

150-909 931105300001

Managing Decentralization Project

2. PROJECT NUMBER 931-1053	3. MISSION/AID/W OFFICE ST/RAD
4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) <u>82-6</u> <u>10-23-81</u>	
<input checked="" type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION	

5. KEY PROJECT IMPLEMENTATION DATES			6. ESTIMATED PROJECT FUNDING		7. PERIOD COVERED BY EVALUATION	
A. First PRO-AG or Evaluation: FY <u>79</u>	B. Final Obligation Expected FY <u>84</u>	C. Final Input Delivery FY _____	A. Total \$ <u>3,515,000</u>	B. U.S. \$ <u>3,515,000</u>	From (month/yr.) <u>August 1, 1979</u>	To (month/yr.) <u>Sept. 30, 1981</u>
					Date of Evaluation Review <u>10/23/81</u>	

B. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues; cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., airgram, SPAR, PIO, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
1. The conceptual focus in the project design did not correspond with the orientation of mission projects, resulting in difficulty in identifying appropriate indepth country activities. A conceptual statement and illustration of cooperator's expertise should be submitted by the cooperator in the FY 82 work plan.	Project Officer	November 1981
2. The roles of the cooperator's executive committee and project director appear to contribute to difficulties in establishing adequate management of the indepth field work that has been undertaken. Other routine administrative systems have slowly been established. Clarification of the responsibilities of the project director in coordinating all activities should be clarified in the FY 82 Annual Work plan. Management must be improved if project is to continue.		November 1981
3. Final reports on indepth work in Nicaragua, executive summaries of SOAPs of workshop are overdue. Cooperator to submit.		October 1981

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS	10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT
<input type="checkbox"/> Project Paper <input type="checkbox"/> Implementation Plan e.g., CPI Network <input checked="" type="checkbox"/> Other (Specify) <u>workplan</u> <input type="checkbox"/> Financial Plan <input type="checkbox"/> PIO/T <input type="checkbox"/> Logical Framework <input type="checkbox"/> PIO/C <input type="checkbox"/> Other (Specify) _____ <input type="checkbox"/> Project Agreement <input type="checkbox"/> PIO/P	A. <input type="checkbox"/> Continue Project Without Change B. <input type="checkbox"/> Change Project Design and/or <input checked="" type="checkbox"/> Change Implementation Plan (workplan) C. <input type="checkbox"/> Discontinue Project

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Names and Titles)	12. Mission/AID/W Office Director Approval
Monteze M. Snyder, Project Officer, S&T/RAD October 22, 1981 <i>D. Miller for Mr. Snyder</i>	Signature:  Typed Name: Jerome T. French, Director, ST/RA Date: <u>10/23/81</u>

September 21, 1981

~~SECRET~~ MEMORANDUM

TO: ST/RAD, Jerome T. French
ST/RAD, Norman Nicholson
UCBerkeley, Kenneth Phillips

THRU: ST/RAD, Duncan Miller

REPLY TO
THE ATTN OF: ST/RAD, Monteze Snyder

SUBJECT: Mid term review of Project on Managing Decentralization

The following review of progress to date and analysis of the UC Berkeley FY 82 annual work plan takes in to consideration contractual requirements under the Cooperative Agreement, including commitments made in the technical proposal (incorporated by reference in the Cooperative Agreement), and work approved under prior annual work plans.

State of Art and Special Studies

The Cooperative Agreement and UC Berkeley technical proposal call for 4-6 state of art papers during the first year and a half. During the second year the Cooperative Agreement also calls for initiation of a major state of art paper which will integrate the findings of the first four SOAP and completed applied research and attempts to develop a contingency framework for considering alternative approaches to designing and supporting decentralization.

The Cooperative Agreement also calls for special studies which might include case studies using a comparative frame work, the exploration of policy options, instruments and constraints, and development of applied field manuals and handbooks. During the second year of the project, the cooperative agreement indicates that UCB could develop a frame work for conducting comparative studies to address applied management, organization and design issues and impact of decentralization efforts in rural development and to conduct case studies using this frame work.

During FY 82, five state of art papers were to be completed along with executive summaries. Four of the papers were submitted ahead of the Cooperative Agreement schedule. ST/RAD has received half of the paper entitled "On the Concept of Decentralization" which was to have been completed by the April workshop and has not yet been received. The executive summaries are due on October 1. The fifth state of art paper will be delayed until later in the project.

The technical proposal envisioned that the special studies would be conducted in the context of indepth applied research and consulting as the work in Kenya and Nicaragua are. During FY 82 two special studies have been initiated in Kenya which are to be directly supportive of the mission-funded evaluation of agricultural extension; the cost of these studies was estimated at \$23,865. The studies are described briefly on page 3 of the annual report and are scheduled for completion in December 1981. The indepth work in Nicaragua was

to yield case studies on the problems of municipal management for use in training programs and thus should have been completed prior to September, 1981. (Estimated \$35,000 of total costs for Nicaragua indepth work.)

Applied Research and Consulting:

Short term work:

Under the Cooperative Agreement, the project is to provide approximately 90 pm of short term consultation over the life of the project. During the first year, 17.35 were provided. The second year's work plan called for 25 pm in the field and 12 pm have been provided. Thus a total of 29.35 pm short term consulting has been delivered in 15 countries as indicated below:

<u>AFRICA:</u>	Uganda	1.25
	Tanzania	2.00
	Ghana	.75
	Sudan	2.15
	Liberia	1.25
	Lesotho	.50
	Somalia	.75
	Kenya	5.00
	(including Kenyan consultants)	
SUBTOTAL		13.65pm
<u>ASIA:</u>	Philippines	3.9
	Thailand	2.5
	Indonesia	2.0
SUBTOTAL		8.4 pm
<u>LATIN AMERICA</u>		
	Bolivia (for PPC)	1.15
	Nicaragua	2.45
	Costa Rica	1.10
SUBTOTAL		4.70 pm
<u>NEAR EAST:</u>		
	Egypt	2.60
SUBTOTAL		2.60
TOTAL		29.35 pm

Missions (and PPC) have shared costs for seven of these TDYs.
(See Attachment 1).

Responses have been received from eight missions assessing short term work in terms of timelines, cost to mission, administrative cost to mission, familiarity with language and culture, technical quality, long term and immediate effect on mission activities, and beneficial affects on host country agencies and nationals. In their work in Africa, the project (and ST/RAD staff in case of Ghana and Kenya) received superior or better ratings on most criteria in four of the five countries which responded. Egypt rated earlier work as better, and Manila assessed assistance there as better or same as other sources of assistance. Only in one mission was a consultancy assessed worse on some criteria than other sources for a given criterion. (See Attachment 2 for summary table and copies of cables.)

Timeliness, cost, administrative cost, and familiarity with language were rated better by 6 out of 8 missions responding, and 6 of 8 missions indicated technical quality was superior or better than other sources.

Indepth Work:

According to the cooperative agreement, UC Berkeley is scheduled to have initiated in depth consulting in two countries and to select two additional countries in collaboration and ST/RAD and the missions during the second year. Over the life of project 4-6 countries are to be selected. The areas specified in the Agreement were decentralized administration of specific sector and subsector services, design of administrative structures and systems to support field delivery of services, and development of non-bureaucratic mechanisms for managing and delivering public goods to the poor majority.

To date, the project has completed initial assistance in Nicaragua on municipal development. No assessment of this work has been received to date from USAID/Managua. Tom McKee (LAC/DR) reviewed this work and has provided a preliminary report on it without the benefit of the UCB final report. The work in Kenya on agricultural extension management will be completed in December. USAID/Nairobi has assessed Leonard's assistance to date as outstanding. The PID to which he contributed has not been submitted to AID/W; other outputs are due in December. Part of the substance of the evaluation of MOA and MLD extension services is contained in Leonard's paper "Administrative Issues in Implementing Kenya's Food Policy" which was favorably reviewed by ST/RAD.

The scope and nature of indepth assistance under this project is somewhat different from other cooperative agreements. In the case of Nicaragua, a junior project number was based in the field for seven months with support on a TDY basis from senior UCB faculty. In the case of Kenya, a co-principal investigator is based in the field for a year. It is not clear that these initial activities were strongly linked to a core group in the project.

In identifying additional countries for work, the project has encountered difficulties. In some cases the work proposed was not clearly related to the missions' current portfolio. In other cases (eg. Sudan, Senegal, Ecuador, Philippines), the USAID project cycle is progressing quite slowly and it is not clear when collaboration will be feasible or cost sharing will be available.

Information Dissemination and Networking:

The Cooperative Agreement specifies that the project will develop access to information and professional assistance, particularly with LDC scholars and practitioners and regional institutions. This network will provide both professional resources for conducting the project's work and also provide a clientele for exchange of information developed, and A.I.D. field staff and other donor agencies are to be included in information dissemination efforts which were to include one workshop annually to review progress under the agreement, one workshop in one geographical region per year to review field work in that region, panels of professional meetings, training seminars for practitioners on special issues.

Expenditures during year 1 were \$14,963 and an additional \$144,975 for year 2 for a total of \$159,938 in two years. The newsletter was approved during year 2 and the one issue was disseminated in April. The project sponsored colloquia meetings with members of the network in the Bay area, seminars on the UC Berkeley Campus to review project reports and papers, and a seminar of donor agency staffs and Kenyan practitioners and academics in Nairobi was organized. The first annual workshop was delayed at ST/RAD's request and the April 20-22 meeting was the first (excluding the project review held in Berkeley in September.) The first overseas conference is scheduled for November in Nairobi with a focus on the rural productivity area of concentration. The indepth proposal for Nicaragua also provided for training workshops and seminars with INCAE and the Secretariat of Municipal Affairs. Project participants attended the International Seminar on Decentralization in Development in Khartoum in addition to those seminars and workshops listed on pages 11-12 in the year 2 Annual Report, and pg. 7 of the First Annual Report (Attachment 4 and 5).

Extensive dissemination of the SOAPs to field missions has been delayed until executive summaries and workshop proceedings are available. (Due October 1, 1981).

In the year 2 Annual Report, the network is described as an information dissemination network; the report notes that 675 persons and institutions are in the network. The concept of the network should be broader than information dissemination; the networking function should actively serve the short term and long term consulting and applied research efforts.

Project Administration

The UC Berkeley technical proposal specified that all project resources would be subject to the control of the project director and that the director would operate with the policy guidance of an executive committee to be appointed annually by the Principal Investigator(s). When project directorship was transferred to Ken Phillips, we were assured that there would be no change in

the role of the executive committee. During the recent months, however, the advisory nature of the executive committee seems to have shifted. At the same time, it is not clear how substantive coordination is being handled. This is significant to the ST/RAD -- UC Berkeley project only if the project director and the committee's actions result problems in performance by the project as reflected in such indicators as difficulties in responding to request for service or in coordinating field contacts with A.I.D., insufficient integration of field activities into other efforts of the project, failure to submit quality trip reports in a timely fashion, etc. Recent events related to the indepth work in Nicaragua suggest that it is in the best interest of all parties concerned to establish a viable management structure which is capable of coordinating the activities in each area of concentration. In addition, a strong network and willingness to incorporate those resources into the knowledge generation efforts - as suggested by the use of local scholars inthe case studies - is needed. Clarification of the project's organization and management and A.I.D.'s own arrangement for FY 82 are important issues for inclusion in the year 3 workplan.

Obligations to Date
Project on Managing Decentralization (931-1053)

Total Authorized Level (including UCB contributing \$228,076)			\$4,621,978
Total estimated AID funding (all sources)			\$4,393,902
ST/RAD obligations to date			
FY 79-80			\$1,337,000
FY 81 (Amendment 6)			<u>350,000</u>
			\$1,687,000
Estimated Future ST/RAD Obligations			
FY 82 (103, 105)			400,000
FY 83-84			\$1,228,000
Estimated ST/RAD Obligations Total Life of Project			\$3,515,000
Other obligations to date (under contract)			
USAID/Accra	\$ 6,992.25	June, 1980.	Evaluation of ERDM (capacity district level governments.)
USAID/Nairobi Amendment 3:	\$10,000	June-July, 1980.	Prepare Rural Planning II Project Paper
PPC	\$18,209	June, 1980.	Impact evaluation of Rural Electrification project in Bólvivia.
USAID/Manila Amendment 7:	\$11,065	November, 1980.	Review PDAP report, Review Draft PID and held seminar with GOP officials.
USAID/Cairo Amendment 8:	\$ 6,200 517 (Local Currency)	January, 1981.	Review management training needs at government level.
USAID/Managua Amendment 9:	\$25,000	February-August, 1981	Organizational assessment of Secretariat of Municipi- pal Affairs and Selected Municipalities.
USAID/Jakarta ASIA Bureau	\$15,000	August, 1981	Evaluation of PDP project
USAID/Cairo	\$70,000	August-December, 1981	Pilot training and plan- ning for follow-on manage- ment development project.
USAID/Cairo	\$ 1,503	January, 1981.	Critique of National Urban Policy Study effort.
Other obligations to date (funds not in contract)			
USAID/Nairobi Amendment 4:	\$65,000	David Leonard November, 1980 - December 31, 1981.	Study and Recommendation on extension services.

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PAGE 01
ACTION AID-35

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ACTION OFFICE STRD-02

INFO AFEA-03 AFDP-02 AFDR-06 PPCE-01 PDPR-01 PPPB-03 PPEA-01
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INFO OCT-01 /036 W

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E. O. 12065: N/A

TAGS:

SUBJ: EVALUATION OF ST/RAD RIELD SUPPORT

REF: STATE 222561

REPORT REQUESTED IN REFTEL SCHEDULED FOR WEEK OF SEPTEMBER 8
WHEN PROGRAM OFFICER DEMBOWSKI WHO BACKSTOPPED GEIST AND UC TEAM
RETURNS FROM LEAVE. DEMBOWSKI MAY BE AVAILABLE AT HOME IN ARLINGTON,
VA., TEL. 703-527-8443, FOR INFORMAL CONSULTATION.
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OUTGOING TELEGRAM

PAGE 01 OF 02 STATE 222561
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 ORIGIN OFFICE STRD-02
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 AFDA-01 AGRI-01 AFPM-01 WA-00 3-00 /032 A1 420

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DRAFTED BY AID/ST/RAD:MSNYDER:MAN

APPROVED BY AID/ST/RAD:JFRENCH

AID/AFR/DR:CSCHERRER (DRAFT)

AID/AFR/EA:RENEY (DRAFT)

AID/AFR/EA:CCARR (DRAFT)

AID/AFR/EA:AFORD (DRAFT)

AID/AFR/EA:BKLINE (DRAFT)

AID/AFR/CWA:DWALSH (DRAFT)

AID/AFR/EA:JWOOTEH (DRAFT)

AID/AFR/CWA:SANDERSON (SUBSTANCE)

DESIRED DISTRIBUTION

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AMEMBASSY ACCRA

AMEMBASSY KHARTOUM

AMEMBASSY MONROVIA

UNCLAS STATE 222561

AMR AID, FOR REDSO/EA

E.O. 12065: N/A

TAGS:

SUBJECT: EVALUATION OF ST/RAD FIELD SUPPORT

1. THIS INQUIRY IS PART OF AN ONGOING ASSESSMENT OF THE ACTIVITIES OF ST/RAD'S COOPERATORS AND CONTRACTORS. IT IS ALSO INTENDED TO PROVIDE INFORMATION ON THE PERFORMANCE OF OUR COOPERATIVE AGREEMENT WITH THE UNIVERSITY OF CALIFORNIA AT BERKELEY ON MANAGING DECENTRALIZATION (931-1053) FOR THE MID-TERM EVALUATION AND PLANNING OF ACTIVITIES FOR THE REMAINING THREE YEARS OF THIS PROJECT. WE WILL USE YOUR RESPONSES, TOGETHER WITH OTHER INFORMATION WE HAVE BEEN GATHERING, TO IMPROVE OUR OPERATIONS. INFORMATION FROM FIELD PERSONNEL IS ESSENTIAL FOR THIS PROCESS TO BE EFFECTIVE. SINCE WE ARE NOT ABLE TO INTERVIEW FIELD PERSONNEL DIRECTLY, THE FOLLOWING CABLED QUESTIONS ARE THE ONLY VEHICLE WE HAVE FOR SECURING YOUR INPUT. PLEASE RESPOND TO THEM AS FULLY AS POSSIBLE AND SEND YOUR ANSWERS TO ST/RAD BY TELEGRAM OR HAND CARRIED LETTER TO ARRIVE BY SEPTEMBER 1. WE REALIZE THAT YOU HAVE MUCH WORK TO DO AND LITTLE TIME TO DO IT, BUT WE URGE YOU TO HELP US SO THAT WE CAN HELP YOU BETTER IN THE FUTURE. THANK YOU FOR YOUR COOPERATION.

2. (FOR KENYA) IN KENYA DURING FY 81 DAVID LEONARD HAS

PROVIDED IN DEPTH SERVICES TO THE MINISTRIES OF AGRICULTURE AND LIVESTOCK DEVELOPMENT ON AGRICULTURAL EXTENSION AND HAS INITIATED SPECIAL ASSESSMENTS IN COLLABORATION WITH KENYANS ON WOMEN'S GROUPS IN AGRICULTURAL EXTENSION AND THE IMPLEMENTATION OF MANAGEMENT TECH-

NIGUES IN THE MINISTRY OF AGRICULTURE. IN APRIL 1980, A UCB TEAM ASSISTED IN THE DESIGN OF THE RURAL PLANNING II PP. ST/RAD, GIVEN LEVEL OF EFFORT IN KENYA, WOULD APPRECIATE DETAILED RESPONSE TO PARA 7 IN PARTICULAR.

2. (FOR SOMALIA) DURING FEBRUARY - MARCH 1980, PROJECT CO-PRINCIPAL INVESTIGATOR DAVID LEONARD REVIEWED THE IBRD APPRAISAL OF THE BAY REGION AGRICULTURAL DEVELOPMENT PROJECT, RECOMMEND CHANGES IN DESIGN, AND CONDUCTED A MANAGEMENT AND INSTITUTIONAL ANALYSIS OF THE PHU ROLE AND INTERORGANIZATIONAL RELATIONSHIPS.

2. (FOR UGANDA) IN EARLY 1980, PROJECT CONSULTANT DON ROTHCHILD ASSISTED IN THE PREPARATION OF THE UGANDA CDSS. IN 1981, THE PROJECT CO-PRINCIPAL INVESTIGATOR DAVID LEONARD DEVELOPED A SCOPE OF WORK THE ASSESSMENT OF THE TECHNICAL ASSISTANCE REQUIREMENTS OF THE MINISTRY OF COOPERATIVES FOR RESTRUCTURING MARKETING BOARD ARRANGEMENTS.

2. (FOR TANZANIA) DURING 1981 THE PROJECT PROVIDED DAVID LEONARD AND LIZ KLEEMEIR TO ASSIST IN THE EVALUATION OF THE APUSHA REGIONAL PLANNING AND VILLAGE DEVELOPMENT PROJECT.

2. (FOR GHANA) DURING JUNE 1980, PROJECT MEMBER BOB PRICE PARTICIPATED AS A MEMBER OF THE EROM PROJECT EVALUATION TEAM.

2. (FOR SUDAN) DURING APRIL 1980, PROJECT CO-PRINCIPAL INVESTIGATOR DAVID LEONARD CONDUCTED AN INTERUM ASSESSMENT OF DECENTRALIZATION INITIATIVES AND OPTIONS FOR USAID SUPPORT AND PREPARED A REPORT. DURING JANUARY-FEBRUARY 1981, JUDITH GEIST PROVIDED AN UPDATED ASSESSMENT OF DECENTRALIZATION INITIATIVES IN THE SUDAN, AND INVESTIGATED POSSIBILITIES FOR IMPROVED RESEARCH IN AGRICULTURAL ADMINISTRATION. THE UCBERKELEY TEAM SUBMITTED ADDITIONAL PROPOSALS IN JUNE, 1981.

2. (FOR LIBERIA) TO SUPPORT IMPLEMENTATION OF THE GOL RURAL DEVELOPMENT TASK FORCE, ROBERT PRICE AND JUDITH

GEIST OF UC BERKELEY AND JAMES WUNSCH OF ST/RAD EXAMINED WAYS TO DECENTRALIZE GOVERNMENT FUNCTIONS DURING NOVEMBER, 1980 AND PREPARED A REPORT, MINISTERIAL DECENTRALIZATION IN LIBERIA AND CRITERIA AND CONSIDERATIONS FOR CONTINUED ACTION.

2. (FOR REDSO/EA) PLEASE INDICATE LEONARD'S EFFORTS TO ASSIST REDSO/EA AND OTHER MISSIONS NOT INDICATED ABOVE.

3. PLEASE LIST THE WAYS THIS WORK HAS BEEN USED BY THE MISSION AND HOST GOVERNMENT. (E.G. INPUT INTO CDSS, IDENTIFYING OR DESIGNING A PROJECT, GATHERING AND EVALUATING DATA, FACILITATING PROJECT IMPLEMENTATION, ASSISTING IN PROJECT EVALUATION). IF THE TECHNICAL ASSISTANCE HAD HAD DISTINCT COMPONENTS OR STAGES, PLEASE FURNISH THIS INFORMATION FOR THE MOST IMPORTANT ONES.

4. IF THIS TA HAS NOT YET BEEN COMPLETED PLEASE DESCRIBE (A) ITS FUTURE UTILITY FOR THE MISSION OR HOST COUNTRY, AND (B) THE FACTORS THAT MAY LIMIT ITS USEFULNESS, INCLUDING THOSE INHERENT TO THE TA AND THOSE THAT ARE EXTERNAL.

5. WHAT BENEFITS HAVE YOU OBTAINED FROM LONGER RANGE ASSOCIATION WITH THIS COOPERATING INSTITUTION? FOR EXAMPLE, ARE NEW INSIGHTS FOR RURAL DEVELOPMENT STRATEGIES, OR TRAINING OF HOST COUNTRY NATIONALS FACILI-

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PAGE 02 OF 02 STATE 222561
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6. IF THIS TA WAS A SINGLE OR NON-RECURRENT CONSULTANCY, PLEASE DESCRIBE (A) THE CIRCUMSTANCES THAT MADE THE PROBLEM SUITABLE FOR SHORT TERM ASSIGNMENT, (B) IF A LONGER TERM ASSOCIATION WITH THE INSTITUTION WAS EXPLORED DURING THE CONSULTANCY, (C) IF SO, THE MISSION'S NEED FOR AND THE PROSPECTS OF FOLLOW-UP ASSISTANCE, OR ASSISTANCE IN RELATED AREAS.

7. HOW DOES THIS TA PROVIDED UNDER THIS PROJECT COMPARE TO OTHER SHORT TERM TA THAT YOU HAVE HAD EXPERIENCE WITH IN TERMS OF THE FOLLOWING ITEMS:

BETTER SAME WORSE

- (A) TIMELINESS
- (B) FINANCIAL COST TO THE MISSION
- (C) ADMINISTRATIVE COST TO THE MISSION
- (D) THE TEAM'S OR INDIVIDUAL'S FAMILIARITY WITH THE LOCAL LANGUAGE AND CULTURE.
- (E) TECHNICAL QUALITY OF PERSONNEL
- (F) LONG TERM EFFECT ON MISSION ACTIVITIES
- (G) IMMEDIATE EFFECT ON MISSION ACTIVITIES
- (H) BENEFICIAL EFFECTS ON HOST COUNTRY AGENCIES
- (I) BENEFICIAL EFFECTS ON HOST COUNTRY NATIONALS.

8. BASED ON YOUR EXPERIENCE, WHAT SUGGESTIONS DO YOU HAVE FOR IMPROVING ST/RAD'S CAPACITY TO SERVE YOUR MISSION IN THE FUTURE? HAIG

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E.O. 12865: N/A
SUBJECT: EVALUATION OF ST/RAD FIELD SUPPORT

REF STATE 222561

1. SUMMARY: IN DEPTH SERVICES PROVIDED BY RAD HAVE BEEN EXCELLENT. THE SERVICES OF DR. DAVID LEONARD HAVE BEEN PARTICULARLY NOTEWORTHY. DR. LEONARD IS FUNCTIONAL IN THE VENACULAR, KNOWS THE COUNTRY AND THE SUBJECT MATTER IN THE AREAS WHERE HE HAS PROVIDED SERVICES. HE IS HIGHLY RESPECTED BY HIS KENYAN COUNTERPARTS IN THE MINISTRIES OF AGRICULTURE, LIVESTOCK DEVELOPMENT AND ECONOMIC PLANNING AND HAS GOOD RAPPORT AT ALL LEVELS IN THESE MINISTRIES. ALL SERVICES HAVE BEEN FURNISHED AT MODEST FINANCIAL AND ADMINISTRATIVE COST TO THE MISSION.

2. COMPARISON OF PROJECT SUPPLIED TA TO OTHER SHORT TERM TA PER PARA 7 REFTEL:

A. TIMELINESS: RAD TA SUPPLIED FOR RURAL PLANNING II (RP II) PP ALLOWED PROJECT TO BE AUTHORIZED IN TIME TO AVOID ANY BREAK AT EXPIRATION OF RP I. SOMETHING THAT HAS NOT BEEN ACCOMPLISHED VERY OFTEN ON OTHER MULTI-PHASED PROJECTS WHICH BECAUSE OF DELAYS, OFTEN REQUIRE AD HOC BRIDGING ARRANGEMENTS. ARRANGEMENTS FOR DR. LEONARD SERVICES WERE ACCOMPLISHED WITHIN THE TIME ORIGINALLY PLANNED.

B. COST TO THE MISSION FOR DR. LEONARD'S SERVICES HAVE BEEN SUBSTANTIALLY (APPROX. 30 PERCENT) LOWER THAN EXPERIENCE ON PRIVATE CONTRACTOR SHORT TERM TA.

C. ADMINISTRATION OF DR. LEONARD'S TA CONFINED TO PROCESSING ONE VOUCHER PER MONTH FOR REIMBURSEMENT OF LOCAL COSTS - AN IRREDUCIBLE MINIMUM.

D. DR. LEONARD IS FLUENT IN UP-COUNTRY SWAHILI, KNOWLEDGEABLE OF AND SENSITIVE TO THE LOCAL CULTURE.

E. PERSONNEL SUPPLIED UNDER THE PROJECT HAVE CONSISTENTLY BEEN OF SUPERIOR QUALITY.

F. AGRICULTURAL EXTENSION PROJECT ACTIVITIES WHILE A MINOR PART OF THE EXISTING PORTFOLIO ARE PROJECTED TO BECOME A MAJOR PART OF THE MISSION'S DEVELOPMENT STRATEGY BY FY83. USAID INITIATIVES IN THIS AREA WILL BE SUBSTANTIALLY BASED ON DR. LEONARD'S WORK.

G. MISSION IN FINAL STAGES OF DEVELOPMENT OF AGRICULTURE EXTENSION PID BASED ON LEONARD'S RESEARCH. RP II PROJECT DESIGNED BY RAD SUPPLIED TEAM IS NOW BEING IMPLEMENTED.

H. RP I PROVIDED ASSISTANCE TO THE MINISTRY OF ECONOMIC

PLANNING FOR THE DECENTRALIZATION OF DEVELOPMENT PLANNING. THIS WORK IS BEING CONTINUED UNDER RP II PROJECT, DESIGNED WITH RAD TA. THE MINISTRIES OF AGRICULTURE AND LIVESTOCK DEVELOPMENT ARE GOING THROUGH A PERIOD OF INTENSE SELF-EXAMINATION AIMED AT TRANSFORMING THE FOCUS OF THE EXTENSION SERVICE FROM LARGE AND/OR PROGRESSIVE FARMERS TO THE HITHERTO IGNORED LESS PROGRESSIVE SMALLHOLDERS. UNDER THE NEW SYSTEM, FARMERS WILL HAVE A DIRECT VOICE IN THE DEVELOPMENT OF RESEARCH/EXTENSION PRIORITIES. DR. LEONARD HAS BEEN INSTRUMENTAL IN STIMULATING THIS SELF-EXAMINATION.

1. RAD ASSISTANCE HAS BEEN VERY INSTRUMENTAL IN PROMOTING DECENTRALIZED DECISION MAKING IN THREE KEY MINISTRIES AS OUTLINED IN H ABOVE. THIS WILL PROFOUNDLY AFFECT THE LIVES OF MANY IF NOT MOST KENYANS BY GIVING THEM A VOICE IN LOCAL DEVELOPMENT PLANNING AND IMPROVING THE AVAILABILITY AND QUALITY OF TECHNICAL SERVICES PROVIDED BY THE EXTENSION SERVICE.

3. RAD HAS PERFORMED ADMIRABLY IN KENYA AND IS TO BE COMMENDED. HARROP

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PAGE 01 DAR ES #5673 #28802Z
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ACTION OFFICE STRD-02
INFO AFEA-03 AFDP-02 AFDR-06 PPCE-01 PDPR-01 PPPB-03 GC-01
GCAF-01 GCFL-01 PPIA-01 AAST-01 C-01 CALI-02 CHGT-02
STAG-02 AFDA-01 AGRI-01 RELO-01 MAST-01 AFPM-01
/035 A1 402

(G) IMMEDIATE EFFECT: BETTER - T. A. ASSISTED IN PREPARATION GOOD EVALUATION WHICH SHOULD IMPROVE PROJECT FUNCTIONING, HENCE BENEFITING MISSION AND TANGOV.

(H) & (I) BENEFICIAL EFFECTS MOST COUNTRY AGENCIES AND NATIONALS - SAME - SEE (G). FISCHER

INFO OCT-01 AF-10 /046 W

-----232173 021219Z /46

R 020741Z SEP 81
FM AMEMBASSY DAR ES SALAAM
TO SECSTATE WASHDC 2812
INFO AMEMBASSY NAIROBI

UNCLAS DAR ES SALAAM #5673

AIDAC

NAIROBI FOR REDSO, PASS NED GREELEY

E.O. 12865: N.A.

SUBJ: EVALUATION OF ST/RAD FIELD SUPPORT.

REF: STATE 222561

1. ST/RAD COOPERATIVE INSTITUTION UNIVERSITY OF CALIFORNIA/BERKELEY ASSISTED USAID/TANZANIA ON ONE-TIME BASIS DURING EVALUATION ARUSHA PLANNING AND VILLAGE DEVELOPMENT PROJECT (621-0143) DURING MAY-JUNE 1981. WORK PERFORMED SUPPORTED SCOPE OF WORK DAR #2977. COSTS FUNDED UNDER PROJECT 621-0143.

2. NO LONGER RANGE ASSOCIATION HAS BEEN OR IS EXPECTED TO BE ESTABLISHED, ALTHOUGH THEIR INVOLVEMENT IN FINAL EVALUATION OF SAME PROJECT WOULD BE WELCOME.

3. UNIVERSITY OF CALIFORNIA/BERKELEY PROVIDED SERVICES CO-PRINCIPAL INVESTIGATION DAVID LEONARD, RESIDENT IN KENYA AND ELIZABETH KLEEMEIR PH.D. CANDIDATE POLITICAL SCIENCE BERKELEY AND LECTURER AT UNIVERSITY DSM STUDYING TANZANIA REGIONAL INTEGRATED DEVELOPMENT PROJECT IN OBSERVER STATUS.

EVALUATION THEIR SERVICES AS REQUESTED REFTEL PARA 7 FOLLOWS:

(A) TIMELINESS - BETTER, THEY ARRIVED ON SCHEDULE - AVAILABILITY IN COUNTRY AND NEARBY WAS A PLUS.

(B) FINANCIAL COST TO MISSION - SAME ALTHOUGH THEIR PROXIMITY REDUCED TRAVEL COSTS.

(C) ADMINISTRATIVE COST TO MISSION - BETTER, REQUIRED VERY LITTLE SUPPORT - BOTH VERY SELF-SUFFICIENT.

(D) FAMILIARITY WITH LOCAL LANGUAGE/CULTURE - BETTER. PROJECT CONTRACTOR FELT KLEEMEIR MAY HAVE "IRRITATED" SOME TANZANIANS BUT MISSION RECEIVED NO ADVERSE COMMENTS DIRECTLY FROM TANZANIANS. LEONARD CLEARLY AT HOME VARIOUS LEVELS IN TANZANIAN SOCIETY, FAMILIAR TANZANIAN GOVERNMENT WORKINGS INCLUDING VILLAGE STRUCTURE AND INTERRELATIONSHIPS.

(E) TECHNICAL QUALITY - SAME.

(F) LONG TERM EFFECT ON MISSION ACTIVITIES - NONE ANTICIPATED.

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11

ACTION AID-01

BY REDSO WOULD REQUIRE A CLEAR PRICE AGREEMENT CONCERNING PROCEDURES FOR DETERMINING ASSIGNMENTS, HARROP

ACTION OFFICE STPD-00
INFO AFPA-03 AFDR-00 PPCE-01 PDPR-01 PPEB-03 GC-01 GCAP-01
PPEA-01 GCFL-01 WACT-01 AFDA-01 RELO-01 WAST-01
/024 A4 728

INFO OCT-01 /032 W

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R 260812Z AUG 81
FM AMEMBASSY NAIROBI
TO SECSTATE WASHDC 3024

UNCLAS NAIROBI 19034

AIOAC

E.O. 12958: N/A
SUBJECT: EVALUATION OF ST/RAD FIELD SUPPL

REF: STATE 202561

1) PER REFTEL REQUEST, REDSO HAS RECEIVED A FAVORABLE IMPRESSION OF THE SERVICES PROVIDED UNDER CERKELEY MANAGING DECENTRALIZATION PROJECT, BUT DEFERS TO SPECIFIC MISSIONS WHICH HAVE UTILIZED SERVICES TO PROVIDE MORE DETAILED EVALUATION. LISTED BELOW ARE SEVERAL INSTANCES WHICH SUPPORT A GENERALLY POSITIVE VIEW OF THE CONTRACTORS FROM THE REDSO SIDE. THESE SHOULD BE REVIEWED IN CONNECTION WITH MISSION RESPONSES.

2) LEONARD WITH SOME ASSISTANCE FROM GRADUATE STUDENT LIZ KLEEMEIR, SERVED AS A MEMBER OF THE ARUSHA REGIONAL PLANNING AND VILLAGE DEVELOPMENT PROJECT EVALUATION FIELD OPERATION ACTIVITY. THE EVALUATION WAS LED BY A MEMBER OF REDSO ANALYSIS DIVISION, INCLUDED A REDSO ENGINEER, AND WAS DRAFTED AND REVIEWED IN REDSO, BEFORE BEING REVIEWED IN ARUSHA.

3) LEONARD'S CONTRIBUTIONS TO THE EVALUATION WERE WIDE RANGING AND FIRST RATE. HE HELPED TO DEVELOP THE APPROACH TO THE EVALUATION, COLLECTED DATA THROUGH FIELD OBSERVATIONS INTERVIEWING, REVIEWING DOCUMENTS ETC. TOOK AN ACTIVE PART IN EVALUATION TEAM DISCUSSIONS AND WAS RESPONSIBLE FOR WRITING SEVERAL SECTIONS OF THE PAPER, INCLUDING THE ANALYSIS OF THE REGIONAL PLANNING AND VILLAGE DEVELOPMENT PROCESSES AND THE BENEFICIARY SECTIONS. KLEEMEIER ASSISTED IN THE DRAFTING OF THE REGIONAL PLANNING SECTION. THE WORK WAS DONE PROMPTLY AND EFFICIENTLY, AND REFLECTED THE DEGREE OF LEONARD'S KNOWLEDGE OF PARTS OF ARUSHA REGION IN PARTICULAR AND EAST AFRICA DEVELOPMENT PROBLEMS IN GENERAL. IN BRIEF HE WAS A RESPONSIVE AND EFFECTIVE TEAM MEMBER WHO MADE A SIGNIFICANT CONTRIBUTION TO THE EVALUATION.

4. LEONARD HAS ALSO BEEN AVAILABLE FOR CONSULTATIONS WITH VARIOUS MISSION PERSONNEL ON TOY IN REDSO. A CASE IN POINT IS A VERY RECENT DISCUSSION WITH LEONARD AND CHIAVAROLI, RWANDA ACTING AFFAIRS OFFICER. LEONARD MET WITH CHIAVAROLI ON RELATIVE SHORT NOTICE, REVIEWED DOCUMENTATION RELATED TO THE PROPOSED RWANDA RURAL WORKS PROJECT, AND MADE SOME CONSTRUCTIVE RECOMMENDATIONS CONCERNING ITS IMPLEMENTATION INCLUDING POSSIBLE INDIVIDUALS AND GROUPS RELEVANT TO PROJECT DEVELOPMENT AND IMPLEMENTATION.

5. ONE FINAL POINT RELATING TO PROJECT MANAGEMENT. LEONARD HAS BEEN QUITE INDEPENDENT IN HIS ACCEPTANCE OF ASSIGNMENTS FROM REDSO. ANY SUBSEQUENT ADMINISTRATION

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ACTION
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TELEGRAM

PAGE 01
ACTION AID-35

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ACTION OFFICE STRD-02
INFO AAAF-01 AFCW-03 AFDR-06 PPCE-01 PDPR-01 PPPB-03 AAST-01
AFDA-01 RELO-01 MAST-01 /021 A4 811

INFO OCT-01 /036 W

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P 110749Z SEP 81
FM AMEMBASSY MONROVIA
TO SECSTATE WASHDC PRIORITY 7394

UNCLAS MONROVIA 07544

AIDAC

E.O. 12065: N/A
SUBJECT: EVALUATION OF ST/RAD FIELD SUPPORT OF THE
- RURAL DEVELOPMENT TASK FORCE/LIBERIA

REF: STATE 222561

REGRET DELAY IN RESPONDING REFTEL. MISSION OFFICER MOST CLOSELY CONCERNED WITH RURAL DEVELOPMENT TASK FORCE EXERCISE ON HOME LEAVE AND NOT AVAILABLE FOR SUBSTANTIVE COMMENT. IT IS OUR UNDERSTANDING THAT ST/RAD INPUTS WERE APPROPRIATE, OF GOOD QUALITY AND WERE MUCH APPRECIATED. HOWEVER, SINCE THE APRIL 12, 1980 COUP WORK ON THE RURAL DEVELOPMENT TASK FORCE HAS LARGELY COME TO A STANDSTILL. INITIAL COMMENTS ON DRAFT FINAL REPORT WERE PROVIDED TO MR. HARLAND HOBGOOD, DS/RAD, BY LETTER DATED JUNE 19, 1980. COMMENTS MADE IN THAT LETTER ARE STILL VALID. WHEREAS THE NEW GOVERNMENT HAS EXPRESSED COMMITMENT TO RURAL DEVELOPMENT, GIVEN THE PRESENT ECONOMIC CONDITION OF THE COUNTRY RURAL DEVELOPMENT HAS HAD TO BE SIDELINED. SWING

13

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PAGE 01 MANILA 20914 080413Z 4886 058664 AID4465
ACTION AID-35

ACTION OFFICE STRD-02
INFO ASEM-01 ASPT-02 PPCE-01 PDPR-01 PPPB-03 GC-01 PPEA-01
GCAS-01 GCFL-01 ASPD-03 ASTR-01 RELO-01 MAST-01
/020 A2 X08

INFO OCT-01 /036 W -----363360 080416Z /16

R 080408Z AUG 81
FM AMEMBASSY MANILA
TO SECSTATE WASHDC 3023

UNCLAS MANILA 20914

AIDAC

E. O. 12065: N/A
SUBJECT: EVALUATION OF S&T/RAD FIELD SUPPORT

REF: (A) UNCLAS STATE 214467
- (B) MANILA 8928

1. PLEASE REFER TO REF B PARA 2 WHICH PROVIDED USAID COMMENTS ON UC BERKELEY. THIS MARCH 1981 ASSESSMENT REMAINS VALID.

2. USAID WAS RECENTLY PROVIDED WITH OTHER REPORTS PREPARED BY BERKELEY UNDER COOPERATING AGREEMENT. THESE REPORTS ON ~~DECENTRALIZATION CONCEPTS ARE VERY USEFUL~~ AND SHOULD BE MADE AVAILABLE TO OTHER MISSIONS. LANDAU AND ANDERSON HAVE ALSO CONTINUED TO PROVIDE USEFUL COMMENTS ON USAID PROPOSED LRM PROJECT CONCEPTS AND PRELIMINARY REPORTS. USAID LOOKS FORWARD TO THEIR POSSIBLE CONTINUED INVOLVEMENT UNDER COOPERATING AGREEMENTS OR THROUGH DIRECT CONTRACTS. ROSENTHAL

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14

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INCOMING
TELEGRAM

PAGE 01 MANILA 08926 01 OF 02 220450Z 3092 061874 AID0576
ACTION AID-35

MANILA 08928 01 OF 02 220450Z 3092 061874 AID0576

ACTION OFFICE DSRD-02
INFO AAAC-01 ASEM-01 ASPT-02 ASDP-02 PPCE-01 PDPR-01 PPPB-03
PPEA-01 ASPD-03 ASTR-01 AADS-01 CMGT-02 CTR-02 MAST-01
RELO-01 /025 A2 1222

IMMEDIATE EFFECTS ON MISSION PROCESS RATED MODERATE;
(M&I) SIGNIFICANT BENEFICIAL EFFECTS ON HOST-COUNTRY
AGENCIES AND PERSONNEL LIKELY LIMITED TO THOSE DIRECTLY
PARTICIPATING. LONG TERM EFFECTS DIFFICULT TO MEASURE BUT
COULD BE SIGNIFICANT.

INFO OCT-01 /036 W
-----133131 220456Z /14

2. MANAGEMENT OF DECENTRALIZATION - UC BERKELEY

R 220351Z APR 81
FM AMEMBASSY MANILA
TO SECSTATE WASHDC 6056

- A. UC BERKELEY WAS PRINCIPAL PARTICIPANT IN END-OF-
PROJECT EVALUATION (3 TRIPS) OF LONG TERM USAID-ASSISTED
PROVINCIAL DEVELOPMENT ASSISTANCE PROGRAM (PDAP) AND MAJOR
CONTRIBUTOR IN CONCEPTUALIZATION OF PROPOSED LOCAL
RESOURCE MANAGEMENT (LRM) PROJECT. AS PART OF EVALUATION,
BERKELEY PREPARED CONCISE "LESSONS LEARNED" PAPER BASED ON
PDAP EXPERIENCE WHICH USAID AND GOP CONTINUE TO USE
AS REFERENCE DOCUMENT IN DESIGN OF FOLLOW-ON LOCAL DEVELOP-
MENT PROGRAMS. THIRD VISIT BY BERKELEY WAS USED TO ASSIST
IN THE ORGANIZATION OF HIGH LEVEL REVIEW OF LRM CONCEPTS.
BERKELEY PARTICIPATION AS AN OUTSIDE RESOURCE SERVED TO
FACILITATE DISCUSSIONS RESULTING IN WIDE GOP SUPPORT OF
PROPOSED PROJECT.

UNCLAS SECTION 01 OF 02 MANILA 08928

ADM AID

E.O. 12065: N/A
SUBJECT: EVALUATION OF DS/RAD FIELD SUPPORT
REF: STATE 078210

- B. IN ADDITION TO ABOVE, BERKELEY (LANDAU/ANDERSON)
HAS ESTABLISHED GOOD RAPPORT WITH CENTRAL AND PROVINCIAL
OFFICIALS WHICH USAID PLANS TO CAPITALIZE ON IN DESIGN
WORK AND IMPLEMENTATION OF LRM DECENTRALIZATION PROGRAM.
AT THIS TIME, SEVERAL ORGANIZATIONAL AND IMPLEMENTATION
ISSUES OUTLINED IN THE PID HAVE BEEN GIVEN TO BERKELEY'S
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SUMMARY: PER REFTEL REQUEST, FOLLOWING IS ASSESSMENT OF
DS/RAD FIELD SUPPORT PROVIDED UNDER (1) INTEGRATED IRD
PROJECT, CONTRACTOR-DAI, (2) MANAGEMENT OF DECENTRALIZATION
PROJECT, INSTITUTION-UC BERKELEY, AND (3) REVENUE GENERA-
TION PROJECT, INSTITUTION-SYRACUSE U. REPLY IS KEYED TO
REFTEL.

"THINK TANK" FOR REVIEW AND COMMENTS. THIS FRESH LOOK
PROMISES TO BE USEFUL TO USAID AND GOP DESIGN TEAM.

1. INTEGRATED IRD PROJECT, DEVELOPMENT ALTERNATIVES, INC.
(DAI)

- C. TO DATE, BERKELEY ASSISTANCE HAS BEEN SHORT TERM
GIVEN THE NATURE OF EVALUATION AND PRE-PROJECT CONCEPTUALI-
ZATION. AS NOTED ABOVE, USAID PLANS TO UTILIZE BERKELEY
DURING LRM DESIGN (SHORT TERM UP TO 2 PERSON MONTHS) AND

- A. DAI PROVIDED ORGANIZATIONAL/MANAGEMENT TA FOR BICOL
IAD II (BULA) PROJECT (SEE FINAL REPORT DATED MARCH 1980).
USEFUL TEAM BUILDING SESSIONS WERE HELD AT PROJECT SITE.
GOP INTERAGENCY STAFF RATED PROCESS VERY EFFECTIVE.
CONCEPT WAS ALSO USED EFFECTIVELY BY ANOTHER U.S. CONSULT-
ANT TO STRUCTURE A DIFFICULT EVALUATION ON AN UNRELATED
PROJECT. BICOL IAD II PROJECT IS BEST INTEGRATED OF
SEVERAL BICOL PROGRAM COMPONENTS UNDERWAY, SO ENVIRONMENT
FOR OD SESSIONS WAS VERY RECEPTIVE. PARTICIPANTS' ENGLISH
AND SIMILARITY OF U.S.-FILIPINO ORGANIZATIONAL STRUCTURE
ALSO FACILITATED USE OF APPROACH.

- B. FOLLOW-UP ASSISTANCE BY DAI CURRENTLY UNDER REQUEST
FOR DS/RAD IN TWO PARTS: FIRST IS RD SPECIALIST
(SILVERMAN OR ALTERNATE) TO JOIN TEAM IN MAY 1981 FOR
PROFESS EVALUATION OF BULA PROJECT. SECOND PART IS FOR
TWO OD SPECIALISTS (HONADLE AND MAYFIELD) TO DO INTER-
AGENCY WORKSHOP ON BICOL IAD I (LIBMANAN) PROJECT IN JUNE
1981. THIS MAJOR IRRIGATION PROJECT WILL BE IN SHAKEDOWN
OPERATION. GOP TEAM SPECIFICALLY REQUESTED FOLLOW-ON
WORKSHOP SIMILAR TO TEAM BUILDING SESSION BY
HONADLE IN 1978 (PRIOR TO DS PROJECT). COMPLEX INTER-
AGENCY CONFLICTS AND FARMER INTERACTION AT THIS PHASE
PROVIDING EXCELLENT OPPORTUNITY TO USE METHODOLOGY DEVEL-
OPED UNDER DS/RAD PROJECT. BELIEVE SOME DS/RAD PROJECT
DESIGN INPUT CAME FROM 1978 BICOL EXPERIENCE. LETTER AND
DRAFT PID/T MAILED TO LOWENTHAL DS/RAD RE FOLLOW-ON TA.

- C. GOP REPLICATING USE OF TOP U.S. OD CONSULTANTS WITH
HOST-COUNTRY CONSULTANTS IS PROBLEMATIC, BUT TEAM BUILD-
ING CONCEPTS AND WORKSHOP EXERCISES CAN BE BUILT INTO
HOST-COUNTRY PROJECT MANAGEMENT PROCESSES.

- D. COMPARATIVE EVALUATION (PARA 6): DS/RAD PROJECT
AND DAI TA SELECTED BECAUSE IT FIT IDENTIFIED MISSION AND
HOST COUNTRY NEEDS. CONVERSELY DS/RAD PROJECT PERSONNEL
ALSO SAW OPPORTUNITY TO INTERACT WITH INNOVATIVE BICOL
EFFORT. MORE SPECIFICALLY, (A) TIME WAS RIGHT; (B) DS/RAD
PAID INITIAL COSTS; (C) ADMIN COST TO MISSION WAS MODERATE;
(D&E) TEAM MEMBERS FULLY QUALIFIED; (F&G) LONG TERM AND

15

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TELEGRAM

PAGE 01 MANILA 08928 02 OF 02 220541Z 3165 061876 A108596
ACTION AID-35

MANILA 08928 02 OF 02 220541Z 3165 061876 A108596

ACTION OFFICE DSRD-02
INFO AAAS-01 ASEM-01 ASPT-02 ASDP-02 PPCE-01 POPR-01 PPPB-03
PPEA-01 ASPD-03 ASTR-01 AADS-01 CMGT-02 CTR-02 RELO-01
MAST-01 /025 A2 1222

INFO OCT-01 /036 W

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R 220351Z APR 81
FM AMEMBASSY MANILA
TO SECSTATE WASHDC 6067

UNCLAS SECTION 02 OF 02 MANILA 08928

ADM AID

BUILD INTO PROJECT PERIODIC SHORT TERM CONSULTANCY DURING
IMPLEMENTATION, PARTICULARLY FOR MONITORING AND EVALUATION
ASPECTS.

- D. COMPARATIVE EVALUATION (PARA 6): (A) TIMELINESS -
BETTER; (B) FINANCIAL COST TO USAID - BETTER (DS/RAD
PROVIDED FULL FUNDING); (C) ADMIN COSTS - AS ABOVE;
(D) TEAM MEMBERS FAMILIARITY WITH CULTURE - BETTER;
(E) TECHNICAL QUALITY - BETTER; (F-G) LONG TERM AND INTER-
MEDIATE EFFECT - SAME; (H-I) BENEFICIAL EFFECT - SAME.

3. REVENUE GENERATION - SYRACUSE UNIVERSITY

- A. SYRACUSE WAS PRINCIPAL EVALUATOR OF REAL PROPERTY
TAX ADMINISTRATION (RPTA) PROJECT. EVALUATION PROVIDED
BASIS FOR BADLY NEEDED REDESIGN WORK OF IMPLEMENTATION
PLAN. SYRACUSE ALSO PROVIDED SEPARATE PRELIMINARY RESEARCH
AND TECHNICAL ASSISTANCE TO THE GOP (MINISTRY OF FINANCE,
NEDA, AND UNIVERSITY OF THE PHILIPPINES) ON LOCAL REVENUE
ISSUES AS PART OF WORLDWIDE DATA GENERATION FOR STATE-OF-
THE-ART PIECE. RESEARCH BY GOP AGENCIES ON LOCAL REVENUE
ISSUES IS STILL IN PROCESS AND PAPERS ARE STILL TO
BE PRESENTED (SYRACUSE HAS SUBMITTED ITS PAPERS AND HAS
BEEN REQUESTED TO PARTICIPATE IN SEMINAR WITH GOP AGENCIES
AT POLICY LEVEL TO DISCUSS MAJOR FINDINGS AND RECOMMENDA-
TIONS OF GOP AND SYRACUSE RESEARCH.)

- B. RPTA RE-DESIGN (BASED ON EVALUATION FINDINGS) IS
NOW IN PROCESS. THE COMPLETED SYRACUSE RESEARCH AND TA
PROMISE TO HAVE MAJOR IMPACT ON DESIGN OF FUTURE LOCAL
DEVELOPMENT PROJECTS ESPECIALLY LRM PROJECT SINCE CRITICAL
ISSUE IS RESOURCE MOBILIZATION AT THE LOCAL LEVEL. A
CENTRAL AND RELATED LRM PROBLEM IS RESOURCE FLOW THROUGH
CENTRAL AGENCIES AND NEED FOR REVISED PROCEDURES WHICH
SYRACUSE/MOF/NEDA/UP RESEARCH AND RECOMMENDATION ADDRESS.

- C. SYRACUSE RESEARCH SHOULD PROVE VALUABLE TO LRM
PROJECT DESIGN TEAM. USAID HAS WRITTEN DS/RAD AND SYRACUSE
REGARDING POSSIBLE SHORT TERM TA IN LATE AUGUST 81 TO
ASSIST IN PREPARING PP ANALYSIS, AND FINANCIAL STRATEGIES
AND PROCEDURES FOR FLOW OF RESOURCES TO LOCAL GOVERNMENTS.

- D. SYRACUSE EVALUATION ASSISTANCE AND RESEARCH WERE
SHORT TERM EFFORTS APPROPRIATE FOR THIS TYPE OF ASSIGNMENT.
ASSUME THAT SYRACUSE INVOLVEMENT IN PHILIPPINE STUDY WILL
TERMINATE WITH AUGUST SEMINAR AND PRESENTATION OF PAPERS.
HOWEVER, USAID MAY REQUIRE SPECIFIC APPLIED IN LRM PROJECT
RELATED ISSUES IN FY 82. MISSION AND GOP PROJECT FUNDING
CONTRIBUTIONS ARE PROJECTED FOR THIS.

- E. COMPARATIVE EVALUATION:

(A) TIMELINESS - BETTER
(B) FINANCIAL COST - BETTER (USAID PROVIDED \$14,000

- TO HELP FINANCE EVALUATION TEAM; DS/RAD FULLY
- FINANCED BROADER RESEARCH/TA EFFORT)
- (C) ADMINISTRATIVE COST - AS ABOVE
- (D) FAMILIARITY WITH CULTURE - SAME
- (E) TECHNICAL QUALITY - BETTER
- (F-G) LONG TERM INTERMEDIATE EFFECTS - (1) EVALUATION
- SAME; (2) RESEARCH/TA - TO BE DETERMINED
- (H-I) BENEFICIAL EFFECTS ON HOST-COUNTRY AGENCIES -
- TO BE DETERMINED.

4. DS/RAD CAPACITY TO SERVE MISSIONS IN THE FUTURE:
- USAID SUGGESTS NEED FOR BETTER COORDINATION AND UNDER-
STANDING OF RESPONSIBILITIES/OUTPUTS AMONG PARTICIPANTS
ESPECIALLY WITH COOPERATIVE ARRANGEMENTS INVOLVING UNIVER-
SITIES. ALTHOUGH OVERSIMPLIFIED, WE OFFER THE FOLLOW-VIEW
TO MAKE OUR POINT: MISSIONS VIEW DS/RAD AS VALUABLE SOURCE
OF READY TA AND SOME NEW THINKING, UNIVERSITIES OFTEN VIEW
DS/RAD AS SOURCE OF GRANT FUNDING FOR RESEARCH AND INTER-
NATIONAL INVOLVEMENT, AND DS/RAD SUPPORTS ACTIVITIES TO
PROVIDE NEW APPROACHES TO RESOLVING DEVELOPMENT PROBLEMS.
BECAUSE DIFFERENT PARTIES' INTERESTS DO NOT ALWAYS CONVERGE,
BELIEVE MORE ATTENTION NEEDS TO BE GIVEN TO RECOGNIZING THE
DIFFERENT PERCEPTIONS AND AGENDAS. PERHAPS JUST SHARING
A SIMPLE INPUT-OUTPUT MATRIX FOR EACH UNDERTAKING WOULD
RESOLVE POTENTIAL PROBLEMS. QUESTIONS ALSO ARISE DURING
FIELD WORK ON WHO CONTRACTORS REPORT TO IN THE FIELD OR
WHO WILL SUPERVISE WHICH ACTIVITIES, I.E., MISSION MANAGE-
MENT OR DS/RAD. P10/T PREPARED BY DS/RAD SHOULD SPELL THIS
OUT TO AVOID ANY MISUNDERSTANDINGS. ASSUMING DIFFERENT
PARTIES AGREE ON FINAL PRODUCT(S) OF TA ACTIVITY THIS
PROBLEM CAN BE MINIMIZED. OVERALL, USAID PLEASSED WITH
DS/RAD FIELD SUPPORT. MURPHY

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PAGE 01

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ACTION OFFICE STRD-02
INFO NEPD-04 NEDP-02 NETC-04 NEEI-03 PPCE-01 P DPR-01 PPPB-03
AAST-01 CTR-02 STAG-02 STUD-01 IT-06 RELO-01 MAST-01
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INFO OCT-01 INR-10 NEA-07 /053 W

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R 091827Z SEP 81

FM AMEMBASSY CAIRO

TO SECSTATE WASHDC 6423

UNCLAS CAIRO 21312

AIDAC

E. O. 12065: N/A

SUBJECT: EVALUATION OF S&T/RAD FIELD SUPPORT

REF: STATE 217629

1. JACK DYCKMAN REVIEWED THE NATIONAL URBAN POLICY DURING THE PERIOD DECEMBER 28 TO JAN 14, 1981. HIS ACTIVITIES WERE CENTERED ON AN EXAMINATION OF THE WORK ACCOMPLISHED TO DATE ON THE PROJECT, THE STUDY METHODOLOGIES BEING USED AND THE APPROACHES USED FOR THE GENERATION OF ALTERNATIVE SETTLEMENT PATTERNS. DYCKMAN'S INPUT CAME AT AN IMPORTANT TIME DURING STUDY DEVELOPMENT AND WAS VERY USEFUL IN OVER-- ALL DATA EVALUATION AND PROJECT DESIGN. HIS CONSULTATIONS WERE DIRECTLY WITH THE NATIONAL URBAN POLICY TEAM IN THE FIELD. HE ALSO MADE A PRESENTATION TO THE MISSION ON HIS WORK. HIS CONSULTATIONS HAVE BEEN DIRECTLY USED BY THE NATIONAL URBAN POLICY TEAM IN REORGANIZING SOME OF THEIR WORK. IT HAS ALSO HELPED THEM TO MORE FULLY ELABORATE ALTERNATIVE DEVELOPMENT STRATEGIES. THIS WAS A SINGLE NON-RECURRENT CONSULTATION. THE NATURE OF OUR NEEDS FOR CONSULTATION WORK ON THE NATIONAL URBAN POLICY STUDY REQUIRED A SHORT TERM INPUT FOR CRITIQUE OF THE ALTERNATIVE SETTLEMENT PATTERNS BEING GENERATED. THE TA PROVIDED UNDER THIS PROJECT COMPARES VERY FAVORABLE WITH OTHER SHORT TERM EFFORTS WE HAVE HAD. THE CONSULTATIONS WERE TIMELY AND WERE OF HIGH TECHNICAL QUALITY.

2. LEONARD JOY PARTICIPATED IN AN AID/W-IOC TEAM REQUESTED BY DRPS/LAD TO ASSESS DECENTRALIZATION SUPPORT TRAINING AND TO OUTLINE A GENERAL SCOPE OF WORK FOR USAID INVOLVEMENT/ASSISTANCE, WHILE THE FINAL DRAFT OF THE TEAM WAS NOT NEARLY AS SATISFACTORY AS HAD BEEN HOPED, IMPORTANT FOLLOW-UP ISSUES DID SURFACE. DR. JOY'S CONTRIBUTION WERE DETERMINED TO BE PARTICULARLY USEFUL BY USAID AND BY THE MINISTRIES OF PLANNING AND LOCAL GOVERNMENT. IN SUBSEQUENT PLANNING AND STATTING FOR A 5 MONTH MODEL PILOT ACTIVITY (IN DECENTRALIZATION PLANNING AND MANAGEMENT - CURRENTLY UNDERWAY). LEONARD JOY WAS THE SINGLE BY-NAME-REQUEST IN THE CONTEST OF 5 PERSON US COUNTERPART TEAM. HIS PARTICIPATION UNDER AUSPICES OF S&T/RAD COOPERATIVE GRANT AGREEMENT WITH UC/BERKELY FOR MANAGING DECENTRALIZATION ENABLED MISSION TO BEGIN DEVELOPING LINK WITH OVERALL UC/BERKELEY EFFORT WHILE OBTAINING DESIRED FOLLOW-ON SERVICES OF JOY. ULTIMATE AND-USE OF INITIAL DECEMBER - JANUARY EFFORT AND CURRENT MODEL PILOT TRAINING PROGRAM WILL NOT BE DETERMINED UNTIL COMPLETION OF ASSESSMENT/EVALUATION PHASE IN LATE NOVEMBER 1981. ATHERTON

17

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**INCOMING
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PAGE 01
ACTION AID-20

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ACTION OFFICE STRD-02
 INFO LACE-03 LADP-03 LADR-03 PPCE-01 PDPR-01 PPPB-03 PPEA-01
 HO-04 AAST-01 CMGT-02 CTR-02 RELO-01 MAST-01 /028 A2 X25

INFO OCT-01 AMAD-01 /022 W

-----342110 242205Z /68

R 242042Z AUG 81
FM AMEMBASSY SAN JOSE
TO SECSTATE WASHDC 5879

UNCLAS SAN JOSE 5408

ADM AID

E. O. 12065: N/A
SUBJECT: EVALUATION OF S&T/RAD FIELD SUPPORT

REF: STATE 214489

ATTENTION: S&T/RAD

1. SINCE AID CONTROL OFFICER FOR USNETZOFF/WALTON TDY IS NO LONGER WITH MISSION, FOLLOWING COMMENTS ARE BASED ON CONSULTANTS REPORT ENTITLED "DECENTRALIZATION IN COSTA RICA; A REPORT ON CURRENT PROSPECTS AND RESEARCH POSSIBILITIES, FEBRUARY 1980." FOR FURTHER INFORMATION YOU MAY WANT TO CONTACT MR. DAVID OLINGER, OFFICE OF HOUSING, AID/W, WHO WAS THE MISSION CONTROL OFFICER FOR THE TDY.
 2. INFORMATION CONTAINED IN ABOVE REPORT HAS PROVIDED BETTER MISSION UNDERSTANDING OF KEY ISSUES INVOLVED IN THE GOCR DECENTRALIZATION PROCE'S. A SHORT TERM USE OF THE REPORT HAS BEEN AS AN AID TO DEVELOPING A SCOPE OF WORK FOR A PPC STUDY TO BE CARRIED OUT IN COSTA RICA, (SOCIAL AND INSTITUTIONAL PROFILE), WHICH WILL FOCUS ON GOCR. DECNTRALIZATION POLICIES AND STRATEGIES.
 3. REGARDING PARA 7 OF REFTEL OUR RESPONSE IS LIMITED BY ABSENCE OF CONIKUL OFFICER. ALSO, GIVEN THE SPECIFIC CIRCUMSTANCES, THAT IS, THE POSTPONEMENT OF THE SECONDARY CITIES PROJECT, RESPONSES (F) THRU (I) MAY BE INAPPROPRIATE:
 - (A) SAME
 - (B) BETTER
 - (C) UNKNOWN
 - (D) SAME
 - (E) SAME
 - (F) UNKNOWN
 - (G) WORSE
 - (H) WORSE
 - (I) WORSE
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PAGE 01
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ADM AID
E. G. 12065: N/A.

SUBJECT: EVALUATION OF ST/RAD FIELD SUPPORT
REF: STATE 222561

1. MISSION DOES NOT FEEL IT CAN APPROPRIATELY ADDRESS THE CONTENTS OF REFTEL AS IT APPLIES TO THE SHORT TERM SERVICES RENDERED BY BOB PRICE DURING ERDM EVALUATION.
2. BOB PRICE WAS ONE OF SIX TECHNICIANS WHO SPENT APPROXIMATELY THREE WEEKS, MOSTLY IN THE FIELD SPECIFICALLY EVALUATING ONE PARTICULAR PROJECT. ALONG WITH FIVE OTHER MEMBERS OF THE EVALUATION TEAM HE CONTRIBUTED SIGNIFICANTLY IN COMPILING INFORMATION AND RECOMMENDATIONS CONTAINED IN A PUBLISHED FINAL EVALUATION REPORT.
3. IN JUNE 1980 THE ERDM PROJECT WAS AT MID-STREAM AND WARRANTED FULL EVALUATION IN ORDER TO PROVIDE NECESSARY GUIDANCE TO BOTH USAID AND GHANA GOVERNMENT THAT WOULD CONFIRM BOTH ACCOMPLISHMENTS AND DEFICIENCIES AND ENABLE BOTH PARTIES TO CONTINUE TO ADDRESS STRATEGIC AREAS. FURTHER, MISSION WAS PARTICULARLY INTERESTED IN OBTAINING THE SERVICES OF AN EVALUATOR FROM THE UNIVERSITY OF CALIFORNIA AT BERKELEY WHO HAD PRACTICAL KNOWLEDGE AND EXPERIENCE IN DECENTRALIZATION OF GOVERNMENT ACTIVITIES AND COULD RELATE TO THE GHANA GOVERNMENT DECENTRALIZATION ACT AND TO THE ERDM EFFORTS IN SUPPORT OF THE DECENTRALIZATION CONCEPT. MR. PRICE HAD THE DESIRED QUALIFICATIONS.
4. IN SCHEDULING SIMILAR EVALUATIONS OF OTHER ON-GOING PROJECTS, MISSION WOULD BE FAVORABLY DISPOSED TO CONSIDER UTILIZATION OF MR. PRICE'S SERVICES OR OTHER REPRESENTATIVES SUGGESTED BY ST/RAD AT THE APPROPRIATE TIME. ST/RAD'S FIELD SUPPORT IS SIMILAR TO THAT PROVIDED FROM OTHER SOURCES.
5. THIS IS ONE OF SEVERAL REQUESTS FOR SIMILAR INFORMATION BY ST/RAD. IT IS DIFFICULT TO PROVIDE SUBSTANTIVE COMMENTS ON INDIVIDUAL PERFORMANCE COMPLETED MORE THAN A YEAR AGO. MOREOVER, REQUEST FOR INFORMATION IN AREAS SUCH AS LONG TERM EFFECT ON MISSION ACTIVITIES ARE NOT REALISTIC. MISSIONS CANNOT BE EXPECTED TO SPEND LARGE AMOUNTS OF TIME ON THIS TYPE OF REQUEST THEREFORE, SUGGEST ALTERNATIVE WAYS BE FOUND TO ADDRESS YOUR REQUIREMENTS WHICH ARE MORE TIMELY AND LESS OPEN-ENDED. WRIGHT

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E. O. 12065: N/A

SUBJECT: EVALUATION OF DS/RAD FIELD SUPPORT

REF: STATE 069978

1. MISSION IS FAMILIAR WITH RANGE OF DS/RAD PROJECTS. WE HAVE HAD EXTENSIVE CONTACT WITH DS/RAD STAFF AT FIELD CONFERENCES, IN AID/W AND IN GHANA. WE HAVE CALLED UPON DS/RAD (DIRECT HIRE AND IPA) STAFF FOR SHORT-TERM TECHNICAL SERVICES. THEY PARTICIPATED (MSFA) THE EVALUATION OF PROJECTS WITH RURAL ADMINISTRATION. DIMENSIONS AND (B) THE INSTITUTIONAL DESIGN ELEMENT FOR OUR MAJOR INTEGRATED RURAL DEVELOPMENT ACTIVITY. DS/RAD HAS ALSO CONTRACTED ON OUR BEHALF FOR SEVERAL SHORT-TERM CONSULTANCIES.

uCB

2. THE QUESTIONS POSED PARAS 4-6 REFTEL DO NOT RELATE TO OUR USE OF DS/RAD SERVICES. THE CONSULTANCIES WERE TASK ORIENTED ONE-TIME ASSIGNMENTS RATHER THAN ACTIVITIES REQUIRING OR LEADING TO A LONGER TERM RELATIONSHIP. WE HAVE FOUND THE SERVICES OF DS/RAD STAFF AND SERLDKES ARRANGED UNDER CONTRACT TO BE TIMELY AND THE CALIBER OF TECHNICAL WORK PERFORMANCE ABOVE AVERAGE. MISSION WAS ESPECIALLY IMPRESSED WITH THE OUTSTANDING PERFORMANCE OF WUNSCH, PRICE AND SOLOMON DURING THEIR TDY TO GHANA.

IN THE FUTURE, WE WOULD ENVISAGE CONTINUING TO E; • 709, S/RAD RESOURCES ON AN AS NEEDED BASIS.

4. FINALLY, DS/RAD AND AFR COULD EXPLORE HOW INFORMATION IS SHARED REGARDING MISSION REQUIREMENTS FOR PROJECT DESIGN AND EVALUATION. WE ARE AWARE OF AT LEAST ONE MAJOR INSTANCE IN 1980 WHEN A REQUEST FOR DS/RAD AS A SUGGESTED SOURCE OF SERVICES WAS DEFLECTED BY AN AFR OFFICE. WE LEARNED ABOUT THIS AFTER THE FACT. SMITH

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Rural Development and Participation Project Evaluation

Questionnaire for USAID Missions (regarding short term project intervention)

The Rural Development and Participation Project, for which Cornell University is the cooperating institution, is in the process of being evaluated by a team composed of representatives of the regional bureaus, PPC, and DS/RAD. As part of that evaluation the team would like to know how USAID missions with which Cornell has worked under the project evaluated the project's performance. The team would be very grateful if you take a few minutes to answer these questions and if you would return the completed questionnaire by ~~November 24~~. *December 1*

I. Project Data

Contract number - Unknown

Team leader - John Harbeson - DS/RAD

Work began - March 29 - 27 and work ended June 30 - July 16

Mission share of project intervention cost

II. Team Personnel (please explain your evaluations)

How well qualified were the project personnel?

- 1) Both Fortmann and Harbeson highly qualified by past experience for this type of involvement. Mission and GOL very pleased that individuals with relevant experience and expertise were made available through this project.

How well did the team perform?

- 2) Overall the team performed excellently. Because Harbeson was involved to a much greater degree, his performance was outstanding.

How satisfactory were the team's working relationships with the mission and the host country institution?

- 3) Excellent in both regards. Mission personnel were approached by GOL officials following workshop to express their appreciation for contribution of Harbeson, Fortmann and Gable.

How time were the team's deliveries of services? Please explain any delays?

- 4) No problem at all.

III. Project Performance

To what degree were the mission, the host country, and the RDPP team in accord on the objectives of the intervention? Please explain any disagreements.

- 1) There was total agreement.

How well did the team perform?

- 2) Extremely well.

What did the mission find most useful and what did it find least useful about the project intervention?

- 3) Harbeson role in advising on the organization of the workshop was extremely useful. Fortman's role as a resource person for a limited period of time during the workshop was less useful but still important.

IV. Project Results

To what extent were the project results made available to host country institutions?

- 1) Completely

EDPP Evaluation(st) p.3

Were the results translated into any local languages?

2) Yes - Sesotho

To what extent have the results of the project intervention actually been utilized:

3) a) by the mission

Mission has found the information from the workshop very helpful in understanding the GOL's thinking and emphasis on decentralization.

b) by the host country institution

The proceedings of the workshop have been reviewed by Cabinet and will become the official policy of the GOL once reported out of that body.

V. Additional comment. Please add any addition comments you may wish concerning the work of the project

Overall the Mission was very pleased with the inputs by project personnel. This effort complimented efforts of USAID Lesotho Agricultural Sector Analysis (LASA) project. The GOL was extremely pleased with Harbeson's efforts and the results of the workshop itself. USAID had a very positive image in this important GOL endeavor.

MEMORANDUM

TO : See Distribution.

FROM : LAC/DR, Thomas A. McKee *TKM*

SUBJECT: Trip Report on September 15 and 16 Visit to Nicaragua

I. INTRODUCTION

En route to other work in Central America, I stopped off in Nicaragua September 15 and 16 for a short review of the University of California, Berkeley (UCB) and the Instituto Centroamericano de Administracion (INCAE) project with the Government of Nicaragua's Secretaria de Asuntos Municipales (SAMU). The visit was made at the request of and financed by S&T/RAD, the office which has AID management responsibility for this project and its parent program, the four-year "Managing Decentralization" cooperative agreement with UCB.

According to the project's PIO/T, signed June 1981, UCB agreed to collaborate with INCAE to provide the following services:

- A diagnosis of SAMU's management and technical work and recommendations on improving these functions.
- A comparative study, by means of a sample of Municipal Juntas, on the process used to identify, evaluate and implement municipal projects.
- Workshops to review and evaluate work produced by this project.
- Identification of organizational, human resource and overall training needs of SAMU. The scope of work was phased and UCB agreed to provide nine-person-months of its staff time and to contract INCAE for ten-person-months of staff time. This team was to submit the following reports:
 - a. Prediagnostic case study of SAMU.
 - b. Summary of workshop conclusions.
 - c. Case studies on Municipal Management.
 - d. Design of Municipal Survey.
 - e. Training materials on technical and management systems designed for SAMU.

This work was initiated in February 1981 and is to be completed in October 1981. The cost is approximately \$107,000, of which USAID/Nicaragua provided \$25,000 and S&T/RAD the remainder.

What follows are my "quick and dirty" impressions of the work performed to date under this contract. My own experience with the UCB "Managing Decentralization" Cooperative Agreement has been as technical backstop/oversight officer for LAC/DR. My experience in the field of municipal development in Latin America has included four years as project manager for AID's municipal development program in Costa Rica, consulting trips to Guatemala, El Salvador, Bolivia, Panama and Nicaragua (three trips) over the last ten years, and a working acquaintance with municipal development programs in several other Latin American countries.

II. RESULTS ACHIEVED TO DATE

A. Operating Rapport between SAMU/UCB/INCAE

UCB has succeeded in establishing a good working rapport with SAMU, which is a considerable accomplishment given the politically charged climate in Nicaragua. SAMU reported that in spite of some misunderstandings it was generally pleased with the work of UCB. SAMU especially appreciated UCB's flexibility and willingness to adjust to SAMU's needs. INCAE has also developed good working contacts with SAMU and was hopeful of additional training work with them. UCB and INCAE relationships have deteriorated since initiation of the contract and INCAE reported that it wasn't interested in similar follow-on work with UCB but might be interested in specific seminars or training activities.

B. Conclusions/Recommendations Produced

Although there is a notable absence of coherent documentation now available on the subject, it was clear from my conversations that in carrying on its technical assistance with SAMU and by holding the seminars/workshops, the UCB/INCAE team had succeeded in getting SAMU and some members of the GON to focus on decentralization issues/options. The final seminar was given high marks by the participants as stirring up interest on the subject.

C. Technical and Administrative Support to SAMU

The UCB and INCAE full-time staff people ended up spending considerable amounts of time helping SAMU to reorganize itself. They helped revise SAMU administrative structure to deal with a sudden influx of new employees. This appeared to be the principal short-term output and one that was appreciated by SAMU as evidenced by their request for more of the same.

III. PROBLEMS

A. UCB Recommendations on Decentralization

Right now there isn't any coherent presentation of UCB's conclusions and recommendations regarding decentralization, SAMU and the municipalities (at least there wasn't any available to me in Nicaragua). These will be developed in the UCB final report and I want to reserve my substantive comments until reading the final report. However, in discussing the various options under consideration, for example upgrading department offices or strengthening secondary cities' roles in the municipal movement,

I recommend that presentation of such options should include as all-inclusive a discussion of the pros and cons as possible. Cost and viability factors should be particularly stressed, along with likely impact on municipal governments. My experience in Nicaragua convinces me that the current municipal revenue base is only adequate to sustain the municipalities as political entities. If the GON wants the municipalities to play a developmental role in their local areas, it will have to enact legislation to significantly increase local government revenue.

B. Project Scope of Work

AID, and in this case specifically S&T/RAD, is required by its management practices to define for each activity it funds a project design, i.e., purpose, outputs and inputs that are expected to be achieved. When, as happened in this project, there is a major change in project design--in this case the decision not to do the comparative studies of the municipalities and not to produce the case studies on problems of Municipal Management--it is good management practice to obtain concurrence from all principal parties and, if necessary, redesign the project. In this case, UCB/INCAE at the request of SAMU altered the scope of work to cut out the case studies and in-depth research on problems of municipal management in favor of providing SAMU additional technical and administrative support services. It is clear that UCB project management should have consulted with S&T/RAD before agreeing to such a change. As things now stand, SAMU will, as mentioned above, have received technical assistance but little of the research laid out in the original scope of work will be produced.

C. General Management/Administrative and Other Concerns

People I talked with and my own observations showed problems in these areas:

- Delays by UCB in submitting project reports as requested by S&T/RAD.
- Confusion about who was in charge of the project for UCB.
- Ill-defined individual scopes of work for short and long-term personnel working on the project.
- Failure of UCB due to visa problems to provide in a timely fashion the services of Manuel Castells, the legal/financial advisor, or someone able to address this area of concern during the operational stage of the project.
- Methodology for the aborted municipal problems case studies. The two draft UCB case studies that I read were generally long on descriptive material and short on analysis. Material/information on administrative and financial problems of the municipalities was insufficient.

IV. FUTURE WORK

UCB is now preparing their final report. When the question of continuing this activity was raised during my trip, the principal organizations involved gave the following responses:

SAMU - Claudia Belli of SAMU clearly stated that they would like to have additional UCB technical assistance to SAMU of the same kind provided by Downs and Peres, i.e., internal assistance to SAMU management. While not actually declining assistance for research on municipal problems, she made it clear that it wasn't a high priority for them.

UCB - The team members were as yet undecided on what form additional assistance might take and wanted to complete the final report before making recommendations. Mr. Kusnetzoff wants to do a longitudinal study of SAMU's progress over the next year or two.

INCAE - INCAE wasn't interested in renewing the existing contract with UCB but might participate with them on special seminars or training exercises.

USAID/NICARAGUA - USAID/Nicaragua would like to keep its options open regarding future assistance to SAMU but is severely constrained by current restrictions on U.S. assistance to GON public sector institutions.

Distribution:

USAID/Nicaragua, Jerry Wein
" " Ken Schofield
UCB, Richard Harris
" F. Kusnetzoff
" M. Castells
" Charles Downs
" Ken Phillips
INCAE, H. Strachnan
" M. Lindenberg
" John Ickys
" M. Olave
S&T/RAD, Norm Nicholson
" " Monteze Snyder
" " Duncan Miller
LAC/DR, Anthony Cauterucci
" " James F. Smith

22

Attachment 2

Criteria	Mission							
	Ghana	Kenya	Tanzania	Lesotho	Liberia	Manila	Egypt	Costa Rica
A. Timeliness	better or same	better	better	good	good	better	better	same
B. Cost		better	same or better	incomplete data	good	better	better	better
C. Administrative cost		better	better	incomplete data	good	moderate	better	unknown
D. Familiarity with language and culture		better	better	incomplete data	good	better	better	same
E. Technical quality	outstanding	superior	same	excellent	good	better	better	same
F. Long term effect on mission activities		better		incomplete data	good	same	better	unknown
G. Immediate effect on mission activities		better	better	good - excellent	good	same	better	worse
H. Beneficial effects on host country agencies		better	same	good - excellent	good	same	better	worse
I. Beneficial effects on host country		better	same	incomplete data	good	same	better	worse

Those missions queried but not responding include: Uganda, Sudan, Somalia, Thailand, and Nicaragua. (See McKee report attached)

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Attachment 3

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The Project on Managing Decentralization
Institute of International Studies
The University of California, Berkeley

Annual Report
1980-81 Project Year

July 15, 1981

Report of the Project on Managing Decentralization
for the 1980-81 Project Year

This report describes activities undertaken by the Project on Managing Decentralization, pursuant to Cooperative Agreement No. AID/DSAN-CA-0199 between the University of California, Berkeley, and the U.S. Agency for International Development, during the 1980-81 Project year. Successive sub-parts report on the Project's work in the following areas:

1. long-term applied research;
2. special studies and state of the art research;
3. short-term mission consultancies;
4. information dissemination; and
5. administration.

I. Long-Term Applied Research

High priority was given during the reporting year to the establishment of long-term applied research projects within the areas of concentration agreed upon with AID. Work was begun in Kenya-East Africa and Nicaragua. Progress was made toward the establishment of projects in the Sudan, Senegal, and Egypt. Further possibilities are being explored in the Philippines and Indonesia. (See the Project's Proposed Plan of Work -- Year Three for further information regarding these prospects.)

Over the past year, the Project has considerably strengthened its capacity to undertake long-term applied research. Campus outreach activities have identified a diverse range of University of California faculty and researchers with development expertise. Several high-quality proposals for long-term research projects have been received as a result of these efforts. The Project has also developed its contacts with overseas AID missions and organizations and development scholars and practitioners to explore opportunities for long-term research. (See Annual Work Plan -- Year Three.)

Along with these efforts to increase capacity, the Project faculty and staff have given high priority to clarifying its research goals and methodology for applied field work. Within the broad sphere of decentralization, agreement was reached with DS/RAD to focus Project research on two important inter-related areas.

1. strengthening local and other sub-national governments as instruments of equitable development efforts, and
2. rural productivity, including institutional development and administration in agriculture.

The conceptual framework, important research issues, and projected outputs in each of these research areas is addressed in the accompanying Proposed Plan of Work, 1981-82.

Each applied research activity will be carefully monitored by a faculty committee in order both to support the research and to ensure its continuing utility for the Project's long-term research objectives.

This preparation should permit a substantial volume of focused research in the Project's third year.

Work accomplished in the two applied research projects currently in the field is reviewed below:

Agricultural Support System in Kenya-East Africa

David Leonard and his counterparts, Dr. Patrick Muzalle and Dr. Walter Oyugi, have analyzed the organization and management of Kenyan extension services in agriculture and livestock. Their initial six-month assignment reviewed various GOK initiatives to improve the deployment of resources to field extension units. Recommendations were made for the introduction of revised management information and reporting systems within the Agriculture

Ministry, revision of personnel management programs, implementation of programs for farmer contact through demonstrations, field days, direct farm visits and farmer publications. Support and transport services required for initial training and in-service training of extension staff were designed. Recommendations were submitted for the implementation of an adaptive crop and livestock research program responsive to farmer demands and small farm constraints.

Two important aspects of the problem of improving extension services for peasant farmers have been emphasized. First, impact on the effectiveness of extension services of three managerial innovations in the Kenyan agricultural administration system: improvements in the district level crop analysis and planning methods; the introduction of a "bottom-up" direct-level budgeting system; and the introduction of a more flexible and speedy financial disbursement process have been analyzed. The team has begun a study to explore the utility and means of utilizing indigenous women's groups in extension service work.

Municipal Development in Nicaragua

Since its inception in February of 1981, the applied research and consulting being undertaken in municipal development in Nicaragua has presented the Project with a unique experience and opportunities. This is due in part to the special circumstances prevailing in contemporary Nicaragua, where there is at present a revolutionary government committed to redressing the economic, social, and political inequities which have characterized Nicaragua's previous pattern of development. It is also due to the receptivity which the Project has encountered in the Secretariate of Municipal Affairs (SAMU) and the importance it has given to the Project's research and consulting activities there. This collaboration with the Central American Institute of Administration (INCAE) in diagnosing the existing system of municipal government

and the role of SAMU in promoting the development of municipal government in Nicaragua has given the Project invaluable insights into the needs and problems of municipal governments attempting to assume a greater role in the development process as well as in the representation of popular interests heretofore unrepresented in the governmental system.

As of this date, the joint UCB-INCAE team has completed its diagnosis of the municipal government system and SAMU and is currently carrying out in-depth analyses of 15 municipalities in six different territorial departments of Nicaragua. These analyses will provide the data for case studies to be used in municipal management development and in the development of more effective support and coordination linkages between the municipal governments and other governmental agencies operating at the local level in Nicaragua. This will be followed during August and September by an intensive action research effort in one department, aimed at testing the tentative conclusions arising in the previous analyses, and a seminar for high-level personnel in SAMU on the nature of present efforts at municipal development and areas of possible improvement.

The Egypt Decentralization Project

Negotiations were completed in June for Project participation in Egypt's Training for Decentralized Planning and Development Project, a six-month demonstration, intended to provide the basis for formulation of a nationwide program of training and applied research to develop management capacity at the gubernatorial level. This major effort at decentralization is based on national legislation now in effect and has been given high priority in the statements of government leaders. The Project's work, and that of its affiliate, Development Alternatives, Inc., will be guided by a steering committee comprised of senior officials from the several cognizant ministries

and agencies. Collaborative arrangements have been established with the Sadat Academy for Management Development. All parties involved recognize the critical importance of strengthening management at sub-national levels and the necessity, to that end, of ongoing analyses necessary for the improvement of present organizational structures and systems.

II. Special Studies and State of the Art Papers

We believe that the five major research papers completed this year will make a significant contribution to the state of knowledge on decentralization. Taken together, they explore the history, functions, and utility of governmental decentralization efforts more comprehensively than any other body of work in the field. They range in scope from conceptual analysis to strategy guidance for the organization of participatory, equity based rural development efforts in contexts of varying degrees of governmental and local elite support or opposition.

Briefly noted, the subjects addressed by the five papers are as follows:

"Decentralization: A Framework for Policy Analysis," by Stephen Cohn, John Dykman, Erica Schoenberger, and Charles Downs, is an historical analysis of governmental decentralization experiences, the objectives sought to be served, the contextual variables and effects. It provides a broad perspective for the development-oriented analyses of the subsequent papers.

"On the Concept of Decentralization," by Martin Landau and Eva Eagle explores decentralization through the discipline of organization theory -- analyzing its utility relative to the variables of knowledge constraints and value differences, leading thereby to articulation of the theoretical underpinnings of decentralization strategy in the rural development context.

"Linkages to Decentralization Structures," by David Leonard and Dale Marshall moves from conceptual analysis to explicit strategy. Based on extensive experience, both in developing countries and poverty programs in the United States, it formulates criteria for the selection of organizations to participate in development programs, allocations of functions among them, and linkages, vertical and horizontal, between them, and to the end in each case of maximizing benefits to the rural poor.

"Voluntary Efforts in the Decentralized Management," by Lenore Ralston, James Anderson and Elizabeth Colson reviews relevant anthropological literature and draws upon the authors' experiences to examine the feasibility of participation/decentralization strategies in the context of studies and findings respecting the character and objectives of local organizations. The case studies drawn upon stress both the importance and the difficulty of participation/decentralization strategies to improve conditions for the rural poor.

"On Styles of Decentralization Planning," by Melvin Webber and Karen Christensen seeks perspective on various planning processes, ranging from national development plans to project planning. Its emphasis, at each level, is on the dangers inherent in over-planning, which constrain the choices necessary to accommodate variations in local conditions and in systems of values. It uses paradigms to depict the risks of over-centralization, on the one hand, and inadequate central guidance, on the other, in development contexts.

A sixth paper, to be written by David Leonard in the coming year, will deal with "Management Techniques for Decentralized Entities."

A review of these papers, and of long- and short-term field work undertaken thus far by the Project, took place at its first Annual Workshop, held

in Harper's Ferry, West Virginia in April. Participants included development scholars and practitioners from various international organizations with interest in decentralization issues, AID representatives, and Berkeley Project members. The three-day conference generated useful comments on the studies and analysis of their policy implications. The workshop proceedings are being edited for distribution ^{by} ~~by~~ October 1.

III. Short-Term Mission Consultancies

Emphasis was placed, during the second year of the Project, on use of short-term field consultancies as a means of cementing long-term relationships with selected host countries. Accordingly, these activities were increasingly correlated with the overall Project foci of strengthening local and other sub-national government and rural productivity. Through June 30, 1981, the Project will have provided ¹³ ~~9.60~~ person months of mission service during the reporting year. This has been distributed among the four AID regions in the following proportions.

- Latin America. 2.70 person months;
- Asia 1.75 person months;
- Africa 2.55 person months; and
- Near East. 2.60 person months.

to be corrected

We anticipate an additional 1 to 3 person months (Indonesia PDP evaluation), 1 person month (Sudan) and 1 to 2 person months (Senegal) in the reporting year, subject to final approvals currently requested.

Individual country services are briefly reviewed below.

First Quarter (September-November 1980):

Nicaragua. City and regional planner Fernando Kuznetzoff and Richard Harris, political scientist and Assistant Director of the Decentralization Project, traveled to Nicaragua to negotiate scopes of work and arrangements for long-term applied research and service through the Instituto de Negocios y Administracion de Empresas (INCAE) in Managua and the Secretaria de Asuntos Municipales (SAMU). Methods of strengthening the role of local government and a proposal to study and assist that process were explored. A total of .70 person months of service in the field was provided by the Project.

Philippines. Public administration specialist Martin Landau and anthropologist James Anderson provided ^{.50}~~.90~~ person months of service to the Philippine Mission, participating in a review of the final draft of the Provincial Development Administration Program Study, preparing a "lessons learned" paper from the PDAP report and providing an assessment of the Local Resources Management Project Proposal.

Kenya. David Leonard, political scientist and public administration specialist, provided ^{.40} person months of service to the Kenya mission. Agreement was reached for long-term applied research and consulting by the Project on agricultural extension management systems.

Nicaragua. Management consultant Robert Girling provided .25 person months of diagnostic consultation to the Ministry of External Trade (MICE) in Nicaragua in the design of a decentralized information management system for public enterprises under the ministry's jurisdiction.

Second Quarter (December 1980-February 1981):

Egypt. Leonard Joy, agricultural economist, reviewed management development and training at the gubernatorial level in support of major national government decentralization legislation recently enacted in Egypt. .40 person months of consultation were provided.

City and regional planner John Dykman evaluated ongoing PADCO studies of national urban policy and programs in Egypt. .70 person months of service were provided.

Nicaragua. Richard Harris returned to Nicaragua for final definition of the scope of work for applied research on local government issues, to be carried out in conjunction with INCAE. .45 person months of service were provided.

Sudan. Political scientist Judith Geist assisted the Sudan mission in the formulation of its Country Development Strategy Statement (CDSS) and investigated possibilities for applied research in agricultural administration. She provided 1.95 person months of service.

Nicaragua. Robert Girling, management consultant, returned to Nicaragua for further work in developing a decentralized management information system for the Ministry of External Trade. He provided 1.05 person months of service.

Thailand. Martin Landau, public administration specialist, traveled to Thailand for ~~85~~⁹⁰ person months to participate in an analysis of the GOT government water resources management program.

Uganda. David Leonard provided an assessment of the technical assistance requirements of the Ministry of Cooperatives for restructuring marketing board arrangements. .20 person months of service were provided.

Third Quarter (March-May 1981)

Nicaragua. Robert Girling completed the design of the proposed management information system for the Ministry of External Trade. .20 person months of service were provided.

} not approved.

Fourth Quarter (June-August 1981)

Egypt. Project Director Kenneth Phillips, political scientist Jyotirindra Das Gupta, and economist Leonard Joy provided 1.50 person months of service to the Cairo Mission. They negotiated a scope of work, budget and coordination arrangements for long-term applied research and consultation in local government administrative development.

missing Tanzania

Indonesia. The Project has been requested to nominate a team to participate in a scheduled evaluation of the Provincial Area Development Program. Economist Bruce Glassburner and anthropologist Mark Poffengerger have been nominated. It is anticipated that between 2 and 3 person months of service will be provided.

IV. Information Dissemination

During the past year, in addition to the state of the art studies and the Harper's Ferry Workshop, the Project established its quarterly newsletter, undertook a bay area development colloquium series, developed a specialized library, participated in conferences on decentralization-related issues, and expanded its network of scholars and practitioners working on rural development issues.

The first two issues of the Project's newsletter will have been published this year. The first issue provided readers a descriptive statement of the Project's objectives, areas of research and methodology, invited correspondence and included articles on administrative decentralization efforts in the Sudan, municipal development efforts in Nicaragua, and decentralization and community participation in nutritional planning. Approximately 1,000 copies were distributed among the following categories of readers: Fifteen percent to international organizations; ten percent to individuals and/or institutions in Africa; twenty percent in Latin America; fifteen percent to Asia; thirty-five percent to individuals and organizations in the United States; and five percent to Western Europe.

The Project's information dissemination network was substantially expanded during the report year. Some 625 persons and institutions have responded with the Project. Many foreign scholars have visited the Berkeley campus or been contacted through overseas meetings attended by Decentralization Project members.

The development colloquium series on the Berkeley campus brought together scholars from the University of California and neighboring institutions for the following seminars:

- "Nutrition, Health and Population in a Three-Pronged Strategy for Rural Development," Professor Bruce Johnston -- January 21, 1981;
- "Participation and Development Theory," Professor Norman Uphoff -- February 27, 1981;
- "The Development of Commercial Agriculture in West Africa," Professor Robert Bates -- April 1, 1981;
- "Beyond Peasant Rationality," Professor Samuel Popkin -- May 1, 1981; and
- "Nicaraguan Agrarian Policy: Innovations in Rural Development," Professor Carmen Deere -- June 4, 1981.

The Project's specialized library added over 2,000 items, including books, reports, and government documents, during the reporting year. Library holdings are being computerized and will provide a series of bibliographies, with subject headings useful to researchers interested in decentralization. The library has proved an extremely useful tool for researchers and faculty and staff members preparing for overseas field work.

Project members participated in the following conferences and workshops during the past year:

- Barbara Nunberg, Assistant Director of the Project, attended the Latin American Studies Conference in Bloomington, Indiana in October 1980.
- Kenneth Phillips and Barbara Nunberg attended the Annual Workshop of the Syracuse University Local Revenue Administration Project in Minnowbrook, New York, in November 1980.

- Research Assistant Ben Schneider participated in the Fifth Annual Conference on Self Management in Washington, D.C. in November 1980.
- Anthropologist and executive committee member James Anderson attended the Seventh Annual Symposium on Law and Development in Windsor, Ontario, Canada in March 1981.
- Professor Martin Landau addressed the Administrator's Development Seminar on "Management Theory for the 1980's" in March 1981.
- Assistant Director Richard Harris attended the National Association of Schools of Public Affairs and Administration Conference in Detroit in April 1981.
- ~~David Leonard~~ ^{Donald Rotchick} attended a United Nations conference on Decentralization for Development in the Sudan in ~~June~~ ^{September} 1981.
- David Leonard and James Anderson will attend a United Nations Consultative Workshop on the subject of decentralization in Asia in Nagoya, Japan in July 1981.

V. Administration

Law Professor Kenneth Phillips assumed the Directorship of the Project in September 1980. Dr. Richard Harris and Dr. Barbara Nunberg were appointed as Co-Assistant Directors of the Project in the early fall. An excellent support staff has been recruited. New office space has been obtained.

Membership changes were made during the year in the Faculty Executive Committee, which provides policy guidance for the Project staff. The present membership consists of Professors James Anderson (Anthropology), Manuel

Castells (Planning), Stephen Cohn (Planning), Jyotinindra Das Gupta (Political Science), Martin Landau (Political Science), David Leonard (Political Science), Sheldon Margen (Public Health), Kenneth Phillips (Law), Carl Rosenberg (Political Science), Michael Watts (Geography), and Melvin Webber (Planning), all of them faculty of the University of California, Berkeley. and Richard Harris and Barbara Nunberg, ex officio.

The Project recently established a subgroup of the Executive Committee, the Program Committee, to more closely oversee project operations. The Program Committee, which meets weekly, is comprised of Professors Anderson, Das Gupta, Margen, Watts, and Phillips, Chairman.

VI. Conclusion

As the foregoing report indicates, the Decentralization Project is now in high gear. It approaches its third year of activity with the foci of its research clearly established, broad faculty support, strong management and administrative capability, well developed information dissemination systems and a substantial body of completed research. Three applied research projects are in the field and others in early prospect. As the Proposed Plan of Work for 1981-82 submitted herewith demonstrates, the Project looks forward to important opportunities to support AID field efforts and to contribute to understanding of rural development in the coming year.



PD-113-305

PROJECT ON MANAGING DECENTRALIZATION
INSTITUTE ON INTERNATIONAL STUDIES

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November 6, 1980

REPORT OF THE PROJECT ON MANAGING DECENTRALIZATION
FOR THE 1979-80 PROJECT YEAR

This Report describes activities undertaken by the Project on Managing Decentralization (the Project) pursuant to Cooperative Agreement No. AID/DSAN-CA-0199 between the University of California, Berkeley, and the U.S. Agency for International Development, during the 1979-80 project year. Successive sub-parts of this Report describe the Project's work in the following areas: (1) short-term service to missions; (2) State of the Art research; (3) long-term overseas assignments; (4) information dissemination; and (5) Project administration.

The Cooperative Agreement establishing this Project was entered into on August 31, 1979. In the year and two months passed since that date, the Project has developed the capacity to perform a range of services described in the Cooperative Agreement and, as this Report outlines, has made important progress in each area of its responsibility. One or more mission consultancies were provided in each of eleven countries; substantial progress has been made toward the establishment of long-term relationships for the conduct of in-depth, country specific, applied research; networking and information dissemination systems have been developed; and four of the State of the Art studies undertaken by the Project in its first year are now nearing completion.

I. Short-Term Service to Missions

During its first year, the Project gave high priority to short-term field consultancies, most of them responsive to request by AID. These aggregated 68.4 person weeks of short-term mission service, broadly reflective in geographical spread to AID's regional structure, except for

the Near East region. Short-term consultancies are contemplated in that region in the near future. The geographical spread of the Project's first year was: Africa, 37.9; Asia, 20.4; and Latin America, 10.1 person weeks. Considering the inevitable lag-effects of start-up, this is a prodigious first-year performance record.

Individual country services are briefly reviewed below:

First Quarter (September-November 1979)

Liberia

Political scientists Robert Price and Judith Geist traveled with Dr. James Wunsch of DS/RAD to Liberia to examine ways in which decentralization of government functions there might be implemented. The team produced an extensive report on its findings, submitted to a central Liberian government commission (report No. 80.1). A total of 5.7 person weeks of service in the field, inclusive of travel time, were provided by the Project.

Second Quarter (December 1979-February 1980)

Costa Rica

John Walton, sociologist, and Fernando Kusnetzoff, regional planning and architecture, provided 4.6 person weeks of field service. They produced report No. 80.2 analyzing the current state of decentralization initiatives in Costa Rica and suggesting areas of potential applied research in each area of these initiatives.

Philippines

Public administration specialists Martin Landau and Suchitra Bhakdi provided 6.7 person weeks of service. Dr. James Wunsch of DS/RAD and two Filipino social scientists also participated. This trip was the first step in a major evaluation of the AID-funded Provincial Development Assistance Program (PDAP) in the Philippines. This major project was designed to strengthen the administrative capabilities of Philippine local governments. The evaluation was completed in the third quarter.

Kenya

David Leonard, political scientist and public administration expert, performed 0.7 weeks of service to the Kenyan mission on route to Somalia. Leonard provided a written comment on the mission's draft project identification document for its Rural Planning II Project, and, in addition, consulted with the mission on possible long-term Project involvements in Kenya.

49

Somalia

David Leonard consulted with the mission and the Government of Somalia on the Bay Region Agricultural Development Project, providing a total of 3.4 weeks of service. Report No. 80.3 analyzed managerial problems associated with this project and provided recommendations toward their solution. This report has been included as an appendix to the Bay Region Agricultural Development Project Paper.

Uganda

Political scientist Donald Rothchild, working with Dr. John Harbeson of DS/RAD, provided 3 weeks of service to the Uganda mission, where he prepared the Country Development Strategy Statement for Uganda/AID. The Decentralization Project provided Rothchild's travel and per diem. [The text is partially obscured by a stamp.]

Third Quarter (March-May 1980)

Philippines

Martin Landau and Suchitra Bhakdi returned to the Philippines for an additional 7 person weeks of service in the evaluation of the Provincial Development Assistance Project (PDAP). Landau was the team leader for the evaluation. As before, he and Suchitra Bhakdi were joined by Dr. James Wunsch of DS/RAD, and two Filipino social scientists also participated. The team prepared a comprehensive evaluation report, available from the Project.

Bolivia

Judith Tendler, economics, provided 5.6 weeks of service in Bolivia itself and in Washington, D.C. In Bolivia, Tendler joined a PPC team evaluating AID's work on rural electrification. The report of the team will be published by PPC in its evaluation series. In addition, Tendler prepared a more detailed evaluation report which will be available from the Project.

Fourth Quarter (June-August 1980)

Ghana

Robert Price, political science, provided 3.1 weeks of service on the evaluation of the Economic and Rural Development Management Project, which provides assistance to Government of Ghana district officials in the

46

management of development programs. The report of the evaluation team was submitted to the Ghana mission in the field. It is not yet available for distribution by the Project.

Kenya

Judith Geist, political science, Melvin Webber, regional planning, Walter Oyugi, public administration/political science, and Peter Hopcraft, economics, provided a total of 16.4 person weeks of service in the preparation of the Rural Planning II Project Paper. The latter two consultants, both Kenyans, are attached to the University of Nairobi. Their services were secured by the Project. The Rural Planning II Project is designed to assist the Government of Kenya in district-level planning and decision making for development. The annex on popular participation in development planning in Kenya, written by Walter Oyugi, is available from the Project.

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David Leonard also provided 3.3 person weeks of service to the Kenya mission. The greater part of this trip was devoted to exploring areas of applied research in which the Project might assist the Government of Kenya and the AID mission. In addition, Leonard provided commentary to the Berkeley team and the mission on the draft Rural Planning II Project Paper. Dr. James Wunsch of DS/RAD accompanied Leonard on this Kenya trip and assisted in the development of the proposed long-term applied research projects.

Sudan

David Leonard provided 1.1 weeks of service, accompanied by Dr. James Wunsch of DS/RAD. Report No. 80.4, submitted to the mission, on this trip, evaluated recent changes in the structure of decentralization in the Sudan, advised on the impact of these changes on planned AID projects in the Sudan, suggested possible new areas for project development for AID/Sudan, and outlined interesting areas for applied research by the Project. This report was a joint product of Leonard and Dr. James Wunsch.

Thailand

Dail Phillips, public policy analysis, provided 6.7 weeks of service on the redesign of a provincial government assistance project and in the preparation of the Project Paper.

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Lesotho

Richard Gable, public administration and political science, provided 2.4 weeks of service, including preparation time in the United States. Gable delivered a major address to a Government of Lesotho conference on decentralization and participated actively in the conference.

II. State of the Art Papers

Several of the State of the Art papers are now near completion. Their utility in suggesting key questions and in formulating hypotheses for ongoing applied research appears to be impressive. These studies, undertaken in November, 1979, have involved faculty members in a variety of disciplines (political science, public administration, regional planning, and anthropology) and research assistants with a range of experiential background. Their scope has ranged from extensive literature reviews to the formulation of detailed strategy analyses for development implementation.

As of this writing, three of the State of the Art papers, Non-governmental Organizations in Managing Decentralization of Rural Developments, Elizabeth Colson, James Anderson and Lenore Ralston; Linkages to Decentralized Units, David Leonard and Dale Marshall; and Forms and Functions of Decentralization, Stephen Cohen, are in the final stage of preparation. The Ralston/Colson/Anderson paper and the Leonard/Marshall paper have been reviewed at faculty sessions. Faculty review of the Cohen paper is scheduled for December 4, 1980. Following revision of these papers in response to peer criticisms and discussion, they will be made available for general circulation.

In addition to these three State of the Art papers, now near completion, the three additional papers, Achieving Decentralization in LDC's, Martin Landau; Management Techniques for Decentralized Entities, David Leonard; and Styles of Decentralized Planning, Melvin Webber, should be available by February of 1981, in time for discussion at the Project's first workshop/conference, to be held in March.

The failure to meet the originally stipulated target dates for completion of the State of the Art papers (August 1980) derived from overly ambitious scheduling, competing demands on the faculty authors' time, especially short-term consulting requests for the Project during the summer months, and by necessary, but extended, discussions with DS/RAD staff to clarify the research foci.

A full statement of the rationale governing the six State of the Art papers undertaken by the Project was provided through DS/RAD in David Leonard's overview of State of the Art papers on managing decentralization earlier submitted. Pages 5 through 8 of that overview contain a summary of the contents of each of the papers.

III. Long-Term Overseas Assignments

Extensive efforts were made by Project staff and faculty during the reporting year to establish the basis for long-term overseas assignments in the coming year. Substantial progress was made in this area, both in the generation of specific in-depth applied research and recurrent.

consulting proposals and in establishing a set of policies to guide consideration and selection of long-term or recurrent Project involvements.

The Project's work in this area has included extensive networking contacts with institutions and individuals both in the United States and overseas, resulting in the development of a large consultant roster and established communications with indigenous institutions throughout the world. Particular efforts were made to reach University of California scholars, both at Berkeley and the other campuses, and researchers at Stanford and other institutions in the Bay Area. These efforts succeeded in the establishment of one long-term research project (Kenya and Eastern and Southern Africa) and the identification of fifteen areas for possible Project in-depth applied research. See the Work Plan for Project Year Two for details.

The Project has established a decision making process involving individually constituted Project development working groups, Project staff, and a faculty Executive Committee to assure full and careful examination of proposals. Equally important, the Project has refined its focus and developed criteria for consideration and selection of long-term field research intended to ensure that each proposal to AID will offer potential for both valuable on-site support and assistance, and the development of an understanding of the decentralization approach and its operational requirements.

As the Project enters its second year, this preparation should permit it to move rapidly toward the establishment of several significant long-term involvements. Its major effort in the coming year will be to move with all deliberate speed to establish promising overseas relationships. The preparatory work outlined above should expedite and facilitate that process.

IV. Information Dissemination

The Project, in this area, has organized a seminar series at Berkeley, participated in conferences held by other organizations, established a broad network of mail contacts, developed ongoing relations with scholars throughout the Bay Area, and built a compact, but useful, Project library.

A number of seminars were held over the past year, focused on detailed discussions of the State of the Art works of the Project. Others have provided presentations by practitioners and scholars concerned with development implementation. These seminars have also served as a forum within which Project participants who have done short-term consultancy work overseas have reported back on their observations and received feedback from the Project community. The seminars have provided an important

vehicle for expanding the involvement of the Project community within the University and the Bay Area community, and for broadening the range of experts upon whom the Project can draw for its overseas advisory work. Finally, an "in-house" seminar series conducted during the summer of 1980 by the Project's research assistants, discussed their work on the State of the Art papers and other aspects of development implementation.

An expanded colloquia series has been planned for the coming year. The first colloquium, which will involve scholars from all major universities in the Bay Area, will take place during the Fall quarter at Berkeley. Speakers will be drawn from prominent figures in the development field. This series will permit ongoing involvement in the Project's work by members of the academic community both on the U.C. Berkeley campus and from nearby institutions.

Project members have participated in AID-sponsored conferences and workshops involving decentralization. David Leonard spoke at the DS/RAD organized conference on rural development strategies in Virginia, November 24 through 30, 1979. Richard Gable participated in a Government of Lesotho seminar on decentralization in June, 1980. The Project also participated in the annual Latin American Studies Association meetings in Bloomington, Indiana on October 16 through 19, 1980, and will participate in the Sixth Annual Conference on Self-Management in Washington, D.C., to be held November 20 through 23, 1980. Kenneth Phillips, Jyotindra DasGupta and Barbara Nunberg will participate in a conference organized by the Syracuse Project on November 12 through 14, 1980 at Minnowbrook, New York.

The development of a wide network of scholars and practitioners interested in decentralization issues is well under way. Over 600 letters, soliciting information and seeking participation in the Project's activities, were sent to institutions and individuals around the world. More than 300 responses from persons interested in inclusion in the Project's network have been received as of this date.

The publication of the Project's newsletter is scheduled to begin in the second Project year, consistent with the time schedule agreed upon with AID. Richard Harris, who joined the Project as Assistant Director in May 1980, will be its principal editor. The Work Plan for the Project's second year details plans and schedules for publication of the newsletter. That Work Plan also discusses current plans for the organization and sponsorship of an international conference in the coming year. The State of the Art assessments of current knowledge will provide the baseline necessary for information dissemination through the newsletter and agenda for the proposed conference.

V. Administration

The Project was hampered in its start-up administration during the first year by the late date of the contract award. David Leonard, the then Principal Investigator and Project Director, had committed himself to a full load of other University responsibilities through March of 1980. Except for partial release time during the 1980 winter quarter, the Department of Political Science was not able to release him from teaching responsibilities or from his administrative responsibilities as Graduate Advisor.

University affirmative action recruitment procedures contributed to the delay in hiring of Project staff to assist in the management burdens. Thus, as noted above, Dr. Richard Harris, the Assistant Director and editor of the newsletter, did not join the Project until May. Dr. Barbara Nunberg, who has been assigned action responsibility for the seminar and conference program and who shares responsibility for Project development work, joined the Project only in August, 1980. Delays were also experienced during the first year in organizing an effective administrative and clerical staff.

Finding off-campus premises for the Project's offices has been considered essential in order to qualify for a reduced University overhead rate. The University rate is more than 10% higher for projects located on-campus than for off-campus projects. The Project was not able to locate and move into off-campus offices until January of 1980. The offices obtained at that time were seriously inadequate. The Project has now located excellent space which it expects to occupy by early December.

As of September 1, 1979, Kenneth Phillips assumed the Directorship and Co-principal Investigatorship of the Project. Phillips is a member of the faculty of law, where he teaches law and development, and is a former Assistant General Counsel of AID. As Associate Director of the University's Earl Warren Legal Institute, he has had extensive experience in the management of large federal applied research and technical assistance contracts.

The administrative difficulties of the first year of the Project thus have now been solved. An excellent professional and administrative management staff is in place. It will benefit from the active participation of a large, experienced, and very able Executive Committee, see listing in the Year Two Work Plan. The Project can look forward to smooth operations in this domain in the future.

The Berkeley Project on Managing Decentralization thus ends its first year in a strong position to move vigorously toward greater overseas orientation. Its start-up phase is behind it. A high level of service to missions has already been achieved. The Project will continue to build

strength in succeeding years and hopes to make valuable contributions, both on-site and toward the further development and dissemination of practical knowledge in its areas of investigation.

Respectfully submitted,

The Project on Managing Decentralization

By *Kenneth F. Phillips*
Kenneth F. Phillips
Director and Adjunct Professor of Law

KFP/cb

12

PIPELINE ANALYSIS AND FUNDING SUMMARY

	<u>ST/RAD Funds</u>
1. Obligations through FY 80	1,337,000
2. Expenditures through FY 80	382,138
3. Pipeline End FY 80	954,862
4. Obligations FY 81	350,000
5. Anticipated Expenditures during FY 81	816,658
6. Expected Pipeline End FY 81	488,204
7. Planned Obligations FY 82	400,000
8. Planned Expenditures FY 82	880,204
9. Pipeline End FY 82	-0-
10. Planned Expenditures FY 83	808,833
11. Planned Expenditures FY 84	628,000
12. Additional funds (not included in lines 1, 4, and 7) needed to carry through FY 84 (or EOP if prior to FY 84)	1,228,000
13. Life of Project Authorized Level by PAF*	\$3,515,000*
14. Project began (month and year)	August 31, 1977
15. Without extension project will end (month and year)	August 30, 1984

* Level established May, 1981 (20% below PAF level)

5¹³