

PD. AEM 644

92700

Decentralized Development Management Project
(AID Project No. 493-0315)

Mission Assessment of the Mid-Term Evaluation

PROJECT DATA

Grant LOP Funding (\$000)	3,100
Loan LOP Funding (\$000)	7,500
Grant Expenditures as of 9/30/84	1,470
Loan Expenditures as of 9/30/84	4,231
PACD	8/31/86

Purpose in Project Paper (prepared 6/81)

"To strengthen and accelerate, in a replicable way, capability at the tambon and amphoe (district) levels to design and implement projects and programs which are responsive to beneficiary indicated needs."

Purpose in 1984 Workplan (prepared 10/83)

"To promote the RTG policy of building the requisite capacities to plan and implement a decentralized rural development process."

Purpose in 1985 Workplan (prepared 9/84)

- 1) Find appropriate models and approaches for strengthening the capacities of tambon councils and other organizations in the tambon for solving problems in rural development.
- 2) Find appropriate models and approaches for strengthening the support systems of government agencies at the district and provincial levels as well as the private sector for Tambon councils and other organizations in the tambon.

DDMP Technical Assistance

<u>Consulting Firm</u>	<u>Position</u>	<u>Number of Persons</u>	<u>Contract Completion Date</u>
A&R Consultants Co. Ltd.			
	Project Coordinator	1	Aug. 31, 1986
	Development Training Advisor	2	Feb. 9, 1986
	Documentor	2	Feb. 9, 1986
	Technical Writer	1	Feb. 9, 1986
Population and Community Development Association			
	Development Training Advisor	3	Feb. 9, 1986
	Documentor	3	Feb. 9, 1986
	Administrative	1	Aug., 9, 1986
	Secretary	1	Aug. 31, 1986
	Translator	1	Feb. 9, 1986
<u>Development Alternatives, Inc.</u>			
	O&M (expatriate)	1	Aug. 9, 1985
	Engineering Advisor	1	Aug. 9, 1985
<u>Prince of Songkhla University</u>			
	Development Training Advisor	1	Aug. 31, 1986
	Documentor	1	Aug. 31, 1986

Decentralized Development Management Project
(AID Project No. 493-0315)

Mission Assessment of Mid-Term Evaluation

This report summarizes USAID/Thailand's response to and lessons learned from the mid-term evaluation of the DDMP Project. The mid-term evaluation was completed in June, 1984.

The evaluation generally impressed the Mission as a sound and carefully prepared document. An indication of the RTG's reaction can be gleaned from the rapid action taken by the Prime Minister's Office in accepting the evaluation recommendations and clarifying project goals of the project only one week after the draft report was delivered to the Minister responsible for the project. Project officials within USAID and the RTG are in agreement that the challenge at this stage in the project's development is to obtain maximum benefit from existing project resources before the PACD. While serious structural flaws and personnel shortcomings remain, the anticipated benefits to be gained from project completion outweigh the advantages of de-obligating project funds. The lessons learned from the project to date, concerning the management structure of the Thai Government and the project itself, are extremely useful. These lessons do not negate principles of Community Management but are related to aspects of project design such as management structure, project communications and project objectives.

General Recommendations of the Mid-Term Evaluation Report

The executive summary of the evaluation report cited three general recommendations:

- 1) Clarification of the purpose and objectives of the project and a resultant consensus among key personnel.
- 2) A revised LOP Workplan that is congruent with the agreed project purpose and objectives and which includes verifiable indicators for measuring the progress toward achieving these objectives.
- 3) Quarterly reporting by the TAT utilizing the verifiable indicators as measurements of progress toward achieving project objectives.

The problems requiring corrective action as proposed by recommendations 1) and 2) above have characterized the project since its initiation. Indeed, the first and second annual assessments of the project (prior to the mid-term evaluation) included the same recommendations. The substantial progress towards implementation of these 3 general recommendations by TAT and the RTG that has occurred subsequent to the evaluation demonstrates the acceptance by and strong commitment of the RTG in attaining the objectives of the project.

The mid-term evaluation report served as a catalyst by initiating or bringing to completion important improvements in project purpose and management.

Clarification of the Project Purpose

Realistic planning and monitoring is essential for sound management. A project with an experimental focus seeking to promote institutional change embodies a far greater number of variables than a simple construction project. If generally accepted tenants of social and physical research are adhered to, a project seeking institutional change should devote a proportionally greater amount of funding, time and energy to planning and monitoring than would be allocated to an equivalent project dealing with more easily fixed and predictable variables. Yet, this was not done.

An evolving project can be expected to require modifications of the project purpose. The history of the DDMP project has demonstrated the need for designing into the project the capacity for effective reorientation of project objectives. Subsequent to adapting objectives appropriate for changing situations is the requirement for adequate communication of the changes to project participants. A project as complex as DDMP should have a well established communications system. Steps were taken immediately after the evaluation to inform all project personnel of the project purpose as interpreted by project management. The restated project purpose is refined and more focused than the original statement in the PP.

The RTG is interested in models or policy recommendations which it can use to: 1) improve the efficiency of the Tambon organizations to manage their own affairs thus relieving the RTG of responsibilities it currently must bear and 2) improve the effectiveness of RTG support services to Tambon organizations. These recommendations will initially come from TAT in the form of reports and be reviewed by the National Working Group (NWG). Based upon the reports, experiments or alternative managerial and support arrangements will be designed, executed and evaluated in DDMP provinces by teams composed of TAT, RTG and resource institute personnel. Successful initiatives will be used as justification for wider application outside of DDMP provinces. Verifiable indicators included in the FY85-86 workplan will be the number and quality of TAT reports, the number and quality of experiments that go forward and the number and success rate of policy changes initiated by the RTG based upon the results of the experiments.

The Mission supports the recent RTG interpretation of the Project Purpose. While not mentioning decentralization as described in the Project Paper, the restated project objectives, if achieved, will strengthen the local organizations as well as giving them greater access to government and non-government resources. Stronger, more capable local organizations will serve local needs better and reduce the burden on the National Government. Improved local capacity is a precondition to decentralization.

DDMP Workplan

An 18 month workplan covering FY85 and the first six months of FY86 was completed in September, 1984. The objectives of the workplan were:

- 1) Restate the project purpose in compliance with current RTG objectives;
- 2) Define areas of emphasis for TAT in order to focus their efforts in a coordinated fashion. (The areas defined are Tambon structure, Tambon planning, RTG support systems, RTG monitoring systems and human resource development).
- 3) Assign specific budgets, time limits and responsible organizations to each activity in the workplan.
- 4) Design in flexibility in the form of an adequate contingency fund to allow for justified workplan and budgetary changes.

The current workplan incorporates changes based upon lessons learned thus far in the project. While by no means a guarantee of success, the current workplan and budget differs from past workplan exercises in several significant aspects. For the first time the budget recorded in USAID, DTEC and REGP files will be identical. An earmarked contingency fund will allow rapid adjustments of activities without the lengthy process now required, and TAT will have a prescribed focus of activities. These activities are the result of extensive and in depth consultations between all project participants and represent a distillation of the most important needs of the RTG as expressed by the senior officials of the NWG. The workplan is based upon a project purpose which has been clearly and universally communicated to TAT and RTG officials who are in turn communicating that purpose to Tambon representatives.

Project Management Team

The mid-term evaluation underscored the value of clearly defined contracts and regular contractor reporting. Novel elements of the DDMP project design such as the mixed Loan/Grant arrangement require a carefully tailored project management system. By opting for host-country contracting, USAID consciously reduced its management role. The RTG has a fine record for executing Host Country Contracts. However, the involvement of several ministries in DDMP with a prior record of limited coordination should, in future projects, elicit a project paper devoting considerable detail to the various roles and interrelationships of the participating organizations. This is especially important when the consulting companies chosen to provide technical assistance represent competent political entities in and of themselves. One company is run by a retired Minister still active in RTG affairs. Another company is run by a governor in the RTG.

Clear benefits have been demonstrated by the presence of a senior full time RTG project manager with adequate staff. Unlike many USAID projects, the provision of a full time RTG project manager was not a condition precedent for DDMP. Indeed there were no conditions precedent for disbursement of grant funds. The RTG has recently assigned three full time mid-level officials to the project and the Mission believes this may begin to concentrate project management decision making within the RTG.

Future Prospects

The RTG through the DDMP Project has shown potential for initiating imaginative approaches to resolving traditional community management problems. The USAID objectives for the remainder of the project are:

- 1) Encourage improvements when and where possible in the project management structure;
- 2) Support the RTG and TAT in achieving objectives within the five areas of emphasis;
- 3) Encourage development of the NWG as a forum for examining developmental issues.

Specific Findings of the Mid-Term Evaluation Report

Finding #1

"The program is innovative in its structuring of a feedback system to relay policy-relevant information about local level realities to decision makers."

The Mission concurs with this finding, however, the feedback is sporadic or not yet occurred. A basic problem is reliance on the Changwat based team to provide this policy relevant information about local level realities. An alternative and possible improvement to the existing system has been suggested by Governor Meechai, the head of one of the consulting companies contracted under the project. Governor Meechai proposes placement of Thai volunteers in each Tambon council. The volunteers would act as secretary/proposal writer/ animator for the council and as a source of solid information for the provincial TAT team. This proposal will be discussed by the working group in November.

Finding #2

"Basic problems which plague DDMP may be linked to differences in perceptions of project intent, symbolized by the lack of congruence between the Thai name. Improvement of Tambon efficiency and the English name."

Differences in perception of an evolving project can be anticipated and planned for. It has been pointed out that the difference in the names of the project in Thai and English is not a problem per se but rather symbolizes the broader problem of differing interpretations. A project such as DDMP should therefore have a relatively more effective communications system than a project with static objectives. The communication system in this project has been sluggish in transmitting new ideas and concepts. The Khon Kaen meeting in July of this year was unique in the history of the project and satisfied project participants' needs for consistent and timely information. Two of the Provincial Governors attending the Khon Kaen meeting stated that it was their belief that if such meetings had been held on a quarterly basis from project initiation, project performance would have been greatly improved.

Findings #3, #4, and #9

Finding #3 - "Because of the close link between REGP and DDMP, any decision regarding the future of DDMP must be made within the context of policy developments relating to the REGP and/or successor structures."

Finding #4 - "A system of greater interdependency seems to be developing. Although tambons are increasing their capacity to plan

and implement more projects, this is offset to some degree by increased demands upon the central government for increased technical and financial support."

Finding #9 - "It appears that DDMP end-of-project findings are unlikely to be utilized if they require substantial cross-ministry cooperation and coordination or additional RTG funding."

The findings in this group should be considered as observations of political realities in Thailand. These observations should be taken into account when planning future projects of this type in Thailand.

Finding #5

"Co-mingling of USAID and REGP funds is not happening and in most cases these funds are clearly identifiable all the way down to the tambon."

The Mission is conducting a fiscal review prior to a scheduled AID audit of the project in FY85. The RTG has stated that the funds are comingled and that the evaluation misconstrued REGP field disbursement procedures.

Findings #6 and #8

Finding #6 - "Effectiveness of the National Working Group (NWG) is limited by time and bureaucratic focus, as well as by fundamental misunderstanding and lack of consensus regarding NWG functions and overall project purpose."

Finding #8 - "Paper work is bottlenecked as communications flow from TAT to the National Working Group (NWG) through the inadequately staffed REGP."

These are valid observations. The critical importance of the National Working Group to the management and direction of the project, however, makes these observations central to understanding the constraints on project performance. The NWG is the focal point of decision making in the RTG.

The recent progress made in responding to the recommendations of the evaluation was made only after a great deal of time was devoted to the project by a great many senior Thai officials from Minister Meechai's Office and the National Working Group. The NWG is composed of about twenty officials from 5 different ministries and 11 diverse agencies.

The forum of senior officials represented by the NWG is potentially a unique and valuable entre into the rural development policy area of the RTG. However, such a diverse body is not an efficient mechanism for dealing with daily project management and supervisory functions.

Compounding the structural management constraints are the lack of a full time REGP Project Manager (the current manager is able to spend only 10% of her time on the Project) and the fact that many management decisions must be submitted to the Minister for approval.

Finding #7

"Confining DDMP sub-projects to REGP guidelines constitutes a significant constraint on the generality of the project's value."

Presently 7.5 million dollars of this 10.5 million dollar project are comingled with the general REGP program funds. This arrangement was a collaborative mechanism devised to provide an entre into policy dialogue with the RTG concerning Rural Development issues.

In discussions with the RTG, the Project Officer has proposed that some percentage (40% - 100%) of the loan funds be reserved for use by the elements of the National Working Group. Comingled loan funds will thus be used to attain discrete objectives of the DDMP Project. This proposal has been accepted by the RTG and a formal request to USAID is forthcoming.

Findings #10, #11, #15, #18 and #20

Finding #10 - "Contracts were written at a level of generality which leave individual firm obligations unclear."

Finding #11 - "There appears to be a lack of contract supervision by the project agency (REGP). Further, the terms of the contracts do not appear to provide a mechanism for this purpose."

Finding #15 - "Better management of day to day operations of TAT in its first year would probably have made major differences in where DDMP stands today."

Finding #18 - "Roles with regard to field monitoring lack clarity."

Finding #20 - "Role definitions as reflected in recent TAT reorientation documents are consistent with the spirit of the project, but not with some provisions of the contract job descriptions."

The project has provided some valuable lessons regarding contract management and organizational structure. Role definitions are again cited in these findings as areas requiring clarification.

It is generally acknowledged that the contracts were poorly written. The reason given is that the Project Officer at the time was involved in matters related to the tax problems of the consulting companies. Currently there are four Host Country

contracts with three companies and one university. The level of generality within the contracts would be less important if there were a formalized method for monitoring, coordinating and supervising the contractors. The contracts were written individually. Inter-contract coordination was originally designed to be accomplished through quarterly Coordinating Committee meetings with representatives from the RTG, USAID and the contracting companies in attendance. Experience has shown, however, that effective coordination requires attention at more frequent intervals. In an attempt to meet this need for more timely attention some interesting, informal and unforseen ad hoc relationships have developed.

This informal coordination has allowed some project progress. However, with this project, as with most USAID projects, there are personnel changes. Changes in personnel beget interpretive changes in management style. Adequate communications of these changes has not always occurred and therefore, the evaluation team recorded several different impressions of the project purpose in different RTG agencies and at different levels of the government hierarchy.

Finding #12

"TAT serves highly valued staff functions for the REGP secretariat, provincial governors and district officers."

TAT has performed staff functions in the provinces for a variety of reasons. Early in the project, lack of a specific role led the TAT employees, most of whom were former mid-level government employees, to offer their services to governors and district officers. The field TAT reported that they saw this move as a means of gaining the trust of the provincial officials.

At the national level, the lack of REGP staff placed the burden of what should have been RTG staff functions, upon TAT.

Finding #13

"TAT value to RTG agencies represented on the NWG has not yet been established."

This finding is not completely accurate as the Ministry of Interior officials in the provinces found TAT very useful albeit not always for demonstrable project objectives. At the national level, the Engineering Advisor was seen by the Community Development (CD) and Accelerated Rural Development (ARD) Departments as being particularly valuable.

Finding #14

"The data are not in regarding TAT ability to facilitate relationships serving the long-term goal of creating self-sustaining local development action.

Self-sustaining local development action was not and is not a realistic goal of the project. Minister Meechai in his speech in Khon Kaen stated that increased effectiveness of the tambons in the 12 project districts would be very easy to attain given the additional resources allocated to those districts. The Minister went on to say that models for national development were more important for Thailand's future and the development of models for improving tambon councils and national RTG support services were the objectives of the project.

The Mission supports the Minister's view that development of national or regional models with remaining project resources is a justified and worthwhile goal of the project.

Finding #16

"Indicators of project performance are at a global non-measurable level not at the operationally concrete verifiable level."

The Mission supports this finding. While projects that seek institutional change involve many more subjective factors than construction projects, for example, it does not follow that less rigor is required for managing and monitoring institutional change projects. "Learning process" projects must have built-in means to assess the learning process itself--rather being glibly dismissed as experimental, pilot activities. If we are teaching, how do we learn? Indeed, due to the greater degree of conceptual ability required for institutional change projects, it would follow that clearly defined and communicated objectives are of even greater importance than would be the case with more traditional projects. The evaluation team felt that due to their limited time in-country that verifiable indicators should be determined by those involved with the project. Project progress could not be easily indicated in the absence of indicators. At the time of the evaluation the project was in great need of demonstrating progress to the RTG and to USAID.

Finding #17

"Plans to institutionalize the "learning laboratory" approach through the use of local resource institutions have not materialized to date and concerted action is required to maximize future prospects."

There is a history of reluctance on the part of the RTG to support resource institutes with DDM Project funds. Past experience with "ivory tower" reports of dubious relevance is often cited as the reason. As a result the funds committed to Resource Institutes have remained unspent.

In order to resolve this problem and utilize RI talent, a team approach has been proposed that would utilize RTG and RI personnel to obtain the desired mix of relevance and technical competence.

Finding #19

"The question of the degree of adherence to the annual workplan remains an unsettled and unsettling issue affecting the Working Group, TAT/Bangkok and TAT/field."

The absence of a unified and common workplan from 1981 to 1984 was noted in the annual assessments in 1981 and 1982 and in the mid-term evaluation of 1984. The project budgets used for project management by DTEC, REGP, TAT and USAID were not consistent with one another. In 1983/84 TAT/Bangkok staff were sending out contradictory messages regarding the importance of the workplan. The effectiveness of even the most carefully prepared workplan would be compromised under such circumstances. The development of an internally consistent, mutually agreed upon and comprehensive workplan was the objective of a workshop in Hat Yai in August 1984.

Finding #21

"Placement of ARD technicians at the district level is credited as an unqualified plus at all levels by our informants. This has relaxed a major local level constraint on undertaking relatively large construction projects: the lack of needed technical expertise. A by-product has been the ability to handle large scale, including cross-tambon, projects (roads, dams, and bridges) meeting accepted technical standards."

Mission concurs with the continued outstanding work in this area by the Engineering Advisor and the TAT/field team.

Finding #22

"Local approaches only are capable of handling projects of relatively limited scale. Tambon financial and technical constraints, as well as RTG regulations, limit expansion of tambon maintenance responsibilities to larger works, such as cross-tambon projects. Efforts have been initiated to begin to test new local maintenance approaches, but funded maintenance arrangements are not yet universally in place."

Efforts have been initiated to test local maintenance approaches and to assess methods for introducing maintenance criteria in tambon project approval procedures.

Recommendation #1

"That this evaluation report be used to initiate a process working toward fundamental agreement on the objectives and purposes of DDMP, a process involving both action and discussion."

The evaluation has clearly acted as a catalyst, initiating important new developments and accelerating ongoing activities. Within one month after completion of the evaluation significant progress was made in the three key activities recommended by the report, i.e.:

- 1) REGP called a meeting specifically for the purpose of clarifying project goals.
- 2) TAT issued a quarterly report.
- 3) REGP, DTEC, USAID and TAT agreed to issue one budgeted workplan with specific targets, time schedules and assigned responsibilities.

Recommendation #2

"Clarify and reach consensus on the ultimate goals and objectives of the DDMP Project."

Subsequent to the evaluation a series of meetings in July and August served to clarify the project purpose, goals and specific targets. There is general agreement within that National Working Group that this is a desirable state of affairs and that it is the first time in the project's history that such an agreement has been achieved. The Mission concurs with this assessment and is encouraged by the strong and rapid RTG response.

Recommendation #3

"Clarify roles with respect to (a) setting policy directions for DDMP/TAT and (b) monitoring TAT activities."

The NWG is contractually responsible for (a) and (b) above. The NWG is exercising these functions in the absence of a legitimate supervisory body (person) for TAT. A committee of senior officials is not an efficient means of contract supervision. The Mission has encouraged the RTG to appoint a full time senior official to manage the project, however, pending RTG action in this direction the NWG is continuing to exercise these responsibilities.

Recommendation #4

(The RTG should) "Name a representative from the DDMP Sub-committee or National Working Group to chair the (Contract) Coordinating Committee, and empower the chair to resolve conflicts when the Coordinating Committee cannot reach a consensus."

The Coordinating Committee meets quarterly. The meetings are useful in terms of discussing and clarifying some issues. The vague nature of the contractual relationships does not allow the Coordinating Committee to reach conclusive decisions and therefore the evaluation team recommended a permanent RTG chair person be named. The Mission has indicated its support for this recommendation to the RTG.

Recommendation #5

(TAT should) "Determine which of its current activities are directly related to DDMP objective and which are peripheral. Proceed to allocated resources accordingly".

TAT/Bangkok and TAT/Field personnel have remarked on the difficulty of prioritizing objectives which are not consensually agreed upon. The workplan completed in September limits activities to five areas of emphasis. Funds are allocated for each area; responsibilities assigned and completion dates set.

Recommendation #6

"Accelerate efforts to integrate Thai resource institutions into the "learning laboratory" system."

During discussions in August and September, the NWG proposed the establishment of multi-disciplinary teams composed of RTG, Resource Institute, TAT and village participants. These teams would examine specific problems identified by TAT and REGP.

Recommendation #7

(TAT should) "Develop a comprehensive set of system performance indicators for internal and external management purposes. Monitor DDMP organizational and operating systems."

The workplan developed by TAT and the RTG incorporates the performance indicators. The RTG will be responsible for monitoring DDMP organizational and operating systems.

Recommendation #8

(TAT should) "Ensure production and distribution of materials for tambon council use in designing and implementing multi-year tambon development programs. The materials should include, at a minimum, identification of relevant information requirements, specification of project selection criteria and implementation procedures."

Without exceptional tambon leadership and/or the person to person contact embodied by Governor Meechai's "tambon volunteer" proposal, it is doubtful whether materials given to the tambon council would achieve the targets mentioned in this recommendation. TAT does not have the authority to ensure the attainment of these targets. Identification of the most appropriate means for attainment of these targets is more closely aligned with TAT's capabilities and the project goals as defined in the workplan.

Recommendation #9

"Provide clear and succinct definitions of the components of the learning lab, and specify when, how, and where these components are going to operate during the remainder of the Project."

This recommendation is being followed through development of the budgeted workplan for the remainder of the Project.

Recommendation #10

(TAT should) "Submit regular reports summarizing the performance of the learning lab (based on verifiable performance indicators, rather than brief summaries of field reports) to DDMP participants and other interested persons and agencies of the RTG and AID."

TAT responded to this recommendation within one month of the evaluation report. Improving the quality of the quarterly reports and TAT/field summaries remains a challenge.

Recommendation #11

(TAT should) "Develop a list of general priorities to apply to materials going before the National Working Group, which will reflect the ability of the Group to implement changes."

TAT does not have the authority to control the NWG agenda. TAT has traditionally proposed items for consideration, however, the NWG makes the final selections. The stature and influence of the TAT Project Coordinator determines to a large degree NWG acceptance of TAT proposals.

Recommendation #12

(TAT should) "Keep interested agencies informed of DDMP progress and developments on a regular basis, in a form congruent with current administrative practice."

TAT is contractually bound to provide reports on its progress.

TAT quarterly reports and regular meetings are designed to follow-up this recommendation.

Recommendation #13

"Establish stronger links between TAT/Bangkok and the TAT field teams. In order to do this, determine whether to supplement current Bangkok staffing, at the expense of terminating one of the field teams."

Termination of field team staff is not an option according to the Coordinating Committee. The Bangkok field link depends upon the capacity/volition of the IAT/Bangkok staff to visit and support the field staff. The former PC and the engineering advisor have travelled quite frequently. Management issues have been dealt with in the past by inviting TAT field to central locations for meetings.

In the future, there will be less reliance on central meetings and an increase in the travel of Bangkok staff for resolution of operations and management issues.

Recommendation #14

"TAT should provide a detailed phase-out plan that is acceptable to all parties no later than one year prior to phase-out of TAT staff."

The current workplan was collaboratively designed to accomplish specific objectives before project completion. The objectives are ambitious and all targets may not be obtained. The NWG, however, felt that it was prudent to encourage a high level of effort from all project participants. A contingency fund is included in the current workplan budget to allow extension of some TAT contracts, if necessary, beyond the February 1986 contract completion date up to the PACD in August, 1986. No additional project funds will be required. The NWG will decide to approve or disapprove contract extensions based upon TAT performance in FY85.

Recommendation #15

(AID should) "Take the steps to see that USAID funds are not distinguishable from RTG funds, if the desire of the project is to co-mingle funds."

USAID/Thailand received a response to this question from the RTG in October. According to the REGP Secretariat, the funds are co-mingled and the evaluation team was misinformed by local officials. In addition to eliciting this response from REGP, USAID is conducting a financial review of REGP financial procedures from the national to the tambon level.

Recommendation #16

(AID should) "Provide the incoming Project Officer with sufficient operating expense funds to enable him to effectively perform his difficult assignment, involving a non-traditional project."

The evaluation team felt that frequent travel of the Project Officer to the DDMP project Provinces contributed to sound management of the project. The Mission allocates travel funds based upon anticipated requirements as reported by the Project Officer. Adequate travel and support funds have been requested for FY85.

Recommendation #17

(AID should) "Provide the incoming Project Officer with sufficient time and resources to study the Thai language intensively."

It is Mission policy for Project Officers to receive adequate language training. The former Project Officer had an FSI S-4 level. The present Project Officer is presently undergoing language training with a goal of FSI S-3 by 6/85.

Recommendation #18

"Relieve DDMP from strict adherence to REGP project guidelines."

The RTG and USAID concur and steps have been taken to change REGP guidelines to permit co-mingled REGP funds to be spent according to DDMP guidelines as detailed in the workplans.

Recommendation #19

"Extend DDMP only if a set of generally acceptable objectives is produced, and appropriate strategies and organizational structures are created."

The probable benefits to be derived from a PACD extension or LOP funding increase will depend upon the project progress towards attainment of project objectives in the coming year. Demonstrated progress will be required by the RTG and USAID in order to justify any extension or funding increase.

Recommendation #20

"Provide a technician (similar to the ARD technician) on a permanent basis at the Amphoe level."

The RTG has stated that provision of additional civil service personnel at the Amphoe level is beyond the financial means of the government at this time. Alternative ideas are being explored such as the extension of the present "volunteer program" at the district (Amphoe) level. Recommendations for promoting this program will be developed by TAT and the experimental design teams. Final decisions concerning the recommendations will be the responsibility of the RTG.

Recommendation #21

"Ensure that local-level maintenance arrangements are linked to provincial and national programs and policies."

Recommendations concerning local level maintenance arrangements have been produced by project participants. Follow-up action and assurances of linkages are the responsibility of the RTG agencies assigned to these areas. TAT is closely monitoring the development and applications of local level maintenance arrangements.

Recommendation #22

"Give priority in maintenance planning to larger, cross-tambon projects whose maintenance requirements will be more demanding in terms of organization, complexity, and funding support."

Maintenance planning at the tambon level is one of five areas of emphasis for project activities in the coming year. Maintenance planning for larger, cross-tambon projects is not a specific objective of the project.

THE 1985-86 WORKPLAN

The Decentralized Development Management Project

and

The Technical Assistance Team

The Secretariat of the Prime Minister

12 September 1984

TABLE OF CONTENTS

	<u>Page</u>
1. Prerequisites for Implementation of 1985-86 Workplan	1
2. Summary and Overview	2
3. Detailed Description/Explanation	6
4. Time Frame and Budget For Completing Studies and Experiments	14
5. Budget Summary	16

THE 1985-86 DDMP/TAT WORKPLAN

INTRODUCTION

The Decentralized Development Management Project (DDMP) has the very important objectives of developing capacities of local people's organizations at the tambon level and improving the rural development support systems. The Sub-Committee on the DDMP Administration and the National DDMP Working Group have specified the following 4 areas of emphasis as operational guidelines for achieving the objectives of the Project.

1. The structure, roles, authority and responsibilities of committee members of the tambon council and other organizations in the tambon.
2. Planning, implementation, financial, and maintenance systems.
3. Monitoring and evaluation system for rural development.
4. Systems concerning human resource development and other pertinent components for rural development.

Studies and experimentations are to be conducted in 12 districts of the 6 target provinces in order to find appropriate models/approaches for each specific area of emphasis before such models/approaches are to be replicated in other areas outside DDMP.

The Technical Assistance Team (TAT) and the National DDMP Working Group jointly prepared the workplan for 1985-86 which covers the period of 18 months from September 1984 to March 1986. In preparing this workplan, meetings were held several times and finally resulted in this final workplan. Based on this workplan, TAT will periodically obtain approvals from the National DDMP Working Group for detailed operational plans in each area of emphasis.

It is anticipated that the 1985-86 DDMP/TAT Workplan, which was approved by the Sub-Committee on the DDMP Administration on September 12, 1984, should be useful for all parties concerned in carrying out their tasks and that operations of TAT and the National DDMP Working Group in the remaining period of the project will accomplish the objectives, as stated in this workplan.

The Decentralized Development Management Project

September 12, 1984

PREREQUISITES FOR IMPLEMENTATION OF 1985-86 WORKPLAN

The major requirements for implementing the 1985-86 Workplan according to the targeted dates and budget consist of:

- (1) identifying and involving representatives of appropriate agencies and resource institutes (NGO's and universities) in the DDMP as quickly as possible
- (2) the timely provision and release of project funds for meetings, studies, and experiments

Project success depends on an extremely responsive administrative and financial system oriented toward action and achieving project goals. The National Working Group, REGP, DTEC, and USAID must place high priority on getting the job done in the extremely limited time frame. With a renewed sense of urgency, mission, and administrative efficiency, the project goals can be achieved by the end of project.

Therefore, it would be useful for the National Working Group, REGP, DTEC, and USAID to identify how they will contribute to the timely implementation of the Workplan. They should meet and outline how they will streamline their financial and communication systems for achieving project goals. Prior agreement on key procedures for releasing funds for all meetings, studies, and experiments would be helpful.

SUMMARY AND OVERVIEW

OBJECTIVES

The 1985-86 DDMP Workplan is designed to achieve two major objectives by the end of project in 1986:

(1) Find appropriate models and approaches for strengthening the capacities of tambon councils and other organizations in the tambon in solving problems and rural development.

(2) Find appropriate models and approaches for strengthening the support systems of government agencies at the district and provincial levels as well as private sector for the Sapa Tambons and other organizations in the tambon.

AREAS OF EMPHASIS

The scope of work for achieving these objectives includes five interrelated areas of emphasis:

- (1) The structure, roles, authority, and responsibilities of the Sapa Tambon, Village Committee, Tambon Working Group and other organizations in the tambon.
- (2) Planning, implementation, financial, and maintenance systems.
- (3) Support systems of government agencies at the district and provincial levels, private sector as well as other organizations in the tambon.
- (4) Monitoring and evaluation system for rural development.
- (5) Systems concerning human resources and other pertinent components for rural development.

STRATEGY AND OPERATIONAL PERIOD

The DDMP begins phase-out in 1985. Therefore, this workplan prepares for project completion in 1986 with the following strategies:

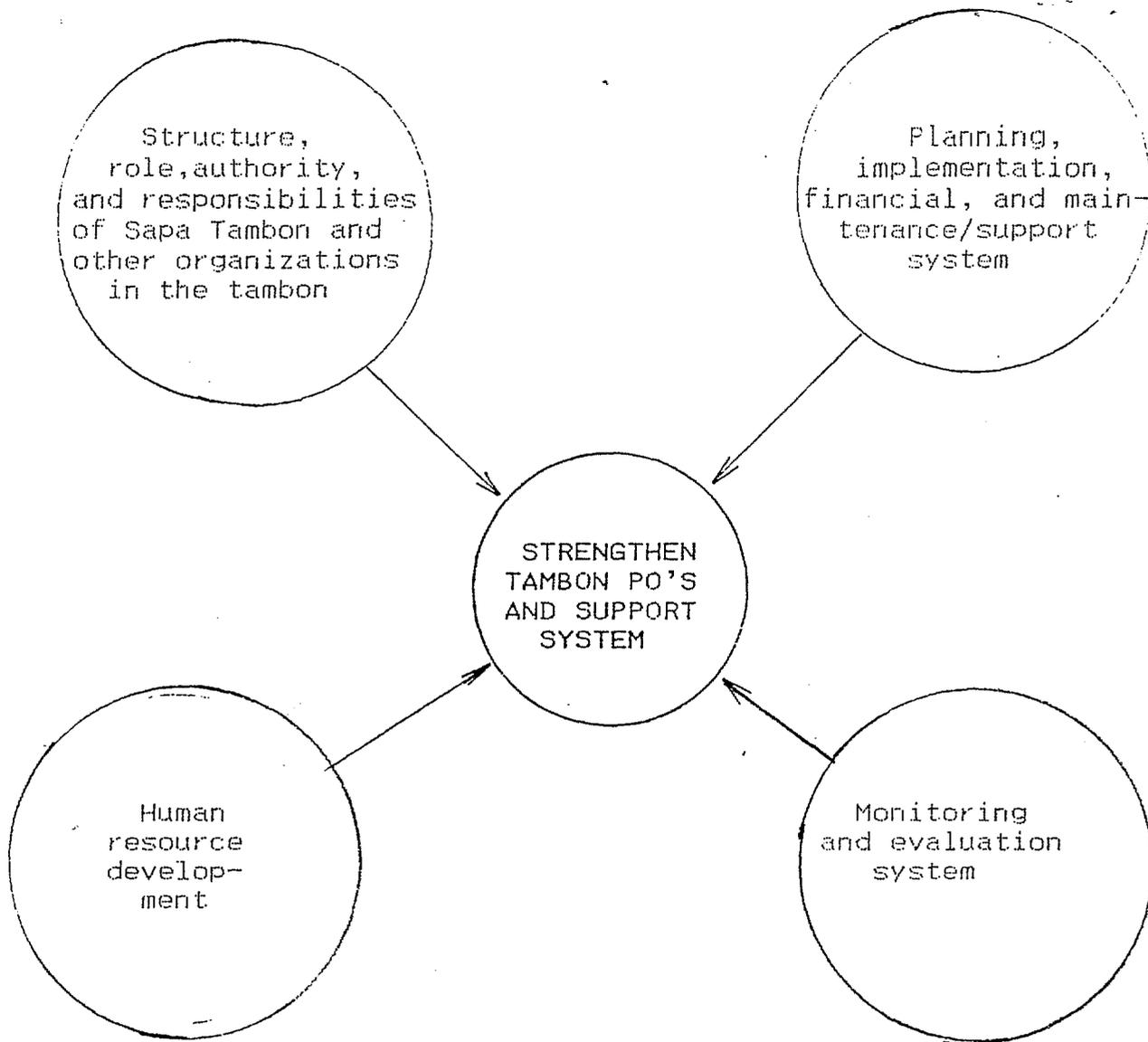
- (1) Covers an 18-month period (September 1984 - March 1986).
- (2) Places primary emphasis on completing studies and experiments which produce useful results.
- (3) Analyzes findings of studies and experiments to make recommendations to the government.

- (4) Prepares for dissemination of project results by the government.

The relationship between objectives and the scope of work is depicted in Figure 1.

FIGURE 1

RELATIONSHIP BETWEEN PROJECT OBJECTIVE
AND SCOPE OF WORK



The studies and experiments completed for the five areas of emphasis will contribute to strengthening the Sapa Tambon and support system. Several studies and experiments will be completed in each of the five areas of emphasis to achieve the two primary objectives of this workplan and project.

Table 1 summarizes the scope of work within the framework of specific project outcome, activities, key roles, and estimated time and budget. The following sections of the workplan provide specific details for each section of this summary table.

TABLE 1
SUMMARY OF 1985-86 WORKPLAN

REGP = the Secretariat of REGP
DTEC = the Department of Technical and Economic Cooperation
WG's = DDMP Working Groups
RI's = Resource Institutes

OUTCOMES	ACTIVITIES	KEY ROLES						ESTIMATED			
		TAT	REGP/ DTEC	WG's	Govt. Agcy.	RI's/ Special	Oth.	Time	Budget (baht)		
1. <u>Completed action-oriented studies on:</u>	1.1 <u>Compile field data, complete studies, and analyze data</u>	1.1.1 Summarize findings from field to date	X						2 weeks		
		1.1.2 Outline issues and design framework for Special Meeting I	X	X					1 week		
		1.1.3 Organize Special Meeting I	X	X	X				1 week		
		1.1.4 Attend Special Meeting I	X	X	X	X	X	X	3 days	100,000	
		1.1.5 Conduct remaining studies	X			X	X		2-4 months	1,200,000	
		1.1.6 Analyze data and write reports	X			X	X		1 month		
	C. Monitoring and evaluation systems	1.2 <u>Review research findings and propose experiments</u>	1.2.1 Organize Special Meeting II	X	X					1 week	
			1.2.2 Attend Special Meeting II	X	X	X	X	X	X	3 days	100,000
			D. Human resource development and other pertinent components for rural development.								

TABLE 1--continued

OUTCOMES	ACTIVITIES	KEY ROLES						ESTIMATED	
		TAT	REGP/ DTEC	WG's	Govt. Agcy.	RI's/ Special Re- search Team	Oth.	Time	Budget (baht)
2. <u>Tested experiments on:</u> A. Structure, roles, authority & responsibilities of organizations in the Tambon B. Planning, implementation, financial, and maintenance systems C. Monitoring and evaluation systems D. Human resource development	2.1 <u>Design experiments</u>								
	2.1.1 Design experiments	X			X	X		1 week	
	2.1.2 Gather data for evaluation of experiments	X			X	X		2 weeks	
	2.2 <u>Implement experiments</u>								4,500,000
	2.2.1 Prepare materials	X		X	X	X		3 months	
	2.2.2 Conduct field experiments	X			X	X		9 months	
	2.2.3 Monitor and evaluate at experiments	X	X	X	X	X		on-going	
	2.3 <u>Evaluate experiments</u>								
	2.3.1 Analyze results, write reports, and propose models, prepare for Special Meeting III	X			X	X		1 month	
	3.1 2.3.2 Attend Special Meeting III	X	X	X	X	X	X	3 days	100,000
3. <u>Dissemination of DDMP studies/experiments</u>	3.1 <u>Disseminate Rural Development Models</u>								
	3.1.1 Recommend models for dissemination			X					
	3.1.2 Attend National Conference on Rural Development and Management	X	X	X	X	X	X	1 week	300,000

TOTAL 6,300,000 baht

DETAILED DESCRIPTION/EXPLANATION

1.1 COMPILE FIELD DATA, COMPLETE STUDIES, ANALYZE DATA

DDMP will focus on completing all field studies within the five areas of emphasis. This study strategy is to move the project as quickly as possible into the experimental stage. The numerous studies completed to date will be summarized by TAT and completed and presented in the form of recommendations to the National Working Group. Key rural development representatives will be involved in identifying and designing the specific studies and experiments.

- 1.1.1 TAT will summarize all data it gathered since August 1982. The summaries will be the basis for identifying remaining research needs and specifying needed experiments.
- 1.1.2 TAT and REGP will meet in Bangkok early October 1984 to outline the issues and design the preliminary framework for the specific studies and experiments which will be finalized at Special Meeting I in late October 1984;
- 1.1.3 TAT and REGP will organize Special Meeting I. The purposes of this meeting will be to:
 - (1) determine which of the proposed remaining studies and experiments should be conducted
 - (2) generate ideas for additional studies and outline needed experiments
 - (3) organize special research teams to conduct the studies and experiments
- 1.1.4 The participants of Special Meeting I will represent key organizations, skilled in and concerned with rural development: National and local working groups, REGP, TAT, DDMP Pattani, government agencies, resource institutes (NGO's and universities), and USAID.
- 1.1.5 The research teams will assist TAT in completing the studies outlined at Special Meeting I and approved by the National Working Group. Examples of proposed studies are listed in Table 2.
- 1.1.6 The research teams will assist TAT in analyzing the data, writing preliminary reports of findings and submit the reports to the National Working Group. These reports will include the following useful information:

- (1) findings of studies
- (2) policy options
- (3) recommendations on what questions experiments should address
- (4) outline of proposed experiments

1.2 REVIEW RESEARCH FINDINGS AND PROPOSE EXPERIMENTS

DDMP will examine the research findings and develop several studies into field experiments for eventual dissemination by the government.

1.2.1 TAT and REGP, with approval of the National Working Group, will organize Special Meeting II. The purpose of this meeting will be to:

- (1) review findings of research teams
- (2) consider recommendations for experiments
- (3) propose additional suggestions for research and experiments

1.2.2 Participants of Special Meeting II will be the same people who attended Special Meeting I (see 1.1.4).

2.1 DESIGN EXPERIMENTS

The experiments will be designed by TAT and the research teams who were involved in completing the study stage for each experiment. The experiments will be designed so they can be monitored and evaluated for determining degrees of success and failure.

2.1.1 TAT and research teams will design experiments to answer questions identified by the National Working Group and other participants at Special Meeting II.

2.1.2 TAT and research teams will gather baseline data for later evaluation of the experiments

2.2 IMPLEMENT EXPERIMENTS

TAT will obtain approval and support of the National Working Group to involve research teams and representatives of government agencies concerned in preparing, conducting, and monitoring/evaluating the experiments.

2.2.1 Representatives of government agencies concerned, special research teams and TAT will prepare materials for field experiments. These will primarily consist of training and operational field manuals.

2.2.2 TAT and special research teams will collaborate with government agencies concerned in conducting the field experiments. Examples of possible experiments are listed in Table 3. The exact experiments will be determined (1) after completion of the studies and (2) by the DDMP working groups in consultation with TAT and the research teams.

2.2.3 The working groups, TAT, research teams and assigned government agencies will monitor and evaluate the experiments throughout the life of the experiments. They will make recommendations for needed adjustments in the experiments when necessary.

2.3 EVALUATE EXPERIMENTS

Upon completion of the studies and experiments, the DDMP participants will develop tested models for dissemination by the government. The National Working Group will determine which models should be recommended to the government for eventual dissemination.

2.3.1 Government agencies concerned, special research teams and TAT will jointly analyze results of the experiments, write final reports on each experiment, propose workable models of rural development based upon results of the experiments

A final report will be submitted to the National Working Group for consideration

2.3.2 Special Meeting III will be organized to address the issues raised in the reports and proposed models that have been considered by the National Working Group, as specified in 2.3.1, before they will be proposed to the government for replication. Participants will be the same people who attended Special Meetings I and II.

3.1 DISSEMINATE RURAL DEVELOPMENT MODELS

The National Working Group will determine which research and experimentation results should be proposed to the government for dissemination. A national meeting will be held for dissemination purposes.

3.1.1 National Working Group meets to determine which study recommendations and experimental models should be proposed to the government for final dissemination.

3.1.2 Approximately 250 rural development specialists will attend a national meeting to disseminate the study and experimental results of the DDMP to NGO's, various government agencies, and tambons. The meeting will be planned and organized by the government with financial assistance from the DDMP.

TAT = The Technical Assistance Team

WG's = Working Groups

Agcys. = Government Agencies Concerned

RI's = Resource Institutes

TABLE 2

1.1.5 EXAMPLES OF POSSIBLE REMAINING STUDIES

STUDY	PARTICIPANTS				LOCATION	ESTIMATED TIME	ESTIMATED BUDGET (baht)
	TAT	WG's	Agcys.	RI's			
Special research team							
A. <u>Structure, authority, and responsibilities of the Sapa Tambon and other organizations in the tambon</u>							250,000
1. How to Improve the Structure, Authority, and Responsibilities of the Sapa Tambon	6	7	3	3	6 DDMP provinces	6 months	
2. How to Improve the Structure, Authority, and Responsibilities of the Tambon Working Group	6	7	3	3	6 DDMP provinces	6 months	
3. How to Improve the Structure, Authority, and Responsibilities of the Village Development Committees	6	7	3	3	6 DDMP provinces	6 months	
B. <u>Planning, implementation, financial, and maintenance systems:</u>							350,000
1. Local Planning Strengths and Weaknesses: A Comparative Study of REGP and Others (Kor Chor Chor)	4	4	2	2	<ul style="list-style-type: none"> • Ubon • Mahasarakham • Pattani 	5 months	

TABLE 2 - continued

STUDY	PARTICIPANTS				LOCATION	ESTIMATED TIME	ESTIMATED BUDGET (baht)
	TAT	WG's	Agcys.	RI's/ Special			
2. Improving the Planning Support System at the Central, Provincial, District, and Tambon Levels	6	7	4	4 Research Teams	6 DDMP provinces	3 months	
3. Developing an Integrated Planning and Implementation Calendar	6	7	4	4	6 DDMP provinces	4 months	
4. Relationship Between Budget Allocations and Annual Plan Preparations	5	5	2	2	<ul style="list-style-type: none"> • Yasothon • Ubon • Sisaket • Pattani 	4 months	
5. Financial Administration System of the Provincial Administrative Organization	6	7	3	3	6 DDMP provinces	4 months	
6. Financial Management of the Sapa Tambon	6	7	3	3	6 DDMP provinces	4 months	
7. Financial System of Nonformal Groupings (Village Development Funds)	6	7	3	3	6 DDMP provinces	4 months	
8. Developing Appropriate Maintenance Systems	6	7	3	3	6 DDMP provinces	4 months	

TABLE 2 - continued

STUDY	PARTICIPANTS				LOCATION	ESTIMATED TIME	ESTIMATED BUDGET (baht)
	TAT	WG's	Agcys.	RI's/ Special			
C. <u>Monitoring and evaluation systems:</u>	Research Teams						150,000
1. Developing an Effective Local Monitoring and Evaluation System	6	7	3	3	6 DDMP provinces	5 months	
D. <u>Human resource development:</u>							400,000
1. Strengthening Local Leadership Skills	6	7	3	3	6 DDMP provinces	3 months	
2. Effective Decision-making and Problem-solving Techniques for organizations in the tambon	6	7	3	3	6 DDMP provinces	3 months	
3. Conducting Effective Meetings	6	7	3	3	6 DDMP provinces	3 months	
4. Gathering Information for Local Action	6	7	3	3	6 DDMP provinces	3 months	
5. Making a Group a Team	6	7	3	3	6 DDMP provinces	3 months	
6. Using Local Resources Effectively	6	7	3	3	6 DDMP provinces	3 months	
7. Khon Kaen University/ARD Local Technical Capacity Strengthening Program,	6	7	3	3	6 DDMP provinces	3 months	

TABLE 3

2.2.2 EXAMPLES OF POSSIBLE EXPERIMENTS

EXPERIMENT	PARTICIPANTS				LOCATION	ESTIMATED TIME	ESTIMATED BUDGET (baht)
	TAT	WG's	Agcys.	RI's / Special Research			
B.1 Improving the structure, authority and responsibilities of Sapa Tambon, Village Committee and Tambon Working Group					Teams 6 DDMP provinces	12 months	4,500,000 *
B.2 Improving the Planning Support System at the Central, Provincial, District, and Tambon Levels	6	7	5	7	6 DDMP provinces	12 months	
B.7 Financial System for Non-formal Groupings (Village Development Fund)	6	7	5	7	6 DDMP provinces	12 months	
B.8 Developing Appropriate Maintenance Systems	6	7	5	7	6 DDMP provinces	12 months	
C.1 Developing and Effective Local Monitoring and Evaluation System	6	7	5	7	6 DDMP provinces	12 months	
D.1 Strengthening Local Leadership Skills	6	7	5	7	6 DDMP provinces	12 months	
D.2 Effective Decision-making and Problem-solving Techniques for PO's	6	7	5	7	6 DDMP provinces	12 months	
D.3 Conducting Effective Meetings	6	7	5	7	6 DDMP provinces	12 months	

* Total budget for experimentation

TABLE 3--continued

EXPERIMENT	PARTICIPANTS				LOCATION	ESTIMATED TIME	ESTIMATED BUDGET (baht)
	TAT	WG's	Agcys.	RI's / Special			
D.4 Gathering Information for Local Action	6	7	5	7 Research Teams	6 DDMP provinces	12 months	
D.5 Making a Group a Team	6	7	5	7	6 DDMP provinces	12 months	
D.6 Using Local Resources Effectively	6	7	5	7	6 DDMP provinces	12 months	
D.7 Khon Kaen University and ARD Local Technical Capacity Strengthening Program	6	7	5	7	6 DDMP provinces	12 months	

TIME FRAME AND BUDGET FOR COMPLETING STUDIES AND EXPERIMENTS

STUDIES/EXPERIMENTS	1984	1985	1986
	SOND	JFMAMJJASOND	JFM
A.1 How to Improve the Structure, Authority, and Responsibilities of the Sapa Tambon	DDSS	SSSEEEEEEEEE	R
A.2 How to Improve the Structure, Authority, and Responsibilities of the Tambon Working Group	DDSS	SSSEEEEEEEEE	R
A.3 How to Improve the Structure, Authority, and Responsibilities of the Village Development Committee	DDSS	SSSEEEEEEEEE	R
B.1 Local Planning Strengths and Weaknesses: A Comparative Study of REGP and Others (Kor Chor Chor)	DDSS	SSSEEEEEEEEE	R
B.2 Improving the Planning Support System at the Central, Provincial, District, and Tambon level	DDSS	SEEEEEEEEEEE	ER
B.3 Developing an Interrelated Planning and Implementation Calendar	DDSS	SSEEEEEEEEE	R
B.4 Relationship Between Budget Allocations and Annual Plan Preparations	DDSS	SSEEEEEEEEE	R
B.5 Financial Administration System of the Provincial Administrative Organization	DDSS	SEEEEEEEEEEE	R
B.6 Financial Management of the Tambon Council	DDSS	SEEEEEEEEEEE	R

STUDIES/EXPERIMENTS	1984 SOND	1985 JF NABTUJASOH	1986 JFH
B.7 Financial System of Nonformal Groups (Village Development Funds)	DDSS	SSSSSSSSSSSSSS	ECR
B.8 Developing Appropriate Maintenance System	EEEE	EEEEEEEEER	
C.1 Developing an Effective Local Monitoring and Evaluation System	DDSS	SSSSSSSSSSSSSS	EER
D.1 Strengthening Local Leadership Skills	DDSS	SSSSSSSSSSSSSS	ER
D.2 Effective Decision making and Problem-solving Techniques for PO's	DDSS	SSSSSSSSSSSSSS	ER
D.3 Conducting Effective Meeting	DDSS	SSSSSSSSSSSSSS	ER
D.4 Gathering Information for Local Action	DDSS	SSSSSSSSSSSSSS	ER
D.5 Making a Group a Team	DDSS	SSSSSSSSSSSSSS	ER
D.6 Using Local Resources Effectively	DDSS	SSSSSSSSSSSSSS	ER
D.7 Khon Kaen University and ARD Institutional Development Program	DDSS	EEEEEEEEEEEEEE	ER

CODES: D = Design/preparation
 S = Study
 E = Experiment
 R = Models/recommendations proposed for dissemination

BUDGET SUMMARY

ITEM	BAHT	US DOLLARS
1. Studies	1,200,000	(52,173.90)
2. Experiments	4,500,000 ^{**}	(195,652.14)
3. Meetings	600,000	(26,086.94)
4. Special fund for studies/experiments of four ministries*	1,400,000 ^{**}	(60,869.63)
5. Contingency <u>1/</u>	670,988	(29,173.39)
TOTALS	8,370,988	(363,956.00)

* Proposals and expenditures must be approved by the National Working Group, REGP, DTEC, and USAID

1/ including 250,000 baht to be allotted to TAT for holding meetings in addition to regular funds

** These amounts do not include US\$ 3.3 million (approximately 75.9 million baht) which could be used for experiment projects in addition to the grant fund. However, proposals for such experiment projects together with estimated budget must be approved by the National Working Group, REGP Secretariat, DTEC, and USAID