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International  
Cooperation  
and Development

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Veiras  
Portugal

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To Mr. Cory Edwards

July 18, 1983.

From Dr. Glen R. Purnell, Team Leader  
OICD/USDA/L

Subject Consultants reports

Enclosed please find reports on June-July, 1983 consultancy submitted by Ed. Connerly and Procalfer Implementation System, Designing Mechanisms to maintain the Management system, May 21 to July, 1983 submitted by R. Moses Thompson.

For your attention we attach a letter dated July 14, 1983 from Eng. José Varela, Director of Planning Cabinet regarding a project on Warehousing and conservation of silage.

Encl.



## MINISTÉRIO DA AGRICULTURA, COMÉRCIO E PISCAS

Gabinete de Planeamento

Exm<sup>o</sup> Senhor  
 Dr. Purnel  
 Team Leader USDA/OICD  
 PROCALFER  
 Quinta do Marquês  
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Sua referência

Sua comunicação

Nossa referência

Praça do Comércio — 1194 LISBOA

11.6/GP-1.6.3.1/83

14 JUL 83

ASSUNTO:

Venho por este meio solicitar a sua melhor atenção para a necessidade de se dinamizar o projecto de "Armazenagem e Conservação de Silagem" abrangido no Grupo "Marketing Systems", por forma a que o mesmo possa ser realizado com oportunidade ainda no presente ano.

Na realidade este projecto, virado para a demonstração e divulgação das técnicas de produção e conservação de silagem, adquiriu, na presente conjuntura, um interesse acrescido motivado pelo recente aumento de alguns factores de produção, pelo que consegui-lo desencadear ainda em tempo de <sup>2017/16</sup> sentir efeito na actual campanha. Trata-se, nesta circunstância, de conseguir que as acções integradas no projecto sejam levadas à prática durante a fase de produção de silagem ou seja durante os meses de Agosto - Setembro.

Com os melhores cumprimentos

O Director-Geral,

*João Agostinho Antunes*

CONSULTANCY REPORT

PROCALFER\_IMPLEMENTATION\_SYSTEM:

DESIGNING MECHANISMS TO MAINTAIN THE MANAGEMENT SYSTEM

MAY 21 TO JULY 9, 1983

PREPARED FOR:

PROCALFER Coordinating Group  
Ministry of Agriculture, Portugal

and

OICD/USDA Chief of Party  
Lisbon, Portugal

SUBMITTED BY:

R. Moses Thompson  
Development Project Management Center  
Consultant  
OICD/USDA, Washington, D.C.

July 6th, 1983

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## 1. INTRODUCTION

This report summarizes the major activities, products, conclusions and action recommendations of a 5 week consultancy in Portugal from May 21 to July 8, 1983 by R. Moses Thompson, Consultant to the DPMC/TA/OICD/USDA. The purpose of the consultancy was to build on Marcus Ingle's April 22-May 6 consultancy effort to assist the PROCALFER Coordinating Group and the Program Implementation and Management System (PIMS) Team prepare for a series of Regional Planning and Budgeting Workshops and to advise on other implementation related concerns.

Prior to arriving in Portugal, Mr. Thompson was briefed by Dr. Ingle and Lawrence Cooley in Washington. While in Portugal he held substantive discussions with member of the PROCALFER Coordinating Group, the OICD/USDA Technical Assistance Team, the PIMS Team, and USAID Officials.

This report is a collaborative effort of the PIMS Team and the consultant. Many of the documents submitted here in English have been developed in Portuguese by the PIMS Team. Segments of this report were discussed with members of the PROCALFER Coordinating Group and the Lisbon OICD/USDA Team.

### A. Background of the PIMS Effort

In early 1982, after extensive consideration and review, the PROCALFER Coordinating Group along with key members of the Planning Department, the Extension Department and the Regional Directors agreed to initiate an innovative and experimental Program Implementation and Management System (PIMS). The purpose of this effort, to be undertaken with the assistance of DPMC/OICD/USDA consultants and staff, was to "...develop and install an integrated MACP Program Implementation Management System (PIMS) in support of the PROCALFER Program by the end of the 1983". The basic strategy of the PIMS plan was to develop and institutionalize a high quality management unit within the Coordinating Group which could assist with the implementation of PROCALFER at the national and regional levels, and could serve as a model of effective program management for the the MACP more generally. See the Objective Tree Analysis below: Chart #1

During 1982 and early 1983 a small PIMS unit was established in the Coordinating Group. The Team, with the active support and encouragement of several Portuguese institutions, has achieved some impressive results during its first year of operations and received a favorable review in the April 1983 evaluation. (See also the review of PIMS Purpose-level achievement identified in Annex D. "Meeting Summaries")

OBJECTIVES IN SUMMARY:

PRODUCTIVITY OF SPECIFIC CROPS INCREASED

NEW TECHNOLOGIES AND AGRICULTURAL SYSTEMS ADOPTED AND USED BY FARMERS THAT ARE ADJUSTED TO ECOLOGICAL ZONES IN THE AREAS OF FERTILIZERS, LIMSTONE AND FORRAGES

PROCALFER PROJECT IMPLEMENTED SUCCESSFULLY INCLUDING:

EXTENSION COMPONENT

RESEARCH COMPONENT

CREDIT COMPONENT

PRODUCTION AND DISTRIBUTION OF LIMSTONE COMPONENT

MANAGEMENT COMPONENT (SGIP)

HIGH QUALITY MANAGEMENT TEAM DEVELOPED TO DESIGN AND IMPLEMENT MANAGEMENT SYSTEM THAT IMPROVES PERFORMANCE OF PROCALFER ACTORS

MANAGEMENT SPECIALISTS TRAINED

SGIP SYSTEM DESIGNED & MANUALS PREPARED

REGIONAL INSTALLATION WORKSHOPS CONDUCTED

However, recent consultants have indicated that the PIMS Team is currently in need of increased focus, structure and technical competence in its organization and operations in order to ensure long-run, high quality performance and institutionalization. The original purpose of the Thompson consultancy was to assist the PIMS team with these organization and operational concerns.

b. Terms of Reference

The original Terms of Reference (see Annex A: Scope of Work: Original Cable) state that the consultant will provide technical assistance to the PIMS Team in defining its regional workshop strategies and support it in its regional planning efforts.

Upon arrival in Portugal, the PIMS Team requested that in addition to this, the consultant should provide direction in the the:

Development and pilot testing a management system to be implemented at the Zona Agraria level of the PROCALFER Project.

Design of a Professional Development Program Training Guide for the Management Specialists and Regional Coordinators

Design of a Learning System for monitoring and evaluating the effectiveness of the PIMS effort

In addition the consultant would review the current progress made in the collaborative work between the Coordinating Group and the PIMS Team and make recommendations.

The Consultant was requested by USDA to provide assistance on a few other related products:

Preparation of a PROCALFER Training Policy Statement

Preparation of a Proposal for a U.S. Study Tour for Regional Coordinators

Preparation of a Presentation of PIMS progress to date for OICD Director

2. STATUS OF THE PROCALFER IMPLEMENTATION SYSTEM:

The PIMS effort is on schedule with respect to its 1983 Workplan as outlined in the L. Cooley Consultancy report. Highlights of the teams overall progress include:

(For a full description of the current progress, see Annex S: Ingle's May Consultancy REport; page 5)

But in spite of the PIMS Team's ability to achieve its output objectives in a timely fashion, there are indications that the PIMS effort will not be sustainable in the near term. All management improvement efforts depend on the creation and maintenance of certain conditions which facilitate organized attempts to improve project performance. When these conditions began to fail, it is the responsibility of the Consultant to bring attention to this fact and provide recommendations for improving these pre-conditions for management improvement success. This does not mean that the progress of the past year of the management effort is any less significant. The results of the PIMS effort are proven to be worthwhile and indicators of success can be clearly identified. The point is that the excellent progress being made by the Coordinating Group with the support of the management effort will not continue in the future if action is not taken now to improve conditions.

The current deterioration in the facilitative conditions for PIMS success was not fully apparent during the Ingle May consultancy and is the result of a variety of factors that have fallen in place simultaneously:

#### Failing Facilitative Conditions:

1. The PIDDAC Budget has been released in the last two weeks, a half a year behind schedule leading to further loss of PIMS moral and PIMS Performance Budgetting effort credibility;

2. The PIMS Team Leader, just after being re-appointed and leadership roles being reclarified, has announced his resignation. The lack of continuity and stability on the team has had a negative impact on team morale;

3. The Planning Cabinet PIMS Team member has announced she refuses to continue under the current conditions and will work only half time until the current objectives have been achieved and then will return to Planning Cabinet.

4. The PIMS central Team is now one full-time member and three part-time members from Planning Cabinet; one full time computer applications specialist. The result, in addition to visible discouragement, is the Team's inability:

- to absorb heavy use of consultants
- to continue present level of effort in the future
- to expand budgetting/monitoring efforts to implementation concerns
- to expand regional effort to central level PIMS efforts

5. Turnover in Regional Management Specialists and Regional Coordinators has led to new personnel and/or empty positions and no plans to either fill the positions or train the new people: (4 new M.S. and 3 new R.C.: 1 empty M.S. position)

6. The Coordinating Group seeks to limit the PIMS effort to Budget Preparation and Regional Level Monitoring and the PIMS Teams seems to accept this limited role:

7. The PIMS is not getting the technical support the Coordinating Group demands of it. To date, it lacks representation from Research, Forestry, Credit, etc.

8. PROCALFER Leadership and PIMS Team composition lacks stability. Proposals of resignation are announced frequently and occasionally followed through on. The result is a high degree of uncertainty and the growing lack of enthusiasm for an effort which lacks the support of its leadership.

At this point in time, the conditions necessary for a successful management improvement effort do not exist. Although there were short-comings in the degree to which they existed in the past, it was the professional opinion of the DPMC consultants that a PIMS effort could make sufficient progress to satisfy the expectations of the PROCALFER Project's leadership.

Many of the changes in the Consultant's Scope of Work were based on the immediate need to respond to some of these failing conditions. Recommendations for the improvement of these pre-conditions for PIMS success are outlined in section 4.

### 3. CONSULTANCY ACTIVITIES AND PRODUCTS

A. PIMS Learning System: An approach to monitoring and evaluation of PIMS progress:

Neither the PIMS Team members nor the PROCALFER Coordinating Group can agree on a specific definition of what near term PIMS progress should look like. In the absence of clear indicators of success, there is ambiguity about how to evaluate the effectiveness of the management improvement effort. This has a variety of effects:

\* It makes it difficult for decision makers to decide whether to continue with the PIMS effort or not:

\* It creates uncertainty among Team members as to their effectiveness in implementing the PIMS design and whether it really produces the improvements expected.

\* It prevents a pro-active approach to improving the installation of the PIMS effort.

The difficulty of measurement lies in the fact that the PIMS effort is in progress and requires a set of leading indicators (or Precursors) of final success that tell the Team and the PROCALFER Coordinating Group whether the effort is making the expected progress. These leading indicators are often difficult to design because the PIMS objectives to be measured are USE of an improved management system as well as the EFFECT of the USE of the PIMS management system.

The PIMS effort is based on a very specific set of criteria for assessing management improvement over time and particularly USE of improved management techniques and processes. Until now the consultants have not given focused attention to developing Team skills to design these Purpose level precursors of success nor to a process for using them to build team confidence that the PIMS is being implemented not only on schedule, but effectively.

The basic definition of the problem was presented to the Coordinating Group in the form of Annex C. Here the consultant identified the need to set PROCALFER Purpose and Goal Level targets that are realistic (still set by multiplying the number of hectares requiring limestone by the number of tons of limestone required to neutralize the acidity to arrive at global regional and national figures. See the Punell letter to Sevinate Pinto: October 1, 1982) and to identify Means of Verification over time. The consultant also discussed the need for a clarification of how to measure the PIMS effort.

In a presentation of a conceptual framework for the PIMS effort (see Annex G), the Consultant outlined a Learning System that Team members could use to monitor their work, identify success and make improvements (See Annex E) In two successive meetings with different Team members, the Consultant developed an initial list of precursors of PIMS success for their Purpose and Output level objectives in terms of the initial PIMS implementation, ongoing Maintenance and Future Replication (see Annex D and the final Precursor Map in Annex I).

The initial Precursors summarized past success. Although the Team felt this was extremely useful for building confidence as well as understanding of what they are doing and why, they also felt that they must now project future indicators of success. This did not happen during the consultancy, however. The Team does understand the principles, criteria and technique for proceeding with the Learning System. Instructions and sample materials are in their hands. The consultant is not confident the Team will take the initiative to develop its Learning System without assistance.

The Team did take one specific precursor of success related to the PROCALFER budget process and elaborate it in terms of progress that can be attributed to PIMS (see Annex E: Purpose Level LAchievement: An Example)

## B. Training in PROCALFER & PIMS

1. The PROCALFER Training component is in the final stages of rationalization into a comprehensive Training Plan for the Project. A Training Plan Team was identified and the work clarified. Prior to the initial meetings, OICD Training Plan responsible, Jim Black and OICD Team Leader, Glenn Purnell felt it important to elaborate a Policy Framework in which to develop a Project Training Plan. The Consultant with the assistance of Jim Black prepared the Training Policy Statement provided in Annex P.

2. The PIMS-specific training program has been defined in several iterations over the past year. The most recent and comprehensive effort had been Marcus Ingle's Team-developed plan of the May consultancy.

Due to the quickly changing nature of training for the PIMS Team, the Consultant and the Team felt it necessary to re-evaluate the PIMS professional development program in terms responsive to the;

- Turnover in MS and RC (Regional)
- Turnover in MS and Team Leadership (Central)
- Overall lack of advanced technical skills in mgmt.
- Need for strengthening Regional MS capacity

The Consultant outlined an overall Professional Development Program building on his and Ingle's previous work and outlined a PIMS Team Training Guide for providing internal Team Training. The document describes (see Annex J):

- Formal MS and RC Training by the PIMS Team
- Informal/On-the-Job Training with the PIMS Team
- Overseas, U.S. formal and informal professional development

The document describes in detail a Training Guide for training Ms and RC replacements. The skills for collating the Training Guide and using it exist in the core PIMS Team.

Informal Study Tour/Training opportunities for Regional Coordinators were identified in recent DPMC consulting effort and discussed again during this one. A proposal for a 1983 U.S. Study Tour (see Annex Q) was prepared based on a series of interviews with OICD Team Leader, PIMS Team members and Regional Coordinators in Regions 2,3, and 5.

### C. Zona Agraria Management System

Many Project implementation activities take place at the Zona Agraria level. The primary burden of responsibility rests on the shoulders of the Extensionistas, Vulgarizadores and the Agricultural Extension System. In the absence of full deployment of personnel and a consistent Extension Service Management

System, PROCALFER implementation will be limited. PROCALFER/PIMS has the expertise to support the Extension Service in the:

Design and development of a Zona Agraria PIMS, and  
A process for installing such PIMS/ZA

The PROCALFER Coordinator, the PIMS Team and Regional project implementors agree on the need for a PIMS/ZA (see Annex M: summaries of Meetings in the design of the PIMS/ZA). The system and the installation process being developed are compatible with the ongoing Extension Services efforts to implement a nationwide Extension System; with regional organic structures; and with PROCALFER Regional PIMS.

The system now being developed is a collaborative effort of Regional Extension Director, 2 Regional Management Specialists, PIMS Team Leader, Regional Coordinator, Zona Agraria Chiefs, Sub-regional PROCALFER Coordinator, Extensionistas, Vulgarizadores and participating farmers. The description of the process and the steps undertaken are provided in Annex M. The Guiding Conceptual Framework for the PIMS/ZA is given in Annex L.

The primary responsibility for the installation of the PIMS/ZA will be with the Regional Management Specialists, as envisioned in the original PIMS Design (see Thompson/Rizzo Report of January 1982). Two Regional Management Specialists are currently fully involved in the System Design and Installation Process Development Effort. (Regional MS from 2 and 5)

At the writing of this report, the design team had established the PIMS/ZA criteria, defined the Zona Agraria Work to be managed and roughed out a system. (See Annex S) Next steps are to define the installation process and plan phase 2 of the pilot. When the pilot is complete, the installation team will begin a region-wide installation effort which will serve as a model for other regions. The System and the Process can then be replicated in all 7 regions.

#### D. Improved Coordination of Coordinating Group and PIMS Team:

Major improvements in the Coordinating Group's use of the PIMS Team have taken place over the past months. Regional intervention/workshops are planned as joint efforts and perceived as such by regional personnel. Coordinating Group Reconnaissance, summarized in specific regional guidelines and followed by a PIMS team briefing and the PIMS workshop represents an improved management process. The consultant discussed this process with members of both the C.G. and the PIMS Team and prepared a list of suggestions for improving the process (see Annex N).

#### 4. CONCLUSIONS AND ACTION RECOMMENDATIONS

A. The PIMS Team:

The PIMS Team cannot sustain its scheduled efforts beyond the next three months.

Action Recommendations:

\* Expand the Central PIMS Team to three full time members and a full time Computer Applications Specialist: Full time members should be recruited from Planning Cabinet and two other technical agencies whose input is required on the team (research, forestry, credit, etc.).

\* Identify a provisional PIMS Team Leader in anticipation of Carlos Goncalves' departure. (See Annex O for a description of how the Consultant assisted the PIMS Team identify a provisional leader and a definition of responsibilities when the PIMS Team Leader went on vacation)

\* Begin the search for a full time PIMS Team Leader either from within the Coordinating Group or from without. It is recommended that the Team Leader come from either Extension or Planning.

\* The empty M.S. position be filled and a 3-part training program be initiated for all new Management Specialists composed of: (see Annex J)

Apprenticeship: On-the-job Training during regional workshops

Formal PIMS concepts and skills training by core PIMS Team

U.S. intensive formal and informal training

The Regional Management Specialists will be taking increasing responsibility for regional level PROCALFER implementation management. Their professional development demands immediate attention: Even a central PIMS Team of 3 cannot do all the work envisioned by the PIMS effort. It is the Regional M.S. who will implement the PIMS/ZA and maintain it. Given the scope of the work expected of them, formal recognition of their position (see Annex K) in the Ministry Despacho is suggested.

B. The PIMS Team Scope of Work:

The PIMS Team scope of work is too limited to achieve the levels of success expected of it.

Action Recommendations:

\* Enlarge the PIMS Team Scope of Work. The PIMS effort will not succeed if it restricts the entirety of its work to

Performance budgetting and monitoring. The PIMS effort is an implementation management effort. The Performance Budgetting and monitoring emphasis was selected as the most appropriate opportunity for installing the PIMS Team. Project performance will not continue to improve without more focus on implementation concerns. For example, regional PROCALFER team need PIMS team support in on site implementation problem solving workshops. More consultative type activities on request basis will be needed in the future. Likewise, since the PIMS Team lacks the depth and breadth of technical expertise often demanded of it by the regions, it will have to develop alternatives means to provide it. Greater emphasis on more technically specific problem solving at the regional level will be necessary in the future.

The fact that the PIMS Team is limited to Regional interventions continues ignores that fact that central level agencies participating in the PROCALFER Project will require management assistance. Although the PIMS Team and Coordinating Group have decided not to deal with this fact at the present time, it is still an issue related to PIMS success. If the PIMS Team cannot respond, then additional consultancy assistance can be requested to do this independently of the PIMS Team.

#### C. The Management System:

The PIMS should be extended to the Zona Agraria level if Project implementation is to be managed effectively. Many of the activities related to the development of demand for PROCALFER inputs and most of the activities related to the introduction of improved agricultural techniques related to the project take place at the Zona Agraria level. The absence of effective methods of managing these activities will continue to prevent high objective achievement. From the outset, it was clear that the management effort had to extend down to the Equip level. Again, the Regional level interventions were seen as the starting point from which to expand:

#### Action Recommendations:

\* Extend the PIMS management system to the Zona Agraria level. The PIMS/ZA is a set of processes that provide for a systematic management of PROCALFER implementatoin at the farm level. The pilot for a PIMS/Za is underway. The installation team is composed of a Regional Director of Extension, Regional Coordinator and M.S., Sub-Regional Coordinator, Zona Agraria Chief and selected Exstenionistas. The effort can be guided by a team of Regional M.S. with limited assistance from the central PIMS Team.

#### D. Measuring Project Results:

At the moment, project results cannot be measured in clear realistic terms: realistic targets cannot be formulated, means of verification are not identified and base line data is still

unavailable.

#### Action Recommendations

\* Continue the work on Monitoring and Evaluation. Analysis of real demand for Project technology has yet to be identified in order for realistic PROCALFER Purpose and Goal level targets to be set. The work outlined by OICD Team Leader Glenn Purnell clearly identifies these issues of measurement and defines a series of actions steps that require decisions. Means of Verification and a system for monitoring and evaluating the Projects progress demand immediate attention. The issue of base-line data also begs attention.

The PIMS Effort itself requires a clear measurable set of interim indicators (precursors) for assessing progress both by the Team and the Coordinating Group. This Learning System (See Annex E) is required for developing Team competence in using the PIMS approach and confidence that they are using it correctly.

An integrated consultancy team is recommended for assisting the PROCALFER Coordinating Group and the PIMS Team develop a Project and Pims Monitoring/Evaluation System which builds on the progress already made by Eng. Oliviera and the PIMS Team.

#### E. Unreliable release of the budget:

Attempts to gain an early release of the FIDDAC budget have failed.

#### Action Recommendation:

\* It is recommended that the Coordinating Group request a change in the PROCALFER fiscal year similar to that of one other Ministry project (forestry). Instead of asking for an early release of the budget, the PROCALFER Project should ask for an extension of the time the budget is available for Project use. It will not be easy to accomplish this, but there is a precedent for a change in fiscal year. Planning Cabinet personnel remain willing to assist in this process.

Scope of Work

OICD/Thompson Management Consultancy to the SGIF Team for the period covering: May 22nd to June 25, 1983

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Objectives of the consultancy:

\* To assist the SGIF central team in:

1. developing and pilot testing a management system to be implemented at the Zona Agraria level of the PROCALFER Project:

2. designing and refining the regional level management interventions for 1983 in Regions 3,4,& 5 including the development of:

- a. annual workplans
- b. performance budgets
- c. monitoring system

Products expected of the consultancy:

1. Participation in a collaborative effort with the SGIF team, and with Carlos Santos Goncalves, in particular, providing input in the development of a sub-regional/Zona Agraria level management system in the form of:

a. outlining the criteria for a zona agraria level system for managing the PROCALFER,

b. advising on the compatibility of the ZA SGIF (Zona Agraria SGIF) with other systems;

c. analyzing the current management systems used in

- d. developing a prototype system design and an strategy for implementing it;
- e. designing the implementation interventions and
- f. preparing the appropriate materials to be used during the interventions;
- g. preparing a mini-training workshop for the Management Specialists who will be implementing the ZA SGIP;
- h. advising on the pilot testing and the evaluation of the pilot; and finally facilitating the refinements and design of an annual ZA SGIP implementation plan.

2. Assist the SGIP Team in developing a monitoring and evaluation strategy for the SGIP effort and the PROCALFER PROJECT. Conduct a short workshop on developing means of verification of project impact and assist the Implementation Team and the Coordinating Group in applying the approach to the Project and in identifying the resources required to implement it.

3. Prepare a SGIP review and/or introduction workshop for new Regional Coordinators and Management Sepcialists to be implemented by the SGIP Central Team.

#### Related Products:

4. Participation in a collaborative process in which the consultant will provide counsel/guidance in the refinement of regional and sub-regional level SGIP interventions for the review of the 1983 programs of work and preparation of the 1984 Work Plans, Performance Budgets and the development of a Monitoring System in

regions 3,4, and 5.

4. Review the new collaborative regional SGIP process in which Coordinating Group and Implementation Team work jointly during regional and sub-regional interventions and make recommendations.

5. Prepare a report (at the request of the SGIP Team, not more than 5-7 single spaced pages) on the consultancy reviewing consultancy objectives, results achieved and recommendations in the area of SGIP implementation at the Zona Agraria level, 1894 regional and sub-regional interventions in annual workplanning, performance budgetting, monitoring, and overall integrated management effort to date.

#### Schedule of the consultancy effort:

Week 1

May 23-May 28

Work in Region 5 with the SGIP team in designing and/or refining the regional and subregional interventions for that region. Begin evaluating the Zona Agraria and Extension team management systems that are available and begin interviews with ZA chiefs of successful ZA.

Week 2

May 30-June 4

Work with Carlos Condalves to develop strategy for  
make a schedule for its implementation, notifying the  
the AZ SGIF will be pilot tested.

Continue to assist the SGIF central team in con  
regional and subregional interventions and advise on  
of the new Mngement Specialist in region 5.

Week 3

June 6-June 11

Develop materials and a mini team workshop for  
AZSGIF.

Develop a team workshop on monitoring and evalu  
impact and present it. Plan next steps on  
PROCALFER and SGIF monitoring and evaluating system

Week 4

June 13-June 18

Conduct AZSGIF in a Regiona and Zona Agrarias sele  
the Coordinating Group and the Implementation Team

Week 5

June 20-June 25

Assist in the refinement of the ZASGIF and the de  
training materials for conducting the ZASGIF w  
future.

Write consultancy report

For Internal Use Only

Discussion Paper

Presented to Coordinating Group by  
consultant, R. Moses Thompson

May 31, 1983

## MEASURING PROJECT IMPACT

### A PRO-ACTIVE PROJECT LEARNING SYSTEM & ITS MEANS OF VERIFICATION

#### Preface:

The following paragraphs describe the need to install a more useable learning system in the PROCALFER Project. They refer to an on-going, pro-active system for evaluating specific project learnings for making improvements in the project design and the base-line data by which these learnings can be validated.

#### Summary:

PROCALFER has just completed a project evaluation in order to identify its current level of progress towards program objectives and the reasons for short falls in achievement. We evaluate to find out if we are making the desired projects impacts and if not, why not. Good evaluations are pro-active rather than passive. They are designed to learn something that can be used to make improvements. In complex projects such as PROCALFER this becomes unusually difficult. To be useful the evaluation of project impact must be specific. Not only must we know in detail what we want to be learned, we must also design the means for verifying what we are learning.

\*What is to be learned

\*Means of Verification of learning

A project is an experiment. At the heart of a project is a hypothetical relationship among a variety of elements. This relationship is stated in a hierarchy of cause and effect. If we provide certain resources, then we can conduct specified activities. If we do these activities, then we will achieve certain outputs. If we achieve these outputs, then we will succeed in reaching our purpose and if we achieve our purpose, we will attain our goal.

The quality of the project is only as good as the validity of the causal logic between in these relationships. As social scientists the project managers and coordinators try to build the project's logic on sound historical experience, intuitive understanding and firm data. But it is also true that we proceed with implementation even when the logic of a project hypothesis is still questionable.

In any case but particularly when the project hypothesis (output to purpose linkage) is of concern, the project managers must concern themselves with monitoring its validity during the course of implementation (as opposed to waiting to the end of the project). If the project hypothesis is invalid, it can be improved through a. additions or deletion in Outputs, b. the management of uncertain assumptions, or c. the addition of appropriate activities.

The verification of the projects validity (the validity of the cause and effect relationship between Outputs and Purpose level objectives) does not happen automatically. The learning process begins with clear boundary setting. This is done by defining the internal and external variables with indicators that are explicit in terms of quality, quantity and time. That is, each statement of objective (goal, Purpose, output) in the Project Logical Framework must be stated in measurable indicators. The same is true for each of the exogenous variables (or assumptions)

But how will we verify these whether indicators have taken place (whether the experiment has worked) Where are the data and how will they be collected. What are the explicit agreed upon means of verification for each objective indicator?

At the moment, PROCALFER has made much progress in defining Project indicators for each level of its projects objectives. In most cases, these can be targetted through a rational planning process. But the means of verification and the base-line data required to validate these indicators are usually collected at the last moment under great pressure in what could be described as an unplanned process.

The data may or may not be necessary and sufficient for the validation of the project's design. But the fundamental question to be asked by the Project Team is:

Do we have the data we need in order to learn what we want to know?

Exhibit I below provides a sample Logical Framework with an additional fourth column for a Means of Verification. It identifies what documentation will be required, where they can be found and the schedule for collecting this base-line data.

Means of Verification may require additional funds. For example, if the verification of crop yields requires random sample farmer surveys, then additional resources will be required to train personnel to conduct the surveys, to conduct the survey and evaluate the results, etc. Also, additional activities will have to be added to the project itself in order to bring this about.

If the validity of certain components of the project's causal logic requires early verification, then the project managers must phase this monitoring appropriately. For example if the relationship between the number of demonstration plots for a specific crop and the participation of farmers is critical for later project planning and the development of Coordinating Group Guidelines to the regions, then attention to this and the development of the means of verification must be timed accordingly.

At the moment, the PROCALFER TEAM is fully involved in the heat of implementation. It is typical to postpone this kind of verification and push ahead with the hope that the project design is valid. This has its dangers, particularly to projects like PROCALFER which are sensitive to the technology to be developed

during the life of the project.

It is time to identify the Means of Verification and provide the resources for collecting the necessary and sufficient data (consultant time, conducting of surveys, training surveyors, etc.) and using them to validate the project design and/or make the implied improvements. The OICD consultant, Thompson, would be willing to prepare an outline and make a brief presentation to the Coordinating Group of a conceptual framework for a PROCALFER learning System compatible with the SGIP management tools it is now using.

C.C.

Almeida Alves

Implementation Team

Glenn Purnell

MEETING SUMMARY SHEET

MEETING TITLE: SGIP PRECURSORS MAP

MEETING TYPE: TEAM WORKSHOP

DATE: JUNE 14, 1983  
JUNE 22, 1983

PRESENT: SAO, EDITE, ADALAIDE (FIRST MEETING)  
SAO, MOSES (SECOND MEETING)

PURPOSE: To learn how to construct a precursor map for a SGIP effort:  
To identify a sampling of past precursors and  
To begin thinking about future precursors to be used for monitoring SGIP progress.

Results of the meeting/workshop:

N.B. In order to organize the following sections of PROJECT PRECURSORS refer to the attached document "GSIA Generic Elements". It include a brief description of the generic elements and the phases of a management improvement effort.

1. Facilitative Conditions/Planning-Implementation

- \* Team improves ability to adjust to region conditions
- \* G.C. open to improvements in mngt.
- \* G.C. more aware about the external conditions where SGIP works.
- \* Regional participants more open to need for management improvements (example: Regions 1 & 2 are conducting meetings to discuss using the SGIP approach in all Regional projects; Regions 3 has increased involvement of the Planning Cabinet. PROCALFER SGIP has provided a language for discussing improvements and has opened some doors in the regions)
- \* Top level support increasing: (example: Planning Cabinet Director and PIDDAC Budget Director support new budget process and provide technicians to learn how to use it)
- \* SGIP regional Workshops seen as useful by regional actors
- \* SGIP Team accepted as having technical skills for solving regional management problems

2. Facilitative conditions/Building in Self-Sustaining Mechanisms:

3. Facilitative conditions/Building in replication Mechanisms

\* Top level managers see replication as important issue and willing to provide resources (Planning Cabinet Director ready to discuss replication from outset: willing to provide staff and internal support: willing to identify regional planning officers as candidates for Management Specialists: strategizing use of PROCALFER Management Specialists for Ministry Management Unit: strategizing replication of the SGIP for all Ministry projects: protecting SGIP process in order to develop effective system)

-----  
STATEMENT OF OUTPUT LEVEL OBJECTIVE:

HIGH QUALITY MANAGEMENT TEAM DEVELOPED TO DESIGN AND INSTALL MANAGEMENT SYSTEM PROJECT WIDE:

To improve PROCALFER actors skills in:  
management functions  
human/team organization (see generic elements)  
analytic processes

4. Output level/planning-implementation:

\* R.C. delegates budgetting responsibility to M.S.  
\* M.S. prepares, conducts effective meetings  
\* Regions sees central SGIP team as useful & desirable  
\* C.G. understands uses fo central mnqgt. team  
\* SGIP Team can design and implement high quality regional performance budgetting workshops independently of consulting assistance.

\* SGIP Team can conduct more effective problem solving and objective setting sessions (region 1, 2, 5 and 4 workshops).

\* SGIP Central/Regional Team using PIA skills more systematically (examples: using Androogy decision making system to organize meetings)

5. Output level/Building in Self-Sustaining Mechanisms:

\* R.M.S. beginning to maintain regional teams: meetings, work-shops, ngeotiations, etc.

\* R.M.S. improving the way they conduct meetings (regions 2 and 3. 1 was always effective)

- \* R.M.S. and Central SGIP team work as an integrated team to conduct regional interventions: gives new R.M.S. on the job training
- \* Central SGIP Team designing M.S. training program to orient new M.S.
- \* SGIP central team beginning to grasp the overall conceptual framework of the SGIP approach and use it to integrate activities (recent PIA workshop and Precursor workshop results)

6. Output level/Building in replication mechanisms:
- \* Project program/budget integrated into planning office
  - \* Top level support for further re-application
  - \* Plans being developed to use SGIP in other projects
  - \* Planning Cabinet commits personnel for reapplication effort
- 

PURPOSE STATEMENT:

MODERN AGRICULTURAL MANAGEMENT SYSTEM USED BY SIGNIFICANT NUMBER OF PROCALFER PARTICIPANTS TO IMPLEMENT THE PROJECT

7. Purpose level/planning-implementation:
- \* C.G. takes steps to introduce coordinated and comprehensive performance budgets approach:
  - \* C.G. introducing improvements in the mngt. process (goir out to the regions)
  - \* C.G. making more effective use of the mngt. team during regional interventions
  - \* C.G. conducting regional reconnaissance and then giving SG Team briefings in the form of regional guidelines (example regions 2,3, and a formal document finally in 4).
  - \* C.G. & Regional team during reconnaissance identify research ideas and need for new protocols.
  - \* Regional teams requesting guidance on sources of technical assistance from C.G. (region 4 coming to Lisbon for advice carrot project)
  - \* Regional and Central level PROCALFER actors negot objectives and schedules more effectively. SGIP used

national basis for negotiation. (e.g. budget hearing, regional documentation)

- \* Regional Coordinators are changing the way they work: R.C.'s are improving ability get consensus by involving regional directors of Planning and Extension and Administrative Services in setting annual objectives and developing regional project budgets.
- \* Regional Coordinators improving ability to link PROCALFER Objectives with overall regional objectives.
- \* Regional Planning Offices are asking the PROCALFER M.S. to prepare the annual budget: before they did them alone.
- \* C.G. and Planning Cabinet refine role definitions in the budgetary process
- \* C.G. and Planning Cabinet redefine budgetary cycle and schedule
- \* Regional Planning Offices sending budgets to PROCALFER Coordinating Group for integration instead of directly to Central Planning Cabinet
- \* Regional budgets becoming more realistic; targets becoming more realistic. (example: Region 2 targets were increased for some Zona Agraria and in Region 1 targets were reduced because of last year's experience)
- \* C.G. using SGIP developed data for making budgetary decisions
- \* Routine project expenditures (Demonstration Fields, for example) are more accurate
- \* Management Specialists (Planning Cabinet personnel) are going to the Zona Agraria and Extensionist level to visit demonstration plots and figure out how the project really works: M.S. are collecting project information at the farm level and using it to improve quality of regional plans (regions 3 & 2)
- \* Regional and Central level PROCALFER actors are negotiating objectives and schedules more effectively
- \* C.G. and SGIP Implementation Team working more systematically
- 8. Purpose level/ Building in Self-sustaining mechanisms:
  - \* Regional Coordinators more confident about integrating

project into regional structure: involving regional directors in more and more decisions-getting better at developing support for project objectives and budgets

- \* Regional Teams beginning to plan months in advance: example of buying inputs for Demonstration fields three months before needed

- \* Regions demonstrating a concern for control of project funds: 6 out of 7 regions now require that the project R.C. sign-off of PROCALFER expenditures (not true last year). In Region 2, M.S. defended the proper expenditures before the Regional Director of Agriculture.

- \* Administrative Services now participate in the preparation of the PROCALFER budgets and participate in the administration of project expenditures

- \* Regional Plans reflect more what the region wants and is willing to commit itself to that what is imposed by the center.

#### 9. Purpose level/Building in replication mechanisms:

- \* Central Planning Cabinet/PIDDAC Office make commitment to learn the SGIP and prepare to replicate it in other projects: participated in SGIP Central Teams workplanning, assisted in regional intervention designs and implementation, have learned how to use the micro-computers in the SGIP and have identified a particular person to work fulltime in the SGIP team to develop professional understanding and skills in performance budgetting and computer application for later replication.

- \* PIDDAC office supporting the SGIP approach to Performance Budgetting to give it a chance to work

## ASSESSING PROGRESS OF A MANAGEMENT IMPROVEMENT EFFORT OVER TIME

PRECURSORS are indicators of goal achievement and success of the effort. The use of precursors permits the identification of a PROCESS MODEL which can be used to plan/implement the effort over time. Managers at all levels in the improvement effort need to know if their effort are succeeding at any given point in time and cannot wait until the evaluation periods to verify progress.

PRECURSOR allow us to track the progress of any improvement in the performance of the generic elements outlined below. These can be structured in terms of the natural dimensions/phases of a management improvement intervention and mapped out by a team of implementors. The PRECURSOR MAP can be used as a monitoring tool and an evaluation tool. It helps a team try to understand the essence of a management improvement by "mapping the desired results" over time. It can be a proactive tool, since the failure of a PRECURSOR to take place can tell a team to take entrepreneurial responsibility to make it happen or reconsider the validity of the chosen PRECURSOR.

PRECURSOR MAPS are best developed by the team who is to use them. It is an iterative process and the basis around which to organize process documentation.

### INTERPRETATION GUIDES:

1. GUIDE TO THE GENERIC ELEMENTS
2. GUIDE TO THE MANAGEMENT IMPROVEMENT DIMENSIONS
3. PRECURSOR MAP FORMAT

### 1. GUIDE TO THE GSIA GENERIC ELEMENTS

#### A GUIDE TO TO INTERPRETING PRECURSORS:

#### MOST PRECURSORS WILL REFLECT IMPROVED MANAGEMENT:

ENHANCED MANAGEMENT PERFORMANCE WILL BE REFLECTED IN IMPROVEMENTS IN THE WAY THE FOLLOWING ARE IMPROVED OR MAINTAINED:

#### I MANAGEMENT FUNCTIONS;

\* The degree to which consensus and commitment to objectives and strategies is achieved by key personnel and groups:

\* The degree to which work plans, budgets and resources are realistic and accurate:

\* The degree to which people's roles and responsibilities are clearly articulated:

\* The degree to which tasks of key actors are coordinated for execution:

\* The degree to which relevant, timely and credible information is available to key actors and is used to improve future action.

## II. HUMAN ORGANIZATION:

\* The degree to which operational teams come together around shared purpose and maintain themselves:

\* The degree to which temporary matrix/project teams can operate effectively in a formal organizational structure:

\* The degree to which there is cultural, social, institutional convergence around objectives:

\* The degree to which teams emphasize consensus and negotiation for establishing roles:

\* The degree to which non-formal authority and influence are managed to achieve team/project objectives.

\* The degree to which there is a sense of ownership over the project and a sense of teamwork, cooperation and enthusiasm

## III. ANALYTIC METHODS:

\* The degree to which operational teams apply analytic methods to problem analysis.

\* The degree to which analytic methods are fitted to the context (social, level of sophistication, organizational, function to be performed)

\* The degree to which the analytic methods are perceived as providing a base of information from which to deviate or adapt.

- \* The degree to which teams use action learning processes to make the relevant fit of the analytic methods

#### FACILITATIVE CONDITIONS:

- \* The degree to which there is pressure and commitment for change from both internal and external environments:
- \* The degree to which there is multi-level involvement/participation in the improvement effort:
- \* The degree to which operational groups can maintain self-reliance but also absorb external help
- \* The degree to which there is openness to innovation, new ideas and methods: a willingness to examine data, information, new opportunities with open minds:
- \* The degree to which minimum levels of stability, continuity and security both in immediate external environment and in the organizational context are maintained.

## 2. DIMENSIONS OF A MANAGEMENT IMPROVEMENT EFFORT:

There are major groupings of activities related to a management improvement effort which can be grouped as the:

#### PLANNING/IMPLEMENTATION DIMENSION:

These are the activities related to the design, a periodic reassessment of the improvement effort and the actual application of a management performance improvement system.

This dimension refers to the boundary setting process which describes the basic intervention and the implementation of the improvement itself through purposeful action by operational groups.

#### BUILDING IN SELF-SUSTAINING MECHANISMS:

Building in self-sustaining mechanisms and processes for continuing action within the boundary of the project system. This institutional strengthening set deals with continuing action over time, following the initial improvement

opportunity

#### BUILDING IN REPLICATION MECHANISMS:

Building in replication mechanisms and processes to support applications in different, new settings and in different organizational contexts

These sets of structured activities overlap a great deal. It is possible to design and carry out all three in a single event or set of events. In fact, it is desirable to have all three dimensions considered simultaneously in the action and learning processes for a particular application.

3. PRECURSOR MAP FORMAT:

	FACILITATIVE CONDITIONS	OUTPUTS OBJECTIVES	PURPOSES OBJECTIVES
PLANNING IMPLEMENTATION	1	4	7
BUILDING IN SELF-SUSTAIN- ING MECHANISMS	2	5	8
BUILDING IN REPLICATION MECHANISMS	3	6	9

## PROCALFER

## PURPOSE LEVEL ACHIEVEMENT:

## AN EXAMPLE:

Improvements in the Procalfes budgetary cycle can be seen as directly attributable to the SGIP management improvement effort. The improvements in the Projects budget process has improved the level of agreement on regional and central level performance objectives; improved the national relationship between results desired and the resources required to pay for those outputs; improved the accuracy of budget estimates; developed a regional sense of responsibility for the control of project budgets; increased the overall coordination of Central and Regional Planning Cabinet responsables, Regional Extension Directors and local level Project actors in the development of PROCALFER budgets.

At the time of SGIP implementation, PROCALFER did not prepare an integrated national budget. Regional officers sent their budget statements to the Planning Cabinet's PIDDAC officer directly. Occasionally copies might be sent to the PROCALFER Coordinating Group, but this was not a requirement. The Coordinating Group was not invited to integrate the budgets. The result was 8 projects, at least; each with a different perspective on project definition and the aim of Project expenditures. The process was basically:

- \* Planning Cabinet sends instructions for PIDDAC to the Regions, requesting each prepare a PROCALFER budget.
- \* Region prepare budgets indepently of Coordinating Group guidelines and send them directly to Planning Cabinet/Lisbon.
- \* Planning Cabinet reviews budgets and send collated set of PROCALFER budgets to Ministry of Finance.
- \* Finance Decides and makes money available.

The SGIP Team decided that, although it was beyond their scope of responsibility, they would have to make changes in the Budget process if the project were to improve its performance. The Coordinating Group concurred and asked the SGIP Team to do what it could. The Budget Process for this year is the following:

- \* Coordinating Group meets with the Regional Directors and PROCALFER Coordinators to lay out an overall strategy and a proposed schedule for the work of the SGIP team.

- \* SGIP Team meets with Management Specialists and Regional Coordinators in Lisbon to discuss alternatives.
- \* Official letters are sent out to each Region by the Coordinating Group
- \* Regional Coordinators and Management Specialists develop plans for the SGIP Team in as much detail as they can: Some (1 & 2) even outline strategy elements for the approach they want the SGIP Team to use when they work in the Regions.
- \* Regional management team discusses detailed plans with the SGIP Team in Lisbon.
- \* SGIP Team and Coordinating Group prepare a coordinated and detailed regional work schedule
- \* SGIP Team draws up an implementation plan and roles and responsibilities are defined.
- \* Coordinating Group conducts a reconnaissance in each region in order to lay out technical guidelines and suggested emphasis in each region. The Coordinating Group prepares a briefing for the SGIP Team and introduces the regional specific guidelines to be used in the elaboration of the budget.
- \* SGIP Team working from the Guidelines and following the recommendations of the Regional management teams, adjusts its regional intervention and conducts Budget Preparation workshops
- \* SGIP Team returns to Lisbon and does staff work on the budgets introducing the material for the micro-computers.
- \* Regional management teams come to Lisbon and participate in micro-computer application and finalize proposed budget.
- \* Coordinating Group reviews proposed budgets.
- \* Budgets presented to Regional Directors for approval
- \* Planning Cabinet publishes guidelines for the budget and Coordinating Group/SGIP Team integrate the overall budget
- \* Regional Directors send final budgets to Planning Cabinet as part of their Regional Budget.
- \* PROCALFER Coordinating Group submits integrated budget to the Planning Cabinet
- \* Planning Cabinet sends in overall estimates to Finance
- \* Planning Cabinet and Coordinating Group discusses PROCALFER budget in detail.
- \* Coordinating Group prepares final Integrated budget and submits it to Planning Cabinet

- Secretary of State signs it and sends it to Finance
- Assembly approves it and regions are notified
- Regions begin using their funds.

esboco, sao, 24/6/83

### Preparacao do Plano e Orcamento 1984 - Actividades

1. Reuniao do Grupo Coordenador com Directores e Coordenadores Regionais: comunicada a estrategia global e proposto calendario de trabalhos com a Equipa SGIF
2. Aproveitando estadia com a Equipa dos E.G.s para formacao em microcomputadores, foi apresentado um plano preliminar para as Regioes e propostas alternativas que melhor se ajustassem a situacao regional
3. Envio de Oficios a todas as Direccoes Regionais, sobre Objectivos Calendario propostos
4. E.G.s preparam intervencao regional com C.R.s
5. E.G.s discutem, em Deiras, com Equipa SGIF plano final para a intervencao e estrategia
6. G.C. e Equipa discutem estrategia regional e acertam datas
7. Plano e implementado, consoante responsabilidades definida
8. G.C. conduz reconhecimento regional e define com a regio linhas de orientacao para o projecto
9. Equipa trabalha com a Regiao para preparacao do Plano e Orcamento
10. Equipa continua trabalho sobre Orcamento, utilizando os microcomputadores
11. E.G. finaliza com a Equipa a Proposta Orcamental
12. E.G. prepara com C.R. documento final e leva a aprovacao pelo D.R.
13. Gabinete de Planeamento envia linhas de orientacao para orcamento do ano seguinte
14. D.R. envia proposta orcamental procalfer para G.C.
15. G.C. integra propostas orcamentais regionais
16. G.C. envia prop. orcam. para Gab. Planeam.
17. G.Plan. inscreve montantes globais no orcamento do Ministerio
18. G.Plan. pede propostas orcamentais por rubricas
19. G.C. discute com C.R.s propostas orcamentais e planos
20. G.C. integra orcamento do programa
21. G.C. envia Orcamento do Programa para G.Plan.
22. Secretario de Estado assina orcamentos e envia ao DCP
23. DGE e aprovado pela Assembleia da Republica e sai em D.R.
24. Regioes sao notificadas
25. Regioes podem comecar a usar os duodecimos.

PRESENTATION NOTES

A REVIEW OF THE SGIP CONCEPTUAL FRAMEWORK AND INTRODUCTON TO AN ACCELERATED LEARNING SYSTEM:

PRESENTED BY;

R. MOSES THOMPSON, DPMC/OICD CONSULTANT

TO:

THE SGIP IMPLEMENTATION TEAM

DATE: JUNE 9, 1983

PRESENTATION OBJECTIVES:

To review a conceptual framework for understanding the SGIP approach.

To review key elements in the SGIP approach and be able to use this understanding in developing a short-term action learning system for the next month.

RATIONALE FOR THE PRESENTATION:

On several occasions in the past team members have expressed the on-going need to review the key concepts and principles of the approach being used in the SGIP. This session was designed to respond to those requests. In addition, a number of team members were concerned with the degree of learning that was taking place. Where in the past, the learning curves for each of the team members was unusually high and concerns about the quantity and quality of the learning was not an issue, the team now wanted to

have more control over what was actually being learned. Caught in routines of regional interventions, the team wanted to be able to identify whether it was actually achieving what it set out to do. Were they implementing the management effort correctly and what could they do to improve it. They had no clear way to respond to either of these questions. Their lack of control over their own learning process was becoming an important issue to team morale.

In the past, learning had been structured for them by the consultant, but now, in the absence of someone to perform this function, structured learning was not taking place at a satisfactory pace. Motivation is tied to opportunities to learn and grow. When these opportunities to learn and use new ideas confidently do not occur at satisfactory intervals, people become discouraged.

The presentation tried to open the discussion that would respond to this important team development need.

#### PRESENTATION FLIP CHART OUTLINE:

WHAT IS THE DEVELOPMENT PROCESS

WHAT IS THE RURAL DEVELOPMENT PROCESS

THE COMPLEX LINKING OF

ACTIVITIES, INSTITUTIONS, GEOGRAPHICAL AREAS, GROUPS AND  
INDIVIDUALS

TO ACHIEVE SHORT TERM RESULTS  
UNDER CONDITIONS OF UNCERTAINTY

TYPICAL OBJECTIVES ARE

FARMER INCOME INCREASE  
QUALITY OF LIFE IMPROVED  
AGRICULTURAL PRODUCTION INCREASED

TYPICAL EFFORTS INCLUDE VARIOUS COMBINATIONS OF:

CREDIT, EXTENSION, RESEARCH, SEED PRODUCTION, ANIMAL  
PRODUCTION, ETC.

THE CONCERN IS FOR THE AGRICULTURAL PRODUCTOIN SYSTEM

MADE UP OF ALL THE FUNCTIONS AND INSTITUTIONS

THE MINISTRY OF AGRICULTURE WANTS OT GUIDE THIS SYSTEM

THE SYSTEM PROGRESSES THROUGH AN INTEGRATED PROCESS OF  
PLANNING/IMPLEMENTATION

WHY PLANNING AND IMPLEMENTATION

INTEGRATION IMPROVES PERFORMANCE

ADDS REALISM

COMMITMENT

QUALITY TO PLANS

THE SGIP WANTS TO GUIDE THE PLANNING/IMPLEMENTATION PROCESS

SGIP IS STRUCTURED ATTEMPT TO IMPROVE THE EFFECTIVENESS OF  
THE P/I PROCESS

BACKGROUND TO THE SGIP;

MANAGEMENT BY OBJECTIVES

MANAGEMENT SCIENCE

ORGANIZATION DEVELOPMENT

PROJECT MANAGEMENT

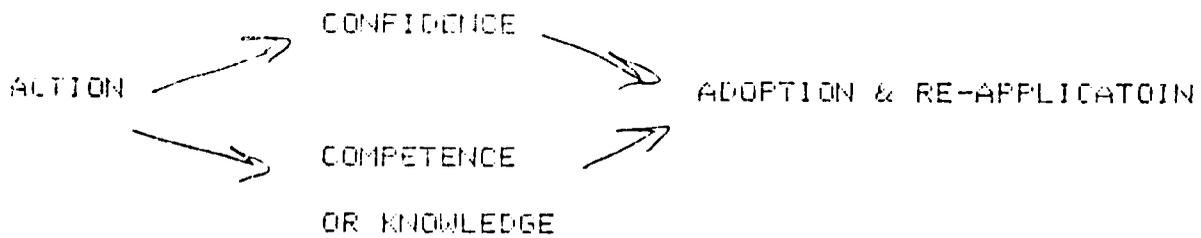
SYSTEMS THEORY

LEARNING THEORY

PURPOSE OF SGIP=

TO IMPROVE TOTAL PERFORMANCE BY IMPROVING PERFORMANCE OF THE  
MANAGEMENT SYSTEM

USES THE PRINCIPLE OF VALID LEARNING



ACTION PROCESS (PLANNING IMPLEMENTATION PROCESS)

*See insert*

SGIP TRIES TO STRUCTURE THIS ACTION PROCESS INTO  
AN ACTION LEARNING PROCESS

SGIP APPROACH USES

RESULTS ORIENTATION

CONFIDENCE BY

BUILDING ON WHAT WORKS

STEP-BY-STEP SUCCESS

COMPETENCE

LEARNING BY DOING

BREAKING COMPLEX IN SIMPLE TASK

NEGOTIATED OBJECTIVES

VALID LEARNING

REQUIRES MONITORING & EVALUATION THAT TELLS YOUR

IF YOU ARE GETTING THE DESIRED RESULTS

ARE THERE WAYS TO IMPROVE THE EFFORT

VALID LEARNING ABOUT SGIP REQUIRES CONFIDENCE IN OUR  
PROGRESS TOWARDS:

GOAL, PURPOSE AND OUTPUTS

ARE WE ON TARGET TODAY

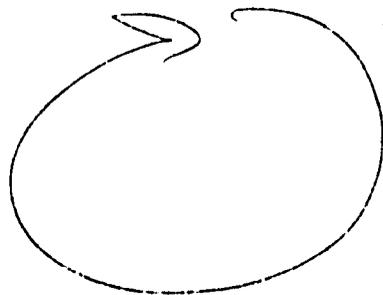
HIGH QUALITY MANAGEMENT TEAM INSTALLED

(AREA OF LEARNING OPPORTUNITY)

PRODUCTIVITY INCREASED

PROJECT AS AN EXPERIMENT

ADULT LEARNING CYCLE



BOUNDING THE EXPERIMENT FOR LEARNING PURPOSES

EXAMPLE



INCREASED USE OF NEW TECHNOLOGY



SET OF PROJECT OUTPUTS (INCLUDING SGIP) IMPLEMENTED



SGIP INSTALLED

## HIGH QUALITY TEAM DEVELOPMENT

SO WHAT DO WE WANT TO LEARN

PRECURSORS AS TOOLS FOR LEARNING

WHAT ARE THE PRECURSORS OF THE GENERIC ELEMENTS DURING A REGIONAL INTERVENTION;

(This was as far as we progressed)

PHASES OF AN EFFORT.	PRECURSORS FOR	
	OUTPUT	PURPOSE LEVEL
PLANNING/ IMPLEMENTATION		
BUILDING IN SELF SUSTAINING MECHANISMS		
PLANNING FOR RE- APPLICATION		

## THE IMPORTANCE OF STRUCTURING OPPORTUNITIES FOR EXPERIENCING QUALITY INTO THE VALID LEARNING PROCESS

We are continually confronted with the relationship between motivation and the opportunity to experience valid learning. The more opportunities there are for valid learning the higher the commitment level on the part of the management team member and client groups.

Valid Learning is defined as an experience in which a person or team is involved in action from which new competence or knowledge is developed and along with it enough confidence in those skills/concepts to adopt them and re-apply them. Valid Learning provides the opportunity to discover something of value to the learner. It's the exposure to quality in the form of a meaningful act.

One of the curious elements about the development of the management teams has been the importance of participating in a meaningful set of activities. Long hours and difficult schedules were acceptable as long as there were possibilities to experience meaningful and valuable learnings.

On June 4th, 1983, approximately a year after the SGIP Team started its work, Edite Azinha, one of the team members, announced she wanted to become a part-time member of the team and return to the Planning Cabinet of the Ministry of Agriculture, her original office. She had given no obvious indication that there was something wrong prior to this.

Her key reason, although there were others, was: The team's inability to maintain quality standards in its regional interventions. "I cannot be satisfied with my work and myself if I do not feel I am doing good work".

The discussion of work quality has come up before among group members, but this has been a recent phenomena. At the outset of the SGIP management improvement effort, the amount and degree of learning that took place was significant. None of the team members had had any previous exposure to management development and accelerated learning technologies. Since so much was new and of immediate value to them, valid learning was taking place on a constant basis. In fact, the team's learning curves were exhaustingly steep. They were being exposed to quality events on a daily basis. That is, they were achieving some meaningful result perceived as valuable to them personally and to their client. The validity of this learning was demonstrated in their rapid adoption and re-application of the new concepts, information and skills they were discovering.

For the most part, the consultant designed and guided the unfolding of these learning opportunities. The possibilities

were so numerous that little attention was given to the need for structuring these learning opportunities in the later phases of the process. Certainly training events were built into the design. But the day-to-day experience of meaningful events began to slow as the team grew from a start-up group to an on-going group, managing routines of work. As this happened the valid learning opportunities became less dramatic and less frequent. In the absence of the consultant, the team has had no way to build in the quality experiences it needs to maintain its original excitement.

Edite Azinha is saying she cannot maintain quality standards. This can certainly be taken at face value on one hand, but I believe she is saying something additional. What she is not able to maintain may not be the quality of the actual work that is being performed (observation by the consultant verifies that the quality of the team's work is considerably higher than before) but the quality of the learning experiences for her. She is saying she must have continued and frequent opportunities to get closer to experience what she values. Valid learning events are limited in their capacity to satisfy. Once the need to experience a kind of learning has been satisfied, that quality event has less power to satisfy in the future. It is less valuable.

Edite Azinha's and the team's problem is that they do not have the capacity to design increasingly more satisfying valid learning events and to structure them into their work. Research on successful managers observes that a common attribute of these managers is that they design numerous opportunities to succeed and thereby build confidence that they are capable and growing. The team has made some efforts to structure these experiences; some curious. For example, it is quite possible that the team unconsciously avoids smooth implementation of its regional plans as a means of creating the same kind of pressure it felt during the initial and exciting months of the SBIP Effort. Only recently, the team stayed up most of the night to plan an intervention for the following day: an unnecessary additional pressure on themselves.

The ability to design quality events depends on the ability to determine what will be called quality and what it will look like over time. For the management effort an example might be: mutual consensus on objectives. The quality event is a progressive one. The interest is in the degree to which a group of people can develop consensus on their objectives. For the management team, meaningful learning comes from participating in a progressively improving process of attaining this particular dimension of quality.

For the management teams, the definition of quality events in the improvement of the management process is particularly difficult. They can define the impact of improvements in terms of productivity increases, etc. But the incremental process of improving the managerial process and the relationship of their

SGIP work to those improvements is not so straightforward. The use of precursors of the Generic Elements (see GSI literature) will help map out the unfolding of the quality events of the process over time. Such a charting of the desired opportunities for valid learning will give the team more confidence that it knows how to satisfy its need for personal and team growth and for a sense of meaningful accomplishment. At the heart of it is the experience that psychological survival is easier with the ability to design meaningful future events that take on a life of their own drawing the designer toward them.

TRAINING GUIDE FOR THE PROCALFER SGIP MANAGEMENT SPECIALISTS

PREPARED BY:

R. MOSES THOMPSON,  
OICD/DFMC MANAGEMENT CONSULTANT

FOR THE:

SGIP/PIMS IMPLEMENTATION TEAM

DATE:

JUNE 17&21, 1983

INTRODUCTION TO THE TRAINING GUIDE:  
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Purpose:

The purpose of the Training Guide is

- \* outline the integrated Management Specialist staff development program of In-service Training, Internal Team training, and Overseas, U.S. Training.

- \* outline the Internal SGIP Orientation Program in detail:

- \* to provide a comprehensive set of training notes to be used by an experienced Management Specialist in conducting an orientation program for new M.S.

Rationale:

If the SGIP management improvement effort is to continue to make its intended impact, important self sustaining mechanisms must be built into the process. Management Specialists are being trained for the central and regional teams through whom the SGIP will be developed, installed and maintained.

Turnover in these Management Specialists should be expected. Although motivation tends to be high, there are a variety of reasons to expect a transition in personnel over time: transfers, private sector offers, positions in other projects, etc. The original SGIP design envisioned a 40% turnover rate over the life of the SGIP effort. This process has already begun at the regional and central level.

## Training new members

Training new members must be planned for. Project specific training, as opposed to general training can also be a deterrent to early loss of personnel because, although it takes the professional development needs of the individual seriously, it trains the person for the specific job, rather than general positions in the related fields.

To insure that Management Specialists quality is maintained as new members are recruited, the SGIP team desires to develop a standardized Orientation Program for both new Management Specialists and newly appointed Regional Procalfer Coordinators. The Orientation Program should also be appropriate for additional Procalfer actors who will be involved in SGIP implementation at the Zona Agraria level.

## Standardized Orientation Program:

The SGIP effort has not been a "Blue Print" management improvement intervention; rather it has been a flexible design. The management system and the specific kinds of organizational interventions used were developed over the life of the effort in response to a rapidly changing environment and set of assumptions. The innovative use of the key SGIP concepts and tools has evolved over time into a "standardized" set of processes called the SGIP management system.

What the Orientation Program will attempt to do is present this standardized SGIP and its underlying principles and the characteristics of the approach in the form of a set of training notes to be used for introducing new people to the SGIP process.

## Characteristics of the Training Guide:

The Training Guide will be based on a needs assessment of the MS position and based on the skills required for performing the responsibilities of the job. The basic logic is the following:

- \* MS job description/tasks
- \* Skills requirements to perform job
- \* Expected deficiencies of new MS
- \* Training Modules required
- \* Module Summary Training Notes

## \* The Management Specialist Position:

The following is a set of the distilled skills requirements for the MS position:

Facilitate development of regional procalfer plans

facilitate development of regional procalfer budgets  
monitor/evaluate regional procalfer activities and  
accomplishments  
build and maintain project implementation teams at the  
regional, sub-regional and zonal levels  
conduct management workshops as needed

\* Expected Deficiencies among the new MS

It is expected that the above areas will be deficient in all new MS. However, that are some areas that must receive priority treatment:

Training and developing management skill in others  
developing operational groups/teams  
monitoring evaluation of regional effort

For the central level management specialists emphasis on the following will be required:

Planning , Programing & Budgetting,  
Management Information Systems  
Concepts of management improvement and institutional  
Strengthening

(see table included)

\* The Training Modules Required:

Training will be provided in three forms:

1. In-service apprenticeship training:

New MS will join the central team during its regional interventions and central level work. During this period each will be exposed to the process used in the SGIP approach and become familiar with the system and its details. They will participate in:

The design of regional workshops  
The implementation of those workshops  
exposure to tools and techniques

TABLE 2

AREAS OF MAJOR MANAGEMENT SKILL DEFICIENCY IN NATIONAL AND REGIONAL SUBGROUPS OF IMPLEMENTATION TEAM

PRIORITY MANAGEMENT SKILL AREAS	SUBGROUP	
	NATIONAL	REGIONAL
1. PROGRAM IMPLEMENTATION AND MANAGEMENT TECHNOLOGIES		
A) PLANNING AND PROGRAMING	X	
B) BUDGETING	X	
C) MONITORING/EVALUATION	X	X
2. MANAGEMENT INFORMATION SYSTEMS	X	
3. DEVELOPING OPERATIONAL GROUPS/TEAMS		X
4. TRAINING/DEVELOPING MANAGEMENT SKILL IN OTHERS		X
5. CONCEPTS AND PRACTICE OF MANAGEMENT IMPROVEMENT AND INSTITUTIONAL STRENGTHENING	X	

They will work with other regional MS as well as central level MS in order to get a fuller picture of what is expected of them.

## 2. Overseas Training:

The Ingle Report of May 6, 1983 outlines the U.S. training required for MS. Based on the experience of last year, the team has a much clearer idea of what the essential training effort should look like. See table #3 on page 10 of the report for details of the training.

## 3. Internal SGIP Team Orientation Program

This will be the formal effort to provide introduction training for the new MS. It will include the following basic presentations:

- \* Concepts and practice of management improvement

- The GSIA to management improvement

- Fundamental principles
    - Operational Teams & Objectives
    - The Guidance System & The Action Process
    - Valid Learning and Adoption of management improvements
    - Guidance System Elements

- \* The SGIP EFFORT

- Objectives
  - Strategy
  - History of implementation to date
  - brief description of SGIP

- \* Characteristics of the SGIP Approach:

- Developing Operational Teams around Objectives
  - Definition of Operational Teams and Importance to SGIP Process
  - Life of teams and team maintenance
  - Teams in organizations:
    - Formal vs. informal teams
    - Project vs. formal structures

- Adult learning Principles/Learning by Doing
  - Training for Application vs Preparation
  - Work breakdown principle
  - Adult learning Cycle
  - 7-Steps to Androgogy

- Building on what works in local context
  - unified learning action process and building in

TABLE 3

## PROPOSED FIVE TRAINING PLAN FOR SEPTEMBER 1963

TRAINING TOPICS	SUB-GROUP	DURATION	TIME	LOCATION	INSTRUCTOR
1. PROGRAM IMPLEMENTATION AND MANAGEMENT TECHNOLOGIES					
A) PLANNING AND PROGRAMING	NATIONAL (CARLOS BONDALVES)	1 WEEK	WEEK 3	U.S. MINISTRY	UNIVERSITY OF MARYLAND, USC, UNIV. OF CONN.
B) BUDGETING	NATIONAL (E. AZENHA, E. HUDON, A. MIGUEL)	1 WEEK	WEEK 3	U.S. MINISTRY	UNIV. OF MARYLAND, HARVARD, SYRACUSE
C) MONITORING/ EVALUATION	NATIONAL AND REGIONAL	1 WEEK	WEEK 4	WASHINGTON D.C.	M. KETTERING DPMC, TERRY SCHMIDT, UN. OF MARYLAND
2. MANAGEMENT INFORMATION SYSTEMS	NATIONAL (CONCEICAO BONDALVES, A. VARELA)	1 WEEK	WEEK 3	U.S. MINISTRY	UNIV. OF MARYLAND, MIT
3. DEVELOPING OPERATIONAL GROUP/ TEAMS	REGIONAL	1 WEEK	WEEK 3	U.S. MINISTRY	FLORIDA ST. UNIVERSITY
4. TRAINING/ DEVELOPING MANAGEMENT SKILL IN OTHERS	REGIONAL	2 WEEKS	WEEKS 1+2	WASHINGTON, D.C.	ODIC CONTRACTOR (P. BOKLEY, J. MADDFREY)
5. CONCEPTS AND PRACTICE OF MANAGEMENT IMPROVEMENT AND	NATIONAL	2 WEEKS	WEEKS 1+2	WASHINGTON, D.C. AND LATIN AMERICA	M. KETTERING AND M. JINGLE DPMC

self-sustaining and replication mechanisms  
Systems approach  
Project management Concepts and tools  
Logical Framework tools & concepts

\* Background reading:

(see attached bibliography)

- \* Using SGIP Tools and Techniques  
Introduction Regional Process  
The Management Specialist Roles  
Central and Regional  
R.C. and M.S. role relationship
- The regional and the Zona Agraria SGIP  
The basic Process of the system  
Working with the quadros

SESSION SUMMARY SHEET

DATE  
PLANT FOR  
MUSEE

SESSION TITLE: ACCELERATED LEARNING METHODOLOGIES  
ADULT LEARNING PROCESS

SESSION TYPE: CONCEPT PRESENTATION

TIME REQUIRED:

MATERIALS REQUIRED:

BACKGROUND READING: 7 STEPS TO ANDROGOGY, SECTIONS

PURPOSE: TO EXPLAIN THE BASIC CONEPTS OF  
ACCELARATED LEARNING TECHNIQUES AND THEIR  
USE IN SGIP TRAINING INTERVENTIONS:

TO CLARIFY THE BASIC METHODS OF THE  
ADULT LEARNING CYCLE AND ITS  
RELATIONSHIP TO THE SGIP REGIONAL  
DESIGNS

PRESENTATION NOTES:

SESSION SUMMARY SHEET

SESSION TITLE; CONCEPTS AND PRACTICE OF MANAGEMENT IMPROVEMENT

SESSION TYPE: CONCEPT PRESENTATION

TIME REQUIRED

MATERIALS REQUIRED: NONE

BACKGROUND READING: SEE ATTACHED MATERIALS

PURPOSE: TO IDENTIFY THE UNDERLYING CONCEPTUAL FRAMEWORK FOR THE DEVELOPMENT OF A MANAGEMENT IMPROVEMENT INTERVENTION

TO IDENTIFY THE BASIC CHARACTERISTICS OF THE GUIDANCE SYSTEM IMPROVEMENT APPROACH AND THE FACILITATIVE CONDITIONS NECESSARY FOR SUCCESS.

PRESENTATION NOTES:

CONSULTANT RECOMMENDATION NUMBER 3

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For Internal Use Only

The following recommendation is made to the Coordinating Group by  
Consultant, R. Moses Thompson  
May 29th, 1982

OFFICIAL IDENTIFICATION OF THE REGIONAL MANAGEMENT SPECIALISTS IN  
THE DISPACHO:

The position of Regional Management Specialist is becoming more significant than was originally expected. The person is an active participant in the guidance of the Regional managerial process and can be expected to take on even greater responsibilities as the SGIP is extended to the Zona Agraria level.

This project implementor needs the same recognition that the Regional Coordinators receive and for many of the same reasons:

- \* Credibility in the region among colleagues;
- \* Informal authority to call, conduct and follow-up on meetings required by the M.S. responsibilities;
- \* Motivation that comes through recognition of position and additional work requirements;
- \* Justification for training. Regions and donors are more likely to support time and effort required by training if

candidates are recognized officially and given institutional commitment.

There are a variety of newly appointed Regional Coordinators and Management Specialists joining the PROCALFER Project. This would be an appropriate time to take such action.

c.c.

Almeida Alves

SGIP Team

Glenn Purnell

DRAFT

MAY 31, 1983

ZONA AGRARIA LEVEL IMPLEMENTATION MANAGEMENT SYSTEM

SGIP/ZA

A Proposal For The Design & Implementation of a SGIP/ZA

Prepared by:

Carlos Santos Goncalves

Team Leader, SGIP Team

and

R. Moses Thompson

Consultant, USDA/OICD/DFMC

Submitted to:

SGIP Implementation Team

DRAFT

The following document is the result of a collaborative effort between the SGIP Implementation Team (Carlos Santos Goncalves, in particular) and the USDA/DFMC Consultant, R. Moses Thompson.

## I. INTRODUCTION

---

The SGIP is a Project Implementation Management System that has been designed, installed and is maintained by the implementors of PROCALFER. The core system itself was developed in a workshop (Lisbon, May 1982) by the key central and regional level project actors. Although the system continues to undergo change as the central and regional teams make adjustments to local conditions and on going experience, the principles of the system are the same.

The PROCALFER Coordinating Group appointed a special Implementation Team to install the SGIP: an installation effort that was to be phased over time. The Coordinating Group and the Implementation Team identified the region as the point of entry for the system installation effort at the regional level. From the regional level the system would be extended upwards and downwards. The Coordinating Group has already begun its process of integrating the regional SGIP into its annual planning of regional projects in terms of performance budgetting and workplanning. In addition to specific attempts to rationalize the process of regional and national program development, the Coordinating Group has begun the process of integrating planning and implementation through energetic efforts to work closely with the

regional project implementors.

The SGIP Team and the Coordinating Group recognize that substantial progress has been made in assisting the Regions to develop their own annual PROCALFER plans during the past year. "However, the plans still lack technical rigor and realistic cost and time estimates. Also, with several exceptions, the Regions do not yet have adequate skills and internal working procedures to continue the planning and management process without substantial external assistance. Moreover, the monitoring and replanning process is only beginning this year and will need at least one more full cycle of development before the process can be carried out effectively and efficiently." (Consultancy Report on PROCALFER Implementation System, May 6, 1983, Marcus Ingle)

In order to achieve the benefits from the PROCALFER management effort, the SGIP must be fully installed at all project levels. The SGIP is being implemented downwards to the sub-regional level in some regions and in a few the zona agraria chiefs are being involved in the regional planning/implementation process. The SGIP Implementation Team is now prepared to extend the SGIP to the extensionistas, vulgarizadores, participating farmers and Zona Agraria Chiefs.

## II. THE ZONA AGRARIA LEVEL SGIP

---

Since the installation of the SGIP/ZA is concerned with both short-term project results and long term institutionalization of Extension Department capacity, the implementation of a SGIP/ZA can be viewed as an integral component of the Extension Program. As such, the SGIP/ZA must be:

responsive to context-specific needs  
compatible with existing extension systems  
compatible with the SGIP concepts and tools

Therefore, the PURPOSE of the SGIP/ZA is:

A modern agricultural management system integrated with the national/regional SGIP, compatible with existing and/or successful extension systems of management, USED by Zona Agraria PROALFER Implementors to identify, organize and monitor PROCALFER related activities and resources.

The GOAL of the SGIP/ZA is the same as the SGIP: increased productivity in accordance with the PROCALFER objectives.

The SGIP/ZA will be implemented by the Regional Management Specialists. In order for them to be capable of this responsibility, the central SGIP Implementation Team will conduct a SGIP/ZA Workshop, including follow-up activities to the regional MS.

Before this can be undertaken, the SGIP Central Team will development an initial design and pilot test it in a Region and Zona Agraria selected by the SGIP Implementation Team and approved by the Coordinating Group:

- One ZA in an advanced stage of Extension Implementation
- One ZA in early stages of implementation

The result of this start-up activity will be: a proto-type system  
a prototype SGIP/ZA system  
a plan for nationwide implementation

- a workshop design and curriculum
- a set of training materials
- a training of trainers design for the regional MS.

### III. UNDERLYING PRINCIPLES OF THE SGIP/ZA

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Fundamental principles that support the SGIP approach at every level are:

#### A. Unity of Planning and Implementation:

Planning and Implementation are seen as one process and not as separate activities conducted by separate groups of actors. Therefore, those responsible for implementing activities should participate in defining and planning those activities for which they are accountable. At the core of this principle is the empirically reliable fact that people who set their own objectives are more motivated over the long run to achieve them than those who are told what to do; that implementors' participation in setting objectives and planning activities helps to adjust those objectives and plans for realism during implementation; that implementors' experience can improve the design of project strategies.

#### B. Integrated Systems:

The management system is that component of a development effort that mobilizes and directs resources toward the accomplishment of desired objectives. The management system guides the use of resources through uncertain and changing situations so that a desired product, (or end point) is reached and the journey (process) is pleasant.

### C. Generic Functions And Specific Adjustments:

Managers have been looking for one "right way " of managing for ages. Were it possible to identify it, it could be packaged and taught to troubled managers worldwide. In the absence of such a universal management system, it appears that some managerial functions can be isolated as generic while others are contextual. Our experience suggests successful management systems worldwide, developed under varying political and cultural conditions, perform the following functions:

- \* an evolving consensus and commitment to development objectives and strategies by key personnel and groups;

- \* realistic and agreed-upon work plans, budgets, resources, and schedules;

- \* clearly articulated and understood roles and responsibilities for executing activities and tasks;

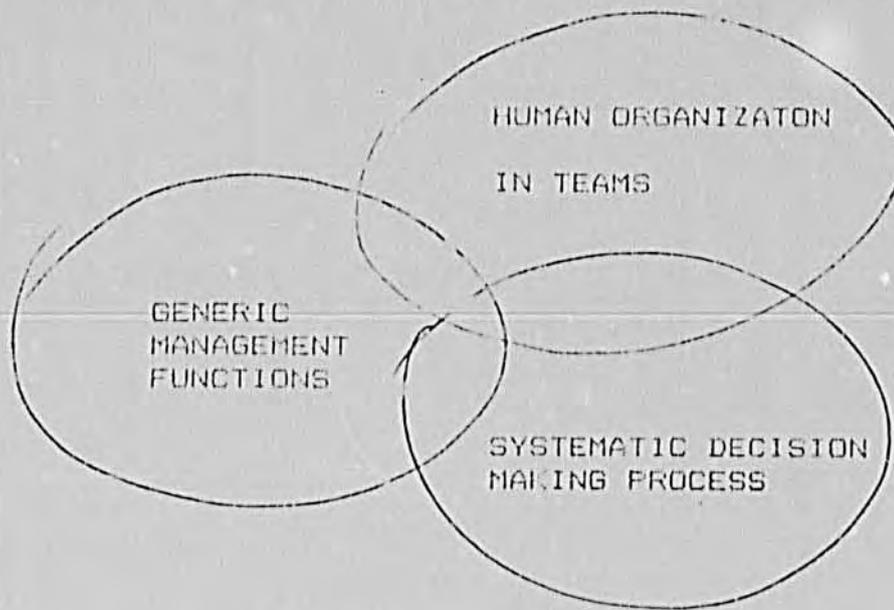
- \* coordinated execution of tasks by key actors; and

- \* relevant, timely and credible information for all key actors about system performance in relation to their particular context and with options for future action.

When these management guidance functions are provided, factors that frequently limit progress are reduced.

#### IV. SGIP APPROACH:

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The SGIP Approach to project management is a cooperative strategy for improving and sustaining good guidance functions in a development effort. In practice, the strategy involves actively bringing together operational groups of key actors in a development effort to focus on important tasks directly related to the accomplishment of development results. In the process of learning how to work together to achieve consensus and execute tasks, the groups build competence and confidence for working together on future tasks. This strategy produces immediate results while helping ensure that institutional capacity is strengthened. In the process, it is our hope that dysfunctional competition, fragmentation, isolation, and differentiation will decrease as cooperation, consensus, coordination, reassessment, learning, confidence and the availability of good and credible information increase.

##### A. Developing Operational Groups Around Purposeful Action

A purposeful action is a set of significant tasks that must be done in order to achieve an objective. It can be used

as the basis for working together. Implementors come together around specific action rather than organization charts.

As we have learned, there should be a feeling of MEMBERSHIP: that is, each person in the group should feel that s/he belongs and is important to the group's effective functioning. Second, there should be a clear RELEVANCE between the individual's and the group's objectives. Third, there must be a COMMITMENT to cooperation; that is, a willingness to give and take information necessary to understanding or carrying out the action.

By building these operational teams, the SGIP approach builds in several dimensions of organization development:

- \* sense of ownership of the project that is sustained and strengthened for all the key actors at every stage of the process, regardless of their position in the traditional bureaucratic hierarchy or in the work force;

- \* a spirit of teamwork, cooperation, and enthusiasm so that participants' performance becomes increasingly self-motivated; and

- \* positive experiences (designed and structured into the management process, itself) so that participants gain confidence in their own and in other's ability to work in new arrangements

B. The Decision Making Process:

In addition to Managerial Functions and Human Organizational Process, the SGIP approach attempts to introduce improved processes of Decision Making. Experience in successful operational groups demonstrates that it performs its managerial functions (guides the management process) in a rational way. There is a pattern to the decision making process that can be learned and internalized in individuals and group.

### C. The Tools of The SGIP Approach

Tools are selected based on their ability to assist implementors to organize into teams to perform the managerial functions and to use an improved systematic decision making process. The tools can be adapted or developed in response to the specific needs of the Zona Agraria implementors. It is envisioned, for example, that there will be a greater emphasis on activity charting, sub-routine identification and improving, as opposed to objective hierarchies and indicators.

### V. FACILITATING CONDITIONS

There are certain conditions which contribute to the performance of the guidance system functions: conditions which currently exist in many regions:

- \* pressure for and commitment to change from both the internal and external environments: people really want to see development results and management improvements.

- \* multi-level involvement or participation in the management efforts; willingness and desire to work across

traditional organizational boundaries;

- \* openness to innovation, new ideas, and methods, a willingness to examine data, information, and new opportunities with open minds and a receptivity to learning;

- \* a minimum level of stability, continuity, and security both in the immediate external environment and in the organizational context (the lack of a sense of continuity was a concern in the past and may still be a limiting condition in the future)

- \* operational groups want to be self-reliant and want help that promotes competence and confidence.

## VI. STRATEGY:

Review of Current Zona Agraria level management systems and approaches:

There is currently a variety of approaches to managing Extension activities at the local Equip level. FAO consulting assistance is being provided to develop an overall framework in which to manage these activities. Individuals, Equipes, and Zona Agriara have developed their own systems independently of any centralized effort. The SGIP/ZA effort will review these approaches and look for ways to achieve compatability between what exists and the SGIP. We may find that a suitable system already exists and take it over as is.

### A. Strategy of Activities

Several key activites are required for the implementation of the SGIP/ZA:

Identify and review current systems & approaches  
identify system objectives and criteria  
identify implementation team  
develop strategy for implementing system and prepare schedule  
identify start-up Zona Agraria and notify them  
conduct a pre-pilot meeting  
develop SGIF/ZA intervention and materials  
conduct pilot  
evaluate pilot and make changes/improvements  
prepare SGIF/ZA orientation for Management Specialists TOT  
develop materials: SGIF/ZA Training, Consulting Guide  
Plan overall implementation  
Implement the plan and monitor  
Evaluate the results

STEPS IN THE IMPLEMENTATION OF A AGRARIAN ZONE LEVEL IMPLEMENTATION MANAGEMENT SYSTEM FOR THE PROCALFER PROJECT

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The following events and meetings describe the process which was used by the SGIP team and the DFMC Consultant to develop and install a SGIP/ZA prototype for the PROCALFER Project.

\* MEETING

Purpose: to define the conceptual model for a Zona Agraria level management system; a description of its characteristics; and a brief outline of the procedure for designing and implementing the SGIP/ZA

Present: Carlos Goncalves; SGIP Team Leader; R. Moses Thompson; DFMC Consultant

Results: The results of the meeting are summarized in a working paper drawn up by Goncalves and Thompson describing the basic rationale for extending the SGIP down to the farmer through the Zona Agraria team. The paper identifies the conceptual framework of the SGIP/ZA and its relationship to the SGIP. The key principles, the characteristics of the approach and a basic strategy for SGIP/ZA implementation are outlined.

Site-selection criteria for the pilot phase were also identified and a list of appropriate meetings outlined. Further elaboration of a SGIP/ZA strategy could not proceed until other institutional actors had been involved.

It was clear that the SGIP/ZA had to be integrated with the Extension Services efforts at implementing management systems. Therefore, the FAO Consultant to DGER was identified as a key collaborator.

If the SGIP/ZA effort were to be sustained over time, then it should be integrated into the ongoing staff development programs of the DGER Training Division. Meetings with Training Director, Guinote, were set up. SGIP/ZA management training could be introduced through the Zona Agraria Chief's Supervision Training Program now being conducted by the DGER.

Meetings with ZA Chiefs were identified and arranged. Meetings with the Regional Heads of Planning, Extension, the Regional Procalfes Coordinator and the Management Specialist in Regional 5 were arranged in order to develop support for the development of a pilot SGIP/ZA.

\* Development of a Document:

The ZONA AGRARIA SGIP Working Paper was produced immediately and distributed to the PROCALFER Coordinator, the OICD Team leader and the rest of the management team. (see attached)

\* Meeting:

Purpose: Briefing of the PROCALFER Coordinator. The purpose of this meeting was to clarify the rationale for the SGIP/ZA effort at this time and an identification of the staff resources required for the implementation of the pilot phase.

Present: Almeida Alves, PROCALFER Coordinator; R. Moses Thompson, DPMC Consultant.

Results: PROCALFER Coordinator Alves gave agreement in principle to the effort. He defined the Zona Agraria Level implementation as the appropriate place for the SGIP team to concentrate its effort beyond the budgetting work. A schedule of meetings was outlined and the effort given approval.

\* Meeting:

Purpose: To identify the mutually shared objectives of the PROCALFER SGIP/ZA effort and the Train and Visit Extensions System being implemented through the FAO Consultant, Grozovinski. To identify avenues for complementary collaborative work on the Zona Agraria management improvement.

Present: FAO Consultant, Grozovinski; SGIP Team Leader, Goncalves; DPMC Consultant, Thompson

Results: The following agreements in principle were reached among the three participants:

PROCALFER SGIP/ZA and the Extension Service T & V System shared the same overall objectives,

PROCALFER SGIP/ZA could be a useful means for implementing the T & V System more fully.

SGIP/ZA and T & V Systems could be complementary and a SGIP/ZA Training module should be integrated into the Extension Service's course on ZA Supervision conducted for all new Zona Agraria Chiefs.

Caldas would be an appropriate site for a pilot

SGIP/ZA would attempt to function within the boundaries of the T & V Extension System Framework.

A PROCALFER Specialist should be appointed in each Zona Agraria. The same is done for the other projects. The PROCALFER

Specialist and the Zona Agraria Chiefs would require a management system and the necessary training for organizing approximately 8-20 other extensionistas and vulgarizadores.

The meeting was unusually successful. Past misunderstandings about objectives were clarified and a renewed sense of collaboration developed. Further meetings were requested.

\* Meeting:

Purpose: To identify a Region 5 SGIP/ZA design team and propose a pilot effort strategy. To develop commitment to the full development, testing and refinement of a SGIP/ZA pilot effort.kkk

Present:

SGIP Team Leader  
Regional Extension Head  
Sub-regional Coordinator  
Zona Agraria Chief  
Planning Cabinet representative  
DPMC Consultant

Results:

The Caldas Zona Agraria personnel presented the management system they are currently using. They agreed to submit it to the criteria of an effective management system and to participate in a design effort for the SGIP/ZA. The dates of the workshop were identified.

The participants of this meeting agreed that farmers who have demonstration plots on their land should be included on the management team and set targets with the extensionistas.

\* Meeting

Purpose: To brief Provisional Team Leader, Sao Goncalves and Regional Management Specialist, Adalaide (Region 2) on the current status of the SGIP/ZA developments.

Present: Sao Goncalves, Adalaide, DPMC Consultant R. Moses Thompson

Results: The basic purpose of the pilot design workshop was clarified; the participants, the schedule and the products expected.

Adalaide, Region 2's Management Specialist agrees to develop the design for the 1-week workshop, and submits it to the team.

\* Meeting

Purpose: To plan the first day of the Regional 5 intervention:  
Meeting for Developing Support:

Present:

Team Leader Goncalves,  
Region 2 MS, Adalaide  
Region 5 MS, Lopo Carvahlo  
DPMC Consultant, Thompson

Results: The afternoon meeting is strategized and responsibilities distributed for the presentation.

\* Intervention #1

Purpose: Developing Top level regional support for the pilot SGIP/ZA and getting commitments about the schedule of activities.

Present:

Regional Director, Region 5  
Regional PROCALFER Coordinator,  
Regional Management Specialist  
Regional Planning Director  
Regional Extension Director  
Sub-Regional PROCALFER COORDINATOR  
Zona Agraria Chief, Caldas  
Extensionista, Caldes  
SGIP Team Leader, Goncalves  
DPMC Consultant, Thompson  
Region 2 Management Specialist

Results:

Agreement on the objectives of the SGIP/ZA, the basic concepts, the basic characteristics, agreement on the phasing and the scheduling of the pilot effort, clarification of the roles and responsibilities of the Sub-Regional personnel and the PROCALFER Management Specialist.

The effort was now ready to begin.

\* Meeting:

Purpose: Team meeting to design the overall Workshop in general and the first 1 day in detail.

Present:

SGIP Team Leader  
Region 2 and  
Region 5 Management Specialists  
DFMC Consultant Thompson

Results:

A systematic approach to problem solving was used as the basis for the overall design effort:

- Introductions
  - leveling Expectations and Setting Objectives
    - overall objectives
    - Phase 1 Objectives
    - Today's Objectives
- Consensus on schedule & responsibilities
- Introduction:
  - Definitions
  - SGIP/ZA Criteria
- Work to be managed by a SGIP/ZA
  - Regional Objectives
  - PROCALFER Regional objectives
  - PROCALFER Activities at the ZA level
  - Roles and Responsibilities for activities

\* Intervention #2

Purpose:

To agree on the criteria for a SGIP/ZA and define the work to be managed by the System.

Present:

Regional Extension Director  
Regional Coordinator  
Regional M.S. (2 and 5)  
Sub-regional Coordinator  
Zona Agraria Chiefs  
Extensionistas  
SGIP Team Leader  
DFMC Consultant

Results:

Meeting objectives met. Important team building taking place. It is becoming clear that this is a possible implementation team for the nationwide SGIP/ZA effort.

At the time of this report's writing, the meetings were on schedule for Phase 1 of the Pilot and commitments were being made to complete Phase 2.

For Internal Use Only

Presented for discussion to the  
Coordinating Group and the Implementation Team  
by Consultant, R. Moses Thompson: OICD/TA/DPMC  
May 27, 1983

REVIEW OF COORDINATING GROUP IMPROVEMENTS IN REGIONAL MANAGEMENT  
INTERVENTION STRATEGIES

I. AGREEMENTS IN PRINCIPLE

As a result of the SGIP Team regional interventions in Regions 1 and 2 the Coordinating Group came to the following internal agreements:

a. Regions required region-specific Coordinating Group Guidelines for the elaboration of performance budgets and workplans: guidelines which reflected the appropriate spatial and crop specific emphasis in relationship to regional resources and overall objectives.

b. Coordinating Group and SGIP Team must work in a more integrated fashion, providing a consistent, confident and competent assistance in coordination and management. In addition, the Coordinating Group would take steps to increase the legitimacy of the SGIP Team in the regions.

c. The Coordinating Group would provide the appropriate

technical inputs into the Regional SGIP intervention process. It was agreed that the SGIP Team lacked specific technical expertise in such areas as Extension, Credit, and Research. The specific technical assistance would be identified, organized and provided during the regional interventions of the SGIP Team by the Coordinating Group.

## II. REVISED APPROACH

The Coordinating Group took a series of steps toward implementing each of these agreements. The current revised approach to the regional interventions is:

The Coordinating Group conducts a regional evaluation of the facilitative conditions for PROCALFER implementation prior to the arrival of the SGIP Team. It is intended that the Coordinating Group would draw conclusions from this initial reconnaissance and provide them as guidelines to the region for program development. The SGIP Team representative on the Coordinating Group would explain these guidelines to the SGIP Team.

## III. CONSTRAINTS TO ACHIEVING IMPROVEMENT OBJECTIVES

The constraints given below were identified during a discussion with the C.G. Coordinator and from feedback provided from SGIP Team members.

- a. The Coordinating Group Regional Intervention
  1. The time is too short:

Members felt that 1 and 1/2 days is not long enough to produce a set of comprehensive guidelines in completed form.

2. The Purpose and use of the guidelines needs greater clarification. The idea is sound but not fully developed.

3. The guidelines lack an agreed upon criteria and structure by the Coordinating Group members. Each member is taking notes in a different format.

4. Mutual agreement on final conclusions on guidelines does not take place.

5. SGIP Team does not get the guidelines in the form of a briefing prior to their regional intervention.

6. Regional PROCALFER implementors are uncertain how the Coordinating Group and the SGIP Team intervention are related. The opportunity to integrate planning and implementation; Coordinating Group and SGIP work; Central and Regional coordination is not taken advantage of fully.

#### IV. RECOMMENDATIONS

The conceptual framework and the objectives of the Coordinating Group's current improvement effort are sound. The motivation and the follow-through are positive. But there are a few ways it might improve the interventions that would facilitate objective achievement.

- a. Move the Coordinating Group intervention up 1 week

- b. Extend the scheduled time from 1 and 1/2 days to 1 week
- c. Agree upon a purpose for the Regional Guidelines:

For example,

region specific

the basis for the budget proposal

the basis for budget justification

included in the annual plan

basis for identifying the special technical assistance to be added to the SGIP team for that region

d. Guideline criteria and format should be agreed to by all C.G. members and used during the reconnaissance visit

e. conclusions and final typed guidelines should be completed, presented and agreed to by Regional Team and the SGIP team should be briefed.

f. The meeting described in e. would be the best opportunity for a joint C.G., SGIP Team, Regional Team meeting in which the relationship between the C.C. guidelines and SGIP Team activities is clarified and legitimized,

g. SGIP Team report to the C.G. following the interventions could be based on these guidelines.

The above recommendations are meant to support the significant progress made at the initiative of the Coordinating Group. The consultant, Thompson, is prepared to expand upon these brief suggestions or participate in a problem solving session aimed at developing an action strategy.

c.c.

Almeida Alves

Implementation Team

Glenn Purnell

MEETING SUMMARY SHEET

MEETING TITLE: LEADERSHIP DURING REGIONAL INTERVENTIONS  
MEETING TYPE: SGIP TEAM MEETING  
PRESENT: Sao, Edite, Anna, Miguel, Moses  
DATE: JUNE 13, 1983  
PURPOSE: To identify a team coordinator for the upcoming regional interventions and agree on team expectations of a Coordinator

In preparation for the Regional Interventions in LRegions 3,4,6 and 7, the SGIP Implementation Team took steps to identify pro tempore leadership of the team. Since the Team Leader, Carlos Goncalves, was taking his vacation at this time, the question of interim leadership was an appropriate one to raise in the group. Three issues required discussion:

- 1 WHAT DOES THE TEAM EXPECT OF A COORDINATOR
- 2 WHO WILL BE THE COORDINATOR
- 3 WHAT DOES THE COORDINATOR EXPECT OF THE TEAM

1. Team's expectation of the Coordinator

A coordinator of regional interventions must be:

\* preoccupied by the identification of all the activities required to achieve intervention objectives;

\* prepares some kind of daily plan, written or verbal before hand and sees to daily implementation of those plans:

\* Identifies and looks for linkages among activities and brings these to attention of the team:

\* Maintains the overview and sees linkages between teams' objectives and those of the region:

\* provides the link between the team and the region  
represents the team at meetings:  
clarifies their objectives,  
relates team objectives to those of the region  
provides feedback to team about all activities

\* attempts to dynamize others, encourages participation

and involvement:

- \* Encourages and guides ongoing evaluation of team and individual performance
- \* Sees that team information or presentations are typed up and shared.

In all these expectations of the coordinator, it is assumed that the Coordinator will organize others to do these the above and not necessarily do them alone.

2. The team selected Sao Goncalves as the temporary Team Coordinator for the up-coming regional interventions.

3. Team Coordinator, Goncalves, set her expectations of the Team:

- \* Team Member will offer special technical expertise when requested: (example: When a member is particularly familiar with a region or situation or has a good rapport with personnel in a region, then that person may be requested to speak for the group)
- \* Team Members will freely join in on meetings when called:
- \* Team Members will attempt to maintain professional standards during regional interventions.

PROCALFER TRAINING COMPONENT

TRAINING POLICY FRAMEWORK; For Task Force Discussion

DRAFT

June 10, 1983

Prepared by:

James Black: TA/OICD/USDA

R. Moses Thompson: TA/DPHC/OICD/USDA

OUTLINE:

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PURPOSE AND BACKGROUND OF TASK FORCE

TRAINING POLICY FRAMEWORK

PURPOSE OF TRAINING PLAN

LOGIC FOR DEVELOPING A TRAINING PLAN

CHARACTERISTICS OF TRAINING PLAN

INTEGRATION OF PROCALFER PLAN WITH MINISTRY TRAINING PROGRAM

## THE TASK FORCE FOR PROCALFER TRAINING

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The purpose of the PROCALFER Training Plan Task Force is to guide the preparation of a comprehensive and dynamic Training Plan that identifies the professional development requirements necessary to achieve PROCALFER objectives. The importance of this work is indicated by the fact that almost one-half of the U.S. Assistance funds are budgeted for training.

In 1981 a Training Plan was developed to provide a general set of training estimates for planning purposes. Although these general projections were adequate during the planning phases, specific project related training needs had to be assessed for implementation purposes.

The Ayling Report of 1982 suggested a step-by-step strategy for producing this comprehensive training plan. Basically the approach was built on the belief that the training plan should be constructed by MACP personnel. The strategy emphasized building capacity to do each of the COMPONENTS of a training plan and then integrating these into a WHOLE. Workshops on conducting Needs Assessments, Training of Trainers, Adult Learning Methodologies, Training Design are all essential institutional skills for developing training plans.

The Task Force on Training Plan Development comes at an appropriate time. Many of the requisite skills now exist among MACP

personnel to undertake this effort. However, one component is still missing. To date, there is no agreement on what a training plan should include, nor how it would be implemented.

Effective Training Plans are based on sound TRAINING POLICY FRAMEWORKS. Without this framework, there is no rationale or systematic way to make training decisions. The Training Policy Framework outlined below is a suggested starting point for the Task Force's work. What follows is a description of:

- \* The Ingredients of a PROCALFER Training Policy
- \* Training Policy Development Issues
- \* Basic Design Logic of a Training Policy
- \* Characteristics of Effective Training Policy
- \* Institutionalizing Project Training
- \* Accelerated Training Technologies
- \* Next Steps

#### INGREDIENTS IN A PROCALFER TRAINING POLICY:

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Ideally, a PROCALFER Training Policy should state:

- \* the objectives and scope of all training activities,
- \* approaches to the training needs assessment,
- \* the priorities and financing arrangements for training,
- \* the roles and functions of different categories of training institutions and mechanisms for coordinating their work,

- \* the long term institutionalization of project training efforts into the Department's ongoing training program,
- \* linkages of training to career planning and development,
- \* and guidelines for the monitoring and evaluation of training.

#### TRAINING POLICY DEVELOPMENT ISSUES

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The goal of PROCALFER personnel development efforts is to realize benefits from the Portuguese Agricultural Sector under limiting conditions and during a period of uncertainty

Projects have limited resources and time horizons. Within these barrier project responsables are expected to produce near and longer term project specific results. Training is used as a means to that end. Training is used to build the capacity among project actors and institutions to perform the tasks required to achieve PROCALFER Project results. Therefore, training for capacity building, as a means to an end, is specific, rather than general, in its project related content and institutional development.

The purpose of the PROCALFER Training Plan is to:

IDENTIFY AND PROVIDE SKILL AND KNOWLEDGE TRAINING THAT CONTRIBUTES TO THE ACHIEVEMENT OF SHORT TERM AND LONG TERM PROJECT OBJECTIVES AND IS INTEGRATED INTO THE ONGOING TRAINING PROGRAMS OF THE DEPARTMENT OF AGRICULTURE.

#### A. Rationale for a policy:

In many countries, past attempts to improve public sector performance through broad training programs have produced disappointing results. Unresearched and unadapted training solutions were peddled widely and in an adhoc manner. Training efforts were often piecemeal and unsystematic. The absence of an integrated set of training policy interventions resulted in inefficient use of government and donor resources and duplication of efforts.

#### B. Absence of a Policy & Training Effectiveness:

The absence of a well defined policy for guiding the design of training programs results in:

1. the lack of adequate guidelines for needs assessment
2. unclear responsibilities for training program development
3. poor design and implementation of training activities
4. lack of monitoring and evaluation of training effectiveness.

This same lack of a comprehensive training policy leads to poor management of the training institutions who are to provide the training, characterized by:

1. poor use of training methodologies
2. lack of attention to faculty development & motivation
3. non-innovative training designs and materials
4. failure to develop trainers
5. disregard for R & D

Absence of an integrated training policy results in a failure to inter-relate training with supportive personnel policies, such as performance and review, promotional and career path policies.

#### C. Harsh Conditions & Training Policy

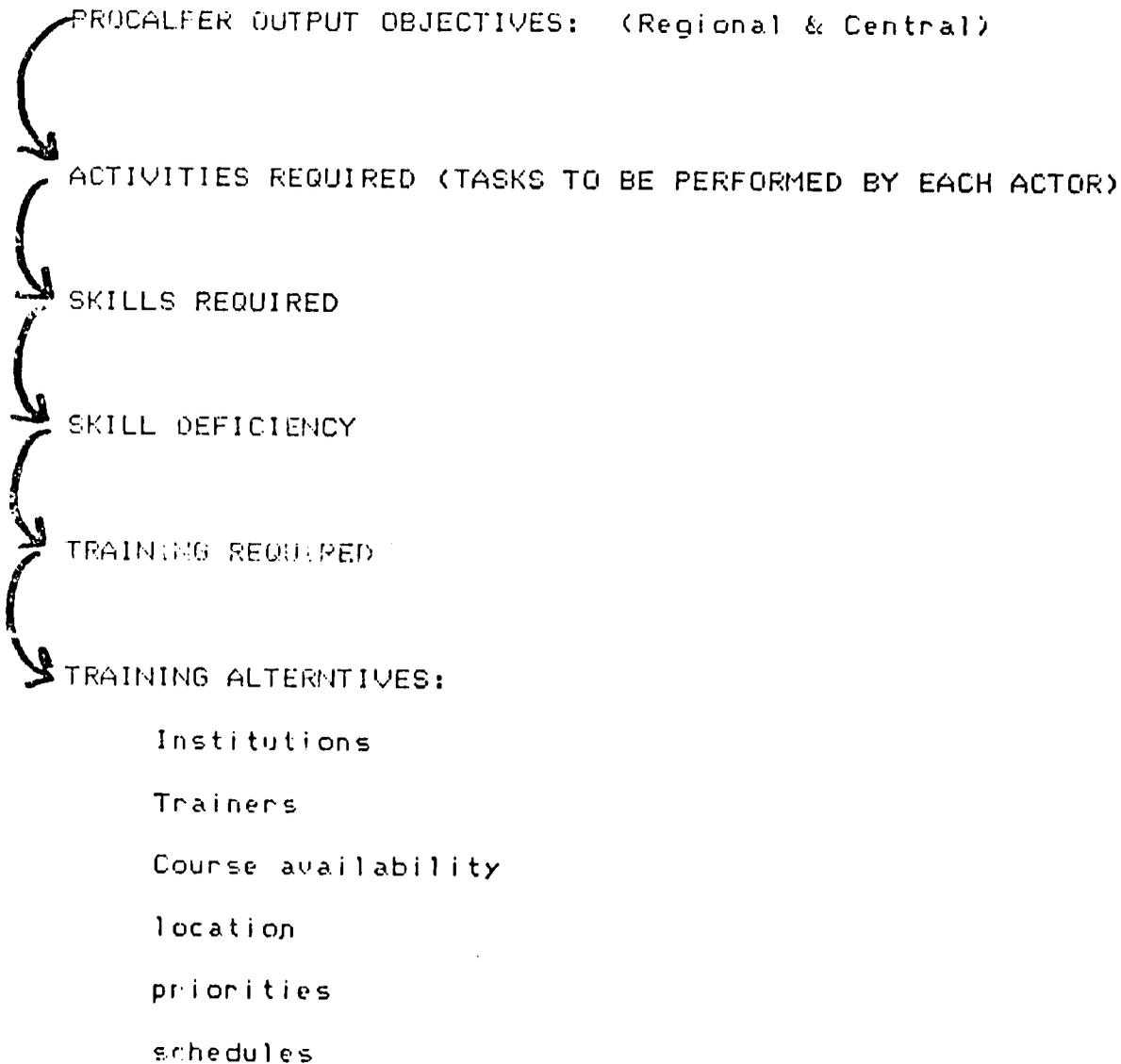
Attempts to develop an integrated PROCALFER Training Policy must respond to the difficult conditions now confronting the Department of Agriculture. Low salary ceilings, scarcity of skilled technicians, incomplete deployment of the Extension Service System, gaps between headquarters and regional services, scarcity of government funds, late release of development budgets and a continued uncertainty in the staffing structures of the Department must be taken into consideration when designing this Training Policy.

#### THE BASIC LOGIC OF A TRAINING POLICY

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The fundamental principle of accelerated learning technologies is to focus on the work to be done and only that work. The first

step in the development of a comprehensive and dynamic (continually adaptive) training policy is the clarification of that work in the form of objectives. The basic logic for developing a Training Plan is outlined below:



The fundamental logic of effective project training policies is that it is task specific. If project objectives can be defined then project actors can define the activities required to achieve those objectives. A training committee can evaluate the skills

required to perform these tasks and determine the relative deficiency of the project actors involved. With a clearer understanding of the skills requirements and the specific deficiencies among project personnel, training can be designed and prioritized.

Failure to assess training needs carefully, will result in ineffective use of project training funds, duplication of effort and gaps in training coverage.

Attached is a sample matrix worksheet for conducting such a needs assessment. Currently, some elements of PROCALFER training efforts are using this approach. Since the PROCALFER central and regional teams now have a clearer idea of project objectives and required tasks than last year. The elaboration of of a PROCALFER needs assessment matrix would be relatively straight-forward.

#### CHARACTERISTICS OF AN EFFECTIVE TRAINING APPROACH:

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Under the limiting conditions outlined above, the PROCALFER training approach can make use of the following design characteristics:

1. Top management articulation of PROCALFER objectives and willingness to demand achievement from all project actors:
2. High level priority given to assuring minimum levels of support to all actors in terms of tools, supplies and budgets necessary to perform tasks for which they are trained:
3. Focus on skills, knowledge and behaviour needed for the

accomplish of PROCALFER objectives; both short term and long term.

4. Where tasks of a group are inter-connected, train as a group, in country, in Portugal, where feasible.

5. Multiple training interventions:

Instead of a fragmented, (though useful), training efforts, an integrated set of training interventions phased and responsive to project implementation requirements:

6. Multiple use of personnel:

Where staffing is limited, personnel may be required to perform both project and regular tasks

7. Enhanced use of non-financial incentives

8. Use of Accelerated Learning Technologies for Training

#### INTEGRATION OF PROJECT TRAINING INTO THE DEPARTMENT'S GENERAL TRAINING PROGRAM:

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PROCALFER Training Policy has an institution building dimension. To be effective over the long term, the project specific training designed and implemented through PROCALFER must be integrated into the general training program of the department. For example, a workshop training effort for improving Zona Agraria Chiefes management techniques could be conducted through the Extension Service's "Zona Agraria Supervisor Training Program". The Service's trainers could participate in the design and pilot

testing of the training and receive a Training of Trainers for performing the new program. This kind of approach assures institutionalization of training by involving organization training staff, upgrading their skills, introducing new content and methodology and building in the ability to review and improve the training design.

#### TRAINING TECHNOLOGY:

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Project dependence on early results to remove current roadblocks demands training approaches that can accelerate learning. Training methods are available that focus on the improvement of performance through direct application of new skills on the actual task to be performed (as opposed to preparation for application at a later date).

These new technologies emphasize a results orientation, engaged learning by doing, learning by step-by-step success on tasks, progressing from general to specific, simplification of the complex activities into manageable routines, and team training. The PROCALFER is currently using some of these advanced techniques in certain skill development areas. In addition, a team of Trainers of Trainers is being developed to introduce this improved adult learning methodology in the project training program. In-service Workshops designed to respond to specifically defined Project skills are replacing the more traditional classroom lecture methods.

NEXT STEPS:

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1. The first step for the Task Force is develop agreement on the basic structure of its Training Policy. Based on that policy framework, it can define the form the PROCALFER Training Plan should take: content and methodology. Based on that agreement, the Task Force can define the minimum set of activities (workshops, working sessions, interviews, etc.) and implement them.
2. It is essential to proceed to conduct interviews with agencies of MAGR concerned with PROCALFER tasks to develop an inventory of training desired by the agencies and their staff.
3. Then the criteria of training needs assessment should be applied to the inventory and a final plan for training under PROCALFER agreed to.

MEMORANDUM

To: Glenn Funnell, OICD/Procalfer Team Leader

From: R. Moses Thompson, OICD/DFMC Consultant

Date: June 20th, 1983

Re: Proposal for a U.S. Study Tour for the PROCALFER Regional Coordinators.

Based on discussions with OICD/PROCALFER Team Leader, Glenn Funnell, the SGIP Implementation Team, two Regional Coordinators, and DFMC, Washington, the consultant prepared the following proposal for a U.S. Study Tour for the Regional Coordinators of PROCALFER.

PROPOSAL FOR U.S. STUDY TOUR: REGIONAL COORDINATORS

**PURPOSE:** The purpose of a Regional Coordinators U.S. Study Tour is threefold:

1. To provide an opportunity to observe how public organizations in the U.S. use projects to meet organization objectives; to discuss the issues surrounding inter-agency and infrainstitutional linkages and organizational patterns for integrating projects into administrative structures;
2. To provide an opportunity to discuss the issues surrounding the relationship between extension and research; to observe a sampling of approaches and discuss regional applications in Portugal;
3. To continue to build a national team of PROCALFER Regional Coordinators with a shared set of national project objectives and an informal structure for sharing experiences and learnings from implementatoni experience to date.

**BACKGROUND:** For the past year, a U.S. Study Tour for Regional Coordinators has been disuccsed, often in significant detail. In January of 1982 and again during the February Evaluation the idea and the rationale for such a professionial visit was discussed among Funnell, Rizzo, and Thompson and then later among Funnell, Alves and Ingle. Most recently the discussion was raised by SGIP

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Team Leader, Santos Goncalves, with PROCALFER Coordinator, Almeida Alves, in March, during the Ingle Consultancy.

For the most part, the idea has been received with approbation. The decision making process seems to have been slowed by the issue of the most propitious timing and the particular content of the visit. Below is:

\* a suggested rationale for each of the three objectives identified above and

\* a draft outline of how OICD might respond to each; a suggested time frame for such a Study Tour; and

\* an initial definition of responsibilities for program implementation.

No budget information is provided, since this is readily available.

INTRODUCTION: To meet PROCALFER and OICD Participant Training and/or Professional Visitors program objectives, any study tour design must respond to the project objectives and responsibilities of the PROCALFER actors. It is important that the content of the Study Tour relate to past Project experience as well as the future Project demands to be faced by the participants. The following Proposal has attempted to do this by reviewing PROCALFER Regional objectives and by trying to anticipate what will be expected of the Regional Coordinators in the future; by conducting interviews with two Regional Coordinators, (Regions 2 & 3), and by interviewing members of the SGIP Implementation team and drawing on their experience with Regional Coordinators during the past year of PROCALFER implementation. The following Proposal is designed within the parameters of a limited time frame of 3-weeks. Therefore, what is presented is considered to be the priority objectives of such a Study Tour.

#### DETAILED DESCRIPTION:

##### 1. Intergovernmental Operations:

Successful use of projects to implement national development programs is not widespread and uncertainty remains whether project can be used effectively within a highly formal administrative structure such as the Ministry of Agriculture.

From the beginning, Regional Coordinators have been struggling with the issue of implementing a short term project that demands a variety of informal relationships within units and across agencies within the context of a formal organic structure of traditional departmental and professional boundaries. For Many the issue is debated as the "dual Structure" problem and the desire on the part of Project Coordinators to acquire

institutional territory in order to implement the project.

Although some Regional Coordinators are beginning to experience greater success in using projects to develop these informal patterns of coordination \*, they proceed with great uncertainty. Many have expressed their desire to see a model of how others are managing the inter-governmental relationships necessary to successfully implement national projects such as PROCALFER. Those interviewed confirm the need to learn more about intergovernmental operations and to develop their ability to use projects more effectively.

(\* Example: witness recent efforts in regions 2,3,& 4 to integrate Planning Cabinet, Extension and Administrative Services in Project decision making processes)

Because inter-governmental coordination will be an increasingly central responsibility for the Coordinators, the following component is suggested:

PROCALFER Regional Coordinators can visit a specific project where they can see for themselves the interaction between Federal, Local and farm level organizations. This case study would be an opportunity for the team to observe and discuss informally with those involved, the same kinds of issues they are exposed to in Portugal.

Suggested people to contact for arranging this component of the Study Tour:

- \* Catherine Thomas at University of California, Riverside, a specialist on Inter-governmental Operations
- \* Dr. Dubin at the University of Kansas, a specialist on local and federal agency integration and involved in relevant case studies of interest to the RC's.

Two sites are recommended: one emphasizing the interface between local agricultural organizations and the farmer and another that focuses on the integration of multiple government agencies and actors in the implementation of a regional project.

## 2. The Relationship between Extension and Research:

Some of the Regional Coordinators expressed the desire to improve their understanding of the relationship between extension and research. The PROCALFER Regional Coordinator has the responsibility to integrate the results of the project's research component with the delivery of improved technical information to the farmer through the extension component. Also, the project is designed so that technical information necessary for project success must be developed during the life of the project.

Therefore, Project Coordinators continue to require an effective approach to this integration of research results and the experience of the extension services with the farmer.

Regional Coordinators also expressed the desire to know more about the experience others are having in the use of limestone on forage production. In particular that wish to better understand the relationship between limestone, certain forage varieties and available technology and its impact on production.

It is in this context, that the team of Regional Coordinators wishes to improve their understanding of how to most effectively use research to impact on increased production.

There are a variety of opportunities available in the United States for fulfilling this need. This may be the right opportunity for exposing members of PROCALFER to Farming Systems Research and the University of Florida's program on an integrated approach to Research and Extension. OICD has strong contacts there and could set up a program readily.

Persons to contact for setting up this component are:

- \* Marcus Ingle, OICD/DPMC

### 3. Building a National Team of Regional Coordinators:

We know that all successful efforts begin with a high degree of mutual agreement of objectives. Reconfirmation of those objectives is a necessary part of the developing consensus. This study tour to the U.S. can function as a opportunity to review and reaffirm commitment to project objectives and look at ways to improve approaches to regional implementation.

Over the past year, responsibility for setting national project objectives has shifted gradually from the central level Coordinating Group to the Regional PROCALFER Teams. We know that the more a person/teams are involved in setting their own objectives, the more committed they are to implementing them. The Study Tour can be an opportunity to further develop this kind of commitment.

There is much that is shared in common about the Regional Coordinators experience with PROCALFER, but there are important variations in their experience with project implementation. The discussion of both the shared and the different experiences of the regions provides important learning opportunities. Already, Regional Coordinators and their Management Specialists are crossing regional boundaries to discuss their approaches to project problems (Regional Management Specialists from 1,2,4,& 5 work with the central SGIP Team in all other regions). They express the importance of continuing this informal way of

sharing experiences and successful ways of handling problems shared by each of the team members.

Suggestions: First, the trip itself is a way of bringing a team of people together. Invaluable informal discussions will take place among members of the team. By leaving Portugal, the team will have a brief opportunity to gain some psychological distance from the project in order to look at it more objectively.

Second, a series of one-day team workshops could be used effectively to surface specific implementation issues such as:

- \* Planning How to Improve the Use of Projects in Formal Administrative Organizations
- \* Planning How to Improve the Integration of Extension and Research in the PROCALFER project.
- \* Planning How to Effectively Install the SGIP management system at the Zona Agraria Level
- \* Planning How to Build a Regional Team
- \* Planning How to use Monitoring to Make Quick Adjustments Under Conditions of Uncertainty.
- \* (Others that the team can identify at the initial orientation meeting in Washington)

The visits during #1 and #2 will provide the opportunity to organize ongoing working sessions to discuss some of these issues. Other Workshops may be schedule during the period spent in Washington.

This component of the Study Tour can be organized by the DFMC office of OICD.

#### TIMING:

It is suggested that the Study Tour overlap one week with the Participant Training of the SGIP Management Specialists. This is suggested for a variety of reasons:

- \* August/September is the slowest time of the year for PROCALFER;
- \* There would be an opportunity for activities that would facilitate the development of an overall PROCALFER team;
- \* Some of the Workshops described in #5 would be improved by a full team discussion of the issues;

#### LENGTH:

Three weeks, inclusive is suggested, including:

Settling in

- \* Orientation Program & Setting Expectations/Objectives
- \* Sightseeing (1 day)
- \* Visits to Kansas and California to observe intergovernmental operations at the federal, local and farm level
- \* Visits to Florida and other sites to explore issues related to the integration of of Extension and Research
- \* Internal Team Workshops on regional PROCALFER implementation for 1983 & 4
- \* Meeting of full PROCALFER Team of Coordinators and Management Socialists.
- \* Debriefing and Planning Next Steps
- \* Sightseeing (1 day)

ROLES AND RESPONSIBILITIES:

OICD/DPMC WASHINGTON

If the proposal is accepted in principle and OICD/Lisbon desires to implement it, a detailed daily schedule will be prepared by DPMC. DPMC will make all contacts and travel arrangements within the United States, and coordinate the Study Tour workshops. Arrangements for Language Escort, Interpreters and/or Tour Coordinator will be the responsibility of OICD/Washington.

OICD/Lisbon

OICD/Lisbon will be responsible for making all international travel arrangements, processing visa applications, handling per diem and travel advances and conducting pre-departures briefings and post arrival debriefings, if necessary.

PROCALFER COORDINATING GROUP

The PROCALFER Coordinating Group would be responsible for inviting Regional Coordinators to participate in such a Study Tour officially and for making administrative arrangements for the period of leave and standard travel arrangements. The Coordinating Group would also be responsible to clarifying Study Tour objectives with the team and with OICD

## B. PIMS Progress and Current Situation

The PIMS effort is on schedule with respect to its 1983 Workplan as outlined in the L. Cooley Consultancy report. Highlights of the Team's overall progress include:

First, the Team has accepted the clear and limited statement of its function and purpose as "To establish and support an effective system for planning, budgeting and monitoring/evaluating PROCALFER at the regional and national levels"

Second, the current 1983 Workplan appears realistic and feasible. Actions are needed by the Coordinating Group and OICD/Lisbon Team in the near future to provide the consultants, training, and resource support called for in the revised Workplan.

Third, with the assignment of Carlos Goncalves a reclarification of internal Team responsibilities has been possible and is occurring. In general, the geographical and functional divisions of responsibility suggest by L. Cooley are being maintained.

Forth, everyone has agreed that it is appropriate for the PIMS function to remain within the PROCALFER Coordinating Group and that a small core of management specialists will be needed to operate and maintain this system for the remainder of the Program.

Fifth, links between the PIMS Team and Coordinating Group are now much improved as a result of the assignment of a permanent PIMS Coordinator in PROCALFER.

Sixth, the PIMS Team is working closely with the Coordinating Group and the Regions to assure that the 1984 PROCALFER plans incorporate enhanced technical content.

Seventh, the microcomputers are now operational and will be used by the PIMS Team in their upcoming regional workshops. However, to assure full and continued use of this equipment the recommendations of the E. Connerley and N. Berge report deserve immediate attention.

Finally, the Team still lacks the requisite management skills and systems to ensure a high quality and sustained PROCALFER management system at the national and regional level. Continued consultant and training assistance is scheduled during 1983 to deal with these needs.

## III. CONSULTANCY ACTIVITIES AND PRODUCTS

### A. Developing and Maintaining an Appropriate Management System in PROCALFER

During the consultancy period, a series of sessions were held to review the 1983 PIMS workplan within the context of overall PROCALFER management and implementation needs. The PIMS Team and

DRAFT OUTLINE FOR SGIP/ZA WORKSHOPS IN REGION 5

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JULY 5TH, 1983

PREPARED IN RESPONSE TO INITIAL REGIONAL LEVEL SGIP/ZA PLANNING MEETING HELD OF JULY 4, 1983 (SEE MEETING SUMMARY)

PHASE 1: (AS DEFINED BY THE REGIONAL PARTICIPANTS IN THE MEETING)

Agenda:

Introductions  
Levelling Expectations  
Setting overall Objectives  
    Setting Phase 1 Objectives  
    Setting the day's objectives  
Clarifying the schedule for Phase 1 and 2

I. DEFINITIONS:

MANAGEMENT SYSTEMS  
    WHAT IS MANAGEMENT  
    WHAT IS A SYSTEM

USE OF PROJECTS IN GOVERNMENT ADMINISTRATION

THE PROJECT/ANNUAL CYCLE

THE CONCEPT OF MANAGERIAL CONTROL

THE CONCEPT OF RESULTS ORIENTATION  
    INPUT VS. OUTPUT APPROACH  
    EFFICIENCY VS EFFECTIVENESS

II. FACILITATIVE CONDITIONS FOR INTRODUCING A SGIP/ZA

TOP LEVEL COMMITMENT TO MAKING IMPROVEMENTS IN MANAGEMENT  
ACTORS SEE MANAGEMENT IMPROVEMENT AS IMPORTANT  
OPENNESS TO CHANGE AND INNOVATION  
STABILITY IN THE ENVIRONMENT  
RESOURCES AVAILABLE WITH DEPENDABLE FREQUENCY

III. CRITERIA FOR A MANAGEMENT SYSTEM;

ORGANIZES OPERATIONAL TEAMS AROUND OBJECTIVES

USES PARTICIPATION TO GENERATE COMMITMENT

IT PERFORMS THE 5 MANAGEMENT FUNCTIONS:

MUTUAL AGREEMENT ON OBJECTIVES  
CLEAR ROLES AND RESPONSIBILITIES  
ACCURATE SCHEDULES AND BUDGETS  
MECHANISMS FOR FOLLOW THROUGH  
ABILITY TO MONITOR AND ADJUST

IT USES A RATIONAL DECISION MAKING PROCESS/SYSTEM TO SOLVE  
MANAGEMENT PROBLEMS

IT'S SIMPLE AND EASY TO USE

IT'S OWNED BY THE USER AND CAN BE MAINTAINED BY HIM

IT BUILDS ON WHAT WORKS

IT FITS THE CONTEXT (E.G. EXTENSION SYSTEM, PLANNING CYCLE ETC.)

IT IS SEEN AS HELPFUL BY USER (S)

IV DEFINITION OF WORK:

OUTLINE THE ACTIVITIES OF THE ZA CHIEF, EXTENSIONISTAS,  
VULGARIZADORES

FOR PROCALFER FIRST  
THEN FOR TOTAL EXTENSIONS PROGRAM

DEFINE THE TYPICAL CALENDAR OF WORK ORGANIZATION

(MORE)

V. PRESENT SGIIP NATIONAL/REGIONAL AS EXAMPLE OF PROTOTYPE

DO REGIONAL/SUBREGIONAL/ZA ACTORS RESPONSIBILITY CHART AS  
EXAMPLE OF A GOOD SYSTEMS TOOL

GERALT PRESENTS HIS ZONA AGRARIA SYSTEM RELATING IT TO THE  
GENERIC ELEMENTS

TEAM IDENTIFIES AREAS OF WEAKNESS

WORKSHOPS MEET TO TAKE EACH OF THE GENERIC FUNCTIONS AND  
IMPROVE THE EXISTING ZONA AGRARIA SYSTEM

VI. DESIGN THE SYSTEM

DESIGN THE OVERALL STRUCTURE (BI-WEEKLY, OR WEEKLY, T & V )  
IDENTIFY THE TEAMS AND MEMBERSHIP

IDENTIFY MINIMUM SET OF INFORMATION NECESSARY  
DESIGN THE PROCESS OF MEETINGS, EVENTS FOR USING THE SGIP/ZA  
DESIGN THE FORMATS

(MORE)

VII. DEVELOP A STRATEGY FOR INSTALLING A SGIP/ZA IN A

ZONA AGRARIA (WHAT ARE THE STEPS INVOLVED)  
REGION

ELEABORATE A CALENDAR AND A SET OF RESPONSIBILITIES

PHASE 2: (PLAN THIS AT THE END OF PHASE 1)

REPORT ON JUNE-JULY, 1983 CONSULTANCY

SUBMITTED TO  
DR. GLEN PERNELL  
CHIEF OF PARTY  
PORTUGAL AGRICULTURAL PRODUCTION PROJECT  
OFFICE OF INTERNATIONAL COOPERATION  
AND DEVELOPMENT  
UNITED STATES DEPARTMENT OF AGRICULTURE

SUBMITTED BY  
ED CONNERLEY  
JULY 8, 1983

## Report on June-July, 1983 Consultancy

## I. INTRODUCTION AND BACKGROUND

I arrived June 12th and departed July 8th. Before coming to Portugal I participated in a two day briefing session with Dr. Marcus Ingle in Washington, D.C. concerning the scope of work of this consultancy. On Tuesday, June 14th, I was briefed by Dr. Glen Purnell and by Sao Goncalves and Ana Varela of the PIMS team. On Friday, June 17th, I met with Eng. Almeida Alves and Dr. Purnell to review the March, 1983 Berge/Connerley consultancy report and to receive further orientation to the proposed work for this consultancy.

The objectives of this consultancy as established by the scope of work statement prepared by OICD, Washington, are as follows:

"Product # 1: PIMS Management Specialists at the National and Regional level are assisted in developing the PROCALFER 1984 Regional Budgets.

Task 1a. Travel to Washington, D.C. for a briefing from DPMC on the current status of the budgetting and microcomputer effort.

Task 1b. Travel to Portugal to assist Management Specialists to refine methodology of budget cycle to meet with the needs of the Coordinating Group and the microcomputers.

Task 1c. Assist PIMS members and the Coordinating Group to develop a quality 1984 program budget for the regions.

Task 1d. Train Management Specialists and other regional personnel in the use of the microcomputers for program budgeting and other management applications.

Task 1e. Prepare a final report for the Coordinating Group, the OICD Lisbon team, and OICD Washington on the consultancy and debrief the Coordinating Group on consultancy findings prior to departure from Portugal. Include findings and recommendations for further action.

Task 1f. Return to Washington, D.C. and discuss consultancy findings with DPMC staff and provide a debriefing for OICD personnel.

Product 2: A report will be completed outlining the use of microcomputers in management applications.

Task 2a. While in Washington, D.C. meet with DPMC staff to discuss potential microcomputer applications and to agree on an R&D approach to the topic of microcomputer applications.

Task 2b. While in Portugal pursue the use of microcomputers in various management applications; such as regional applications development, monitoring and evaluation, trial formatting, and additional training in country and abroad.

Task 2c. Prepare a report citing issues involved in adopting the microcomputers and assuring their continued use in the Portuguese context. This report should be submitted to the Coordinating Group, the OICD Lisbon team and DPMC. It should contain findings and

reccomendations."

The scope of work proposed by other key participants (Eng. Almeida Alves, Dr. Glen Purnell and the PIMS team) were in general agreement with the above, but also added a few tasks to the list. The PIMS team had a long list of specific tasks related to budgeting and microcomputers that it wanted accomplished. Dr. Purnell wanted the consultant's advice and involvement in preparations for the purchase of 5 additional microcomputer systems.

The presence of conditions which the consultant feels tended to limit his effectiveness in performing certain tasks should be noted. A key participant, the leader of the PIMS team, was unexpectedly on vacation for the first two weeks of the consultancy and was working intensively with another DPMC consultant (also unexpected) for much of the remaining time. The leader of the PIMS team spent a total of approximately one day with this consultant. Another limiting condition was the fact that preparation of the budgets for Regions I, II and V slipped behind schedule. It had been expected that three budgets would be ready for analysis on the consultant's arrival. In fact, only one budget has been completed to date.

## II. ORGANIZATION OF THIS REPORT

The report is divided into five major sections --- Introduction and Background, Organization of this Report, Activities During Consultancy, Findings, and Reccomendations.

## III. ACTIVITIES DURING CONSULTANCY

The first two weeks of the consultancy were spent working at the Oeiras office of PROCALFER. A great deal of this work was with Ana Varela. The consultant spent the following week in Region IV, Beira Interior, working with Edite Azenha, Ana Varela, Elvira Hugon and Lopo de Carvalho in their regional intervention. Most of this work dealt with the preparation of the 1984 Region IV PROCALFER budget proposal. The final week of the consultancy was spent in Lisbon. This work included helping with the completion of the Region IV budget request, working on budget analysis methods, interviewing the prospective recipients of the five new microcomputer systems to determine their specific needs and writing this report.

With respect to microcomputers the following specific activities were undertaken:

1. A meeting and several telephone converstations were held with representatives of APAL to determine what had not yet been delivered from PROCALFER's January order and to seek delivery of the remaining items.
  2. Problems have emerged with the functioning of some software --- notably, Wordstar, SuperCalc and Spellstar. The consultant was asked to solve these problems.
  3. The configuration of software and hardware to PROCALFER's specific applications and systems took considerable time. Examples of such configuration include setting up the printers and word processing software so that they will print an "A4" page size, or other page sizes, at the users choice and configuring the Wordstar word processing program to function with the particular monitor, printers and computer that PROCALFER has.
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3. In order to maintain continuity with the March consultancy work, the consultant met with Eng. Almeida Alves and Dr. Glen Purnell to emphasize the importance of speedy implementation of some of the recommendations of that report. These included the recommendation that a consultant be brought out to do applications development work with the staff of the Coordinating Group, the recommendation that the ownership of the microcomputers be speedily transferred to the Portuguese, the recommendation that applications development workshops be held as soon as possible, and the recommendation that the Portuguese character set should be available from the microcomputers.

4. Eng. Mario de Carvalho asked whether or not a particular statistical test could be performed using the microcomputers and the software that we presently have available. It turned out that these tests could be done and they were done in order to facilitate Mr. Carvalho's work.

5. Considerable time was spent in gathering information about the needs of those who will be using the microcomputer systems which PROCALFER is currently purchasing and exploring the possibilities for further use of microcomputers in PROCALFER and associated agencies. This included several conversations with Glen Purnell and Jim Black, a meeting with Barbara Hoffman of the Policy team, a meeting with Severinato Pinto of the Planning Cabinet and Francisco Avilez of the University of Lisbon, and a meeting with Soveral Dias of the Laboritorio Ribelo da Silva.

With respect to budgeting, the following activities were undertaken:

1. PIMS team members were assisted with problems they encountered in preparing budget requests for Regions I, II and IV.
2. I participated in the preparation of the 1984 budget request for Beira Interior. This work took place in Castelo Branco, June 27-July 1.
3. Work was begun on a system to be used in analyzing and comparing regional budget requests. This included discussions with the PIMS team, specification of the logic of such an analysis system and the content of two VisiCalc templates used in the system and a meeting with Edite Azenha and Elvira Hugon to discuss the partially completed product.

#### FINDINGS

With respect to microcomputers the findings during this consultancy are as follows:

1. The management team has made effective use of the microcomputers, particularly in their regional budgeting work. Using the microcomputers enables the team to quickly and accurately prepare cost estimates and budget requests. They are able to discuss with regional workshop participants the implications of unusual costs before leaving the region, which allows regional participants to reconsider costs which seem to be exceptionally high or low.
2. Other PROCALFER staff have been encouraged to use the microcomputers and have done so to a limited extent. Pedro Damiao has produced four VisiCalc templates to process information with respect to the four

limestone subsidy records. Because he was busy working with Jim Lauth for much of April and May, he has not yet made the input forms, but his interest remains high and he expects to make the templates soon. Ana Varela has worked with both of these individuals and continues to support their work.

3. Several details of the management of the microcomputer systems seem to need attention. Diskettes were in very short supply during my visit. Diskettes ordered from the United States in March have not arrived. No spare printer ribbons are on hand; although they have been ordered from APAL. No backup copies are being made of data diskettes. The policy on not eating, drinking and, especially, smoking in the computer room is only loosely followed. Diskettes are carelessly handled. They are often left lying around without jackets and are sometimes poorly labeled. Some of the software and hardware has not been configured to work correctly with the specific printers, monitors, computers, paper sizes, etc. that PROCALFER has. Configuration has not been done in part because there is little time for it, and in part because no-one is specifically responsible for it. The original disk for the Spellstar program is missing. The computers are in a room that is really too small for them and that does not contain a telephone to be used in connection with the modems.

4. A certain amount of confusion and resentment is beginning to emerge among PROCALFER central and regional staff with regard to who has computers and who will eventually receive computers. Regional project participants, for example, sometimes indicate that they were "promised" computers almost two years ago in the early stages of the management effort. There are actual and latent disputes in the Planning Cabinet over which offices will receive computers.

5. Lisbon support capabilities for Apple microcomputers have grown very rapidly in the last several months. I have been told that there are 15 Apple dealers in Lisbon. While I cannot verify that exact number, it is clear that there are several and that the capacity of some of these dealers to provide sophisticated support to both hardware and software is steadily increasing. Also, the number of microcomputer users is growing rapidly; including, of course, a large number of Apple users. Several other AID financed projects are using microcomputers.

6. A step has been taken to resolve the "ownership" problem cited in the March, 1983 Berge-Connerley consultancy report. Dr. Purnell has written a letter to Eng. Almeida Alves which will turn over control of the three microcomputer systems purchased in January to the Coordinating Group. Transmission of the letter is awaiting a complete inventory of the equipment.

7. Edite Azenha, Ana Varela and Elvira Hugon have indicated very strongly that they feel that certain regions, notably Regions I, II and III, are ready to receive and effectively use microcomputers at this time. They argue that regional participants cannot reasonably be expected to learn how to use a microcomputer until they have one at their disposal. They feel that a detailed plan for further training and the delivery of microcomputers to these Regional projects should be prepared and shared with the Regions in question.

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9. Almeida Alves, Edite Azenha, Carlos Goncalves and Ana Varela are of the opinion that PROCALFER headquarters cannot effectively use the three microcomputer systems that it currently has. The Coordinating Group has endorsed the idea of giving one of the systems to the Planning Cabinet. The others believe that one or two of these systems should be handed over to appropriate PROCALFER regional projects as soon as possible.

With respect to the budgeting aspects of this consultancy, the findings are as follows:

1. Standardization of the regional budget requests is very difficult to maintain in practice. The PIMS team members have developed a number of useful standard assumptions and ground rules, but it has been difficult to apply them equally in all regions. The team has had to be flexible in applying these standards. All of this makes the team's work more difficult and the results more complex.

2. There is a need for more coordination and follow-up with regard to regional budget requests. That is, the budget requests are not fully completed when the teams leave the region, but there is a tendency for the budget requests to be dropped when the teams return to Lisbon and must prepare for their next regional intervention. A final, fully completed version of the budget request may be weeks in coming, which undermines many of the advantages of using microcomputers to prepare the budgets.

3. Monitoring of 1983 PROCALFER regional project activities has been very weak. Financial monitoring has not been attempted; which may be wise since the 1983 PIDDAC budgets have not yet been released. Monitoring of results, spot checks of claimed research and demonstration fields, has also not been done. "Monitoring" to date has consisted of asking regional participants to review this year's work and progress against targets in the regional workshops. The PIMS team is extremely wary of this topic. They argue that they are not qualified to monitor Campos De Demonstracao and Campos de Ensaio since most of them are not Agronomists.

4. The general practice in regional workshops this year appears to be to use last year's budget and activities as a base and to only examine in depth proposed new activities. This greatly diminishes the work load on the team. It may also diminish the project's ability to anticipate and adapt to changing circumstances, but it is too early to tell. Ideally, the regions will take up more of the analysis and consideration of alternatives that was formerly done by the PIMS central team.

#### RECOMMENDATIONS

With respect to microcomputers the following recommendations are made:

1. The recommendations from the Berge-Connerley March, 1983 consultancy still seem to make good sense and should be implemented as soon as possible. It is particularly important to proceed with applications development workshops at both regional and national levels as quickly as possible. The evident interest in microcomputers is a hopeful sign  
ful installation of an integrated management

appear to be arbitrary in our response.

2. As soon as control of the three microcomputer systems has been officially accepted by the Coordinating Group, they should establish formal policies about the use of these systems. Someone should be appointed to be the "responsavel" for the microcomputer systems and software. Eating, drinking and smoking in the microcomputer room should be prohibited. Back-up copies of all data disks should be made on a routine basis. One of the computers should have access to a telephone line. Suitable storage arrangements must be made for the diskettes. All of these actions are rather simple to accomplish. The basic requirement is that someone be given authority and accept responsibility for managing the systems.

3. Management consultants, including microcomputer consultants, were only approved by the Coordinating Group for the first six months of 1983. The Coordinating Group stated that it would review the experience with management consultants for the first six months of the year before approving the coming of any more such consultants. Unless this review is completed by the end of July, it is unlikely that the applications development workshops mentioned above can take place this year.

With respect to budgeting activities my recommendations are as follows:

1. Renewed emphasis should be placed on efforts to more closely standardize the regional budget requests and the regional workshops for generating these requests. By accepting a rather high degree of variation in the assumptions which are made and the processes followed, the PIMS team creates for itself a large additional work load. It takes a great deal of time to deal with the "small" exceptions allowed.

2. PROCALFER suffers greatly from little and/or very poor budget policy. In part, this stems from the lack of effective budget policy of the Portuguese government. Never the less, there are measures which PROCALFER should undertake on its own. Much of this effort must be undertaken by the Coordinating Group, which has taken positive steps in recent months by initiating its regional visits before the PIMS interventions. In addition to setting policy and establishing priorities on a region by region basis, the Coordinating Group should also set national PROCALFER policies and priorities. For example, after a review of the experience with this years budgeting work, the Coordinating Group might want to formally adopt an annual budgeting cycle and calendar. Based on an analysis of this years budget requests, the Coordinating Group might want to establish guidelines as to the activities to be emphasized in the 1985 budget. Since it seems likely that cuts will have to be made in this years budget requests, it is highly desirable that these cuts be made in accordance with policy established by the Coordinating Group in consultation with the Regions, rather than leaving the cutting to the Planning Cabinet and the Departamento Central de Planeamento of the Ministry of Finance. Only a coordinated effort from the Coordinating Group, the Regions and the PIMS team can produce a rational cut in the proposals, probably by reducing the proposed targets.

3. In addition to improving its own internal budget policy and cycle, PROCALFER should do what it can to improve the budget policy and cycle of the Ministry and the Government. I am suggesting modest efforts to

this might involve little more than closer coordination. Rather than waiting for DCP to produce and release annual budget guidelines, PROCALFER might produce its own policies and ask DCP and the Planning Cabinet to review them.

4. In the next several months the PIMS team should give special attention to creating the capacity in the regions to do much of the costing and budgeting work which has heretofore been done by the Central team. The PIMS team has done an outstanding job of training the Management Specialists from the four northern regions. As the team works in all seven regions, it is important to (a) transfer more responsibility to the regions, (b) maintain the high quality of training that was given to the northern Management Specialists and (c) decide whether "regional capacity building" (referring specifically to the capacity to do the PIMS work) is more than training Management Specialists. Are there other persons that should be trained or new roles to be created?

5. A key task of the next several months is the monitoring work. A primary objective of the first year of work should be to establish the legitimacy of monitoring by central authorities. Therefore, monitoring visits and reports should be as helpful as possible to the regions, should include attention to the positive aspects of regional work as well as the negative, and should include suggestions for solving any problems encountered. The rigor of monitoring visits and reports can be improved in future years. Monitoring is absolutely essential to maintaining the integrity of our budgeting and planning work, but it is more important to establish acceptance by the regions than it is to rigorously monitor this year's regional activities.