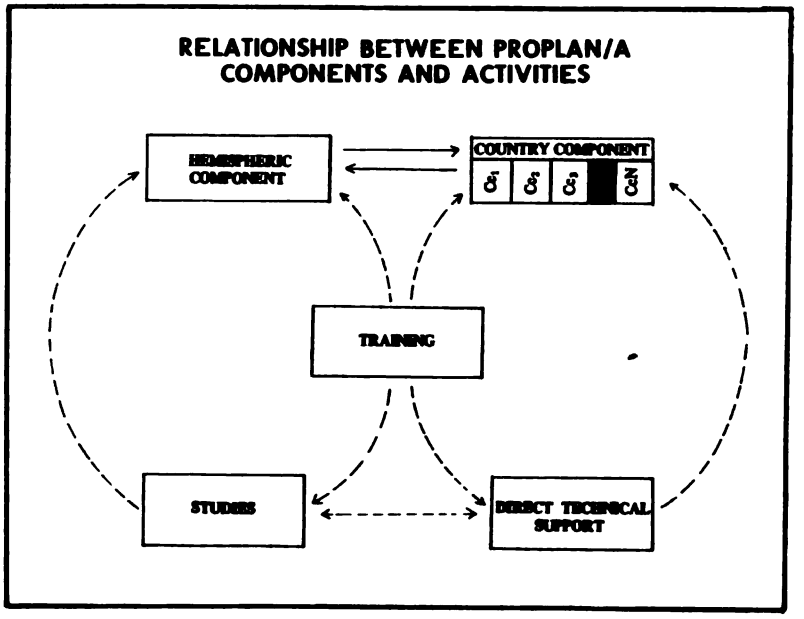
Lastly, training activities serve as a bridge between generating and transferring knowledge or experiences. The following table shows the basic interrelationship between these three types of activities.



The basic assumption when organizing Project operations is that along with direct technical support and training activities carried out in the countries, basic studies and training must be done in the context of the hemispheric-component for the development of conceptual and methodological elements. These elements are designed to serve as inputs for action in the countries; hemispheric-component activities, are thus oriented in terms of the special features of this action.

As to the direct technical support and training undertaken in countries, these must generate information to be gathered and systematized by study activities of the hemispheric-component in the countries. This is so as to improve or redesign the conceptual framework and methodologies and to document the experience gained and incorporate it with the backlog of technical expertise in the context of the hemispheric-component. In turn, these actions, generate inputs for other training activities at the hemispheric level and for new direct technical support activities in the c countries.

The following diagram illustrates the relation between the types of activities and the components of PROPLAN/A.



As mentioned, PROPLAN/A is implemented by the cooperation mode of institutional strengthening through participatory and reciprocal cooperation.

Direct technical support of project activities is based on the "transfer-by-doing" method. This means direct participation with national technical people and national institutions working in its sphere, for the purpose of promoting permanent national capabilities. Likewise, Project training activities are done in accordance with the "learn -by-doing" mode, focusing on problems encountered during direct technical support activities.

This cooperation method, linked to acting on concrete situations

through joint efforts with counterpart technical people, tends to produce results and experiences likely to be adapted and replicated in similar situations (thereby facilitating the process of institutionalization necessary for performance improvement and the development of self-sustained capabilities in the countries in formulating and carrying out programs).

A large part of the managerial activities of PROPLAN/A's lies in implementing this strategy. Indeed, the major responsibility in managing this kind of Project is to provide proper coordination of the technical groups in developing the activities peculiar to each, whilst maintaining the consistency of the operational method within a conceptual and methodological unity.

It should be noted that PROPLAN/A has, in addition to filling its own objectives, an external aspect that generates inputs for the technical subsystem involved in its subject area. In this sense, the Project is not a simple event in time but also an instrument for strengthening the IICA institutional technical subsystem related to planning and management for rural development.

4.5 Hemispheric-component of PROPLAN/A

As indicated in the foregoing Section, the hemispheric-component of PROPLAN/A includes basic studies and also training activities relevant to the hemispheric context. Both these and country-component activities are carried through joint action of the Project technical groups based at IICA- headquarters and in the corresponding countries.

4.5.1 Basic Studies and Research

These activities are organized around the basic subject areas specific to the Project.

The first basic subject area concerns the planning-implementation process for agricultural and rural welfare policies. Studies in this area are focused on developing a conceptual framework to guide data gathering, analysis, and permanent interpretation of the nature and problems of the process.

The second basic subject area is referred to the guidance of the process of planning-implementation of agricultural development and rural welfare policies through the directive system. A third basic area involves the necessary information for the guidance of the whole system. Studies and research in these two areas are oriented as much towards the characterization of this system as to developing basic methodologies for analysis and designing appropriate mechanisms.

Studies and research activities in these basic areas dovetail with those in specific subject areas related to the development of methodologies and technical guidelines on specific aspects of public sector action in the rural development process. Some of these are:

- the diagnosis of socioeconomic conditions;
- the anaysis of the public sector's performance and capability for the guidance of the planning-implementation process;
- the preparation of doctrinal framework to orient the development process;
- the preparation of rural development programs;
- the preparation of operational plans and programs for the public sector;
- the management of rural development programs and projects;
- the design of institutional organization;
- the design of inter-institutional mechanisms of coordination;
- the design of systems for monitoring and evaluation of accomplishments and their impact.

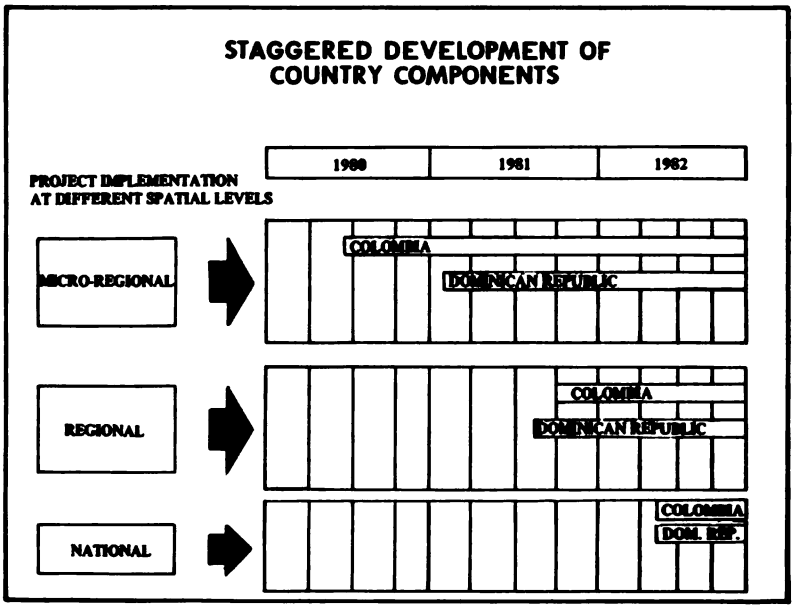
Basic studies activities are designed to develop documents on the conceptual and methodological aspects of each of these specific subject areas, that will illustrate how the methodologies were applied under the real conditions of each country. These materials form the basis of training and direct technical support activities.

4.5.2 Training Activities

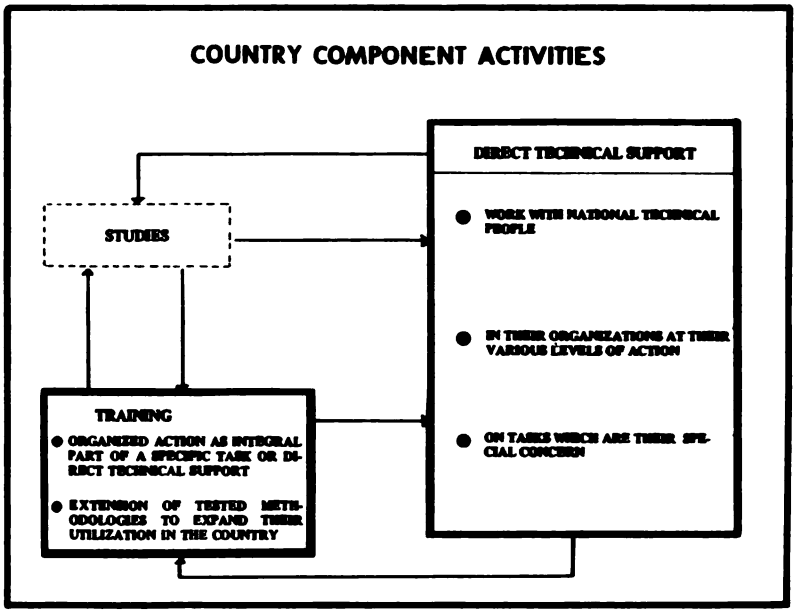
Training activities of the hemispheric component of PROPLAN/A are the major means of ensuring the spread and general interchange of knowledge and experiences on the subject areas of the Project and its accomplishments. Furthermore, these activities are a first step towards future cooperative action in the countries. As part of the working strategy of the Project, these activities successfully combine theoretical instruments with the study of experiences gained in their application.

4.6. Country-components of PROPLAN/A

PROPLAN/A has two country-components in operation: one in Colombia and the other in the Dominican Republic. Furthermore, outreach actions in other countries seek to develop new "country components". Project strategy staggers the development of these components in order to afford them with mutually enriching experiences.



As mentioned, a country-component includes two kinds of activities, e.g. direct technical support and training at the country level.



4.6.1 Training Activities

Training activities in the country-component are an integrated part of the support provided to various countries for specific matters. This activity takes place simultaneously with activities of direct technical support, and ususally begins with the presentation of the technical instrument developed through activities of the hemispheric-component and the results

of its application in other countries. Next, the need and possibility for adapting the instruments for application in the country are discussed with the participants and tested in a simulated situation. Training activities later serve as a means of extending the use of the instrument.

This procedure summarizes the main training mode , developed through PROPLAN/A's actions and known as "learn-by doing". It works primarily through the implementation of practical exercises in direct technical support activities.

4.6.2 Direct Technical Support Activities

PROPLAN/A's direct technical support activities follow a "transfer-by-doing" mode, which involves working with national specialists in their institutions and within the working programs that have been established for them. As such, they do not presuppose the creation of new institutions or a modification of development programs established by the countries. The Project's sphere of action involves the directive mechanisms of the planning-implementation process, and therefore, direct technical support seeks to cooperate with the specialists in improving them. The changes that take place through the Project's action are therefore generated by the country's own mechanisms. In general, then, these activities seek to help make the actions of the target institutions more effective and efficient.

Direct technical support activities in the country-components begin by defining the problems encountered in the guidance of the planning-implementation process at the local or microregional level, that is, the problems associated with planning and program/project management at these levels. The problems identified were used to define the activities and tasks developed for introducing improvements into the mechanisms available for solving them.

Thus emerged the need to develop actions for improving the mechanisms

related to: i) verifying the socioeconomic problems, objectives, activities, and factors affecting programs and projects,

ii) programming specific actions and the use of resources,

iii) organization and inter-institutional coordination; and

iv) information for monitoring the accomplishments of specific actions.

The improved mechanisms and instruments applied at the local level were analized and subjected to validation by regional and national authorities. Thus, the Project's strategy was put into practice, and mechanisms were adapted to integrate several microregions into one region, and several regions at the national level.

Although actions begin at the local level, they are oriented to give consistency to mechanisms at all levels, and the regional or intermadiate level is seen as a harmonizer, coordinator and consolidator of the upward flow from the local level and the downward flow from the national level. Thus, all Project actions seed to reflect a conceptual integration of the planning-implementation process in the approaches, concepts and methodologies used in their processes to generate their products at the national, regional and local levels.

The table below describe how the emphasis of the work of the technical groups and entities that share in implementing these same activities.

ACTIVITIES OF DIFFERENT GROUPS RELATED TO PROPLAN/A

ACTIVITIES PARTICIPATION OF PROPLAN/A GROUPS	OTHER GROUPS AND ENTITIES		
	PARTICIPATE	EXCHANGE INFORMATION	GIVE OPINIONS
ANALYSIS OF PROBLEM AT HAND C.G. C-L.G.	• NATIONAL TECHNICAL PEOPLE	• OTHER AGENCIES	• ADVISORY GROUP
METHODOLOGICAL CONCEPTUAL FRAMEWORK C.G. C-L.G.	• CONSULTANTS ASSOCIATED INSTITUTIONS	• OTHER INSTITUTIONS	• ADVISORY GROUP
METHODOLOGICAL ADAPTATION AND TECHNICAL GUIDELINES C.G. C-L.G.	• CONSULTANTS • NATIONAL TECHNICAL PEOPLE	• ASSOCIATED INSTITUTIONS	
HEMISPHERIC TRAINING AND OTHER COUNTRIES C.G. C-L.G.	• CONSULTANTS • ASSOCIATED INSTITUTIONS • NATIONAL TECHNICAL PEOPLE		
TRAINING–SELECTED COUNTRIES C.G. C-L.G.	• CONSULTANTS • ASSOCIATED INSTITUIONS		• NATIONAL SPECIALISTS
DOCUMENTATION EXPERIENCES C.G. C-L.G.	• CONSULTANTS • NATIONAL SPECIALISTS	• ASSOCIATED INSTITUTIONS • OTHER INSTITUTIONS	
TEACHING MATERIALS C.G. C-L.G.	• CONSULTANTS • ASSOCIATED INSTITUTIONS	• OTHER INSTITUTIONS	• ADVISORY GROUP • NATIONAL SPECIALISTS
DIRECT TECHNICAL SUPPORT SELECTED COUNTRIES C.G. C-L.G.	• CONSULTANTS		• NATIONAL SPECIALISTS
DIRECT TECHNICAL SUPPORT OTHER COUNTRIES C.G. C-L.G.	• CONSULTANTS		

C.G. CENTRAL GROUP
C-L.G. COUNTRY-LEVEL GROUP

5. COUNTRY-COMPONENT OF THE PROPLAN/A MULTIZONAL PROJECT: THE COLOMBIAN EXPERIENCE

5.1 Background

The public sector in Colombia is among the most developed and well organized in all the Latin American and Caribbean countries. In addition, this sector is among the most institutionalized in terms of its general approach, which is based on a strategy of integrated rural development.

The principal governmental program underway in Colombia targeting small-scale peasants is the Integrated Rural Development Program (DRI), which benefits more than 800.000 peasants in 370 Municipalities from 17 of 23 Departments into which the country is divided. It has a budget of US$670 million for the 1977/85 period, from external and national resources, and is currently in Phase Two of its operations.

The characteristics and scope of the Integrated Rural Development Program, DRI, are presented in greater detail in the Appendix. The Programs' General Directorate and its Regional Offices in the Departments where actions take place, with the added participation of over 20 Public Institutions are responsible for developing basic infrastructure and services for agricultural production and for the rural population.

Although the DRI Program has been responsible for establishing flexible mechanisms, primarily for improving inter-institutional coordination and better community participation, on-going evaluations have revealed the need to strengthen these mechanisms.

Faced with this real need, as well as the interest of the Programs's

General Directorate in reinforcing its work in this field, the IICA Office in Colombia focused its cooperation on the DRI Program through the Colombia component of the PROPLAN/A Project. The terms of this cooperation are described below.

First, some background information should be examined. The actions of IICA's Office in Colombia in the area of planning and administration for rural development began in 1969, in a joint effort with the Inter-American Development Bank (IDB) for a training program in preparing and evaluating agricultural projects.

In response to the interest expressed by the public institutions of the Colombian agricultural sector to improve project management skills, IICA signed an agreement of technical cooperation in 1978 with the Colombian Agricultural Institute (ICA), for developing project management models in the Technology-Transfer Districts (DTT) of Pamplona and Sur-Huila. The cooperation involved joint efforts between IICA's Office in Colombia and the Hemispheric Project Management Program.

In November 1978, the "First Seminar on Rural Development Project Management" was held in Bogota with the participation of several sectoral institutions, through the Project Management Program. Participants in this event identified critical areas of project management at the local level. At the same time, it was found that one of the most urgent needs of the responsible institutions was the development of appropriate methods for project management.

In addition, the Colombian Ministry of Agriculture expressed its interest in carrying out joint actions with IICA for strengthening its sectoral planning skills. To this end, IICA signed an agreement with the Ministry for strengthening its skills in the area of policy analysis and for involving it in the identification, priorization, management and evaluation of programs and projects for the agricultural sector. The

institutional systems of the Agricultural Sector Planning Office (OPSA) and the planning offices of the entities responsible for priority areas of the National Integration Plan (PIN), were targeted for these actions. The entities were: the Colombian Agricultural Institute (ICA), the National Institute of Natural Resources and Environment (INDERENA), the Agricultural Marketing Institute (IDEMA) and the Institute of Meteorology, Hydrology and Land Rehabilitation(HIMAT).

5.2. The PROPLAN/A Project in Colombia

When the actions of IICA's Project Management Program concluded in late 1979, the Institute decided to collect the experiences gained through these hemispheric and country-wide actions and integrate them with other efforts carried out earlier in the area of planning, especially with the more recent experiences of the Agricultural Policy Planning and Analysis Project PROPLAN/AP and the Project Management Program.

As a result of the joint action of IICA's Office in Colombia and PROPLAN, the experience gained was made full use of, and the colombian component of the PROPLAN/A multizonal project established. Technical cooperation via this country-component was formalized through an agreement signed by the Head of the National Planning Department and the Institute. Specifically, the purpose of the agreement was to strengthen the activities for the guidance of the planning-implementation process of rural development policy in the three spatial contexts (national, regional and microregional) through actions supporting the directive system (planning and decision-making of the DRI Program.

5.3. Objectives of the PROPLAN/A Colombian Component

The following objectives were drawn up in line with the general terms of the PROPLAN/A Project and within the context of the Integrated Rural

Development Program:

- General Objective

To strengthen the planning and management system of the Integrated Rural Development Program (DRI).

- Specific Objective

To equip the DRI Program and the institutions implementing it to operate an efficient and effective planning and management system for rural development at the national, department and district levels.

- Secondary Objectives

a. To elicit the commitment of the DRI General Office and the institutions implementing the Program's Production Component upgrade the Program's planning and management skills at the different operational levels.

b. To design a planning and management system, based on currently used methods, which can be applied to the Production Component of the DRI Program and to each of the Program's executive units.

c. To provide training to the institutions and beneficiaries of the project in matters relating to the planning and management of rural development.

d. To design appropriate instruments for ensuring the self-sustained development of institutional skills in planning and management for rural development.

Thus, within an area-based strategy, the project's actions seed to strengthen mechanisms that will facilitate the interpretation of the problems of the rural environment, as well as to propose, define and implement appropriate solutions to these problems through the interaction of public agencies with the organizations of the rural population.

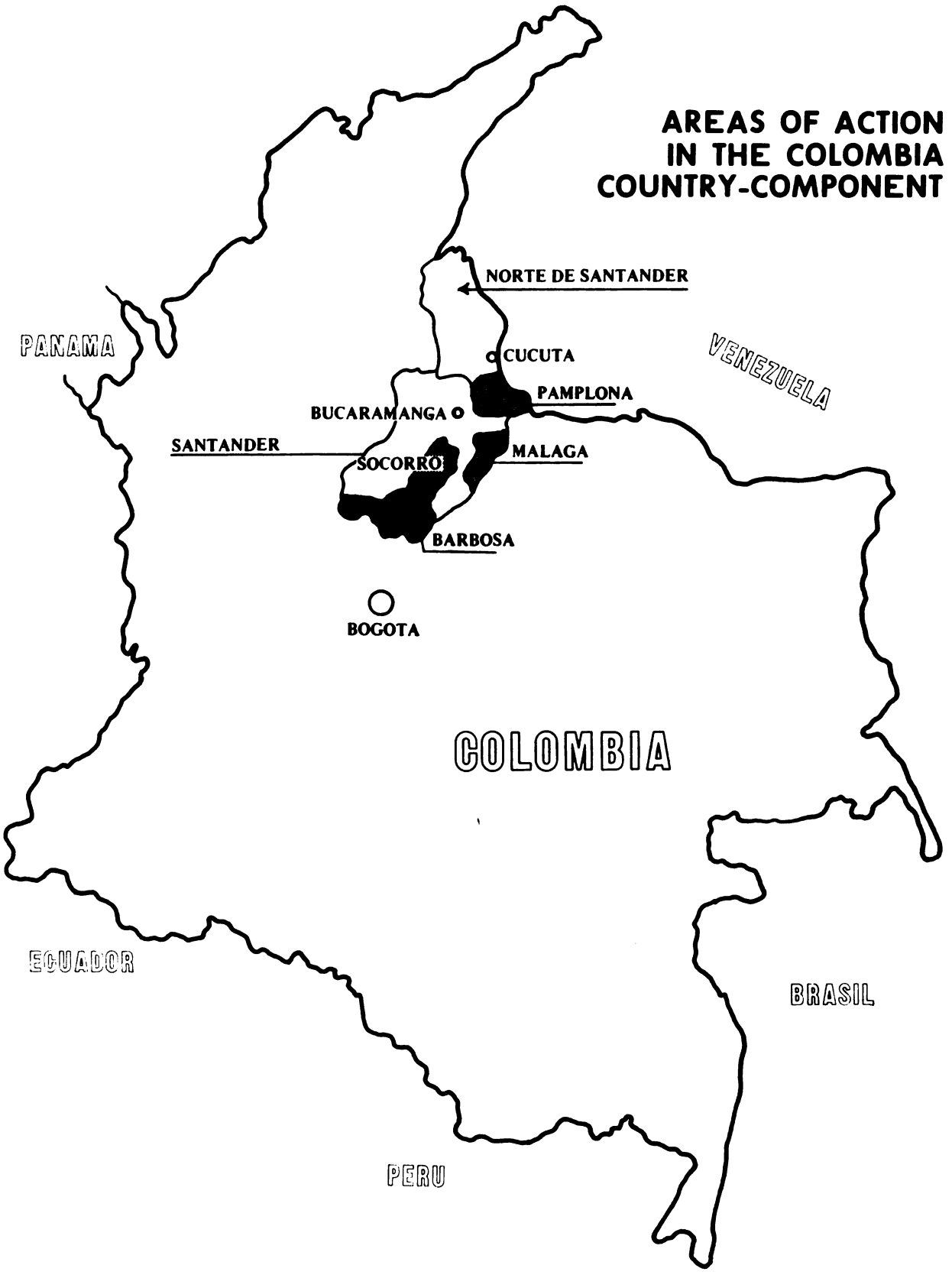
5.4. Strategy of the Component PROPLAN/A Colombia

The strategy of the PROPLAN/A multizonal project in its Colombia-Component was built on the foundation of the progress made and experience gained by IICA's Office in Colombia. Thus, early papers refer to program and project management based on the adaptation and application of instruments for project review, programming the use of resources, setting up inter-institutional organization and coordination, and monitoring actions. Later, conceptual and methodological elements for prospective and operational planning generated through PROPLAN 's hemispheric-component were incorporated gradually and progressively, after being adapted to specific conditions in Colombia. This procedure sought to incorporate planning and implementation into a single integrated and continuous process.

This strategy is implemented with the operational format used by the multizonal projects; that is, it focuses on training and direct technical support activities in the Project's countries, based on input from studies on conceptual and methodological matters generated by its hemispheric-component. Specialists from the Project's Central and Country-groups work together with national specialists in all these activities.

Direct technical support is developed through joint efforts with representatives from the institutions, to test and adjust selected methodologies and instruments (transfer-by-doing approach). It should be noted that this work also follows the guidelines established by the DRI Program for each of the executive agencies of its production component.

Training activities use ongoing training, or the "learn - by - doing" mode; specific joint activities involve a heavy dose of practical exercises conducted with national specialists. This format always begins with the presentation of methodologies developed by the hemispheric-component, followed by examples of its application, specific actions for adapting it to



the conditions of the DRI Districts, and follows with experimental testing in situations simulated by national specialists.

The following areas of attention were established for the Project's development: comprehensive and partial diagnoses, definition of a microregional policy of rural development, preparation of development programs, projects identification and formulation, preparation of operational programs, on-going evaluation, organization and for managing information and monitoring.

In addition, the Project's general strategy (also because the DRI Program was already underway in some Departaments) determined that PROPLAN/A's efforts in this Program could develop in any of the above mentioned areas of attention, and that these did not necessarily have to begin with the diagnostic phase.

During the First Stage, action focused on the local or microregional level (DRI District), for later expansion to the regional (Department) and national levels. Departments selected as possible working areas were: Santander, Sucre, Norte de Santander and Huila.

Modification of the original strategy was limited to the geographic coverage where proposed methodologies and instruments were to be applied. This was a result of the DRI General Directorate's suggestion that Project actions involve only Departments incorporated for Phase II of the DRI Program. It was felt that it should be easier to work in zones where methods generated during Phase I of the Program had not yet been applied.

The Department of Norte de Santander, where integrated rural development actions had begun in late 1980, was selected as the first working front, under the regional coordination of DRI/DNP-Santander. The Project's initial actions were limited to the DRI-Pamplona District and had to adjust to the timetables set by the DRI General Directorate.

In light of the results obtained in the DRI District-Pamplona, the DRI General Directorate requested that support actions be expanded to Department of Cesar, and the District of Malaga in the Department of Santander, where the methodologies tested could be expanded and improved. It should be noted that, although the DRI District-Malaga was in Phase I of the DRI Program, it was decided that support to it could be considered a strategic activity, in that it would help determine the viability of working in the more advanced DRI Program areas, that is, those in Phase II of the Program. Results have supported this hypothesis.

An agreement was made with the DRI General Directorate to focus 1982 Project actions in three Districts of the Department of Santander: Malaga, Socorro, and Barbosa *. This would lead to a strengthening of the directive mechanisms at the microregional level (District), then to the consolidation of these directive mechanisms with those at the regional level (Department), related to operational planning; institutional coordination and monitoring of accomplishments; and finally, their projection at the national level.

In regards to the Department of Norte de Santander, it was decided that action would be continued only in the DRI District - Pamplona, because of the progress achieved in the different stages of the planning - implementation process in that District. It will now serve as a pilot experience for developing actions at the microregional level.

5.5. Nature and Dynamics of the Format Used for Developing the PROPLAN/A Colombian-component at the Microregional Level

This section describes in some detail the activities developed for designing and appliying a program and project management system through the "learn - by - doing" and "transfer - by - doing" process that is expanded to include matters of strategic and operational planning and that makes overall Program actions consistent.

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* See map on following page.

5.5.1 The guidance of the Implementation Process. Project Management[17/]

At first, problems related to agricultural sector project management in general, and to the pertinent entities in particular, were identified. Then, agencial conceptual framework was developed for designing a project management system for the microregional level of the Colombian Agricultural Institute (DTT-ICA).

Participating in this process were specialists of the Colombian Agricultural Institute (ICA) working at the local, regional and national levels, representatives of the users of ICA services, and representatives of the entities involved with ICA's action at the microregional level.

Initial actions sought to prepare the specialists to work as a team. To these ends, the following took place:

- An introductory seminar based on motivational and organization development techniques, for generating both a comprehensive view of the problem and the commitment of the participants to develop a coordinated effort.

- Seminars for identifying the problems of rural development project management at the microregional level.

As a result of these efforts, task forces of ICA specialists were created for developing activities for each of the following areas of project management:

- Reviewing project objectives and strategy;
- Planning specific actions and the use of resources;
- Inter-institutional organization and coordination;
- Managing information and monitoring.

These actions were first developed experimentally in order to adapt the methods

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17/ IICA, Project Management Program. "Guía para el Manejo de Proyectos". San José, Costa Rica. 1979.

designed by the hemispheric-component to the conditions of an ICA-DTT, with an eye to pursuing a more generalized application at a later date.

a. Program or project review

Projects should be reviewed before implementation, even in advanced stages, to determine whether their original design takes into consideration the changes that may possibly have occurred between the time they were formulated and when they were implemented. In addition, efforts should be made to determine whether they include the elements necessary for implementation, such as clarity and consistency of objectives, goals, allocation of time and resources, activities to be carried out, sequence,; timeliness and anticipated results, specific responsibilities to be carried out, and a well-defined information system for monitoring.

The Operational Management Summary (Resumen Operativo Gerencial-ROG) 18/ is a tool used for presenting a comprehensive, clear and quantified vision of the objectives and goals pursued, and the activities and resources available for achieving them. It was used in this review for improving the possibilities of effective project implementation and for establishing the bases for this evaluation. Problems identified are used as input and organized in a system of priorities which was established with the participation of representatives of the executive entities and beneficiaries, who contribute their different approaches and perceptions of the problem.

In addition, an analysis was made of forces favoring or blocking development in an attempt to distinguish between problems which can be controlled and those which cannot (force-field analysis). This aided in the adoption of a strategy for defining the different levels of project objectives and their corresponding indicators and conditioning factors.

18/ The "ROG" is a modified version of the "Logical Framework". See IICA Project Management Program, "Resumen Operativo Gerencial, Fascículo 2." San José, Costa Rica. 1979

b. Programming specific actions and the use of resources [19/]

This comes under the Implementation Plan, which includes programming events, their anticipated results and respective deadlines. In addition, their duration is established (specifying starting and final dates), as is the task-responsibility table that clearly indicates the different specific actions to be taken out and the participants assigned responsibilities such as carrying out a task, participating in it, supervising it, or keeping informed.

The task force that worked on programming and the use of resources used the "ROG" as its basic input, and included additional detailed information on the problems identified and on the performance and capabilities of the institutions involved for action.

c. Inter-institutional organization and coordination [20/]

Activities in the area focused on designing a proposed model for the technical administrative structure for the DTT-ICA, [21/] taking into consideration organic-functional matters and inter-institutional coordination, and the relationships with beneficiaries. These activities developed in response to the programming of specific actions and the use of resources, the system for managing information and monitoring, and the relationships that were identified between the ICA and the other agencies for carrying out their activities. In other words, the design was oriented towards implementation of a strategy, not the reverse.

19/ Ibid., "Programación de actividades y uso de recursos, Fascículo 5". San José, Costa Rica, 1979.

20/ Ibid., "Organización y coordinación institucional, Fascículo 3". San José, Costa Rica, 1979.

21/ ICA-IICA "Organización Técnica Administrativa y Funciones". Miscellaneous Publication No. 82, Pamplona-Colombia, 1980.

Another task-force was created for this purpose with representatives from the local, regional and national levels. An organizational diagnosis was made of ICA and the other District-level (microregional) entities. Information was gathered in Pamplona and in other Districts.

d. Monitoring and management information system. 22/

Activities in this area focused at the District level and included the definition of the needs for management information, devising record-keeping and other mechanisms for effectively monitoring specific actions and tasks performed, so that adjustments can be made in time and to better fulfill Program goals. The system provides fast, relevant information to the Director of the DTT, for better decision-making and meeting the information needs of the higher levels (regional and national offices), with the frequency and conditions established by the decision makers. 23/

A task force was created with representatives from the local, regional and national levels to analyze methodologies and instruments currently in use at the ICA, vis-á-vis information for monitoring. The analysis covered the information needs of the different organizational levels, the institutions' commitments to generating information for users outside of the ICA, and the information needed for systematic monitoring of ICA's actions at the microregional level.

Upon the conclusion of this experimental phase, a management system was designed and tested according to the four items described above. It was presented for the consideration of regional and national ICA authorities at a seminar-workshop where the proposal was analyzed and adjusted to include

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22/ IICA, Project Management Program, "Sistema de seguimiento e información gerencial. Fascículo No. 7". San José, Costa Rica, 1979.

23/ ICA-IICA. "Distrito de Transferencia de Tecnología-Pamplona, Sistema de información y seguimiento." Miscellaneous publication No. 285, Pamplona, Colombia, 1980.

the recommendations of authorized officials, before implementation. 24/, 25/

5.5.2 The guidance of the planning-implementation process: strategic and operational planning and its relationship to program and project management.

The starting-point for boosting the efficiency and effectiveness of the public institutions guiding the Integrated Rural Development Program was an integrated view of "governmental action."

The first step was to study the rural development policies of the Colombian government, and the next to define and interpret the socioeconomic conditions present at the District level, through a microregional diagnosis. With these two instruments, together with a comprehensive analysis of public sector capability for action in this sphere, it became possible to define guidelines for actions at the District level.

Using the functions which directive systems ought, in principle, to fulfill as a guide, the role of the District-level directive system was defined. This led to the identification of mechanisms needing strengthening, and then to the design of the appropriate project identification and management system.

Bearing in mind the importance of people's participation in developing methodologies, planning and implementing action (as part of the planning-implementation process), great care was taken to ascertain just what determined people's participation within the DRI context.

It should be noted that strengthening the tangible elements of the directive mechanisms in Colombia means making recognized improvements in

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24/ "Segundo Seminario sobre Manejo de Proyectos de Desarrollo Rural". Serie Informes de Conferencias, Cursos y Reuniones No. 199, Bucaramanga, Colombia, 1980.

25/ "Análisis del Sistema de Manejo de Proyectos aplicado en el Distrito Pamplona". Publicación Miscelánea No. ZA/C32 (109). Bogotá, Colombia, 1981.

the instruments available to the DRI Program's directive system for developing its activities, in comparison with those in effect prior to the involvement of PROPLAN/A.

In addition, there was an ongoing concern to improve existing tools and to create others to complement them. Cooperative actions undertaken to improve these instruments used the "learn-by-doing" and "transfer-by-doing" approaches, which were fundamental elements for designing methods and generating required products. They are considered the best means for channelling the principles and concepts of development planning and development administration, which are the foundation for PROPLAN/A project actions.

The DRI Program's directive system develops activities to:

i. define geographic working areas;
ii. design development plans and programs;
iii. identify, prepare and give priority to projects; prepare operational plans and programs;
iv. prepare institutional working programs;
v. design, implement and operate coordinating mechanisms;
vi. design, implement and operate management information systems; and
vii. prepare on-going evaluations.

On the basis of these activities, and taking into consideration that certain products had to be generated before the deadline for defining the 1981 DRI Program budget, actions focused on:

a. Microregional selection.
b. Microregional diagnosis.
c. District Orienting Framework.
d. District Rural Development Program.

e. District Annual Operational Program.

f. Institutional Organization and Coordination.

Particular interest was placed on analyzing and improving existing instruments, and on developing and adapting methodologies in areas where the generation of other products was emphasized, like the Microregional Diagnosis, the Orienting Framework, and the District Rural Development Program.

Following is a description of each of these areas:

a. Microregional selection.

This involves selecting Municipalities and Veredas (territorial divisions where DRI Program actions take place), based on criteria established by the DRI General Directorate and through the decisions of the Departmental and District Committee. This was performed by specialists from executive entities of the DRI Program at the regional and microregional levels, with support from specialists working with PROPLAN/A. 26/

b. Microregional diagnosis.27/

This action refers to the use of the "Vereda Form," which summarizes the socioeconomic indicators at the Vereda level. Previously, this instrument was mainly used for selecting the Veredas that would be incorporated into the DRI Program.

Information obtained from the Vereda forms was collected and processed in order to define and interpret the socioeconomic problems and

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26/ DRI-IICA. "Identificacion y priorización de áreas para el Programa DRI, Departamento Norte de Santander," Cúcuta, Colombia. February,1980

27/ DRI-IICA. "Diagnóstico Microregional del Distrito DRI-Pamplona-Norte de Santander," Pamplona, Colombia, March 1981.

the development potential at the microregional level. The statement of problems and potential is the basic element for planning development. At the same time, additional information was gathered by interviewing qualified informants to complement the information obtained.

The following steps were followed for carrying out the Microregional Diagnosis:

- Specialists from the regional and micoregional levels of the DRI Program's executive entities in the Pamplona District were identified for participation in the efforts (DNP/DRI, Agrarian Bank, CECORA, SENA, INDERENA, ICA).

- Next, these specialists were requested to provide information on the nature and scope of the DRI Program, its objectives, budget, and other features.

- A seminar on Organizational Development was held for identifying and analyzing key variables affecting the relationships between individuals and group and their effectiveness in organizations (transactional analysis); and for finding the appropriate means for achieving the objectives (assertiveness analysis). Task forces were created and team work promoted.

- Training courses were developed to present and discuss the development of a conceptual framework of the planning-implementation process at the District level; to train personnel to use techniques for selecting areas (microregional selection); and to prepare the diagnosis. To this end, the techniques and instruments already in effect in the DRI Program were used as a basis and expanded with Project input. The methodologies were adapted to the specific conditions of the DRI Districts.

- Finally, inter-institutional and interdisciplinary groups were

formed for carrying out the Microregional Selection and Diagnosis. Project personnel provided direct technical support activities for this purpose, primarily on using the instruments for collecting and analyzing information and preparing the respective documents.

The following instruments and mechanisms were among those used: surveys, consultation meeting with the population at the Vereda and municipal levels, district coordination meetings, and research on operations for increasing the information available on pertinent aspects emerging during the process.

A methodology was generated for preparing the diagnosis, based on the results of the process as a whole and adjustments made in the techniques and instruments in use. The methodology was applied at the pilot level in another DRI District (Department of Cesar), in order to add to the amount of experience available before institutionalizing the methodology at the national level of the DRI Program.

c. Another important point was awareness that an Orienting Framework [28/] was needed for establishing objectives, strategies, priorities and goals of medium-term actions at the microregional level.

The orienting framework defines strategic areas of action for development in the microregion, and was used as the basis for preparing rural development programs and projects at the microregional level, for what concerned the Production, Social and Infrastructure Components of the DRI Program.

A task force was created with the DRI Regional Office for preparing the Orienting Framework. It included representatives of the executive

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28/ DRI-IICA. "Marco de Referencia para la Formulación y Ejecución del Programa DRI en el Distrito de Pamplona - Norte de Santander," Cúcuta, Colombia, February 1981.

entities and beneficiaries and worked to analyze and define:

i) Program objectives at the microregional level;
ii) Strategy of action;
iii) Overall and specific priorities;
iv) The Program's geographic coverage;
v) Program course; and
vi) Basic programming criteria.

A workshop using different techniques for enhancing team work, like nominal group techniques, force-field analysis, brainstorming, etc., had an important impact on the development of the work. As a result, the microregional diagnosis was validated, principal problems and priorities for rural development in the microregion identified, and the alternatives generated for solving these problems with the resources available. This led to the definition of the differente components of the Orienting Framework prepared as a joint effort by the DRI Regional Office and Project specialists (direct technical support actions).

The methodology used for preparing the Orienting Framework was later used in the DRI-Malaga District, after pertinent adjustments had been made thus, a tested and adjusted methodology exists for application in other Districts and at the regional level.

d, The District Rural Development Program [29/] involves the preparation of per product plans for the Production component, and specific projects for the Infrastructure and Social Components of the DRI Program. The following format was used for carrying out this work:

- Training was provided to all the specialists of the executive entities of the DRI District involving discussions of conceptual

29/ DRI - IICA. "Distrito DRI Pamplona - Norte de Santander. Componente Producción. Programación 1981- 1985." Pamplona, Colombia, 1981.

and methodological matters. Concrete exercises were carried out for adapting these to specific situations in the Districts.

- Specific activities identified the technological inventory markets. Research on operations was for this purpose. Task forces were created with representatives from the DRI Regional Office, the executive entities of the Program's Production component and the beneficiaries.
- Direct technical support dealt, for the most part, with introducing and adapting methodologies for use in preparing production plans for specific products. The "Production plan" is the instrument that integrated actions pertaining to credit, research, technology transfer, marketing, peasant's organizations and training. It makes possible the establishment of the objectives, goals, indicators and support resources necessary for carrying out these plans.

When the specific plans and projects were complete, they could be consolidated into a medium-term "ROG," which was presented to the district after adjustments recommended by this Committee had been incorporated, the DRI Regional Office presented the District Rural Development Program to the DRI Department Committee for its approval.

Adjustments were also made in the methodology, based on a test conducted in the Pamplona District, after which the methodology was expanded into the DRI - Malaga District, with an eye to its later expansion to other Districts at the regional level.

e. The District Annual Operational Program[30/] contains the necessary elements for implementing the District level Rural Development Program, and specifies the activities to be developed and the allocation of resources and

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30/ DRI-IICA. "Distrito DRI-Pamplona - Norte de Santander, Componente Producción, Programa Operativo 1981", Pamplona, Colombia. March, 1981.

responsibilities for each of the executive entities participating in the DRI Program. This activity was carried out with the project management instrument for "Programming specific actions and the use of resources".

District Rural Development Programs and the overall amount of resources assigned to the area for 1981 were taken as the foundation for annual programming. Actions began with a training event to present and discuss conceptual and methodological aspects of the work with representatives from the DRI Regional Office and specialists from the Program's executive entities.

In order to prepare the 1981 Annual Operational Program and to determine the specific actions to be carried out by the different executive entities considered in the overall programming (District Program), task forces were set up and consultation meetings held with the District Technical Committee, for analyzing the technical aspects and making the corresponding adjustments.

f. Institutional Organization and Coordination [31/] To better organize and strengthen the mechanisms of interinstitutional coordination, and increase the participation of beneficiaries, several recommendations were proposed, which complement actions taken to date and make importante contributions to the 1982 work program of the Santander Department.

5.6. Activities and Principal Products of the Component PROPLAN/A-Colombia

The following table illustrates the major results and chief elements of PROPLAN/A's participation, through the Country-level and Central Groups, in developing methodologies and helping to generate the products.

31/ DRI-IICA. "Modelo tentativo para la Coordinación Interinstitucional del Programa DRI, en el Departamento Norte de Santander". (First draft), Bogotá, Colombia, May, 1981.

GENERAL PRODUCTS	PARTICIPATION			
	GENERATING THE PRODUCT		DEVELOPING METHODOLOGIES	
	COUNTRY-LEVEL GROUP	CENTRAL GROUP	COUNTRY-LEVEL GROUP	CENTRAL GROUP
– Microregional selection	- Selection of municipalities and veredas based on criteria established by the DRI Program General Office and upon the decisions of the District and Department Committees	– Participation in the Departmental Committee Meeting		
– Microregional diagnosis	– Use of the "vereda form" and collection of complementary information – Definition and interpretation of problems and development potential at the microregional level – Preparation of the microregional diagnostic document for the DRI - Pamplona District	- Preparation of the Orienting Framework for DRI – Pamploma District	– Participating in: . Preparing the methodology for the microregional diagnosis . Improving the "vereda form"	– Definition of conceptual and methodological matters – Recommendations for adjusting the "vereda form" – Participation in adjusting the methodology for the diagnosis
– Orienting Framework	– Preparation of the Orienting Framework for the DRI - Pamplona District	– Preparation of the Orienting Framework for the DRI - Pamplona District	– Definition of contents and scope – Preparation of the methodology for developing the Orienting Framework in other DRI Districts	– Preparation of the preliminary methodology based on PROPLAN's Conceptual Framework
– District Rural Development Program	- Preparation of the Microregional Plan for the DRI Program's production component and for specific projects, including detailed plans for each of the executive institutions, their activities, time-tables, and responsibilities for research, technology transfer, credit, marketing, organization and training		– Adaptation of the methodologies to specific conditions of the DRI Program	– Elements contributed: -- PROPLAN's Conceptual Framework – Guide and pamphlets on Project Management – Document on the Planning-implementation process at the microregional level
– District Annual Operational Program	– Use of the Orienting Framework and the District Rural Development Program as a basis for establishing the essential elements needed for implementing the DRI Program in each of the executive entities and the DRI Regional Office, specifying activities to be developed and the corresponding assignment of resources and responsibilities		– Adjustment of the methodology and procedures used for this purpose by the Program	- Document: "Proceso de Planificación Operativa".
– Institutional Organization and Coordination			– Preparation of the document: "Un modelo tentativo para la coordinación finterinstitucional de Programas DRI, en el Departamento de Santander".	

5.7. Perspectives on the Colombian Experience

First of all, it should be mentioned that the progress achieved and experiences gained through the Colombian component of the PROPLAN/A Project have led to methodologies and instruments tested and adjusted for use in other microregions in 1982.

Consequently, training actions and direct technical support will be expanded to the DRI Districts of Malaga, Socorro and Barbosa in the Department of Santander, thus increasing the geographic scope of the project. As a result, conditions have been established for developing operational planning instruments and methodologies at the regional level. This will provide a basis for integrating regional-level actions with actions developed at local and national levels.

Joint efforts have been planned with the General Directorate of the DRI Program to institutionalize the methodologies tested and evaluated. This would involve expanding the methodology for microregional diagnosis to the entire DRI Programs, and designing and implementing a system for managing information and monitoring the Production, Infrastructure, and Social Components of the Program. General implementation and operation can take place by 1983.

Significant progress was made. This, and the Project's decision to concentrate first on local levels and then on regional and national levels, helped the DRI Program in Colombia, with PROPLAN's support, to generate instruments needed to strengthen the directive mechanisms for guiding the planning-implementation process of the policies implemented by the DRI Program.

The work in Colombia will surely continue to be an important source of data and a central topic of studies of the hemispheric component of PROPLAN/A. This component strives to develop and improve the conceptual frameworks and theoretical-methodological instruments for integrating the various efforts.

The salient characteristics of PROPLAN/A's approach include: the integration of experiences; the innovative nature of the instruments and approach to the planning-implementation process; the development of an environment that stimulates learning; the techniques used for transferring expertise which are developed in tandem with the institutions; the design of methodologies and their utilization in the generation of products as a joint effort with the staff members who must apply them.

In summary, the experiences described herein have been successful in integrating theory and practice in the ongoing search for solutions adapted or adaptable to specific conditions. This provides an important perspective for expanding the work underway in Colombia itself, and in other Latin American and Caribbean countries, especially those that have similar problems and have been developing major programs and projects for agricultural development and the welfare of the rural population.

6. GENERAL OBSERVATIONS

Earlier chapters have described PROPLAN/A's approach and format in a Multizonal Project implemented by the Planning and Project Management Division, as part of IICA's Multizonal Projects. The approach and format were illustrated with the case of the PROPLAN/A country component in Colombia where it worked on institutional strengthening with the Integrated Rural Development Program (DRI Program). The studies, training and direct technical support activities carried out through PROPLAN/A in Colombia made it possible to adapt and develop instruments for planning and program/project management. These are currently in operation in Colombia and in the process of being institutionalized in the national agencies. DRI Program authorities have manifested their interest in extending these instruments to other geographical areas of their Program, indicating that the PROPLAN/A project was successful in its objective of institutional strengthening. Thus, Project results show that both its approach and format were suitable for generating appropriate techniques for improving rural development planning and program/project management.

The outlook for PROPLAN/A's work in Colombia in conditioned by certain features of the DRI Program which (aside from the important social and political significance of the Program) affect its operations. The Program is directly responsible to the National Planning Department and has a budget specifically earmarked for implementation through agreements with 13 institutions. This makes it possible to assign resources for specific activities, and affects its operational format accordingly.

PROPLAN/A's action in Colombia takes place at an important moment in the course of the DRI Program, that is, at the beginning of Phase 2. Territorial coverage, the amount of human and financial resources available, and the size of the targeted population are all being expanded significantly.

PROPLAN/A, through its hemispheric component and this first country

component, thus became a catalyst for IICA's experiences and conceptual and methodological development in the area of planning and project management. PROPLAN/A channels these products through participatory dialogue to enhance the work of the DRI General Office in the Departments of Santander, Norte de Santander and Cesar.

Thus, technical, participatory and reciprocal cooperation within the Project takes shape through the generation of mechanisms and instruments for improving the efficiency and effectiveness of the work of national officials. Emphasis is placed primarily on the processes required to generate desired products. This is done by designing the actions to be developed and selecting the appropriate techniques for encouraging and improving conditions favoring team work through interaction between those responsible for making decisions and those implementing them. The project does not supplant the efforts of the country or agencies responsible for the Program, but rather works with them to fulfill its objectives.

In reference to the Project's function as a catalyst, the following points are considered to have made PROPLAN/A's approach valid and useful:

i. the dynamic relationship between theory and practice, that is, the continuos meshing of concepts developed and experience, for the purpose of designing methodologies, and their use in generating products through joint and shared efforts with national functionaries in their institutions and in the field of action itself;

ii. the usefulness of the basic conceptual frameworks as elements which "orient" the series of instruments and products generated;

iii. the dovetailing of generation of information; generation of product, and product in line with specific conditions in the countries. This is done through training via the "learn by doing" approach, in addition to direct technical support;

iv. the development of instruments at the local level, within the general context but shaped by real needs and limitations. This favors the subsequent design of corresponding instruments for the intermediate, regional level, integrating them comprehensively and systematically with the conceptual and operational instruments;

v. the principle of an initial experience to generate instruments for direct use in the Program's planning and management, which can, at the same time, be used as training material in other areas.

The following were important factors in achieving Project goals in terms of the above mode:

i. DRI Program leadership support of the Project;

ii. the dedication and experience of officials at the DRI Department level, which proved essential to the effective use of PROPLAN/A action for Program purposes;

iii. the dedication and efforts of the national officials in charge of the various program activities;

iv. the joint, shared work done by PROPLAN/A technical groups in the country and hemispheric components;

v. the use of preparatory techniques for motivating participants, and of others for enhancing team work.

Some important results of the approach and the factors that facilitate it were:

i. the experiences generated in the country itself were gathered and then developed, improved or adapted through techniques designed to obtain products better suited to the particular conditions of the DRI Program;

ii. these experiences will make it possible to replicate these actions

and help develop appropriate technology;

iii. the conditions and mechanisms of inter-institutional coordination have been strengthened, thus fortifying the basis of the planning-implementation process for multisectoral programs;

iv. the value of ensuring the timely and active participation of the population in direct interaction with agencies of the public sector was clearly demonstrated.

The participation of the population was of great importance, both for defining problems and potential, and for establishing priorities of action. In addition, in practice, conditions proved suitable for strengthening ties between the agencies of the public sector and the population; and for increasing the understanding that the commitment to fulfill shared objectives was shared by all.

In summary, and based on the experience as a whole, we can say that in order for technology transfer to be appropriate,it should first be adapted or even developed to fit particular and specific conditions. This is perhaps PROPLAN/A's most important contribution and may be the factor that contributed most to the usefulness of its products. It was necessary first to analyse concrete situations, evaluate instruments in use, promote conceptual and methodological development, and then design the different instruments as needed. All of this resulted in simple and easily used methods and techniques, which were thus easily accepted by the national officials, who recognized their usefulness for their daily work.

The working strategy brought national officials together with IICA specialists for direct field work in collaboration with the rural population. This strengthened the personal relationship among all the Programs's agents, and, more importantly, made it possible to design more realistic programs and projects, better able to respond appropriately to the real needs of the rural

population, promoting their commitment to implementing action to achieve objectives they themselves had pinpointed.

PROPLAN/A's success as a multizonal project is clearly the results of its multizonal actions. It should be stressed that:

i. interaction between the hemispheric and the country components through studies, training and direct technical support activities made it possible to successfully develop conceptual and methodological frameworks, later used for preparing relevant instruments;

ii. the relationship between the hemispheric and country components has proved essential. The participation of specialists from the Central Group in activities in Colombia involved them directly in the actions of the country component. Specialists from the country component helped to generate methodologies and develop conceptual frameworks, thus participating in actions of the hemispheric component;

iii. training activities were held not only for disseminating and exchanging information and experiences, but were closely related to direct technical support activities, through work with national specialists in their institutions and at the different levels of operation. Training therefore served not as an objective in itself, but rather as one product of the process;

iv. the institutionalization of procedures and the use of simple and easily applied techniques will enable the institutions to train their own incoming personnel, so staff turnover will no longer represent a major loss to the institution in terms of knowledge, technology and experience;

v. finally, it is important that these experiences could be adapted to

suit corresponding needs in other countries.

In summary, the design and structure of the products generated demonstrate an integrated use of the concepts, techniques and instruments of planning and administration. In addition, the officials using them are aware of the integrated nature of the planning-implementation process. Thus, national institutions now have new instruments for identifying managing programs and projects at the local level that complement and are integrated conceptually with regional, intermediate and national instruments. Furthermore, officials responsible for implementing actions have flexible and useful instruments for guiding their work, and those responsible for monitoring and evaluation now have the necessary resources.

Much remains to be learned and developed, but results obtained to date reveal that definite possibilities exist for improving the efficiency and effectiveness of the directive systems of the entities responsible for agricultural development and the welfare of the rural population. International agencies have great responsibilities in this effort. They should work directly in the field, complementing national efforts, at the same time fulfilling the crucial function of generating appropriate technology and documenting their experiences.

APPENDIX I

INTEGRATED RURAL DEVELOPMENT PROGRAM–COLOMBIA

I. BACKGROUND

The agricultural sector has always been one of the major concerns of Colombia's development plans. Each plan has identified various problems of the sector, to which various solutions have been proposed.

But since the sixties, development plans have shown greater interest in the sector. Policy concerning the "traditional subsector" (small-scale producers) were initially based on what and how much was contributed to the gross national product. Later plans looked at the question from the standpoint of problem-solving, and how this might augment productivity.

- The 1960-69 Ten-Year Development Plan identified "low productivity and stagnation of the farm sector". Low productivity was attributed to land ownership structures, typified by the mini-latifundio dichotomy.

As a result, agrarian reform was established. This covered not only land redistribution, but also a gamut of complementary moves to promote development at the farm family level.

- The 1970-74 "Four Strategies" Plan attempted to mobilize the surplus farm labor force for other sectors of the economy to increase both income and productivity.

- The 1975-1978 "closing the Gap" Plan and the 1979-1982 National Integration Plan (PIN) focused on rural economics, especially the economic rationality of the small farmer who contributes a large proportion of the raw materials and food for direct consumption.

Because of their dynamic nature, economic and social conditions have now varied. The market economy meets nearly the full demand for

agricultural products. The rural economy is increasingly part of the market. Rural unemployment and emigration have multiplied. Food prices are still rising, and the sector continues to be the prime generator of foreign currency, generating a great deal of employment and contributing a good share of total production.

1.1 Rural development policy in Colombia. The concept of integrated rural development is based on the collective experience of various program and projects aimed at improving the rural economy, such as:

> The Farmers Settlement Program - "Programa de Asentamientos Campesinos" - of the Colombian Agrarian Reform Institute (INCORA), which contributed valuable experience in the field of rural administration.
>
> The Rural Development Projects - "Proyectos de Desarrollo Rural" - of the Instituto Colombiano Agropecuario, Colombian Agricultural Institute (ICA) to provide technology to producers by combining credit with extensión;
>
> The Educational Rural Development Centers - "Concentraciones Escolares de Desarrollo Rural" - under the leadership of the educational sector, attempt to support rural production through State Social Services (Ministry of Education and Health). And lastly, the "Rural Vocational Promotional Programs" (PPPR), now called "Mobile Rural Programs" (PMR) of the National Teaching Service (SENA).

Characteristically, these programs have concentrated on a specific activity. Thus the "Concentraciones Escolares de Desarrollo Rural" centered on the educational sector, considering education the key to rural development and the root of underdevelopment. ICA's rural development projects expressed the idea that the development process will be generated by technology.

The experience gained and results obtained, together with the growing need to increase food supplies in Colombia, gave rise to the National Food and Nutrition Plan (PAN), designed to favour the poorest half of the population. Within the Plan, the Integrated Rural Development

Plan (DRI) appears as a new strategy for developing the traditional farm subsector. It was felt the Program could operate most succesfully in areas with a certain productive potential. It attempts to coordinate all public investment and govenrmental action in terms of development priorities.

2. ORIGIN OF THE INTEGRATED RURAL DEVELOPMENT PROGRAM

There are many technical, economic and social reasons why the complex of traditional enterprises and farms cannot realistically be expected to all move into the market economy. So obviously in a farm policy aimed at lowering the prices of food for mass cosumption, generating foreign currency and increasing productions action concerning the traditional rural subsector is bound to play a very important part in general development strategy.

Farms in Colombia under 20 ha. (the largest with which the Program works) represent 978,000 farms, which is 83 percent of the total farms in the country and includes the bulk of the rural population. 1/

In addition, the heavy concentration of rural people on hill lands, and the problem of appropriate farm mechanization on this kind of terrain, have helped to produce labor-intensive setups.

As to generating employment in agriculture, livestock and other sectors, the rural economy subsector in 1976 produced 831.000 jobs, or a total of 55.3 percent of all people working in the rural sector.

Unquestionably, the rural subsector plays an essential part in the production of staple foods. In 1976 it generated 65 percent of the production of these mass consumer items. 2/

A great many official agencies are working in rural development. Most are competent, with good technical people.

1/ Plan de Integración Nacional 1979-1982; National Planning Division, Colombia, Vol.1.

2/ Ibid.

And yet, progress in these areas of greater poverty has been very slow. Often this is due to the heavily vertical structure of the agencies, the lack of authority delegated at the regional level, budget uncertainties and a lack of interagency coordination at the central and regional level.

The foregoing considerations were important in the Colombian Government's examination of past governmental efforts to cope with the rural situation... (isolated inputs in the form of access roads, research, credit and technical assistance). The Government then devised the "closing the Gap" economic and social development plan, which gave priority to "PAN" as a central component of its social programs, to approach the food and nutrition problem in an integrated way.

The Integrated Rural Development Program (DRI) was conceived as one of the basic instruments for "PAN". It proposed to achieve substantial increases of food production by the traditional sector using traditional agriculture.

The Program was designed as a strategy to attempt to bring together the cumulative experience of the various State Plans for the rural sector. It coordinates Government efforts and services through directing public investment to finance services, and integrates agency action in terms of the need to develop small farmer productivity.

Consideration was also given to the intrinsic rationality of rural economy production systems, their productive potential and the importance of this sector to food production in terms of achieving the Colombian Government's general policy objectives (raising production and productivity, real income, employment and general welfare of the rural sector).

2.1 Program Objectives

DRI program objectives are clearly stated by the Government in the last two Economic and Social Development plans the "Close the Gap" Plan which proposed and gave rise to Phase I of the DRI Program, and the "National Integration Plan," which gave consistency and continuity to Phase II. DRI pursues the following objectives. 3/

a. To increase campesino incomes.

b. To increase agricultural production, primarily of mass-consumed foods. The food items targeted by the National Food and Nutrition Plan are: beans, peas, corn, wheat, potatoes, cassava and plantains. The DRI also calls for an increase in meat production (beef, small animals, swine, etc.), to supplement the agricultural production of the small-scale farmer.

c. To modernize the ties of campesino farmers to markets in an effort to improve prices received by farmers and reduce prices paid by consumers.

d. To create new sources of productive employment for campesinos.

e. To improve the access of the campesino population to markets and services by constructing roadways.

f. To improve the standard of living of the campesino population by providing basic services (health, education and electricity), supporting the implementation of PAN in DRI areas.

g. To promote community organization and participation for encouraging self-sustained development.

3/ Programa de Desarrollo Rural Integrado. Normas Generales sobre la Organización del Programa de Desarrollo Rural Integrado. Dirección General del Programa. Corrected, revised edition by DRI National Committee Meeting of 31 October, 1979. P. 6.

3. DRI PROGRAM BENEFICIARIES

The DRI Program classified beneficiaries into the following categories:

- Potential. The small producer, excluding coffee planters, located in areas having: large concentrations of rural people, traditional agriculture, little access to modern technology and basic services, and yet with a good chance for significantly boosting productivity in the short run.

The individual beneficiary must not have a net worth exceeding US $ 28,000. The area he farms (any type of tenure) cannot exceed 20 ha. This activity must generate at least 70 percent of his income.

- Direct. The direct beneficiary is one who meets all the above requirements and therefore receives credit and technical assistance.

- Indirect. The small, rural producer, located in the Program area and receiving some benefits from the program's components.

4. PROGRAM COVERAGE

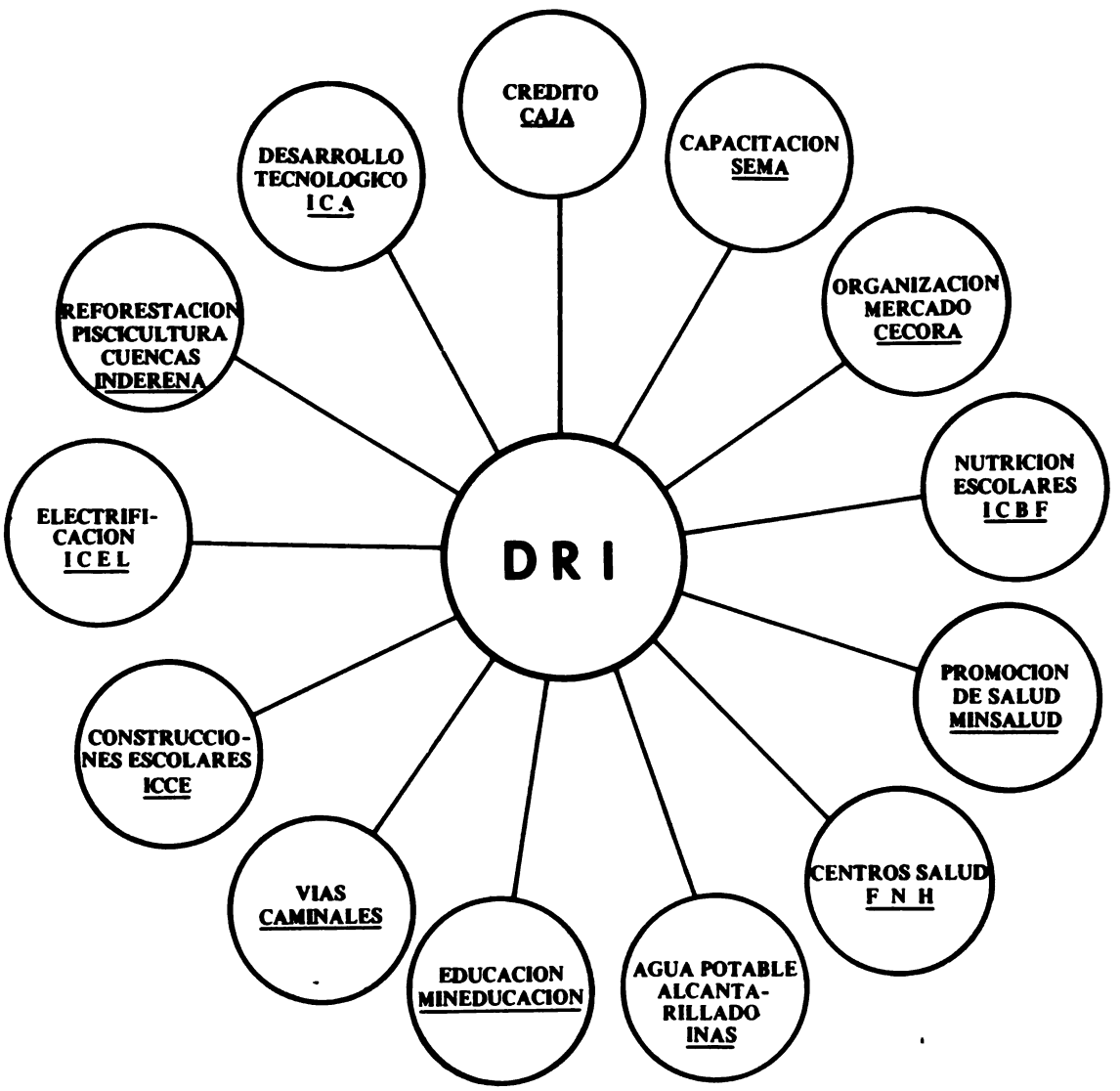
During 1976-1985, the DRI Program will be acting in 17 departments. It will have an approximate coverage of 800.000 ha. in 3.800 villages and will provide 157.000 families with direct Program benefits. In addition, 628.000 families will benefit indirectly from actions seeking to serve the basic needs of rural families. This will involve investments amounting to US $ 500 million.

5. STRATEGIES

To achieve the objectives established, the Program proposes the following strategy:

- Integration of productive, social and physical infraestructure

organizations, each responsible for what has been called a "subprogram"
, grouped into three components.



Production Component. Includes the research and technology transfer subprograms developed by ICA; credit by the Caja de Crédito Agraria (Rural Credit Fund); marketing by the Central de Cooperativas de la Reforma Agraria (CECORA); conservation and use of natural resources by INDERENA and training and community organization by the Servicio Nacional de Aprendizaje - National Training Service (SENA).

Social Component. Includes the subprograms of: health, conducted by the Ministry of Health and the National Hospital Fund; drinking water by the National Institute of Health (INS); school buildings by the Colombian Institute of School Construction (ICCE); teacher training by the National Ministry of Education; and school kitchens and gardens by the Colombian Institute for Family Welfare (ICBF).

Infrastructure Component. The corresponding sub-programs are: road construction by the National Municipal Roads Fund (CAVECINALES); and rural electrification by the Instituto Colombiano de Energía Eléctrica (ICEL).

Infrastructure and Social are support components of the Production component. Their actions are mutually complementary and continuous in time.

- Concentration of action in accordance with clearly defined priorities e.g., areas where minifundios are most prevalent and production potential greatest have been identified and Program efforts concentrated on these areas.
- Administrative decentralization, to improve overall administrative efficiency and allow the regions greater partiçipation in decisions affecting their development.

- Support, via State action, to peasants' own efforts, for the purpose of developing the total available resources and promoting a positive attitude among Program participants.

- Participation of community and local administrative levels in planning and monitoring activities.

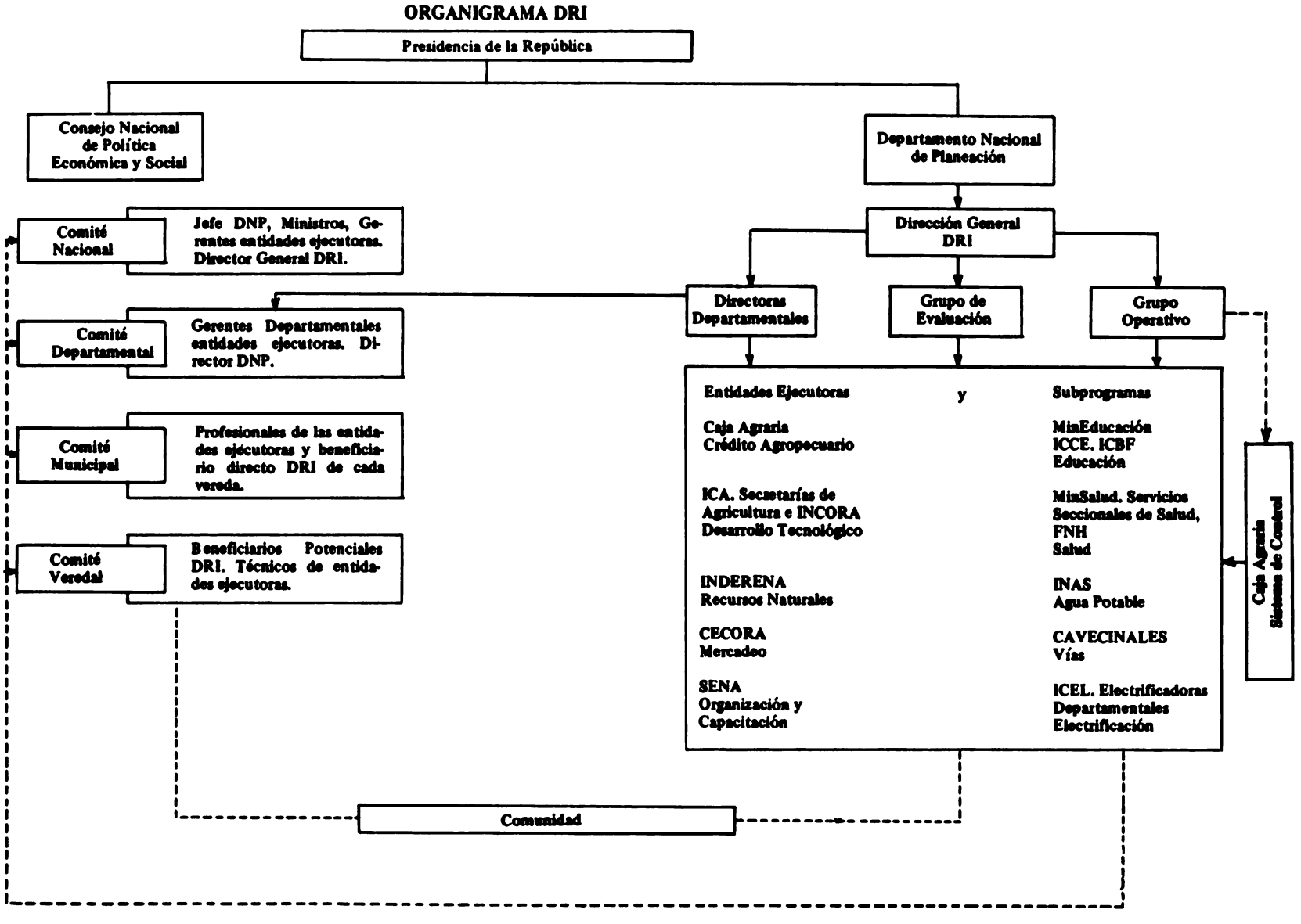
- Establishment of mechanisms to determine investment priorities and for monitoring the subprogram.

- Establishment of a communications structure to link the Regions and General Directorate and measure the efficiency of state agencies in implementing the subprograms, their impact on the community, and how the community views them.

6. STRUCTURE AND ORGANIZATON

The above is made operational through the national, departmental, municipal and village committees, whose membership includes representatives of the executing agencies and Program beneficiaries

ORGANIZATION OF DRI



DRI General Directorate is responsible for programming, coordinating and evaluating the Program, as well as for coordinating it with PAN and with official economic policy. It also provides advisory services in all the various aspects of the Program which comprise both planning and implemention.

The existence of the committees at the various levels avoids duplication of efforts, since the agencies involved in the Program all act within tehir own special capacity. What is sought by this integration is greater effectiveness, lower costs, greater coverage and better service to the beneficiary.

The existence of these committees with representatives from the General Directorate has made possible integration between the various regions and the nation, thus facilitating successful decentralization as planned.

The most striking features of the allocation of resources follow. Annual per unit and per geographical area programing are done in accordance with the initial plan of each subprogram and with the previous adjustments of the differente committees. For budget management, the National Economic and Social Policy Board (CONPES) sets the figure for resources in according with the above mentioned projection, for final presentation to the Program General Directorate, the National Committee and the Ministry of Housing for preparation of the draft budget law, which is presented to the National Congress and, once the law is approved, comunicated to the executing agencies.

ORGANIZATION AND CONCEPTUAL APPROACH OF THE DEVELOPMENT PROJECT MANAGEMENT CENTER (DPMC)

1 INTRODUCTION

There are several objectives for this presentation on the Development Project Management Center (DPMC). First, we want everyone to understand the historical context and organization structure of DPMC. Second, we would like you to have a clear idea of DPMC's conceptual approach, including its basic mission, doctrine, antecedents (both theoretical and experiential), and its mode of operation.

As will be evident later in the presentation, DPMC — sometimes referred to simply as the Center -- is evolving rapidly. Our learning curve is very steep, and major changes in our ideas and procedures are being made almost every month. Therefore, although my ideas on the Center will be presented with enthusiasm and conviction, we should view them as current state hypotheses that demand continuous scrutiny and assessment. We fully expect to refine -- or even reformulate -- these hypotheses as we gain more experience on the one hand and receive additional guidance from management theory on the other. We embrace this workshop as an excellent opportunity to critically examine our concepts at this juncture and welcome your observations and judgments in that spirit.

A word on how this presentation fits into other portions of the workshop. My presentation provides an overview of DPMC's structure and management approach. Later today we will have a panel discussion accompanied by small group sessions that afford the opportunity to clarify points and raise issues of concern. Tomorrow, there will be a presentation of the DPMC Jamaica case study along with additional small group sessions. The explanation of the Jamaica case will allow us to observe first-hand how DPMC operates in the field, and how the concepts I am discussing today manifest themselves in a cooperative management systems improvement effort.

2. USDA/OICD'S ROLE IN FOREIGN AGRICULTURE

OICD, the Office of International Cooperation and Development, is a sub-unit of the U. S. Department of Agriculture (USDA). OICD is comprised of several divisions including Technical Assistance, International Training, International Organizations, Scientific Exchange, International Cooperative Research, Food Assistance and Development, Agribusiness, and Information Services.

OICD is the agency within USDA where the policies of the U. S. Government concerning international agricultural cooperation and development are executed. OICD's mission is to initiate, manage, and facilitate programs that result in international agricultural cooperation and development. As an element of this mission, OICD supports U. S. agricultural needs, and brings USDA international perspective to its relations with:

-- foreign countries
-- international organizations

-- U. S. institutions
-- agencies of the U. S. Government
-- U. S. private sector

OICD thus serves as the USDA's foreign development arm in bringing the expertise of U. S. Government agencies, institutions, and private groups into U. S. agriculture assistance program agreements. A list of the OICD responsibilities include:

* To plan, coordinate, and evaluate USDA's policies and programs aimed at alleviating hunger and malnutrition throughout the world.
* To upgrade capabilities of developing nations to improve their agriculture production and rural environment through technical assistance, research and training.
* To coordinate the efforts of USDA agencies and to work with other institutions and international organizations to increase effectiveness of U. S. bilateral aid programs.
* To work with the UN and other international organizations to further U.S. policies and program objetives through multilateral efforts.
* To initiate international technical exchanges and international research programs which benefit both the U. S. and other nations.

The primary source of funding for OICD is the U.S. Agency for International Development (AID) through various cooperative arrangements and agreements. Secondary sources of revenue, and ones which we hope will increase, include international development banks, the FAO, the OAS, individual country governments, and the U.S. Government through direct appropriations.

The DPMC is a sub-unit of OICD housed within the Technical Assistance Division(AID). TAD is organized by regions and by cross-cutting worldwide programs. The Center is one of the units in the Worldwide Programs cluster.

In my limited experience with IICA to date, it appears that there might be an important structural similarity between TAD/ DPMC and IICA/PROPLAN. IICA is concerned with technical cooperation as is TAD. Within IICA you have regional divisions as does TAD. Similarly, IICA has a multi-sectoral unit that houses programs, like PROPLAN,, that are the concern of all regions. The same is true for TAD.

3 THE DEVELOPMENT PROJECT MANAGMENT CENTER (DPMC)

Now, let's move to a discussion of the Center itself including its evolution, current organization, and substantive approach.

3.1 Historical Development and Current Structure

The DPMC was organized in 1976 with the assistance and sponsorship of the Office of Rural Development and Development Administration in the U.S. Agency for International Development (AID). AID' s intent in establishing DPMC was to improve the quality and effectiveness of project management in developing countries. Specifically, the DPMC was to provide multidisciplinary expertise in: (a) project and program design, implementation and evaluation; (b) action-training and applied research methodology; (c) management technology information exchange and services; and (d) inter-regional exchange of project management methods, knowledge, and skills.

A graphical depiction of the Center's development is provided in Exhibit 1. In terms of our service orientation, soon after the Center was set up we were requested to assist in the design and initiation of the Project Management Systems effort in Jamaica that will be discussed later in the workshop. Morris Solomon and Merlyn Kettering, two of the Center's four core staff, were both involved in the Jamaica effort.

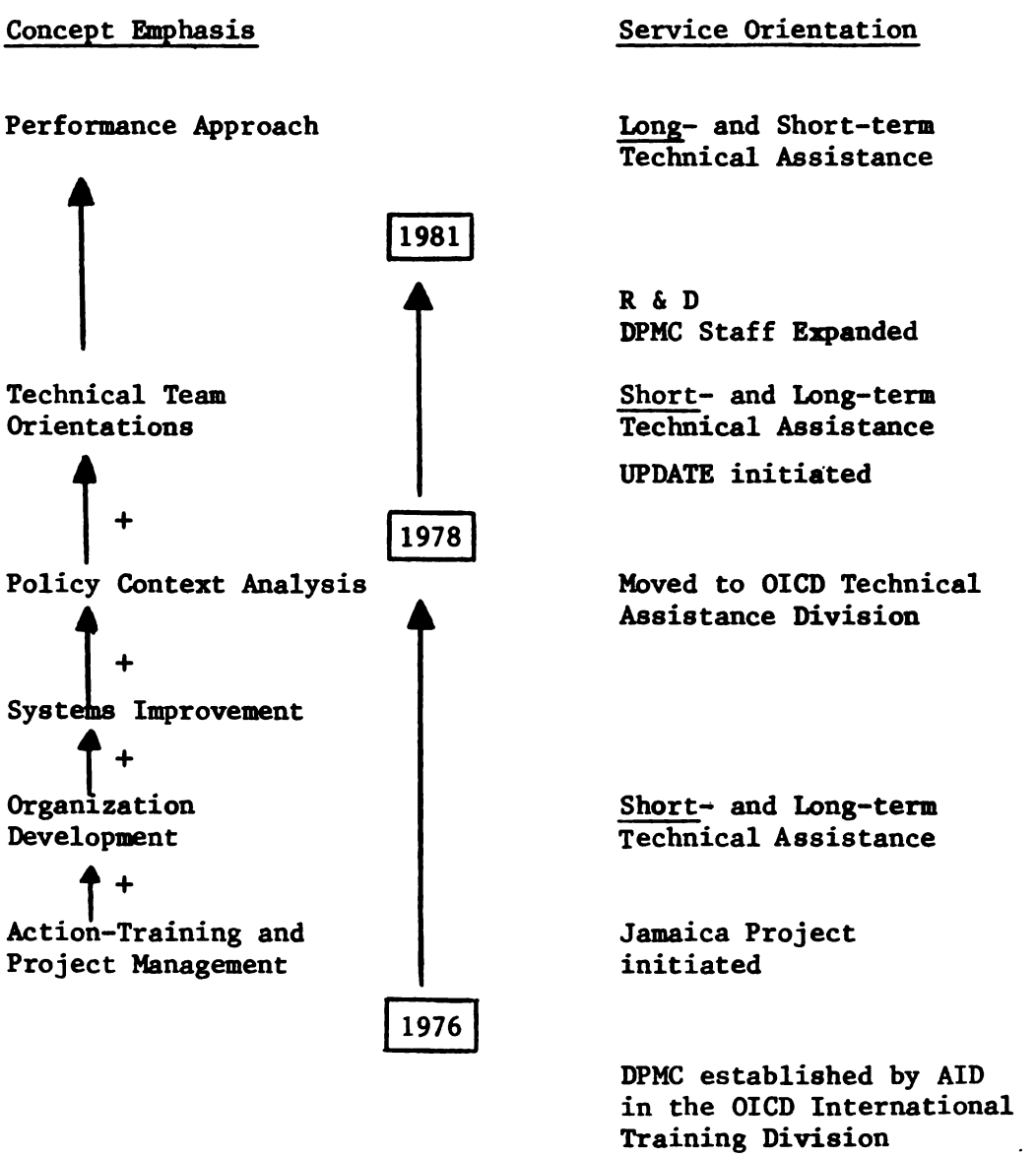
In 1976, the Center began a series of short- and long-term management related technical assistance consultancies. From the beginning, we preferred the long-term assistance, but opportunities were primarily in the short-term assistance area. Our initial home was in the Division of International Training, but in 1978 we moved to the Technical Assistance Division. About that time, the UPDATE publication, one that announces various management related events, was initiated. In 1980 and 1981, the core staff was expanded.

The Center's emphasis is primarily on long-term technical assistance even though we are engaged in short-term assignments throughout the world. We also have several research and development (R&D) efforts underway. We are doing applied research with micro-computer applications in the area of agriculture management, with training approaches in the implementation of agriculture programs and policies, and with the "performance management" conceptual approach that I will be discussing with you later.

The DPMC's concept emphasis was initially on Action Training and Project Management. Around 1977, we added a component on Organization Development, partially because of the learning

EXHIBIT 1

DPMC'S HISTORICAL DEVELOPMENT



that was taking place in Jamaica. Tomorrow, as Dr. Kettering is discussing the Jamaica case, he will demostrate how that experience influenced DPMC's concepts and approach. Then again as a result of our Jamica experience, the Center began to take a more wholistic, systems improvement approach. Concurrently, Morris Solomon, our Coordinator, began to emphasize the importance of understanding the policy context of projects which led to this concern becoming another dominant theme of the Center.

In 1979, we began to emphasize the importance of multi-disciplinary consultative team orientations before departure for short- and long-term overseas assignments.

Finally, in the last couple of years as a result of this experience and our reflections on it, the Center has generated a conceptual approach that we refer to as the "Performance Approach to Management Development."

At this point it might be useful to point out our distinction between long- and short-term technical assistance. In the early stages of DPMC, except for the Jamaica Project, DPMC was primarily responding to requests from the field USAID missions for specific persons -- bodies to fill technical positions. As we developed, the Center learned that if we really wanted to influence sustainable performance improvements, we needed to follow a consistent management improvement approach. Therefore, we began to feel a greater need for our technical assistance teams, as they went out, to be knowledgeable of and committed to our objectives and approach. Thus, a part of the shift toward long-term assistance is really a shift toward being more involved in the design of improvement efforts and in the orientation

of cadre. So the Center moved from a basically responsive, reactive mode of providing consultants, to a more purposeful, proactive mode of sending out professionals out to do jobs that are tied into our objectives, e.g., more participatory, more reciprocal, and more results oriented.

Another dimension of change since 1976 is the move from a primary focus on individual managers within organizations, to teams or groups of managers working both with and across organizations. As a component of action-training the individual-qua-individual is given less priority. Rather, individuals are viewed as integral elements of a dynamic team context.

One way of characterizing DPMC's current operational structures, is to view it as being responsible to two different entitites. Being located within the U.S. Department of Agriculture would suggest that the USDA is our primary supervisory entity. However, we operate under and agreement with AID, so the Office of Rural Development and Development Administration in the Bureau of Science and Technology also supervises our work. What this dual supervisory structure means is that changes in policies and priorities in either of these organizations has a direct effect on us. When AID shifted its priorities recently in response to President Reagan, we were asked to reorient our programs accordingly. For example, AID is now more interested in the agriculture development policy, and somewhat less interested in programs. There is also more interest in technology transfer as opposed to resource transfer. Finally, there is a renewed interest in what is being called institutional development or institutional strengthening especially in regard to the private sector.

Internal to DPMC, we operate in a team mode by sharing responsibility for poject work and administration. Each of the four core staff serves as a manager. That is, we assist in setting priorities, planning activities, recruiting staff, orienting teams, monitoring work, and redesigning programs as required. We take responsibility for the quality of delivered products. We try to work in new and challenging management-related areas. As soon as we are confident that something worthwhile has been developed and documented, we transfer that learning to others and move on to another new area.

Our small core staff necessitates this approach. It also requires that we have access to a highly professional cadre of consultants -- at present about 20 to 30 -- that understand our approach and want to work with us. This group is indispensable to our operation.

In addition, since we expect some attrition in our core and cadre staff and since we would like to grow in the future, we have another loosely identified group of about 500 persons who are available for assignments. Our staff are drawn from within the Government itself, within USDA, other Government organizations and from the private sector, both firms and individuals. We also rely on university personnel. The resource pool includes a substantial number of foreign nationals.

The DPMC collaborates with other organizations including the National Association for Schools of Public Affairs and Administration, Pittsburgh University, and others in carrying out its assignments.

The recipients of DPMC services fall into several categories. Within OICD, we work with the Technical Assistance Division staff, for example, the regional offices, in implementing agriculture projects. In AID we work at both the central level and in country missions in most areas of the world. Most importantly, we work with foreign government development units in designing or implementing projects, in providing assistance to operational and staff units of foreign ministries, and in improving the performance of regional management institutes or management training centers.

DPMC engages in several types of assistance activity. As mentioned earlier, we carry out a wide range of short and long term assistance. At present our major long-term ongoing assignments are in the Sahel, Portugal and Thailand. In applied research -- knowledge development, codification and field adaptation -- the Center has several ongoing activities. Most notable are the micro-computer work, the research on implementation strategies and methods, our review of training approaches, and our attempt to integrate economic and social analysis. Finally, the Center spends considerable effort disseminating program management literature, and maintaining a network of international management professionals.

3.2. Conceptual Approach

By conceptual approach, we mean the underlying doctrine and rationale that DPMC relies on in its work. The primary objective of DPMC is to expand the appropriate use of performance-based results-oriented management concepts, processes, and techniques in

the implementation of development policies, programs, and projects. The boundry set by this objective statement extends beyond the functional areas of agriculture and rural development, however, we do concentrate in these sectors. Before proceeding we need to carefully define some key concepts as follows:

* Appropriate: suitable to the situation at hand
* Peformance-based: actual execution of a task or function in a work context
* Results-oriented: a focus on objectives and accomplishments in relation to tasks and functions
* Management: the technology by which human and material resources to accomplish valued results are productively mobilized and applied given conditions of uncertainty and partial control
* Implementation: the managed process of work execution
* Policies: specified framework within which objectives are to be implemented
* Objectives: a desired or valued state of being or condition
* Project: an interrelated set of activities bounded by external conditions established to achieve a specific objective within time and resource constraints
* Program: an aggregate of projects and ongoing operations established to achieve a specific objective

Given these definitions, we view the DPMC as an instrumentality by which human and material resources in the U.S. and abroad can be more productively mobilized and applied to foster improved developmental performance under prevailing conditions of high uncertainty and limited control.

In the time that remains, I would like to explain the Center's approach to accomplishing this objective and its underlying rationale. In other words, what are the components of our approach and what is the supporting evidence which substantiates it?

First, our approach rests on the premise that good management, as defined above, is a necessary (but not sufficent) component of agriculture and rural development. What leads us to this belief? Well, we start by observing that the implementation of development policies, programs, and projects is typically fraught with deficiencies and problems. Across countries and sectors we find that programs are characterized by poor results, major time delays, cost overruns, and an infrequent benefit continuation.

Our next step was to isolate and understand the root causes of these deficiencies. We asked ourselves, are there any root causes which explain many of these implementation deficiencies. This questioning was done by a working group made up of about ten U. S. professionals who carried out a systematic analysis of this topic.[1/] What we found was basically three root causes for the deficiencies associated with the implementation of agriculture and rural development efforts.

First, the development business is very complex. The type of work we are doing is extremely difficult and demanding. It frequently involves integrated action within a series of organi-

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1/ See the USAID Work Group Report, "Management Development Strategy Paper: AID's Response to the Implementation Needs of the 1980's," Washington, D.C., June 1981

zations and numerous individuals. This complexity alone is a cause of many of the deficiencies and problems that we all experience.

Secondly, the context within which we work is very harsh. Many people are uneducated, the physical environment is marginal, and the political and socio-economic context frequently changes. This places a premium on flexibility and responsiveness, and contributes to many problems.

The third cause that our group isolated was poor management. Many human and material resources are not being productively used. There are two dimensions of the poor management issue. Individuals frequently do not perform well even though they may be well "trained". And, more importantly, groups, organizations, or units are not performing very well. The formal and informal management structure within public sector groups do not function very adequately.

In reviewing the implementation literature and experience, our working group came to the conclusion that the third cause, poor management, is a mayor if not the major resolvable constraint to implementation at this time.

Given this assessment, our group then asked what could feasibly be done to improve public sector management. We realized that public administration professionals had been existing for 50 years without much in a practical way to show for it. We decided to adopt a new, more integrated approach to answering the question. We emphasized both the theory, and experience to date

in the hopes of isolating and then replicating the generic management functions that evidence suggests are associated with successful implementation efforts. We said, let's look at what works, both practically and theoretically, and then synthesize that and attempt to replicate it. This is what DPMC has done in developing and refining its conceptual approach.

In many ways the management profession is at a unique point in its development because it's only in the last few years that a broad experience has become available on development policy implementation issues. Complex, integrated agriculture programs only began in the last decade or so, and empirical data on them has only become available in the last few years. So the type of analyses we are talking about -- and now engaged in -- could not have been done ten years ago.

What are theoretical and experiential antecedents to DPMC's conceptual approach? In summary, they can be viewed in two clusters as represented in Exhibit 2.

For experience we examined field surveys and state-of-the-art reviews. We also looked at the experience of other donors like the World Bank and ILO. We interviewed consulting firms because they are heavily involved in development work. Inside DPMC we relied on Jamaica, and the many years of experience the core staff.

The theoretical basis for the approach integrates several divergent streams of management thought. From the systems approach, we emphasize the idea of hierarchy of systems and

the external environment. Systems also emphasize purposive action.

From Management by Objectives (MBO) we get the idea of the need for clarification, consensus and specificity. One doesn't have a valid agreement until a minimum degree of specificity exists. We also obtain the concept of management responsibility from MBO.

I will review the remainder of these very quickly. Organization development provides an appreciation of the human dimension of organizations. It also makes us aware of the importance of commitment and ownership. What we now refer to as ownership, the belief that one "owns" what goes on in a work setting, is very important.

From the Project Management literature comes the idea of client group involvement in decision making, especially in the kinds of social and institutional projects that our institutions are assisting with. We also get the notion of "entrepreneurship". That is, a manager should be entrepreneurial in the sense that he goes beyond the boundaries of his own organization to influence the external environment in ways positive to the accomplishment of performance objectives.

From the theory of scientific method, we get the notion of experimental methodology and the need to treat actions as a hypothesis.

Finally, from learning theory comes the concept of "learning by doing" and the idea that reinforcement within a group context

is critical for sustained behavioral change.

The Center's review of the theory and experience of implementation led us to the conclusion that a successful approach to improving management will integrate several frequently disparate elements:

1. It will systematically address and be responsive to the actual situation in client organizations;
2. It will rely on the best theory and practice of what makes organizations perform productively and effectively; and,
3. It will adopt a mode of intervention or technology transfer that is appropriate to achieving short-term acceptance and long-term resiliance.

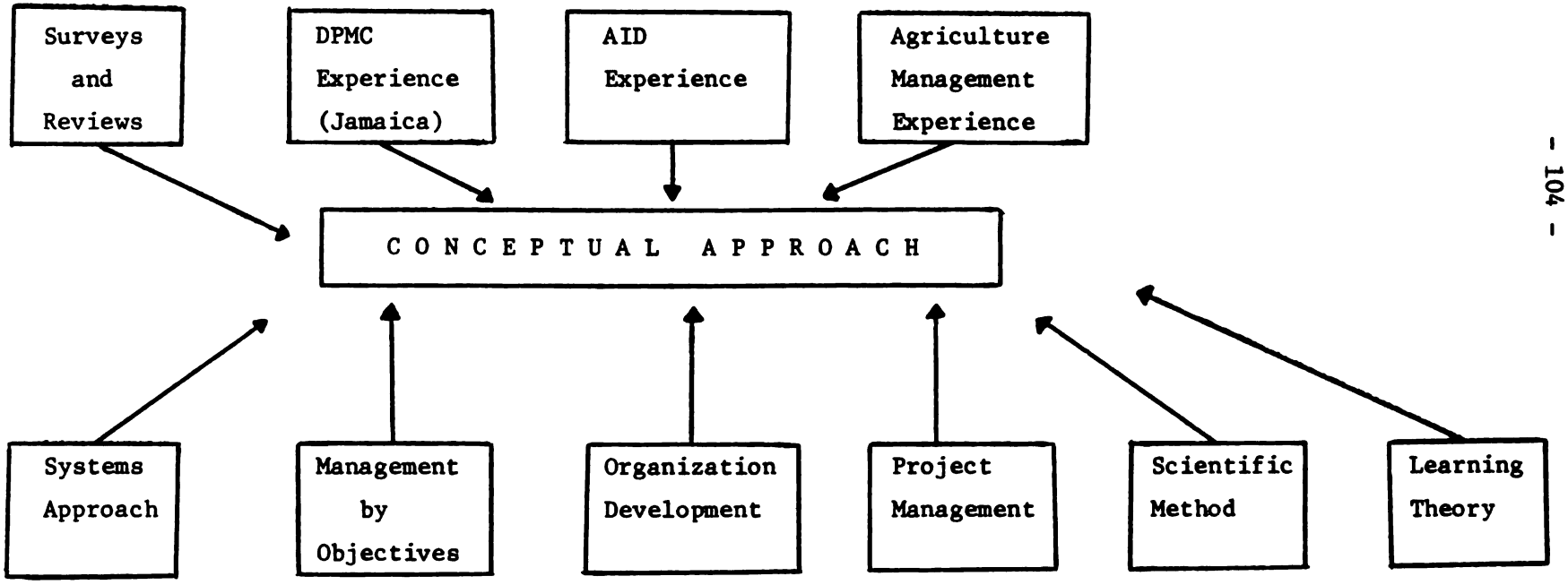
Each of these ingredients of DPMC's approach is discussed below.

The performance approach refers to a systematic process of management improvement whereby the people in the work context assume responsibility, frequently calling on external experts to assist them. Performance means operating in the context of the people who are doing the work and helping them to do it in the most simple and cost-effective manner.

In doing this a fundamental question is raised about the current availability of a practical management technology. Can a technology be isolated from management theory and practice that both predicts successful implementation and permits simple

EXHIBIT 2: THEORETICAL OF EXPERIENCIAL ANTECEDENTS OF DPMC'S APPROACH

EXPERIENCE



THEORY

or at least doable -- application? The answer -- in a hypothesis form -- is a cautious maybe! We at DPMC refer to the core of this technology as the "generic management functions".

Therefore, we define management improvement as the process of upgrading, adapting and amending the application of generic management functions by individuals and groups in their work context. What we are attempting to do is, as I said earlier, to replicate what works. What works is succinctly articulated by this core of generic management functions. For successful management, what must be done is for people to learn hown to apply the management functions, to adapt them, and, as we learn more, amend and reformulate them.

What are these generic management functions? Thus far, DPMC has a tentative internal consensus on five functions. These include:

1. Having clearly stated and shared objectives;
2. Having a consensus on the strategies and means for accomplishing the objectives;
3. Having a consensus on roles and responsibilities;
4. Having realistic implementation planning and support systems; and,
5. Having operational guidance and adaptive mechanisms for policy and program modification and redesign.

For each of the functions, the actors or team members that need to be involved include all those who have a role in carrying out various aspects of the policy, a program, or project. One

mistake frequently made in management is to identify one person, like a manager of a project, and say, "OK., it's your responsibility to implement this project." We overlook that a manager cannot implement a project alone because getting the job done involves the shared effort of many people. High productivity and human dignity is also facilitated by having a consensus among all persons involved in implementing an effort.

Finally, the DPMC has adapted a set of intervention methods which we attempt to consistently apply as a part of the performance approach. Five elements charaterize our transfer strategy. First, we rely on multidisciplinary teams. What we try to do is identify the actors in a program area that should work together to accomplish results and then develop a committed and self-reinforcing team for getting the job done. Second, we use an action mode. We operate in the work context of team members. Third, we use project management concepts in our work. When we want to make an improvement in operations, we treat it as a project. When we want to make an improvement in a system, we use project concepts. And when we make policy improvement interventions, we use a project approach. We begin by clarifying the policy objective, and then treat the effort as if it were a project.

There' s a subtle distinction here. Projects can be thought of in two ways. Most of us think of a development project as something that occurs in a rural area. What we are suggesting is that concepts and principles useful for implementing a project in a rural area can also be used to bring about improvements in institutions, in operations, in systems, and importantly, in

bringing about policy improvements.

Fourth, we take a long-term perspective in our work, but operate on a one step at a time basis. After each step we question our long-term objective since we function in an environment that is uncertain and changing.

Finally, we support the generation of alternatives at every point in our work process. When we enter an organization, we do not set out a blueprint. We have the people there working with us generate alternatives with our technical guidance, and make their own choices about how to implement the management improvement effort. We do this in large part because we believe this offers a way to build competence, confidence and commitment simultaneously.

3.3. Summary and Conclusions

In this brief period I have only been able to touch on the highlights of DPMC's organization and performance management approach. I feel sure that we will have a further opportunity to discuss the approach in more detail in later sessions.

Before I close, however, I would like to summarize DPMC's approach and put it in proper context by explaining the conditions under which we are employing this, as opposed to some other, strategy. There are six conditions, our experience demonstrates, which need to be met or expected before one should proceed with performance approach. These include:

1. Pressure for a change exists in organization and key external units
2. Commitment for an improvement either exists or is developed during the intervention
3. Several levels of the organization can participate in planning and executing the effort
4. The organization, and some individuals in it, is partially open to new ideas, methods and solutions, and is willing to learn.
5. Mechanisms for follow-up and review of the improvement effort are operating or are installed during the effort.
6. A minimal level of stability and/or continuity exists in the external environment and the organization.

It is important that a diagnosis of these conditions be made to assess the likelihood of success before proceeding with the approach.

PRELIMINARY VERSION

"A Multi-Faceted Action-Training Approach For Improving Project Management: The National Planning Project in Jamaica"

by:

Dr. Merlyn H. Kettering

Development Project Management Center
U.S. Department of Agriculture

Prepared for USDA/AID Workshop
"EVOLVING TECHNOLOGIES FOR PROJECT MANAGEMENT IMPROVEMENT"

January 15 and 16, 1981
Washington, D.C.

TABLE OF CONTENTS

I. Introduction

A. The Development Problem

In the mid-1970's, Jamaica faced the need to attract and mobilize capital as a critical contribution to its development program. Government was expanding its own investment and management initiatives, but private capital investment had reduced significantly. The limited flow of foreign exchange was severely restricting activities in both the private and public sector. Inability to finance imports for raw materials and basic commodities would contribute to higher levels of unemployment and dissatisfaction. New infusions of foreign exchange were required to stop and reverse the cumulative cycle of economic deterioration. There was also the need for visible demonstrations of government's capability to deliver promised benefits through a dynamic performance in its expanded role in the economy. Without successful projects, the political base of the government as well as the financial base was threatened.

To address the immediate problem of obtaining substantial foreign loans to support its expanded role and to meet capital demands, the government sought project proposals that were acceptable for financing. Donors and lenders said there were substantial amounts of funds available if Jamaica could prepare projects that were "worthy" of financing. The National Planning Project was intended to specifically improve Jamaica's performance in the planning and management of internationally financed development projects. A basic premise of the early thinking was that properly presented projects would win donor/lender approval and ensure an inflow of foreign exchange. These projects would also generate foreign exchange when implemented and would produce immediate and visible benefits to meet the financial and political demands that were becoming so urgent.

B. Background of the Management Improvement Effort

The Projects Division of the Ministry of Finance had major responsibility for maintaining liaison with donor/lender agencies for government loan projects. A policy decision had been taken in the early 1970's to emphasize decentralization of government functions. As a result, it was decided that the Projects Division's role was to facilitate the formulation of projects, to analyze and appraise projects, and to act as an intermediary with lending agencies, but not to actually prepare projects. Projects were to be formulated, sponsored and implemented by

functional Ministries, such as Agriculture, Works, Education, Health, Housing, etc. As a further distinction of responsibility, the Projects Division was responsible to facilitate only government projects based on loans. Grant projects were handled by the National Planning Agency. Because of these policies, the Division had a small staff which focussed primarily upon the financial and economic analysis of projects submitted to international agencies for loan financing and the coordination of project formulation and approval.

The Director of the Projects Division, Permanent Secretary, in the Ministry of Finance, held discussions with the USAID Mission Director regarding a project management improvement project. The Director wanted at least two American planning experts to work in the Projects Division. In association with his Jamaican staff, and with officials from functional Ministries, these persons would be responsible to assist with the preparation of projects for submission to donor/lender agencies. The American advisors were seen as supplemental personnel in the seriously understaffed Projects Division and were to give also technical advice to the operating ministries. Recruitment of qualified Jamaicans for the Division had been difficult, partly because of the exodus of professionals, but, also, due to Civil Service regulations restricting salaries and types of professionals who could be recruited to positions under the existing structures. Therefore, the Director turned to several lending agencies already sponsoring projects in Jamaica to meet his personnel gap. The technical assistance personnel were to become directly involved in the functions and responsibilities of the Division, especially project design and documentation for loan and grant projects.

C. History of Project Formulation

After initiation of the request by the Director of the Projects Division, the USAID Mission, in collaboration with the Director, wrote a project proposal and submitted a PID which received AID/W approval. The PID followed the general outlines of the request for two American advisors to work with Projects Division staff in the design of projects for submission to donor/lender agencies. The project objective was to improve project performance. Accomplishment would be demonstrated by the movement of approved and implemented projects to achieve the overall goal of increasing the flow of foreign exchange assistance into the economy.

D. Complementary Technical Assistance

Project design assistance was requested by the Mission. DSB/RAD forwarded the request to the Development Project Management Center (DPMC) which had been recently created to help improve project management capabilities in AID host countries. In the Spring of 1976, DPMC sent a team to help write a Project Paper for an AID-Jamaica Project. The design team consisted of Morris J. Solomon and Edward E. Rizzo. They worked primarily with the Director of the Projects Division to determine project design. Jointly it was decided that the project goals could be expanded to meet the objectives even more effectively. The expanded goals were:

(1) to create a Jamaican capability to train and consult on planning, appraising and implementing projects;
(2) to train a large number of Jamaicans in project planning and management; and
(3) to create a stream of successfully implemented projects.

With this expansion of objectives, the roles of the American technical experts were also changed. The narrow work scopes as project design officers were broadened to incorporate the institutionalization of an action-oriented training and consultancy team in the Projects Division. The advisors would promote project development and management by introducing "action-training" methods and approaches to simultaneously move projects and train project officers.

Based upon the agreement of the Director of the Projects Division to the main outlines and revised goals, the American design team of DPMC cook primary responsibility for preparation of project documentation. Unfortunately, the Director left for Washington, D.C. at a critical time and designated subordinates were not able to fully participate in design formulation. Despite persistent attempts by the American design team, it was not possible to get meaningful participation of the functional Ministries who were to form an Advisory and Steering committee for the project. In response to time constraints for USAID presentation and the urgency stressed by the Projects Division, the Project Paper was completed by the consultants within a four week period. Upon submission, it received almost immediately the appropriate approvals from both USAID and the Government of Jamaica, and the Project Agreement was signed.

In conjunction with the objectives of improving project performance, the IDB was also approached to help the Projects Division through supplementary staff. The IDB agreed to provide two advisors for one year to assist in the establishment of a revolving fund for project pre-investment planning and in the design of improved project management systems. There was collaboration on the project designs to encourage suitable liaison between the work of the IDB and AID advisors.

II. Management Improvement Results

A. Intended Results

The intended result of the National Planning Project was an increased flow of development projects. More projects would be submitted for consideration; better project proposals would be forwarded to donor/lender agencies; more projects would receive funding; project implementation would be faster. The focus was upon projects with foreign loan financing, so the flow of foreign exchange into the government budget and the economy would be facilitated. In addition, the projects would deliver promised benefits as a visible fulfillment of government promises for development.

The project would be judged successful if there was an increased number of funded projects from international loan sources and if there was an increased flow of projects through all stages of the project pipeline. Because of the mandate of the Projects Division, the primary concern was with project formulation, approval and loan negotiation. However, the need for improved implementation performances was also recognized. It was expected that the flow of projects initiated through this effort would be perpetuated through institutionalized planning, management and training capabilities.

B. Evidence of Results

The most obvious quantitative indication of project results is the Project Inventory. The number of projects submitted for loan consideration also increased significantly. Over the life of the project (1976-1980), the number of approved projects in the Project Inventory of the Projects Division increased from approximately 40 to over 100 loan projects which are at various stages of planning and implementation. The actual impact, however, should encompass all types of government projects, not just those receiving foreign loan financing. Domestically financed and smaller projects were raised to a level of national priority during

1977 and 1978 through Emergency Production Plans and Cooperative Enterprise Project Development. These government efforts clearly benefited from the National Planning Project. A simple planning document, the Project Profile, designed by PDRT facilitated the flow of ideas to government. This Project Profile was used, also, to move projects quickly in response to Emergency Planning following flooding in 1979. The management improvement effort of the National Planning Project obviously had impact beyond large government loan projects as evidenced by its influence on project planning and management improvement in other areas, such as small enterprise, cooperatives domestically-financed and emergency relief projects.

C. Factors Influencing Accomplishment of Results

The primary factor which influenced accomplishments of results is that the project management improvement technology designed into the project has immediate and direct project results. Project management performance is rapidly improved because "live" projects are an integral part of the technology. Project planning and management is improved through "action-training" with actual project teams, working in their real organizational context. Team members are given the relevant knowledge and skills to carry out their assignments on live projects within specific terms of reference. "Action-training" involves a concerted organization development effort to strengthen project management support systems in the organizational environment. By supporting projects and project management systems, action-training can be sharply focussed to solve organizational problems and meet actual and immediate project needs for skills and knowledge relevant to performance on live projects as the projects are moved forward. The working/learning environment created by action-training promotes high degrees of relevance, reality, and responsibility which strongly motivates participants. Through project teams, linkages are created within and between organizations to facilitate project and organization development and to improve overall management effectiveness. The technology permits a comprehensive, but flexible, approach to implementation which methodologically and operationally addresses specifically identified problems affecting overall performance on projects.

The achievement of results was naturally strongly affected by factors external to the technology. These can be summarized as the perseverance of traditional approaches in project management, the Civil Service structures, commitment of key

environmental actors, and the socio-economic context. The project did not begin in a vacuum. Government structures and personnel had experience in moving projects. Much of the power and influence in decision-making had been personalized, but had proven effective in some ways. Traditional power structures had to be carefully reviewed and evaluated before revised systems could be institutionalized. The project effort required organizational development interventions as well as early demonstrable evidence of the value of the proposed revised approaches.

Civil Service structures strongly affected the project effort. Institutionalization of the training-consulting unit was delayed because a team could not be recruited and appointed under existing arrangements in the Ministry of Finance. In 1979, a Ministry Paper resulted in the creation of a statutory body (PAMCO)* with specific responsibilities for projects and the introduction and integration of project planning and monitoring systems to finally resolve many of the issues regarding institutionalization and systems development. Also, within the bureaucratic context, the normal incentive systems were not promoting productive project performance. Some adaptations were made, for example, it was decided to permit topping of salaries for personnel temporarily assigned to internationally financed projects to resolve some project staffing problems. Monitoring and reporting systems were revised to meet project needs. Decision-making structures and feedback systems were installed to support project and organizational performance. Care must be taken, however, in adjusting bureaucratic structures to meet project needs because the revisions may have unintended dysfunctional impacts throughout the system despite the positive immediate impacts on projects.

The commitment of key actors in the project management environment is critical for achieving project results. There were four Directors of the Projects Division over the project, each with a different set of primary objectives and different understandings of the value and role of this new unit. The commitment of the political directorate was mixed also. Politicians often sought immediate results of improved performance on specific projects, but resisted the discipline implicit in the systems and frameworks for planning, analysis and management as well as the shared decision-making patterns. The cooperation of donor/lender agencies also

* The Project Analysis and Monitoring Company, an agency of the Ministry of Finance and Planning.

varied as each was accustomed to its own established modes of operation with respect to sequencing of planning documents and decisions. They had to be convinced to coordinate with the Jamaican system, for example, to seek approval through the government system rather than depending solely on the interest of the sponsoring sector or Ministry.

Finally, the socio-economic setting played a great role in project accomplishments. The movement toward self-reliance led to an emphasis on smaller projects for which financing was domestically determined and controlled. Within the context of a declining economic performance, alternative ideological preferences, and shifting developmental thrusts, there were definite changes in the nature and management of national projects. Impact indicators for the National Planning Project had to be reinterpreted within this changing context. An implicit characteristic of this technology is that it is so meshed with its environment that it can be easily adapted to the immediate context while maintaining basic performance standards adequate to establish relevance and credibility by actual and immediate project outputs.

III. Management Improvement Technology

A. An Overview of the Technology

The management improvement technology of the National Planning Project basically has three components:

(1) the use of an "action-training" approach which is characterized by an emphasis on in-country, on-the-spot training of teams actually assigned to "live" priority projects;

(2) the creation of a national training and consulting team to facilitate the development of projects and the strengthening of national capabilities in project planning and management; and

(3) the institutionalization of project management systems for unifying and clarifying the mass of procedures, methods, responsibilities and possible actions required to move projects through various stages of development.

As applied in the National Planning Project/Jamaica, this was a unique and innovative application of this project management improvement technology. It is the first time that all three components of the technology were combined for an in-

country long-term project. Because of this, there was a great deal of flexibility in the project design, and only the major outlines of the technology were firmly embeded in the project paper. The Project Design Summary is shown in Figure 1, The Logical Framework for the National Planning Project.

B. History of the Development of the Technology

The first known attempt to use actual projects in project analysis was in a six week course given by Morris J. Solomon at the Graduate School of Public and International Affairs of the University of Pittsburgh in 1962 or 1963. The course had a theoretical and analytical phase and a "practical phase." The participants were asked to discuss a related problem in their country and what were some possible approaches to solving the problem. After some discussion, the concept or technique would be introduced in relation to the problem and whether and how suitable it was for their country. Then there were exercises and hypothetical problems which the students had to do, designed to stretch their understanding of the concept and give them practice in using the analytical techniques. In the practical phase, interdisciplinary groups were formed (generally from different countries) to work on a real project that had been brought from various countries. From 1963 through 1965, Solomon directed a series of workshops in Latin America under the auspices of the Organization of American States in Venezuela, Central America, Colombia, and Brazil. It was apparent that having participants relate concepts and techniques to country situations heightened interest in the content of the course. This, together with instructor guidance on group work on an actual project, created a very favorable learning environment. There was a strong tendency for a great deal of peer learning to take place. Each project group member learned something from the different disciplines of his team members. An important result was that participants gained a new appreciation of the relevance of different disciplines for project design and analysis.

The learning that took place in the OAS Workshop was excellent. Follow-up activities of Solomon, however, indicated that many of the participants did not get a chance to apply on the job what they learned. In many cases, their supervisors did not understand the possibilities of using their newly acquired skills. Project design and analysis was unsystematic and highly personal. In some cases, supervisors required their subordinates to use their new skills to dress up pro-

Figure 1: PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

Project Title & Number: NATIONAL PLANNING (INVESTMENT PROGRAMMING - PROJECTS)

[illegible] of Project
From [illegible] 1976 to [illegible] 1978
Total U.S. Funding $675,000
Date Prepared May 6, 1976

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Program or Sector Goal: The broader objective to which this project contributes. Increase the utilization of available development resources.	Measures of Goal Achievement: Increase institutional loans (project) from abroad by minimum of 80% for the period 1977 - 1980 over the base period 1973 - 1976.	Examine Government Budget and the reports of lending institutions.	Assumptions for achieving goal targets: 1. Availability of funds and interest of lenders in GOJ projects. 2. Political and economic conditions favorable to development in Jamaica.
Project Purpose: Establish a GOJ capability in project design and management which will: A. Increase the number of Jamaican development projects available for financing by foreign and domestic sources. B. Improve project implementation and reduce project completion time.	Conditions that will indicate purpose has been achieved: End of project status. 1. During period 1977 - 1980, plan 40 or more Ministries Projects, compared to 20 Projects in base period 1973 - 1976. 2. PDRT/Working Teams will design and develop approximately 10 projects per year. 3. Increase the project expenditure rate by 40% during 1977 - 1980 over the base period 1973-1976.	1. Examine Project Plans and Investment Program. 2. Analyze Government reports for Project rate of expenditure.	Assumptions for achieving purpose: 1. GOJ will have sufficient Projects identified and staff to prepare Projects. 2. GOJ maintains current objective for speeding up project implementation and takes necessary supportive actions. 3. Some member(s) of Ministry Working Group (design) will be involved with implementation phase of project.
Outputs: 1. A Jamaican Project Development Resource Team (PDRT) with training and experience. 2. Work Groups in Government Ministries trained in project preparation and implementation. 3. A Jamaican Training Manual for Project Preparation and Execution.	Magnitude of Outputs: 1. A team of 4 officials with 2 or more years of training and consultation experience. 2. Over 180 persons (about 36 Work Groups) trained by end of Project. 3. A Manual containing Teaching Materials on methods covering all project phases.	1. Observation and Project Reports. 2. Examine records of persons trained and Groups formed. 3. Examination of Manual.	Assumptions for achieving outputs: 1. PDRT will receive salary level and top-level support adequate to retain them. 2. Ministries will cooperate in sponsoring Groups, selecting Projects and releasing employees for training. Adequate incentives for members of Work Groups. 3. PDRT and Ministries will collaborate in developing Manual (provide data, Case Studies, etc.)
Inputs: 1. AID financing: Technical Assistance $370,000; Commodities $15,000. 2. GOJ financing, staff, Logistic support. 3. IDB technical assistance.	Implementation Target (Type and Quantity) 1. AID: $375,000 Grant over 3-year period. 2. GOJ: $175,000 Local Funds and salaries for Work Groups. 3. IDB: $80,000 for two technicians (GOJ contributing $10,000 of cost).	1. AID: Budget and Fiscal Reports. 2. GOJ: Observation of staff and supporting services provided. Budget and Reports. 3. IDB: Observation of technician services.	Assumptions for providing inputs: 1. AID: Appropriation approved and timely disbursement. Assumes competent advisors can be procured and backstopped. 2. GOJ: Provide number and quality of counterparts required on time. Continue support and financing at proper level. 3. IDB: Provide competent assistance and coordinate with USAID contractors.

posed projects.

In 1966, Solomon was asked by the Organization of American States to introduce the practical phase into the project analysis curriculum of CETREDE in Fortaleza, Brazil. Despite initial skepticism by the staff, Mr. Solomon instituted such a practical phase. The staff was surprised at the response of the participants and the high quality of the projects prepared. The practical phase became an established part of the curriculum. It was extended to the course in project implementation as well. Many of the projects coming out of CETREDE courses have been financed by the Bank of Northeast. At a later point when the Government of Brazil took over CETREDE, they continued this feature in their project management courses.

The use of the practical phase was adopted by the three person University of Public Administration of the University of Ife in 1971-75. Follow-up of participants indicated results similar to those found in the OAS Workshops.

C. Technology Formulation and Design

Action-Training

The key to this project management technology is the "action-training" methodology, an approach characterized by an emphasis on in-country, on-the-spot project management training for persons having actual responsibility for "live" projects. Action-training is tailored to answer the needs of people to solve problems on real project activities. Action-training makes use of their own experience, project activities and problems as focal points for persons to learn project management.

As a form of systematic, action-oriented, in-service training, this methodology by its very nature performs practical functions of project development. In practice, projects used in action-training are selected by the sponsoring agency or ministry and a project work group is assigned to the development of the project. For the planning phase, the project planning team is first given a brief initial training (e.g. 80 hours) during which they begin to plan the project. This is followed by a period of consultations and seminars until an entire project plan is completed. If a project is authorized for implementation, a project implementation team is appointed and receives initial training on implementation (e.g. 80 hours) followed by consultations, workshops and progress reviews. Figure 2 illustrates the project design for action-training.

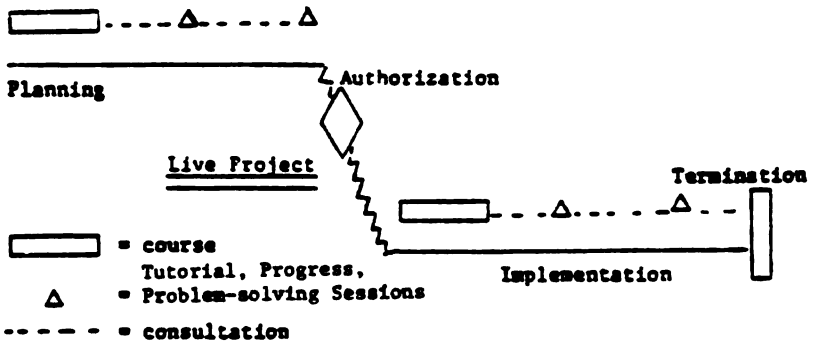


Figure 2 - Action-Training Model

The Project Development Resource Team

Action-training is carried out by a training and consulting team which is experienced and knowledgeable in the planning and management of projects. This team should be:

(1) inter-disciplinary composed of professionals highly qualified in relevant areas such as financial analysis and accounting, engineering, agricultural economics, education, etc.;

(2) assigned fulltime to the work of the PDRT; and

(3) located in a central national ministry (such as the Ministry of Finance) or enjoy close access to such a central national ministry.

In Jamaica, this team was called the Project Development Resource Team (PDRT). This is truly a project development resource team because it gives specific project development assistance through consultation and training. The PDRT helps in the design of projects and project systems. The team trains and consults with clients in support of specific project relevant activities within the existing project systems, such as the use of proper project documentation, application of appraisal criteria, procedures for reviews and decision points, implementation planning, reporting and monitoring responsibilities, and so on.

The PDRT conducts workshops and problem-solving sessions which are carefully planned to respond to the operational needs of project work teams and the sponsoring organizations. The timing and duration of PDRT activities are organized at the

convenience of the operating ministries and agencies. This requires a commitment to flexibility to permit the variation in activities to be really helpful to project teams, i.e., duration, coverage, scope involving varying mixes of training and action, medium and long-term interventions and workshops. All activities are planned and carried out in close collaboration with responsible officials of the project and parent organization.

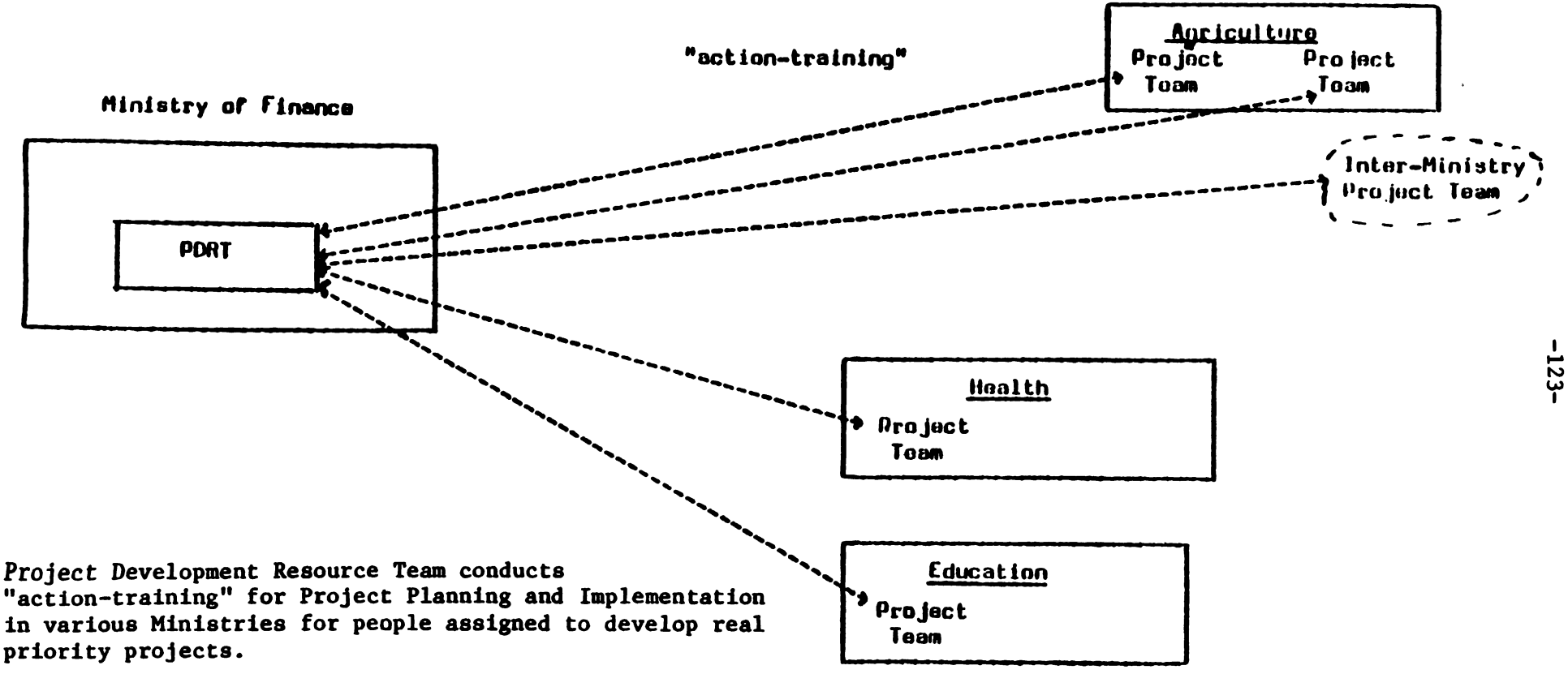
The PDRT service to operational ministries and agencies promotes immediate project progress while building a capacity for future reliance on the indigenous trained project work team. Responsibility for the project is maintained with the sponsoring organization. As part of the project design, foreign advisors can be used to complement host country team members and for additional temporary technical assistance on specific projects on a needed basis. The responsibility for the effort, however, is always with the indigenous organization.

In the National Planning Project, the PDRT was located in the Projects Division of the Ministry of Finance. The PDRT's responsibility was to use action-training to facilitate the development of projects and to upgrade planning and management capabilities in functional ministries and agencies. (See Figure 3)

As illustrated in Figure 3, the relationship of the PDRT with the sponsoring or executing agencies is two-way. The operating agencies are viewed and served as clients by the PDRT. The PDRT must develop an awareness and sensitivity to the ministries. They learn what is needed, what is already known, what resources exist to be mobilized, what is expected of them, and what realistically can be accomplished. The stance of "learner" is critical for all those involved in action-training--the advisors, the PDRT, the project workteam, and the managers of the sponsoring organization.

Project Management Systems

One of the fundamental difficulties of project management is that a project requires temporary, but effective, organization capable of bringing together the numerous policies, decisions and resources that influence implementation. Projects cut across established organizational boundaries and require coordination of diverse and fragmented sets of inputs, information, decisions, staff, procedures and structures from the earliest points of project identification. Project management systems are needed to coordinate and integrate the design, authorization and man-



Project Development Resource Team conducts "action-training" for Project Planning and Implementation in various Ministries for people assigned to develop real priority projects.

PAMCO (Project Analysis and Monitoring Company) was formerly the Projects Division of the Ministry of Finance

Figure 3 : The Training-Consultation Team and Project Work Groups

agement of projects from their conception through implementation into routine operations. Project management systems also lay foundations for participation which builds commitment to the purposes and design of the project, incorporates diverse knowledge and perceptions, and ensures that projects reflect the realities of their environment.

A comprehensive project management system is a unified process to coordinate and integrate all activities of planning, decision-making and management from project conception through implementation. Institutionalized systems clarify and define the mass of procedures, methods and possible actions required to move projects through particular stages of development. A comprehensive system is composed of distinct subsystems dealing with those specific activities related to identification, planning, appraisal, design, selection, approval, authorization, activation, implementation, control, termination and/or evaluation. Decision-making, procedures, formats, worksheets, criteria, responsibilities, and reviews are well defined to facilitate the movement of projects along a similar path within a consistently applied framework. Indigenous project management systems create the climate for collaboration and cooperation for host country organizations as well as donor/lending agencies and facilitate an environment of mutual understanding, appreciation and accomplishment so that appropriate organizations can work together. Common frameworks, language, criteria and processes eliminate much of the ad hoc fragmented nature of project development and implementation. Project management systems provide the foundation for and create an environment in which the other components of the technology--action-training and the training-consultancy team--can be effectively applied.

D. Technology Application

The PDRT was responsible to:

(1) increase project planning, implementation and management capabilities throughout government, especially at the implementing levels, to support policies of government development and decentralization;

(2) utilize "action-training" so that all training results in direct and immediate project development; and

(3) to become an institutionalized indigenous unit capable of carrying on training and consultation for future development of Jamaican capabilities in project management.

The National Planning Project was activated when the PDRT was formed in November 1976, with the arrival of two American advisors (an engineer and a project economist/trainer) to join two Jamaican team members (systems analyst and financial analyst). The PDRT was to accelerate the movement of projects through planning an implementation stages by training and consulting with project work teams.

Because new projects in agriculture were urgently required by the government, priority was initially given to the Ministry of Agriculture. Also, the initial emphasis was on planning and appraisal of new projects to attract foreign exchange. As new projects were developed and approved and bottlenecks in implementation became evident, action-training was shifted to include implementation and management. It was also expanded to health, education and other sectors as systems and the capacity for projects were developed for agriculture.

Projects are models of causation, designed to produce desired change. They are based on sets of hypotheses and assumptions about how the world is, how it acts and how it can be changed. Most development projects have more uncertainty than is implied in the written designs. This tends to be particularly true of institution-building and organization change projects. Uncertainty and ignorance about the project environment and operational factors of causation combine to produce circumstances throughout implementation which require substantial modification of original project plans. Fortunately, the project design and management of the National Planning Projects permitted a great deal of flexibility, experimentation and autonomy of implementation so that modifications could be made to meet the demands of the operational situations and environment.

Major modifications in the original plans of the National Planning Project included the following:

1. Building of a Project Planning System,
2. Institutionalization of Project Management Systems,
3. Introduction of Standard Project Documents, e.g., The Project Profile, as part of the Project system,
4. Diversification of Training For Different Roles in Project Planning, Implementation Planning and Management,
5. Diversification of Training Interventions For Different Situations, and
6. Broadened Concept of the PDRT Training Role.

1. Building a Project Planning System

The PDRT designed project management training to serve the decision makers by introducing a coordinated system for project identification, appraisal, planning and approval to which the training could relate. Intensive study and discussions with Jamaican officials resulted in the designing of a Jamaican Project System and the subsequent adoption of this system by the Jamaican Government. The project planning system has evolved into a definite form after considerable experience with actual projects over the past three years. The system involves the development of standardized formats for project documents so that comprehensive and comparable information is forwarded on all projects to facilitate analysis and the decision making processes.

At designated points in the process, and with data submitted in given formats, decisions are made about the project using criteria of priority and worthiness. The process and content of the project system form the basis for the PDRT training programs. Figure 4 represents an overview of the Jamaican Project Planning System. It indicates a series of project studies of successively increasing costs. Of course the system is only a model. The time, number and depth of pre-investment studies will vary depending upon the size and complexity of the project as well as other variables. The PDRT tailored action-training to support the performance of the newly established Project Planning System, rather than focusing solely upon selected projects.

An important lesson learned from the project is that action-training works best within coherent systems of project planning, selection and monitoring. One of the first tasks of PDRT was to design a Project Planning and Decision-Making System. This system has evolved into an accepted process for government decision-making on projects. At the Identification Stage, an inter-ministerial Pre-Selection Committee judges the merits of the project idea in light of national and sectorial priorities. The Pre-Selection Committee is composed of representatives from all key Ministries and Agencies involved in development, such as National Planning Agency, Scientific Research Council, Project Analysis & Monitoring Company, Minister of State for Planning, etc. It can promote a project for further study (involving more extensive investigation and the expenditure of pre-investment financing for feasibility studies), recommend implementation, request clarification or reformulation regarding aspects of the project or reject the project. The de-

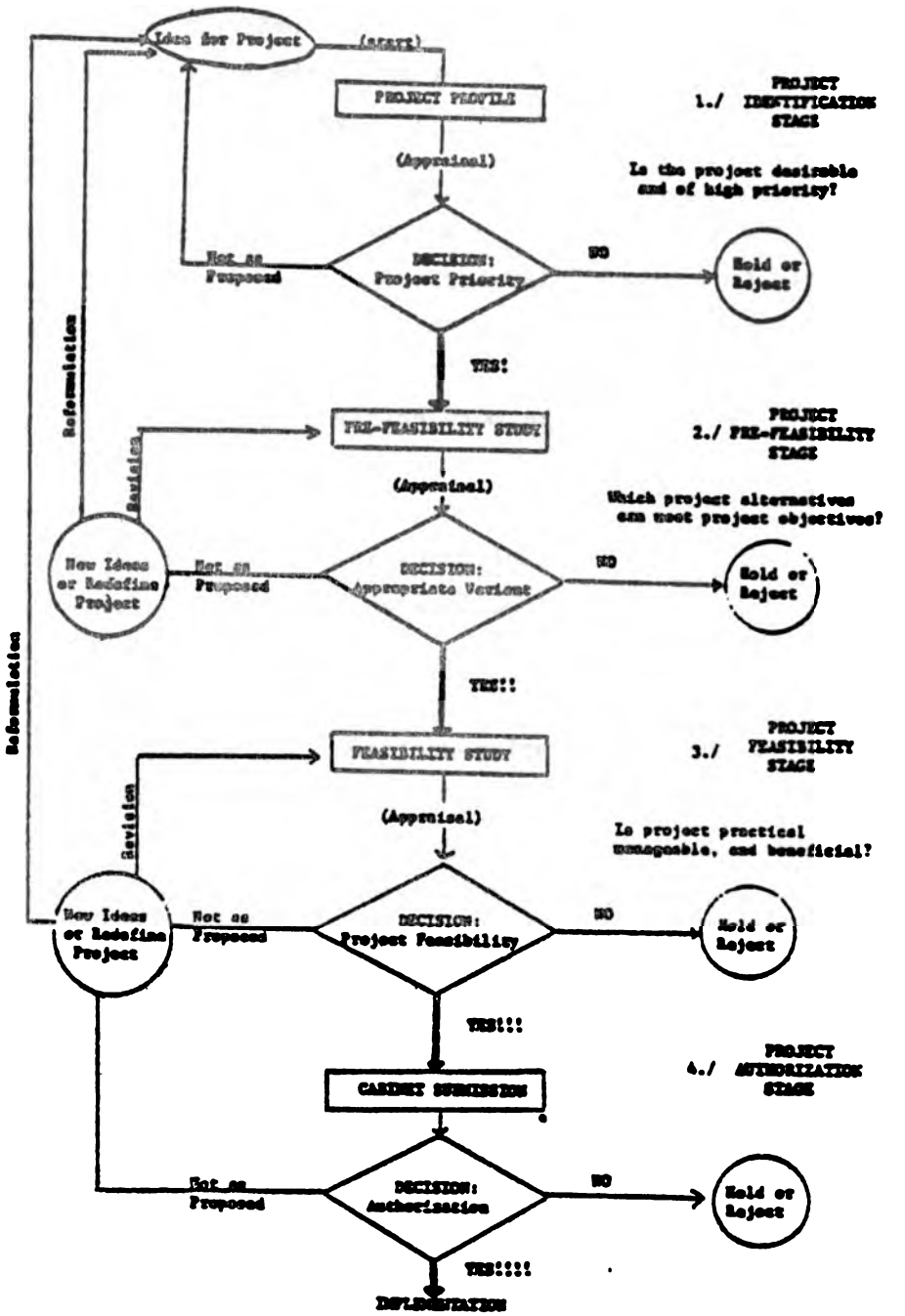


Figure 4 - An Overview of the Project Planning System Highlighting Decision Points, Project Preparation Documents, and Decision Flows in the System.

cision of the Pre-Selection Committee must be reviewed and approved by the Economic Council before it is official. This decision point permits early discussion on the desirability of pursuing further study on ideas submitted and reduces costs on project studies. PAMCO serves as secretariat to the Pre-Selection Committee and coordinates the appraisal of the projects in advanced study stages.

2. Institutionalization of Project Management Systems

The success of the Project Planning System in resolving basic problems in the flow of projects through the planning stages led to an awareness of the need for the introduction of management systems for other phases of the project life. Specific problems had been identified in terms of monitoring and budgeting project funding, for example, which could be more easily resolved if project management systems were initiated for tighter reporting and control. Consequently, PAMCO has become responsible for designing and implementing project monitoring, auditing and management systems. Distinct implementation plans are required for projects. Monitoring is carried out on work schedules and budgets. Reporting is streamlined and integrated at various levels to be synchronized with critical decision dates and points. The various systems which have been recently initiated have already had a positive impact on project implementation performance, the controlled use of foreign exchange, improved project budget coordination, implementation problem identification and resolution, and project audits evaluations.

The PDRT plays a key role in the design and institutionalization of project implementation and monitoring systems which were established to facilitate and and expedite project implementation. To support the original project goals, PAMCO plays a central role in project monitoring to ensure effective and efficient use of foreign exchange on capital investment projects. These expanded project management systems demand an expansion of PDRT's training role. As planning capacity is increased, the earlier focus upon project pre-investment planning is shifted to implementation and management problem-solving.

The introduction of project management systems involves significant change in organizational systems and behaviors. This is not a quick or easy process. It requires that the PDRT have expertise and experience in the approaches and techniques of organizational change and development as well as in training and technical areas. The project design did not reflect the importance of this aspect of the

project. For example, the qualifications of the PDRT and the project advisors did not include skills relevant to organizational development, training and consultation. While the critical role of systems development and organizational change was not reflected in the project design, the need for these skills and activities were recognized and provided for at the early stage of implementation.

3. Development of Standard Project Documents, e.g., The Project Profile

The introduction of project management systems requires the development of standardized documents, formats and criteria for systematic application in appraisal and decision-making. Different documentation tools have been developed with respect to the project planning and monitoring systems in Jamaica. For example, standardized reporting forms are required to synthesize information needed by different units in the government such as the Ministry of Finance and the Bank of Jamaica and are systematically coordinated so that the flow of information is streamlined and the demands for reporting on project managers are facilitated and minimized. The use of these standardized documents can be very wide as their usefulness is recognized and they are adapted beyond their immediate area of application. A very good example of this is the Project Profile. As explained below, it has been widely adapted. It must be remembered that this is only an example of the necessary documentation, and that any document is a tool which must be used properly to be effective. Tools, such as these documents, must be seen as part of the systems and processes for which they are designed. They do not perform fully their intended functions unless they are integrated into project planning and management systems.

The Project Profile is a relatively short but complete description of the project. Designed to answer the most basic and relevant questions about projects at the earliest stages of formulation (why, what, who, when, how), the Project Profile provides a standard format which can be used and adapted for a wide variety of projects. Its function is to ensure that adequate information is at hand when the first decisions about the desirability of a project are made. The Project Profile is relatively simple to prepare, because it is based upon existing and readily available data. From a Project Profile, the areas in which data are still required may be identified for further study, but the Project Profile itself should involve only a modest expenditure of time and money.

One unforeseen impact of the project has been the wide use of the Project Profile developed by the PDRT. Its use in Jamaica has increased the number of project ideas flowing into Ministries, the participation of field staff in project preparation, and the elimination of non-priority or undesirable project ideas. The Project Profile has been adopted by a number of organizations working at the community level; its simplicity permits easy and early development of project ideas which can be further formulated by communities with the assistance of specialist advisors from both government and non-government agencies. One agency, Community Enterprise Organization Company, is responsible for the development of community projects to increase the growth and sufficiency of small communities. This agency depends heavily upon the Project Profile for basic project development. The Project Profile has also ensured better use of pre-investment study funding, initiated under IDB projects for projects which have been pre-selected.

The Project Profile facilitates rapid development of project ideas. This was demonstrated for example in 1979 when Jamaica experienced extensive flooding. The emergency relief committee required an immediate flow of project ideas to form a disaster relief program. The Project Profile became the major vehicle for submitting ideas for appraisal and incorporation into the larger rehabilitation program.

The Project Profile is an extremely important document. It permits the development of a relatively large inventory of project ideas from which projects may be selected for presentation to international agencies--with a minimal training in planning and appraisal.

4. Role Training For Project Development

The original project design considered that training would be addressed to project teams responsible for planning and then implementation of projects. In examining the actual project processes, it became clear that different persons and units performed a wide variety of tasks in relation to every project. The capacity to develop projects was dependent upon everyone knowing how to perform their respective functions well rather than one team knowing all. The various roles in project management systems include, for example, project identification, project profile preparation, project appraisal, feasibility study, managing con-

sultants, etc. The PDRT adapted the action-training model so that it would be geared to narrower roles that specific working groups were performing. For example, the Project Profile is drawn up by one set of people; its official appraisal is done by another set; the feasibility study by still another, etc. This led the PDRT to tailor the training to a larger number of specific roles corresponding to roles in actual projects. The major focus of action-training to the present, has been in five major areas: Project Profile Preparation, Project Implementation Planning, Project Management, Project Administration, Project Appraisal, and Project Monitoring.

It is necessary for the PDRT to have a capability for all types of interventions because of the variety of demands and opportunities. Figure 5 illustrates the various roles that have a place in most projects in Jamaica. Training is seen as a means of giving the required skills to those who will be carrying out these roles.

5. Diversification of Training Interventions

ACTION: Developing Real Projects
TRAINING: Developing Human Skills

Action-Training is an approach to training which is not confined to a single model, but can be determined by the needs of the trainees and the problems of the projects incorporated in the training. It was soon discovered that "Action-Training" can have an alternating focus either upon ACTION or upon TRAINING. The PDRT had to integrate the complementary but competing objectives of action and training.

These objectives are complementary but can also be competitive. The persistence of traditional perceptions of training forces the demand for a "certificate" as the end product of the course (TRAINING). In contrast, the urgency for successful projects forces the demand for moving projects, regardless of the training involved (ACTION).

In PDRT activities, the two objectives are well integrated and complement each other so that the real projects are developed while training is conducted. In other instances, the objectives are not combined well and may compete with each

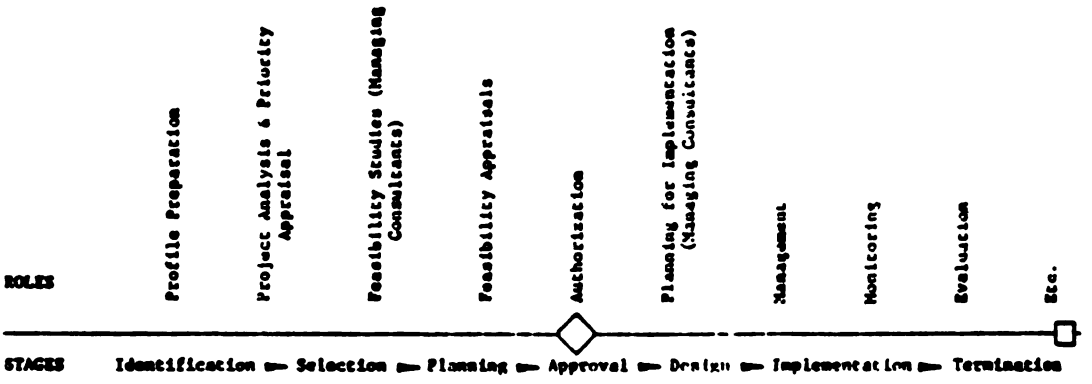


Figure 5 - Stages of a Live Project and Some Different Roles of Project Personnel

other. In project workshops, the PDRT is given the mandate to see that the project is developed, therefore, action is the focus, not training. In some courses, training is the focus, project simulations are used, but not actual projects are developed. The expectations of the client Ministries or Agencies and the availability of real projects for certain exercises often determine whether ACTION or TRAINING may be integrated in a single course. The PDRT has balanced the forces by differentiating the training interventions to include the variety of interventions shown in Figure 6.

Figure 6 - PDRT Matrix of Action-Training Interventions

training: action	action: ACTION
action-training seminars lectures surveys project study	ACTION-training PROJECT consultation PROJECT workshops PROJECT reviews PROJECT appraisals
TRAINING: action-TRAINING administration COURSE planning SEMINARS analysis SEMINARS "in-country COURSES"	ACTION-TRAINING PROJECT PROFILE COURSE IMPLEMENTATION PLANNING COURSE PROJECT MANAGEMENT COURSE PROJECT WORKSHOPS

It was found useful to provide a broader range of training interventions than was anticipated. For example, the PDRT has given a one-day overview of project management to high level government officials and members of the political directorate; one-day consultations with a project group on specific planning of implementation problems; university lectures, etc. While the action-training approach was retained, it was found that there was scope for a varying mix of action and training. Different training interventions emphasize more strongly either action or training: Seminars de-emphasize action but highlight content while consultation and workshops de-emphasize content and emphasize action.

The specific content of any training intervention is determined by the roles

of the persons being trained with respect to real projects and the status of development of the projects used in the training. As different persons have different responsibilities toward projects at different points, action-training attempts to give them the specific tools and understanding necessary for the performance of their specific tasks. In addition, the training focuses on the actual problems encountered on a real project rather than on general presentations. For example, a session is given on Appraisal Criteria only as it is relevant to the actual project being developed and the responsibility of the project team.

Seminars have played an important role. They are useful for top level officials who cannot attend workshops, but must be familiar with project planning and management. They are also useful to introduce and explain innovations such as the project profile and the project planning and monitoring systems. Seminars have helped to establish the program of PDRT by giving both visibility and credibility to the team.

Administrative courses have been important in helping to establish linkages with other training institutions and building a training reputation; project profile and project implementation courses have been most important for establishing the reputation of the PDRT as a practical and useful training-consultation team. Consultation has been an important means for establishing credibility and introducing Project Profiles. Extended two to three weeks, Project Management Workshops have permitted the development of management plans for specific projects directly involving project managers in the process.

6. Broadened Concept of the PDRT Training Role

As can be seen from the activities described above, the PDRT broadened its mandate to include taking an active role in the creation of a Jamaican Project System in order to facilitate training as well as project planning and management. In addition, the PDRT has provided training assistance to other training institutions in Jamaica. For example, when the Administrative Staff College was set up by the Public Service Commission, the PDRT helped design and provide lecture and consultation inputs for courses in project management. The PDRT has assisted with the development of planning and implementation units and systems in various Ministries and Agencies. The PDRT encouraged the Ministry of Agriculture to continue to give a course on project profile preparation to local extension personnel

using Ministry of Agriculture Staff. The PDRT members have been guest lecturers at special programs, such as one on project management at the University of West Indies. Thus, the PDRT becomes actively involved in the total training programs relevant to projects and organization development to support overall project performance of Selected Ministries and Agencies.

E. Evidence of Accomplishments (Project Outputs)

The evident outputs of the project at this time can be summarized into four major categories--Institutionalization, Training of Trainers, Project and Participant Summaries, and Materials Development. Institutionalization: The Project Development Resource Team is an institutionalized unit of the Project Analysis & Monitoring Company, an agency of the Ministry of Finance. Project Planning Systems are institutionalized within several key Ministries and at the National Level. Project Monitoring systems are being institutionalized at the Ministry and National Levels. Training of Trainers: An inter-disciplinary, experienced and highly qualified four-member team now composes the PDRT. They have received training while training during the past year and are carrying on a very active program of training, consultation and project development and monitoring. In addition, previous members of the PDRT who have left still hold positions in which their training is useful. One person initiated a project management course at the newly opened Administrative Staff College and has gone to the Caribbean Development Bank where he will open a similar program there. Another member has become the Director of the Project Courses and Seminars at the Administrative Staff College. Other members still work on projects with the Ministry, and Small Business in Jamaica. Materials Development: The PDRT developed a comprehensive set of training materials which is being published by the Government of Jamaica as the *Project Planning and Management Series*. The series consists of manuals on project planning and management as well as 46 module on specific tools, techniques and concepts of project planning and management, such as discounting, internal rate of return, management information systems, etc. See Figure 7 for a full set of the Series, which is constructed very flexibly so it can be adapted to meet new needs and revisions. Several new modules are already being added to the Series. Summary of Participants and Project Development:

Figure 7

Project Planning and Management Series

MANUAL – I Planning for Project Implementation
MANUAL – P Project Planning
MANUAL – M Project Management
MANUAL – PF Pioneer Farm Implementation Planning

MODULES

1. Defining Project Objectives (Objective Trees)
2. The Logical Framework
3. Work Breakdown Structure
4. Activity Description Sheets
5. Project Organisation
6. Linear Responsibility Charts
7. Project Scheduling – Bar Charts
8. Bar Charting for Project Control/Scheduling
9. Project Scheduling – Network Analysis
10. Milestones Description Charts
11. Resource Planning & Budgeting
12. The Role of PAMCO
13. Project Technology Analysis
14. Demand Analysis
15. Market Strategy Analysis
16. Project Risk Analysis
17. Project Costs & Benefits
18. Project Profile
19. Financial Analysis
20. Cash Flow Analysis
21. Discounting
22. Net Present Worth Analysis
23. Cost-Benefit Analysis
24. Benefit-Cost Ratio Analysis
25. Internal Rate of Return
26. Social Analysis of a Project
27. Economic Analysis of Projects (including Border Pricing)
28. Financial Statements & Ratios
29. Project Selection & Ratios Analysis
30. Brainstorming
31. Decision-making System for Projects
32. Project Institutional Environmental Analysis
33. Ecological Analysis for Projects
34. Introduction to Contracts, Jamaican Contract Documents & Tendering Procedures
35. Selection & Use of Consultants
36. Project Documents for Planning & Implementation
37. Report Writing for Projects
38. Project Files
39. Formats for Pre-Feasibility & Feasibility Studies
40. Motivation of Employees and Personnel Evaluation
41. Design of a Project Management Control System
42. Evaluating & Forecasting Project Progress & Performance
43. Project Termination
44. Introduction to Lending Agencies
45. Organising and Conducting Conference meetings
46. Withdrawal of and Accounting for Loan Funds in the Financing of Projects

Over the life of the project, assistance has been given to nearly 150 projects at various stages of development. The assistance always has a specific terms of reference, such as development of Project Profile, Feasibility Study, Implementation Plan or Monitoring System, etc. Project development and management assistance has been given through workshops and through consultations. A summary of the project action-training activities over the life of the project are summarized in Figure 8.

Figure 8 Summary of PDRT Action-Training Activities (1977-1980)

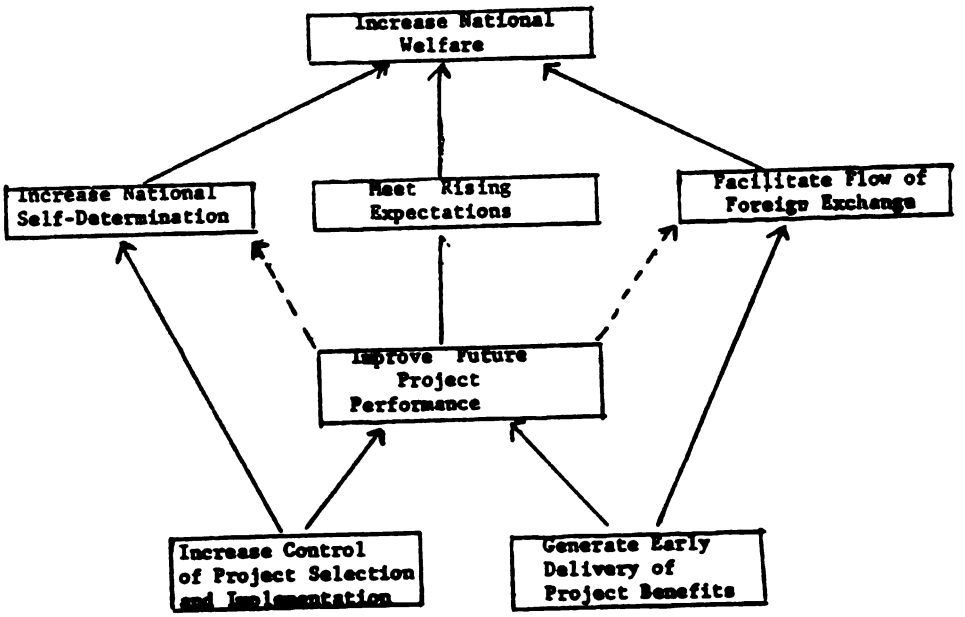
Type of Training	projects assisted	persons trained
Project Planning Workshops	42	182
Project Implementation-Management Workshops	30	160
Consultations: Project Planning	54	110
Consultations: Management/Implementation	20	98
Seminars: Planning and/or Management	--	550

IV. Long Term Development Results

A. Desired Long Term Goals

As with all development projects, the ultimate goal may be summarized as increasing national welfare. There are, however, many ways of interpreting this goal, i.e., in terms of increased income or more equitable distribution of income or higher levels of awareness and self-determination, and so on. In Jamaica, this ultimate goal can be defined in at least three ways (means) relevant to this project. First, there was a deliberate intention to become more self-reliant and to take more control of national affairs and destiny. This was evidenced by extended national control in the industrial and banking sectors. Second, there were expectations among the population for increased income and higher living standards in terms of essential and consumption items. Third, there was an expectation of higher flows of foreign exchange into and out of the economy through higher production and more efficient management. Each of these becomes a means of achieving the ultimate goal of increased national welfare. The upper echelons of the objectives of the project are illustrated in Figure 9.

Figure 9



The unifying purpose was to improve project performance in Jamaica. It is promoted by increased project control and movement of present project. Improved project performance, in turn, contributes directly to meeting the rising expectations of the population by providing through government projects the services and foundations for productive activities (i.e., industrial projects, food farms, cooperatives, etc.) The improved project performance also facilitates the flow of foreign exchange as project funds are often seed monies to promote higher foreign exchange earning or to ensure efficient foreign exchange use. Future project performance, if improved, also is a means of increased national control of destiny or self-determination. As projects are successfully carried out under Jamaican initiatives, the nation becomes less dependent upon foreign leadership. It is important at this point to note that there may be a high interdependence with international systems and multiple linkages to other national economies and societies. This can be a useful form of relationship if there is a fulfillment of national objectives as determined and controlled by Jamaicans. Decreasing dependence is not the same as isolation, rather it is an increasing of self-

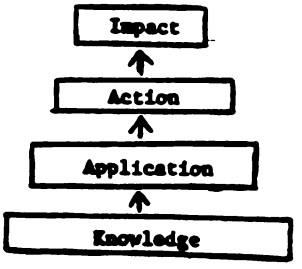
determination and realization within a relationship. This can be realized as donor/lender agencies work within Jamaican-initiated projects and through Jamaican management systems rather than the reverse.

As a key means to achieving the higher level objectives of increased national self-determination, meeting rising expectations and facilitating the flow of foreign exchange through the economy. Improved future project performance fell high within national priorities and was interpreted as a means to help meet, but it had to be the urgent demands upon the government and the society. We will examine how "action-training" was able to facilitate the mobilization of specific project resources to meet these demands, but first we need to understand the dynamics of a more traditional approach to improving project performance.

B. Cause and Effect Linkages

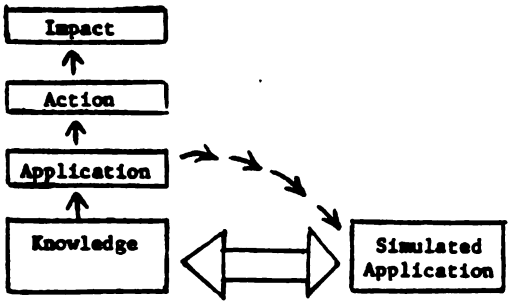
A traditional approach to project management training has been to bring individuals for degree or short courses in U.S. institutions. Often persons from different countries with similar official levels are brought together to learn the key concepts to improve their managerial effectiveness. Another approach has been to develop packaged courses for in-country training so that the cost per individual trained is reduced and so that more persons can be trained within a specific national setting. In both of these approaches, the emphasis has been upon transfering specific content to help persons be more effective when returning to their jobs. If the transfer is successful, the managers will have new skills to carry out their managerial and technical assignments, and there will be an improvement in the overall performance of their respective organizations The ends-means assumptions as outlined can be simplified as below in Figure 10.

Figure 10: Training Hierarchy



One of the key lessons of training is that often participants find it difficult to immediately and directly apply the tools, skills and concepts to which they were introduced in training. As time passes, the innovativeness and enthusiasm wane and little organizational development or change is evident from the training. Infact, much more knowledge (content) is often put into courses than may ever be practiced or applied by the participants (as noted by the decreasing size of the hierarchy of boxes in Figure 10). And because of constraints and restraints to application, even less direct action or change occurs, with the result that the ultimate impact is relatively small. In other words, the knowledge loss is very high. It has been found useful to provide opportunities for participants to apply tools, techniques and concepts when they are introduced to reinforce the knowledge, demonstrate applicability, and test individual capabilities and understandings. The use of simulations and exercises in training can perform this function. As illustrated in Figure 11, this is the beginning of the fusion of a hierarchy of means illustrated above. It attempts to bring the application of knowledge closer to the transfer of knowledge by beginning application as part of training. Although it may be useful to help the individual develop strategies for intervention upon return to the work setting, it does not effectively fuse knowledge with application to increase the implications for action or impact.

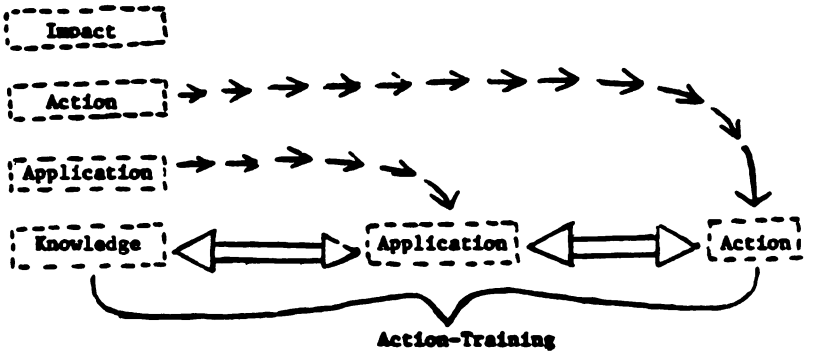
Figure 11: Simulation Training Hierarchy



The innovation of action-training is that it makes a horizontal fusion of knowledge, application and action. The training hierarchy is significantly reduced. Knowledge transfer, application and action are achieved simultaneously,

and the overall impact is brought forward. In addition, it can be certain that the knowledge is relevant and practical, thus reducing the loss of knowledge illustrated in the previous training hierarchy. (See Figure 12.)

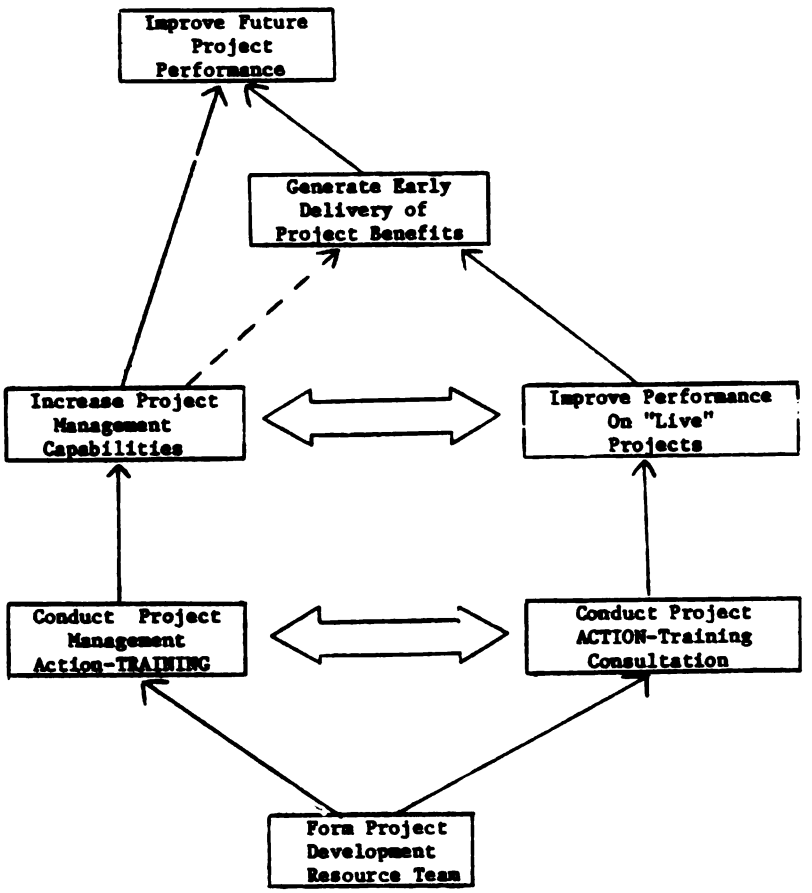
Figure 12: Fusion Of Training Ends And Means In Action-Training



Action-training is a fusion of several levels in the training ends-means hierarchy. It results in more efficient transfer of knowledge, relevance to action and earlier developmental impact. However, action-training is a dynamic fusion of two complementary, but competing objectives as described earlier in this paper. "Action" results in improved performance on live projects, while "training" increases management capabilities. As the PDRT carried out its action-training program, there was always a tension between these objectives, so it is useful to consider them separately in our illustration of the cause-effect linkages of this technology. The basic strategy of the project was to form a Project Development Resource Team to carry out an action-training program to move live projects and increase project management capabilities. This would result in earlier delivery of Project benefits as well as improved future project performance. (See Figure 13.) An interest consequence of the fusion of action and training at the lowest ends level is that the increased project management capabilities are reinforced by (and reinforce) performance on live projects so that fusion at this higher ends level is also nurtured.

One of the distinct lessons of the National Planning Project is that a singularly identified project team does not carry a project through a complete

Figure 13



planning or implementation phase, but that different persons and teams have various functions and roles which must be integrated and coordinated to improve project performance. Neither project, nor a project team, can be isolated from its organizational context. To improve project performance, it is necessary to introduce project management systems through a strategy of organizational development which will increase the institutional capabilities as well as individual capabilities to meet the demands for improved project management performance. Therefore, the design of project management systems supports action-training in a comprehensive organizational development strategy. Thus the foundation is provided for moving projects forward for determining content for training and for improving overall organizational performance.

The application of the system designs on live projects through action-trainin is a fusion which tests the systems and results in their adaptations to organizational realities. Action-training becomes a key vehicle in the institutionalization of project management systems by the fusion at this primary level. As the systems are institutionalized, there is natural fusion with increased management capabilities and improved performance on live projects as shown in Figure 14.

Figure 14: Fusion of Systems Development and Action-Training

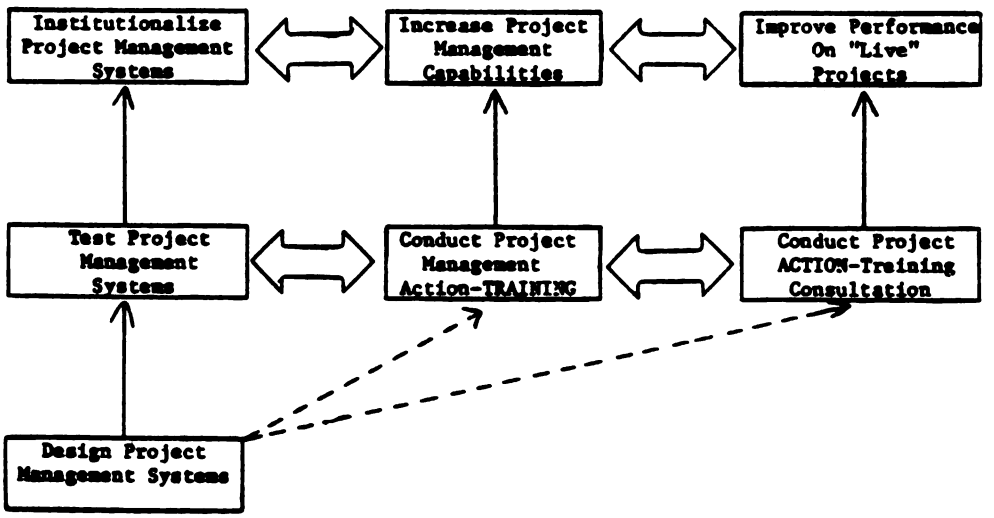
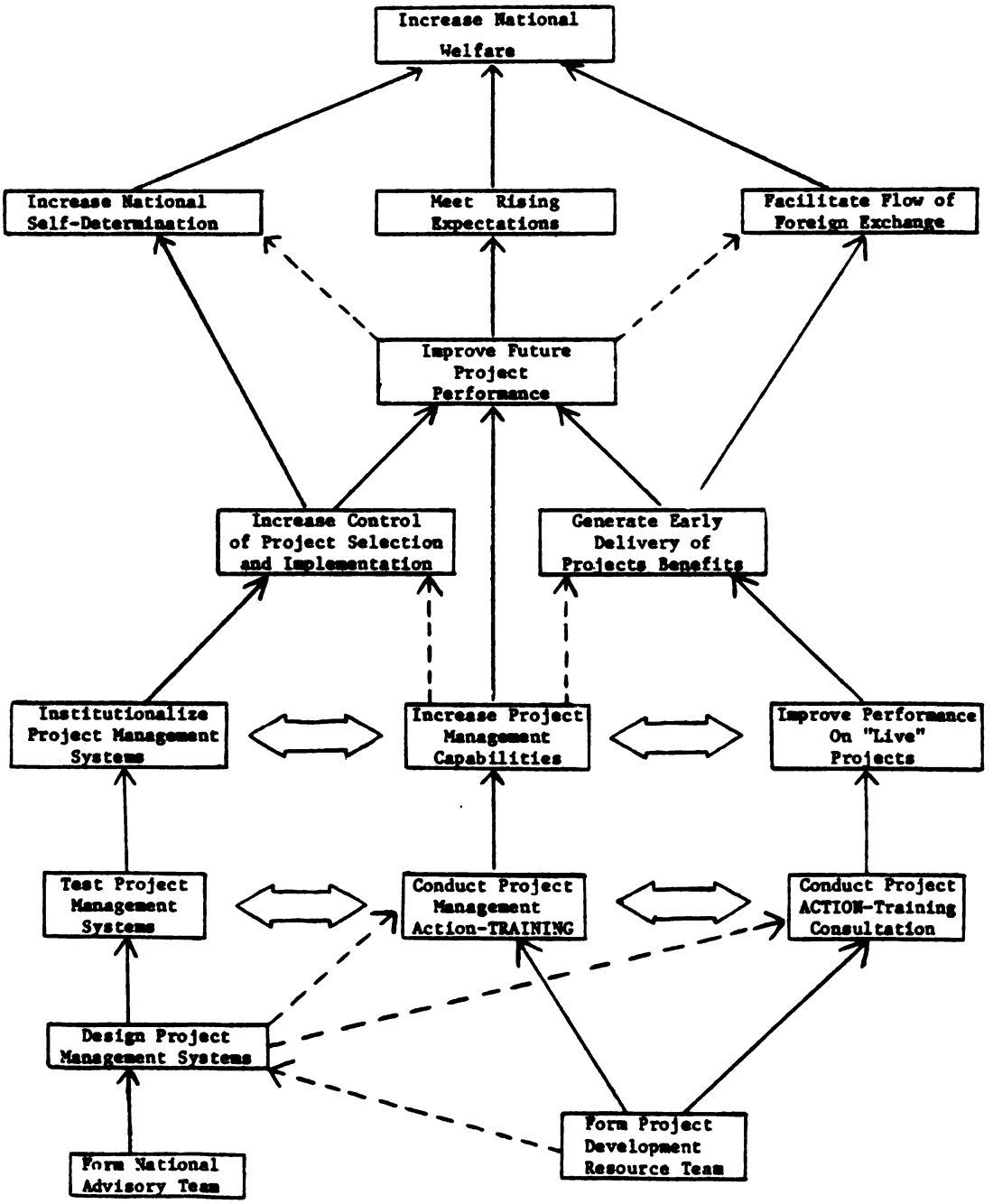


Figure 15: Cause-Effect Linkages for National Planning Project



The fusion of action-training and systems development to move live projects, increase management capabilities, and to improve future project performance, while simultaneously increasing the national sense of control of destiny and promoting early generation of project benefits. It is the fusion of cause-effect linkages through a dynamic organizationally sensitive action-training program which is the innovation of this project and which resulted in the exciting achievements of the project. The total fusion of the cause-effect linkages is illustrated in Figure 15, which is built from the proceeding discussion. Beginning with the formation of the PDRT and the design of project management systems, the higher-level objectives are achieved through the horizontally fused interactions and effects of action, training and systems development.

V. Conclusions and Implications

A. Conclusions

The action-training approach is seen in Jamaica as an extremely efficient and effective way of handling training on projects. It is likely that it will be expanded to improve management in broader financial and operational programs. It is so attractive because action-training directly helps solve real problems on live projects. Projects are moved forward so there is immediate and direct benefit from the participants' work on specific aspects of their project assignments. The training environment supports informal as well as formal interaction and sharing of information which might not normally appear in general training or reporting so that problems can be more clearly identified. Immediate reinforcement and internalization takes place easily in the action-training situation. Creativity is encouraged as participants tend to relate more fully within the team situations to both identify and solve problems which arise in dealing with the live projects.

The PDRT acts primarily as facilitators, as well as trainers, since PDRT members assist the work teams to mobilize their own resources. The PDRT gains much knowledge and experience through the action-training program, which in turn facilitates better communication from their central agency with the operating ministries and agencies. Much is learned about the operations, peculiarities and problems of different ministries, and this background provides certain information

relevant to problem-solving which can be passed to administrators and other trainers. The focus of action-training is always developmental for all persons involved and pivots upon real problem-solving for projects and organizations as they carry out their priority assignments.

B. Implications for Project Management Improvement

Every country has special needs and circumstances which must be reflected in a country project management improvement project. Certain implications for such projects can be drawn from the experience of the Jamaica project.

1. It is clear that there are substantial advantages in linking training with actual projects in a close relationship with responsible operational organizations, so that action-training fused with systems and organization development provides a flexible and effective approach for project management improvement.
2. Action-training facilitates responsible and realistic decentralization of project planning and implementation and provides a framework to integrate central agencies with field work in a coordinated total effort. This requires the simultaneous development of management systems, organization development interventions and project action-training.
3. The Project Development Resource Team has a substantial advantage if located in a central agency of the government, but it must be a small, facilitative multi-disciplinary unit composed of experienced and qualified professionals who can facilitate the mobilization of existing and available resources through action-training for problem-solving.
4. A blend of training and action, is difficult to maintain, so it is important that the turnover of PDRT personnel be minimized during the first two years of the project. This gives time to establish a mode of operation and develop materials as well as to institutionalize team identity.
5. In view of the shortage of qualified and experienced project personnel, this approach is an effective use of a small cadre of professionals to get maximum spread effect of their expertise across projects and sectors. A comprehensive program of organization development and follow-up problem-solving sessions to complement action-training can be used

effectively to improve management capabilities and organizational productivity.

6. Participants in project action-training are widely spread throughout an organization, and have different knowledge, skills, techniques, technical languages, educational levels, organization authority, and so on. Action-training involves the establishment of meaningful working relationships and communication based upon minimum levels of standardized conceptualization, terminology and understanding which the PDRT can help formulate and institutionalize.
7. The experience of action-training shows that fullest benefits are derived when all levels of involved organization and project staff participate to a relevant extent in the training program through a variety of training interventions.
8. Action-training is most effective when there is a preliminary meeting of all agencies involved (especially of appropriate administrators) to establish an action-training foundation by clarifying expectations, roles, bottlenecks, flows and assignments.
9. Project action-training must be related to the existing bureaucratic and incentive systems, which usually are geared toward routinized programs, organizational line of work, recognition, traditional authority priorities, and degree of certification awards for training. These traditions must be innovatively adapted to meet the demand for project management improvement.
10. Training materials should be simple, practical, oriented toward action, and immediately relevant. Comprehensive overviews should be provided so participants know where they fit within the "whole picture." Short project-related exercises are extremely useful in introducing concepts and linking these to projects, but the focus in upon actual assignments on "live" projects.

PANEL "APPROACHES AND EXPERIENCES ON TECHNICAL COOPERATION".

ERIK THEINHARDT:

The purpose of this panel is to stimulate a dialogue on the approaches and experiences on technical cooperation presented by DPMC and PROPLAN. To begin, I would like to make some general suggestions on the dynamics of the Panel.

Considering the subject's technical character, we are interested in having a general exchange of experiences. Therefore we have decided to expand this Panel by providing a "vacant chair", so that all participants temporarily enter the dialogue between DPMC and PROPLAN. We ask you to refrain from using the vacant chair for asking questions; time will be allotted at the end of the panel discussion for questions. We would appreciate it if the questions that arise during the Panel discussion be submitted in writing. That will make it easier to translate and answer them during the question period.

I will open with a general question for initiating the dialogue:

> "Which are the distinctive features in "your" technical cooperation approach that makes it different from those used implicitly or explicitly by other agencies."

MARCUS INGLE: One way to look at this is to look at the roots of the conceptual approach. This morning I went over a chart on the historical development of DPMC. Let's

move bak to that chart very quickly.

In terms of the substance of our approach, the DPMC starts with "Project Management Technology", "action-training" and "organization development". The integration of these three intellectual themes defines our approach and sets us apart from many other approaches.

The DPMC also puts a very emphasis on the process of gaining acceptance transfering ownership within an organization for what we are doing. We are very interested in getting interventions accepted by those you are working with. This is the personal or human dimension of technical cooperation. I think it approaches PROPLAN'S concept of reciprocal and participatory cooperation. It's a question of "mode of intervention" or how one goes about providing technical assistance. In addition, I think we stress the use of teams. We emphasize team development modes and spend a lot of time on small group work. The DPMC approach also puts heavy emphasis on the interpersonal and human dimension of interventions.

MERLIN KETTERING: I would like to point out that I am first of all impressed by the common denominators between the DPMC and PROPLAN approaches. Some things are so similar; it seems like we're striving for the same goals. However, a difference might be evident in what I sense as the PROPLAN dependence upon studies or surveys. The difference has

to do with sources of information, and where the information is processed and stored. I saw the information being processed and stored primarily at your core group (C.G.) level. In the DPMC approach, I think we primarily depend upon, and trust, the information which already exists in the environment in which we are intervening. And we're very dependent upon that. Participants bring their information and we facilitate better use of the information they already have. I was struck very much by the information that you were generating and processing and the location of generating and processing capabilities.

P. LIZARDO DE LAS CASAS

First, I would like to express my point of view about the features of technical cooperation approache's specific features derive from the character of the agency that sustains such approach. As regards IICA, we are an institution whose actions cannot be regarded as those of a "consultant agency" hired to work within a country or a project; IICA is an institution that is not part of <u>one</u> government; it is an institution with 27 Member States which has offices (that means permanent institutional presence) practically in all its Member States. Finally IICA is an institution engaged in multinational action, which comprehends all technical cooperation actions implemented through Multizonal Projects.

For the second, I understand from Merly's comments, that what we said about Multizonal Project's mode

of operation has not been adequately interpreted. In that respect, I would like to make clear that our multizonal projects are not based on studies made at IICA Headquarters. Apparently, we have not adequately explained the relationships existing between Central Group and Country Groups in the context of the hemispheric component, this is why I consider it necessary to refer again to that subject. In order to visualize these relationships it becomes necessary to consider that, on the one hand, we have specialists working at IICA Headquarters and specialists working in the offices in the countries; on the other, we have the concept of the hemispheric component and the country component. Thus, the hemispheric component's activities of a multizonal project are not exclusively the work of the Central Group, neither are the Country-component activities carried out, exclusively by the specialists of the Country Groups. As mentioned before, when presenting Multizonal Project's mode of operation, both the Central Group and the Country-level groups take part in the execution of activities distinctive of both components of such projects. The difference between the components lies not in where the groups are situated, but rather in the types of activities they carry out. Let us take for example the basic studies. Earlier we said that these were activities aimed at reviewing what other institutions are doing in a specific field in which we have to carry out a country activity. In this manner we try to learn what's happening in other institutions, what kind of information exists in that field and what the achievements have been through our Institute's actions

in all IICA countries. We also gather ideas about methodologies that we would recommend on the basis of our experiences, how to document these experiences, etc. But this does not mean that these efforts take place in the countries where we are working. The activities taking place at Headquarters level are those which have to do with the Institute's relationships with other institutions, not only thoughout the Continent, but also throughout the world, It's important to stress that in the work of both components there is no interest to centralize information, but rather to establish and maintain a flow in both directions enriching the products of both activity groups.

Thus, we have a flow from country-level groups to other countries and to Headquarters; furthermore, there is a flow from the Central Group to the countries. I think the relationship between these elements distinguishes multizonal project's strategy from other approaches in terms of the operational format.

As a third point, I also consider that there is a difference with other approaches regarding the conceptual framework IICA has documented in various ways the development planning and development administration experiences from Latin America and the Caribbean. Our review documented many negative consequences of an approach emphasizing the separation between the definition of policies and their implementation, based on a non-integrated concept of action in the public sector. Further, planners were relegated to the task of defining

policies and formulating plans, and the remainder of the bureaucratic apparatus was in charge of implementing policy in a mechanical fashion as set out in the plans. And here is where PROPLAN developed a different strategy that follows a consistent approach of:

i. redifining policy planning and implementation as a single process in which the analysis of strategic and operational policies merges with program and project management;

ii. redesigning the role of directive systems at local, regional and national levels since the mechanisms for planning and implementing policy (though they may vary at the various levels) form a coherent whole within which any partial action will fall short of the mark; and

iii. adjusting the relations between the public sector, the private sector and the marginal, rural poor with an eye to ensuring the active participation of the rural population in the guidance of the planning-implementation process of agricultural development and rural well-being policies.

This is crucial, both for grasping actual needs and for generating an effective response.

KETTERING: The question which was raised was "How do we differ?" I think some clarification is useful, because I believe the technical cooperation approaches do not differ

in spirit. In fact, I find the spirit we (PROPLAN and DPMC) have is very complementary and very similar. I would like to comment on how the spirit of what all of us are hearing here is very different from what one hear in regard to other approaches.

There is a tendency to think that it is known what must be done to foster development and that this can be prescribed. Therefore, when going into improvement efforts there is a tendency to teach people set or prescribed courses, set methodologies, set content. The people are expected to receive the content and then modify it to fit their situation. Give them the theory; they take the theory out to their real situation and change that theory to meet whatever the situation is.

In the approaches espoused by PROPLAN and DPMC we say we go to the working situation, we adapt our content to their situation by dealing with them in their situation. That is a significant difference (and a very important one) in what is being said by PROPLAN and DPMC.

DE LAS CASAS: I believe what Merlyn just mentioned is perhaps the aspect that drew us closest to DPMC, that is, what DPMC calls "action-training." It is a concept, as he says, "in spirit," in essence, very similar to our Institute's idea of participatory technical cooperation.

Nevertheless, I insist that there is a difference in the approach, which lies in the characteristics of the institutions we operate in. This concept of

participatory technical cooperation is something I would like to emphasize, because I consider it a special feature of the Institute. Within this concept which relates to our basic strategy of institutional strengthening, we implement our cooperation activities. This means that we work together with the national specialists in a relationship where we both "learn by doing" and we both "transfer by doing". In addition, another important point in this cooperation approach is the concept of "reciprocity". At IICA we define reciprocity as those actions that facilitate, through the Institute, contacts between national specialists from different countries. For example, a person from country "x", with experience in an area of particular interest to us, goes to work in this same field for a period of time with national specialists in other countries undergoing the same problem. This is how we view reciprocal technical cooperation.

ARTURO ARAUJO:

I would like to raise a concern. I have observed certain elements in the presentation that have contributed to highlighting some differences between the two approaches. According to what we have heard today, DPMC belongs to a public agency of the United States. Personally, I think that this conditions its approach to a certain degree and significantly limits its ability to accept certain national conditions in Latin America. To what extent does this dependency limits its goal achievement?

KETTERING: Let me respond first by assuming that I am with people who know how bureaucrats behave. Is that a fair assumption? All of us have learned how bureaucracies work and appreciate certain realities of bureaucracies that are frustrating to everyone. One thing is that policy can be very limiting. Another thing is that policies can be circumvented on differently interpreted .

On the one hand, anyone who is at the top knows that the people at the top who make policies do not have control at the operational level. And they complain at the top that they don't control. And on the other hand, the people at the bottom complain that they are controlled. So we deal with interesting dynamics.

In the case of DPMC, I would say that we are a very small unit doing cutting-edge, frontier work in research and development. Thus, to answer your question I would say from an operational point of view that, no it is not a problem to belong to a US agency. But if you look at it within the larger setting, and almost from an ideological point of view, it could be a problem. Fortunately, does not seem to be.

GUILLERMO MORENO: I need a clarafication from DPMC. When Mr. Ingle mentioned DPMC'S work being dependent on the institutions setting were you referring to the institutions in the countries, or the institutions where you work?

INGLE: I think that any organization like ours depends on a variety of institutions, and as I mentioned this morning, we work in an environment that is influenced by the policies of both U.S. and host country institutions. We both follow the national institutions that we are a part of or work around them, and follow the policies of the countries we are in or work around them.

In the agricultural sphere, our objective is to expand the use of management concepts that have a positive impact on development results, and on helping rural people to increase their production and their productivity. To the extent that we have this objective in mind, then many policies are viewed as constraints. And as constraints, we try to find a way to deal with them in a way that maximizes our objective. I would say that we are more adept at working around policy constraints in the U. S. than we are at working around the constraints of the environment that we move in to.

But, and this gets back to what Merlyn was saying, what we attempt to do in the environment where we are operating is to demostrate, through cooperation, how host country staff can work around their own constraints. We do not attempt anything within the country except by working with other people to make them more effective managers and more effective groups.

We are not implementing policies, we are developing management, managers, and managerial groups. One thing that managers, need to learn is how to influence their

external environments, and that means changing and finding creative ways to handle policies that do not allow them to accomplish their development objectives.

Ricardo Cáceres: Guillermo, I believe your question arose from the first statement Merlyn made on the panel. I recall that he began by mentioning that cooperative approach was dependent on the "studies" made by the Central Group as a basic source of information. This, in turn, stimulated Lizardo's comment. On the other hand, when presenting DPMC's approach Marcus also said that they were more dependent on what the institutions were like, how things are done at the institutions in the respective countries. Perhaps he spoke of "dependence" in these terms, perhaps you perceived another aspect of dependence.

MORENO: I believe Marcus' exposition referred specifically to these two points. Nevertheless, he also mentioned that DPMC serves as a consultant and, therefore, is linked to the conditions in the countries. I ask this to clarify for myself the aspect of dependency as used in the presentation. I think that Arturo Araujo, in his intervention, took DPMC as creating political dependence. Marcus did not refer to that.

INGLE: I would like to point out one other area where from my perception there is substantial agreement between PROPLAN and DPMC. This is the area we call "generic management functions" which I think you call the "directive mechanisms",

especially within the content of PROPLAN/A.

I was struck by the similarity between the items on these two lists. Our list appears to be totally encompassed by PROPLAN's. But PROPLAN's list has a few additional items that we do not have. For example, their words are different and the differences are important even though the similarities are great.

The one item that is quite different and it tells a lot about PROPLAN's approach is item Number One, "understanding the context". We don't have an item like this on our list. Not that we think that it's not important but for some reason when we looked at the experience, it is not something that jumps out. Maybe we need to reconsider it and include it in our list. However, I have the feeling that we believe, if you get the people together who are responsible for implementing a program or a policy, and you get them to agree on objectives., then they will use the best approach that they know, and this they will automatically do on analysis of the context. Policy persons cannot agree on objectives, unless they have looked at the socioeconomic context and deal with related factors and variables. Thus, this becomes a matter of technique for us rather than function, because it is included as a necessary part of a more basic function in another function. I think this is one area where we need further discussion. Again, what strikes me is the similarity between the two lists. What we need to

do is begin to understand why our lists are so similar even though they were generated quite independently.

What is very interesting about both of these lists compared to the literature on public administration is that these lists of functions are nowhere to be found. Public administration people talk about planning and control in very broad terms; they don't talk about the "generic functions of management". What we are doing is agreeing on the importance of some concepts different from what traditional public administration scholars have been saying for the last 50 years.

DE LAS CASAS: I am going to stop using this relation of directive functions, and replace it with the concept of areas where we work and which are related to these functions.

I agree with Marcus, and find his remarks about similarities truly interesting, especially thinking about the possibilities of working together. But, I want to express a deep concern which has to do with the question of what "implementation" means.

Looking at this list of DPMC's key management functions, I wonder whether this is not just another way of presenting what is traditionally discussed in literature on public administration, when referring to the "administrative functions", in which

planning, control and others are described as functions. This brings to my mind a micro-administrative process rather than a macro-administrative process, related to the "guidance".

In PROPLAN's underlaying approach, the micro-administrative process, mentioned in all administration theory literature, would be taking place behind each of these directive functions.

I mention this and raise it as a doubt because when Marcus says: "when we are going to implement a policy" or "when they tell us to implemnt a policy", I find that "implementation" means execution of policies, which is different from the definition of policy. This is a differentiation that PROPLAN wants to get away from. In this case it seems like DPMC operates in one of the phases of the planning-implementation process; sometimes it seems as DPMC operates within the frame of what we might call the guidance of execution (perhaps project management) or one of PROPLAN's directive functions, using the administrative micro-process.

On the other side, I believe that the differences between both lists of functions might be reflecting a distinction in the mode of operation. This difference could be explained in terms of executing a cooperation action based on efforts more closely tied to improving a project, and not with the concern of making a more permanent intervention.

In PROPLAN's case, the concern is the way in which the planning-implementation process is "guided" in order to orient the development process in a micro-region, in several micro-regions within a region and in several regions within a country.

THEINHARDT: Our time is running out, but we're going to give a last chance to the panelists, after which, we'll close the panel discussion. Please start sending me the questions you would like to ask PROPLAN and DPMC after the Panel.

CACERES: I don't think the main point to take into consideration when comparing PROPLAN's and DPMC's approaches is a question of one list being more complete than another. The difference does not lie in the functions included in one and not in the other. We also see that certain words are repeated in both lists; for instance, we talk of planning and evaluation here and there.In my opinion, however, only the words are repeated; the sense of the functions mentioned is completely different, especially in terms of emphasis. In my interpretation of the presentation we have heard and according to the functions described in the document presenting DPMC's approach, I perceive an emphasis on how to carry out things that have already been decided. It appears to be an approach commonly characterized as "functions of project management" oriented towards the execution of specific projects generally in areas of infrastructural works, with concrete results. I believe a number of us have had experience in that dimension of projects.

Nevertheless, there is a substantial difference in speaking about how to do something, based on a concept or idea about how "it should be" and how to carry something out that has already been decided. Having this in mind, I don't think it's a question of something missing on the list. Rather, I perceive that the DPMC approach is aimed at what we often call the micro-administrative approach, which is quite different from PROPLAN's perspective.

KETTERING: I think we are just beginning to really get to work! It is important to point out that the words were not there. This was a question to me. I do not know if it is a matter of difference and I'm not sure Marc and I agree with this. It may be a difference in understanding what is involved in the first list. I think it is impossible to reach a consensus on objectives and strategies without having a common definition of the problem. Therefore the specific methodologies we used in Jamaica, for example, began with understanding the problem, then understanding objectives, before moving into the programming stage, and so on. It may be subsumed because of an assumption we make here about our style. Our style is "action-training" and "organization development". Within that style there are methodologies, which do what I think you are talking about.

At least for me, and my experience in Jamaica, it is from my experience that I have begun to understand what I believe. Because I thought I believed

something and then it became more clear to me. I am not sure the difference is great. I do believe that we have to learn to find out what we mean. This is very important. If one is involved only in implementing decisions that have already been mae, then we don't have an integration of the doers or the beneficiaries in the process of determining policies. I am not committed to that. I am committed to their integration into the planning and into policy establishment. We have assumed this in our style. Maybe we need to make it more explicit. I think as we begin tomorrow with the Jamaica experience, we will see how to move into that.

CACERES: When I referred to the difference between both lists of functions I began to emphasize in the aspect about "micro-administration". However, it seems like some people think that this aspect is not included in PROPLAN's approach. Now I would like to emphasize the following: administration, in the sense of administrative process, is included in our approach, it is part of the whole and a part of each administrative function. Nevertheless, explaining the function of the State (which takes shape through the policy planning-implementation process) in terms of categories of the administrative process, is to attempt to explain a macro phenomena, using variables of a micro-level. (I'm using the terms macro and micro to express complexity levels). Thus, administration viewed as an administrative process, commonly used as theoretical frame

for project management matters is something basic and necessary, but it isn't everything. That's why I said that the words from both lists of functions are the same, but the categories in which they are used really cause the difference.

KETTERING: I think we will be exploring your point more closely when we look at the specific examples of Colombia and Jamaica. I think that will give us a chance to raise the question of whether or not we are indeed doing different things. I would like to come back to one point that I tried to make earlier. Do people understand what is meant by organization development? Is that a familiar term? This I think is a very critical point. When I say that the identification of the problems are subsumed in our style (action-training and organization development), I think people need to know what we mean. What is organization development and how does it function? In our process, organization development begins with identification of the problem, interpretation of the problem, selecting the part of the problem that is going to be addressed, looking at alternatives, carrying out actions and then, of course, seeing whether or not the action has its intended effect and whether or not the problem has changed. It probably has, because problems have some kind of a slippery dimension: they keep shifting over time.

Organization development is a process that involves the people who are there in the problem, as well as the people who come in to look at the problem in interpreting the problem. This participation is the foundation of a meaningful consensus. There may be a difference on how we gather data, exactly how much and what kind of data is used, how it is gathered and how it is interpreted, and that I would like to explore. I think the "how" of the data, how it is interpreted, is very important. If we come in as external analysts and define problems, we are not doing a good job. I believe you would agree with that, because you've mentioned, as one of the problems that you have seen in management, the lack of regional and local participation and the lack of participation of the beneficiaries. This is why organization development as a style, as a process, is so important. I guess DPMC takes it so much for granted that we did not put it on the list.

INGLE: From a conceptual point of view, you can have systems that gather and process information for internal use but do not usually send it out of the organization, or organizations that gather and process information primarily to send it out of the organization. It's two ends of the continuum, and what we want to explore is whether there is a difference in our approaches along this dimension. Organizational development people believe that the most important information is informal and interpersonal

and is not analytical, in the sense of gathering it and sending it to someone else to make a decision.

There's a very important dimension to informal group processes. And it becomes more important, the closer you get to the farmer because there is less in common between the bureaucrat and the farmer than there is between buraucrats. So the closer you get to the farmer, to the client group, the more informal (and participatory) your structure should be, and the more group-oriented it should be. Thus one should rely less on formal information-gathering mechanisms such as surveys and studies, and more on informal participatory processes.

PARTICIPANTS' QUESTIONS TO PROPLAN AND DPMC

Miguel Guillori's question to DPMC

In reference to DPMC's discussion of "Conditions that facilitate implementation success", wouldn't it be more appropriate to talk about ensuring viability through time, rather than a "minimum level of stability and continuity?".

INGLE: The important point that I was trying to make is that throughout the life of the implementation process, you need a minimum level of stability, in order for the members of the implementation team to feel as if what they are doing is important as basis for continuing. If I understand your point, it relates to "how do we go about assuring that there is a minimum level of security throughout the life of the project?" Is that the point you're trying to make? For example, I would like to be able to assure a high priority for a program or a policy, but in the context we work in, it's very difficult to do that because conditions frequently change. One Minister who thinks a policy is the highest priority is followed by another Minister who wants to be different, who wants to have a political impact, and who has a different set of priorities. The question is: "Who can assure that a policy will continue to receive high priority?" Am I translating right?

So, if the program or policy is important, then it is important for the project management team to know how to continue to implement the program in spite of changes in the external environment. This is a very difficult and potentially dangerous process. Sometimes because the objective is important, we have to work around the policies to accomplish it, but there is a minimum level of stability below which you do almost nothing and that is the level I am talking about. If nobody cares anymore, we should give up the project and so something else. This has been my experience. Has this addressed your question?

GUILLORI: Yes, it has, but I do not fully agree.

INGLE: It is very difficult to get a guarantee, since situations change. Let me give you an example. I have been working on a project of "How do you design and implement programs to assure that the benefits of the programs go to particular groups of the poor?" It' s a benefit distribution issue that addresses how to manage projects so as to get benefits to the poorest people?

Under President Carter, our former President, that was a very important issue, but how can I assure the continuity of President Carter in Office? I can't do it.

ANIBAL SALAZAR:

It is really very difficult to ensure the continuity of a project, even when it is technically possible. But when there's a change of government, a change of policy, it becomes even more difficult to ensure continuity. It is possible, however, to design or establish certain mechanisms for this purpose, especially in the case of externally funded projects. Long-term commitments acquired by a government cannot easily be ignored by incoming authorities. Some changes may be made in priority, but the project has a minimum of security and continuity.

ARAUJO:

I think one of the reasons why project continuity is not ensured is that we don't think far enough ahead about the necessary mechanisms.

That is why I think the integration of the planning-implementation process is of critical importance because the need and possibility of the continuity can be taken into consideration at the design stage. These matters of continuity or discontinuity should be incorporated into the planning process. As Anibal mentioned, one mechanism that should be used is the participation of the organizations, institutions and beneficiaries involved in the project. Only they can determine the needs and create the conditions necessary for this continuity.

INGLE: I'm working on a project in Portugal, an agricultural production program, and we're using this action-planning approach. We have had this very problem with changing priorities occur that we are talking about, and I want to share with you how the host country is solving it. There has been a change in the Prime Minister of the country and he is not giving very high priority to the project. But there is a team within the Ministry of Agriculture that we have been working with including the Director of Extension, the Director of Research and the Director of Planning. They have been brought to the United States and we have been working with them in an action mode. The new Minister wanted to cut the project and the Americans were very concerned, myself included. We did an analysis to find out how to deal with this problem and we considered many alternatives. Then,I talked to a Portugal team member, and he said: "Don't worry about it, we know how to solve this in our country". And what he said (and what they are going to do) is to set up a committee to tell whichever Minister is in how to run the project, because they have substantial informal power, no matter who the Minister is. They believe in the project; they are committed to the project and they will assure the continuity of the project. And I think that's the principle.In a way, they're saying: "We don't really care which Minister is in power, we are the effective power in this situation. So, we will continue to administer the

the project because we believe in it". This is the experience we had.

SAMANEZ:

When Marcus discussed the "conditions for success", I think he gave first priority to "pressure for change" as a prerequisite. At least, that's what I understood, and I believe that this pressure is the only thing that can guarantee a project's continuity. Naturally, a project's viability is also essential for guaranteeing its continuity. Now, when there is a change of staff within a government, this should not create major problems of continuity because the government should have plans of action that take this changeover into consideration. However, this is not usually the case when there is a change of government. But if there is a pre-existing pressure for change, it provides an appropriate way for motivating and even pressuring the government to continue with the project.

Something is missing, however, and that's providing information to the beneficiaries reached or expected at all levels of the project. Usually, people think that a rural development project benefits a specific population group: the people who live in the countryside. But dissemination should also take place in the urban areas, because we know that it is really trade and industry that benefit directly. Thus, pressure for change by beneficiaries should not be visualized as something that takes place only in the countryside. The project should be disseminated to "non-traditional" sectors of beneficiaries

in order to expand the understanding of the real range of the population that is affected or that benefits from the project's action.

KETTERING: In Thailand, where government leadership changes frequently, they are switching to program budgeting, so that they can show to Parliament exactly what cuts will mean for specific programs and constituencies. This means, in fact, that they can say "We will advertise whether the cut that you want to make hurts particular people". It is the same principle that you were just talking about. You can demonstrate to people very quickly if you have the right kinds of systems giving you the right information. What the benefits are to them or what the "disbenefits" are to them. I think this is a very important point.

INGLE: I think the "disbenefit" approach usually works better than the benefit approach.

Miguel Guillori's questions to PROPLAN

Could you explain whether the objective of integated rural development involves both agricultural development and rural welfare?

Planning and implementation activities are presented separately, but they share areas of action. However, both of them come under the same leadership. Where is this leadership located.? Can we say that planning is part of the implementation?

Does PROPLAN maintain the systems concept in integrated rural development?

DE LAS CASAS: I would like to quote Chapter I of the document PROPLAN submitted to this Seminar.

IICA's Convention requires that mention be made of agricultural development and rural welfare. The concept of agricultural development in the Convention is very broad, because it also refers to the progress of the rural population. In order to answer questions 1 and 3 I will read some paragraphs from our paper that describe IICA's view of rural development. It states:

"IICA sees rural development "... as a self-sustained process which aims to increase the income levels of inhabitants of the rural areas, the equitable distribution of income among them, and increase their participation in the decisions that affect them. This concept of rural development refers, the to a process that takes place both within and outside the rural areas. Although it particularly involves rural inhabitants, its influence on the levels of development and opportunities of urban inhabitants should not be overlooked The rural areas, then, are the main targets of rural development."

And finally, "IICA's concept of development is humanistic, in that human beings are viewed as the

direct target of its action. It holds that economic growth, the economic and financial health of a country and its technological level have no intrinsic value, but acquire such in direct proportion to the population that benefits and participates in that process."

Now, that is IICA's official interpretation on rural development. At the same time, however, IICA respects and adjusts to each country's definition of rural development. This can cause problems in terms of terminology, since "agricultural" can mean one thing in one country, and something else in another. We have to deal with different concepts. That is why, in addition to the contexts of the Convention described in the First paragraph of Chapter I, IICA accepts each country's interpretation of rural development, based on its own doctrinal framework, its ideological-political position or the government' s own definition.

SAMANEZ: If Lizardo will allow me to interrupt, I think we would mention the conceptual framework for rural development that was adopted in 1971 in Caracas, later adopted at a FAO meeting and then confirmed at a world meeting held in Panama in 1979. Integrated rural development was seen to mean comprehensive development. It appears that the Convention's definition refers only to the rural poor, but I understand that it is not so.

DE LAS CASAS: I agree with you, and that's why we've added the reference I just read, which was published by IICA as the Conceptual Framework for Rural Development.

CACERES: The question is whether implementation is considered part of planning or vice versa.

The diagram presented in our document depicts these processes as a whole, although they maintain certain specific features in order to enable us to differentiate between them for purposes of analysis. What we are trying to emphasize in our approach is that the processes form part of a whole, and that they should not be interpreted as isolated parts.

Usually, the typical formulation activities are described as part of the planning process, and actions themselves are usually linked to the implementation process. However, we have identified a stage where implementation is set into motion, as well as the control/evaluation stage which we described in our document. This enables us to envision the process as a single, integrated whole; but implementation is not part of planning or vice versa.

SAMANEZ: I am concerned when we talk about planning and implementation in reference to the planning implemented by others. How and where do the implementers interpret what has been planned? I think that time lapses between planning and implementation should

be as short as possible, because of all the unknowns that can arise. This is especially true if we plan only when procuring external funding. Countries don't always know how to handle the responsibility of implementing something that has been planned a while back, and which must take into consideration the premises on which that planning was made. Conditions may have changed and the situation may no longer be appropriate. Therefore, I think we should discuss the advantages of having those who plan a project participate in implementing it.

FAUSTO GRISANTY: I would like to mention something about our experience in the Dominican Republic in regards to the participation of planners in the implementation. We have two projects, one funded with internal resources and the other, with external resources. The Technical Secretariat of Planning has a unit that controls the use of the external resources, that is, their distribution among projects. They authorize disbursements, etc. There is a noticeable difference when, for some reason, funds must be disbursed that were not planned for the project's implementation.

SALAZAR: I would like to mention something to complement what has already been said about the unique integration of the DRI Program's planning-implementation process. We have achieved broad participation of beneficiaries in implementation, and the executive organizations are also represented in the planning.

Miguel Guillori's final question to DPMC

In the systems approach, the client is considered one of the elements. Therefore, the following expression does not seem to be correct: "The client changes the intervention". Can you explain this statement?

KETTERING: The client becomes an element within the system's approach. The intervener becomes also an element within the system's approach. They are both elements of the problem and elements of the solution. What we want is for them to be active elements.

Question to DPMC and PROPLAN

Background:
PROPLAN mentioned that its scope of action coincided with the functions implemented by the directive system. DPMC indicated that in order to be performance oriented, it was necesary to fulfill four key management functions.
Are the management functions as described by DPMC the same, different, alternative or complementary to the directive functions as defined by PROPLAN?
In the event that there is a relationship between the two, do those of the DPMC correspond to the minimum basic functions or are they more closely related to PROPLAN's "directive system"?.

INGLE: I think we've already discussed this question, but there is just one thing I want to add about our list of functions. I want to discuss with you why we are trying to keep the list small. In this case I believe as a professional that when you know more, it is simpler to express what you know. As you learn more, you refine, and you can become very simple and practical. So we are trying to refine the list to the basic elements, the most fundamental elements and principles. And so, I'm not looking to add more, I'm looking to learn more that's useful but still all-inclusive. There is a difference in terms of the way I'm looking at these functions. Let me say again, the functions based on experience are the ones that come out of "what seems to be working". The ones that are not on that list do not seem to come out of the experience, thus far, but we may add to the list.

DE LAS CASAS: I also think we have discussed this sufficiently, but in any case I would like to add this: We also strive to be practical; not in terms of our own definition of simple, but rather, simple and practical in the sense of what is being identified as needs in the countries. Those needs are fundamental to our list of directive functions.

We are not interested in simplifying or reducing the list to fit it with something preconceived, rather we want it to be a guideline for developing operational methodologies in response to the needs

of IICA direct technical support actions in the countries. However, I understand that Merlyn said their list was not really as "short" as Marcus insists, because some of their terms contains all the functions we have described. Merlyn may explain us if this is true, if I understood him correctly. This is why he raised his question about organizational development. It seems like Merlyn adds to Marcus list "organizational development concepts" and "action-training" and produces a list very similar to PROPLAN's. Finally, according to Merlyn there is no difference between DPMC and PROPLAN's list of functions.

KETTERING: That is true.

Arturo Araujo's questions to DPMC

I see certain inconsistency among the basic causes of the problems of implementation: the complexity of the sector, any associated problems like hostile and difficult working conditions (social conditions) lack of receptivity, low levels of education in the beneficiary agencies (poor management), etc. All of this lead to an attempt to tackle the problem of poor management from a strictly technical point of view.

Conditions facilitating success. Pressure for change, commitment, participation, openess to ideas, minimum security and continuity that lead to tackling the political aspects of the problems.

KETTERING: At the risk of being acused of hiding behind some of our concepts, I would like to come back to what we said before. When making a very brief presentation one must summarize. The questions, obviously, have to bring up some of the things that have been summarized, so that they become more clear. One thing that is very important with this problem is to identify some key management functions. However, we are really talking about something that we call the performance approach, which is based upon defined theoretical foundations. I think that if you understand these theoretical foundations, you will see that we are talking about, not jus techniques and functions, but processes as well.The most important lesson we can learn, I think, is that process is as important as product. You may have a very sophisticated plan or product, but the process to achieve it may undermine its implementation. You may have a much weaker plan, a much less sophisticated plan, which can be effectively implemented because of the process of arriving at that plan. So you always want to balance process with the techniques, the products and the outputs.

Most important for us are learning theory and organization development. This gets into the process of involving people. It means for example, that we have identified management techniques and functions; but this is not something that we take up and lay on somebody's plate, and say: "Now eat this". It's in fact something that we sit down together and we talk about "what do we want to eat?", a process

where I bring something and the other person brings something. It is what you have called the participatory, reciprocal process, and this is a process which we tried to capture in our summary speech by saying that our style is organization development and action-training. This is where the process complements or links with management functions. Functions must be tied to a process that is effective.

I believe the second question deals with the conditions for success of the performance approach. That is, the conditions deal with compromise and participation. This is what I'm talking about with organization development. It' s a process where people are involved in a reciprocal manner, with one another. As I answered your question, Miguel; the client becomes an active element, not just an element, as does the intervener. So commitment and will begin with active involvement.

The political concept deals with power, many interpersonal relations are focused around power, so whether you want to say political is interpersonal, or interpersonal is political, it really deals with power, sharing a power and negotiation.

ARAUJO: In my mind, the term "political" is not limited to dealing with power; "political" does not always mean power.

KETTERING: Participation is only valuable if it gives people greater access. Access to what? Resources or power,

in a very broad definition. Participation which does not effectively raise people' s resources or power, is not effective participation and will die in the bud. So, in some ways I agree with you in a broad definition. But I always keep in mind a very "dirty word", which really is not so "dirty"; that people must have access to increased power. Power is needed in order to effectively achieve your goal; if you don't have the power to effectively achieve your goal, even if you participate, you will feel cheated.

Ana Elisa Niño's question to PROPLAN

Are "the planning-implementation process and the planning-management process" the same to IICA? If not, what is the difference?

DE LAS CASAS: When speaking about the directive systems (integrating the planning system and the decision-making system) we use "planning and administration system" or "planning and management system", depending on the use of these concepts in the countries and the spatial-administrative levels were we operate (local, regional, national). This directive system guides the planning-implementation process which comprehends all public sector actions, orienting through the same the countries agricultural and rural development.

I found Ana Elisa's and Anibal's explanation about how this is being incorporated in Colombia very

interesting. They aren't just presenting a "theory" in Colombia; this is how they work within the DRI Program in Colombia. As I've already mentioned, at PROPLAN we prefer to see it as an integrated planning-implementation process. When we find that we must talk about the planning process by itself, because it really is a concept used in different places, we give it a broader meaning than the one used by Benjamin Samanez. When Benjamin recently spoke about planning, it seemed like he was talking about formulation. In contrast, for us, formulation is just one stage of the planning process. Implementation is another stage of this process, as is control/evaluation. If we don't view it this way, then we fall back in to the traditional approach in which planning is not a process, but a function identified with "plan-making", with all it's subsequent problems already mentioned and analyzed in our document. Still we believe in the need of further development, our definition of the planning process was the starting point, but it remains somewhat desintegrated from implementation; thus, we emphasize the concept that sustains a single planning-implementation process, which not solely considers the necessary articulation between policy formulation and execution of actions, but also implies the integration between public and non-public sectors as essential to the countries development process.

Francisco Barea's question to DPMC

I understood from your presentation that implementation begins at a certain point, prior to which some stages or phases take place (in PROPLAN's language: diagnosis, guiding framework, formulation and definition of policy), that are not referred to in DPMC's approach. If this is so, why weren't these considered? What activities, stages and relations are involved in the implementation process as defined by DPMC?

KETTERING: Some people tend to see formulation followed immediately by implementation. One of the lessons I think PROPLAN is talking about, reflected in the chart and which we have also learned is that they somehow overlap. The formulation is an ongoing process, that at some point overlaps with implementation,or implementation somehow begins before formulation is complete. Now, I'm not sure how to describe this except, that at some point formulation reaches a point of irreversibility. At some point you have become so committed to a course of action that you can no longer formulate. Formulation, usually, at some point has become fairly definite and beyond that point you only have less and less oportunities to change. At some point there is no reversibility, no change, in the implementation process. That point of irreversebility is very important to sense or to understand. Implementation begins at some point and it becomes the dominant

feature.

What is interesting about where implementation and formulation start and stop is what I call the "floating hierarchy". For example, at the policy level, formulation at some point becomes implementation; that implementation is usually called something like a program or a project. The program or project itself probably begins with formulation, which is really considered implementation of the policy. So you get project or program formulation, which gets up to a certain point again,and during implementation, reaches a point of irreversibility. Policy formulation and implementation overlap. Program or project formulation and implementation usually begin with activity. Activity formulation is the beginning of the implementation, and implementatinn carries on to some definitive point. So I have a hard time knowing what we mean by the term implementation. We would like to affect all three levels. But the opportunities that we have will primarily determine where we get involved.

One of the problems that I am most concerned about regarding implementation is that it is in fact occurring on at least three different levels. What unfortunately happens many times in the previous model, where we say that planning and implementation are not integrated, is that this point of irreversibility is only considered at one level. Again, there is no opportunity for feedback before

you get to the point of irreversibility and I think one of the things we are trying to achieve is that implementation at the lower level ties into implementation and formulation at the higher level.

INGLE: What Merlyn has said about our definition of the implementation that it can occur at any level is very similar to the definition that I used this morning. I go back to that definition because I still think that it is the definition we want to use: A managed process of work execution. The key word is "work execution". What work? It depends, If its policy, then it's the work of formulating policy. If it is implementing a program, then it's the work of program implementation. If it's "planning" a project, then implementation deals with managing the planning process. If its implementing a project then it deals with implementing or managing the implementation process of the project. So it can also include, and this is important, what the legislative branch does in formulating laws. If the work activity is formulating laws, the implementation is the managed process of formulating laws. So, our definition of implementation is a generic one of what it means to do anything that you want to do, that's implementation. The key word, in our system, is not implementation, the key word is management. It's the key concept in terms of using resources to produce results, and that can occur at any level in any type of activity.

CACERES: I would like to refer to the formulation and implementation aspects. When Merlyn spoke about formulation and implementation at the policy level and relates this to a point of "irreversibility" I can visualize a point where formulation at the project level is irreversible; in terms of a "project document". I cannot see this point of irreversibility at the level of policy formulation. The formulation of policies is a continuous process, a full and continuous process of diagnosis and regeneration, which in my mind does not end. Taking this in to consideration I think that a separation at that level, for analytic purposes, in terms of the concepts of formulation and implementation as regards time is not really valid to explain these categories that we call policy.

DE LAS CASAS: Merlyn's explanation and Marcus' additional comments oblige me to express my disagreement with the form in which they presented it. The analytic divisions being used for policy, program, project, are different from those in a formula. The effort to relate them seems only to increase the confusion. I do not believe in irreversibility, especially at the policy level and in the way Merlyn described formulation. I do not believe that these two stages are rigid in any way.

RESULTS OF THE GROUP MEETINGS

The seminar focused on analyzing and comparing the DPMC and PROPLAN approaches to planning and management of rural development programs and projects. The purpose was to reach a consensus on which factors condition the implementation of the various approaches and to determine high-priority needs for improving the planning and management of rural development programs and projects in IICA's member countries.

One of the working mechanisms adopted for the seminar was to set up work-groups of national officials responsible for rural development programs and projects in each country (Jamaica, Colombia, Dominican Republic and Venezuela), as well as officials from DPMC and IICA-PROPLAN.

In accordance with the programs and mechanisms adopted for the work, the group first took part in exercises to foster a favorable environment for group interaction and to develop open, positive attitudes.

Next, on the basis of the PROPLAN and DPMC presentations on their approaches and experiences, the groups began to identify those strategic areas of planning and management for rural development programs and projects which appear to require reinforcement. They also analyzed factors that are considered essential for successfully implementing activities in this field.

The working methods and internal organization were defined individually by each group. The partial results of the group work were submitted and discussed in plenary. The presentations were used as a basis for this synthesis, which incorporates and systematizes the partial output of each working group.

The results have been divided into two parts. The first is a list of strategic areas that the working groups judged in need of strengthening. The second is a list of the factors that are deemed important for successfully implementing actions for cooperation in the field of planning and management of rural development programs and projects. These factors have been put forward as conditions that the cooperating institutions and receiving government must observe. The groups also defined tha major characteristics that should be present in the working format.

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3 Activity A: "Strategic areas to be strengthened"

In the first place, strengthening work should recognize that planning and implementation are a single, unified, flexible process. Strengthening should be based on the importance of developing conceptual frameworks to serve as fundamental guidelines, and on the need to generate technology adapted or adaptable to the specific areas of each country. Working from the analyses drawn up by the participants, and their own previous experience, the groups recommended that emphasis be placed on the following strategic areas:

i. Strengthening and decentralizing the planning system.
ii. Developing capabilities for analyzing and proposing policy alternatives.
iii. Developing an information system by defining needs and developing methods and tools, and providing the means for keeping it up to date.
iv. Strengthening the capability for defining, analysing and interpreting economic, social, institutional and political problems.
v. Strengthening the capabilities for designing and implementing strategies.
vi. Improving methods of writing plans and programs for development and of supporting the preparation of such plans.
vii. Developing capabilities for identifying projects, establishing priorities among them, and preparing the project documents, with an eye to improving procedures for identifying and preparing profiles, method for establishing priorities and the formulation of terms of reference for hiring consultants to do pre-investement feasibility studies.

viii. Improving the identification and establishment of priorities for basic studies for rural development to be used in the process of planning and implementation.

ix. Strengthening the administration of programs and projects by developing tools for management and defining strategies for project implementation.

x. Improving methods and supporting actions for writing and implementing operational plans.

xi. In specific areas, upon express request from the countries, participating in actions to define the organization of institutions.

xii. Reinforcing mechanisms for inter-institutional coordination, evaluating existing mechanisms and proposing needed changes.

xiii. Developing information systems and methods for monitoring and evaluation of the implementation and impact of plans, programs and projects.

In conducting strengthening activities in these strategic areas, the Governments and Cooperating Institutions should focus on:

i. the development of mechanisms for the participation of beneficiaries, a point which must be included when method are designed;

ii. documentation and dissemination of experiences for further use in the country itself and in other countries;

iii. development of appropriate action tools and simple techniques which can be easily reproduced, to maximize the transfer of technology that has been generated and to make effective use of cooperation;

iv. the preparation of systematic materials for teaching, in the form of manuals for each strategic action area.

The experiences generated in strengthening the areas of action should be compiled to enrich and validate the conceptual framework and the technical tools.

4 Activity B: "Decisive factors in the succesful implementation for cooperation in planning and amanagement of rural development programs/projects.

4.1 The following factors should be given special consideration by the Cooperating Entity:

a. cooperation should meet the terms of the country;
b. cooperation should support actions underway by the institutions in the country, dealing with problems which concern them, so that any proposals of work should focus as much as possible on projects already defined by the governments of the countries;
c. the products that result from the cooperation should be timely and adapted to the needs of the country;
d. the identification of subject areas for the focus of cooperation actions, and the development of methods, should emerge from a process of joint efforts by nationals and officials for the Cooperating Entity.

In general,the development of technical tools should be based on existing tools or on the documentation of other experiences.

In addition, the groups stated that the cooperating institution should give preferential attention to continuity of action,

ensure a continuous, adequate flow of resources, and avoid personnel changes. In this area, emphasis was placed on the fact that, in addition to professional qualifications, the technical personnel in the cooperating institution should have the ability to adapt and the desire to develop activities in the field of action, together with national personnel.

4.2 For the receiving Government, emphasis was placed on:

a. the importance of leadership in the receiving entity for making efficient, effective use of the cooperation;
b. the support of the Government in developing the actions; and,
c. continuity and sufficiency of resources committed to make the cooperation viable, and the measures that should be adopted for institutionalizing the results.

4.3 As for the working methods, the following factors were deemed important:

a. commitments should be formalized nationally, but actions to be developed should begin locally, to be coordinated later with regional and national actions, maintaining constant contact with national-level activities;
b. cooperation should be reciprocal and participatory, with emphasis on the working methods of "learning-by-doing" and "transfer-by-doing";
c. mechanisms should be developed for participation by the beneficiaries in the rural development programs and projects, in order to ensure continuity and effectiveness;
d. because the initial actions of cooperation are concentrated in one region, transfer actions should be introduced

gradually and progressively across the country, adapting them to the specific needs of each zone and developing methods and strategies for transfer;

e. in preparing projects for investment, the cooperation should limit itself to advisory actions in specific, very specialized areas in which national capabilities are inadequate;

f. special enphasis should be placed on documenting and disseminating experiences;

g. priority should be given to generating teaching materials for in-service training of national personnel in working teams, as a way of reducing the negative impact of personnel turnover, and truly bringing about institutional strengthening.

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