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PRELIMINARY STUDY OF SECTOR MANAGEMENT

OUTLINE FOR PROJECT TO STRENGTHEN FIELD SUPPORT

Under Contract No. AID/otr C-1382
Work Order Number 4

Submitted To:

OFFICE OF DEVELOPMENT ADMINISTRATION
TECHNICAL ASSISTANCE BUREAU
AGENCY FOR INTERNATIONAL DEVELOPMENT

Prepared By:

DEVELOPMENT ASSOCIATES, INC.
1521 New Hampshire Avenue, N. W.
Washington, D. C. 20036

February 28, 1977

DEVELOPMENT ASSOCIATES, INC.
MANAGEMENT AND GOVERNMENTAL CONSULTANTS
1521 NEW HAMPSHIRE AVENUE, NORTHWEST
WASHINGTON, D. C. 20036
202/332-5293

March 3, 1977

Mr. Kenneth Kornher
Office of Development Administration
Bureau for Technical Assistance
Agency for International Development
Department of State
Washington, D.C. 20523

Dear Mr. Kornher:

Development Associates, Inc., (DA) is happy to transmit 50 copies of the report entitled "Preliminary Study of Sector Management - Outline for Project to Strengthen Field Support." This report, submitted in accordance with the provision of IQC Contract AID/otr C-1382, Work Order Number 4, should be considered a preliminary study as sector management is just beginning to emerge as a field needing special attention. Our recommendations, as required by the Work Order, are presented in Part IV in the form of an outline for the design of a project which would strengthen field support for sector management.

We have included in the Annexes the trip reports by Hiram S. Phillips to review the Provincial Development Assistance Project in the Philippines and by Bernard Fisken to review Project Invierno in Nicaragua. To complete the package selected bibliographic material is included in Annex 3.

It has been a pleasure to work with you and Alan Vestrich on this pilot effort. If we can be of further service, please call on us.

Sincerely,

Peter B. Davis
Senior Vice-President

PBD:eeb

Enclosures

ALBUQUERQUE — 120 MADEIRA DRIVE, NE, SUITE 303, ALBUQUERQUE, NEW MEXICO 87108 • 505/265-3651
DENVER — 1649 DOWNING STREET, DENVER, COLORADO 80218 • 303/831-0303
HOUSTON — 3220 LOUISIANA STREET, SUITE 203, HOUSTON, TEXAS 77006 • 713/522-2254
SAN ANTONIO — MILAM BLDG., 115 EAST TRAVIS STREET, ROOM 1401, SAN ANTONIO, TEXAS 78205 • 512/224-2319
LOS ANGELES — 2140 WEST OLYMPIC BLVD., SUITE 534, LOS ANGELES, CALIFORNIA 90006 • 213/487-5740

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I. INTRODUCTION

This report will describe the work undertaken by Development Associates, Inc., (DA) under IQC Contract No. AID/otr-C-1382, Work Order Number 4, and will outline a four-point action program for use in designing a project to strengthen field support for sector management.

In recent years the Agency for International Development has been giving increased attention to projects or groups of projects intended to bring significant economic and social change to key segments of developing countries. These sectoral activities are usually concentrated in defined geographic areas. Moreover, these activities reflect the congressional mandate for AID to focus efforts on the very poor.

These projects or project clusters are often large and complex and usually involve a combination of loan and grant funding as well as the delivery of several more or less related services to the poor in rural areas. Achievement of the stated goals in sector projects places heavy demands for improved management on the shoulders of developing countries.

While some aspects of sector management have received considerable attention, such as the work on commodity systems and the management of planned agricultural development, sector management, as such, has not received the attention now being addressed to project management. To help fill this gap, the Technical Assistance Bureau asked Development Associates (TAB/DA) to undertake preliminary exploratory work leading to the development of an outline for the design of a project which could strengthen field support for improved sector management.

Under this work order which called for 63 person-days of professional services, DA:

- Reviewed AID documentation on selected proposed and ongoing sector projects;
- Reviewed the FY-77 Congressional presentation for an overview of AID sectoral undertakings;
- Reviewed AID guidelines on the sectors as well as on project management;

- Undertook a preliminary literature search in sector management;

- Located a number of annotated bibliographies which included some references to management of sectoral activities; and

- Undertook brief field studies of two widely different sector projects: Invierno, an integrated agriculture development project in Nicaragua, and the Provincial Development Assistance Project in the Philippines.

In general, DA found that:

- Management is a critical factor in the success of integrated sector projects, especially in the delivery of services to the poor.

- Attention given this critical factor differs widely among missions ranging from a seeming lack of awareness of the importance of the management component to assistance of various magnitudes. This can often be the difference between success or failure in achieving project objectives.

- A contributing factor to the limited attention to sector management is that the references in the literature are so widely scattered (Such references are often found in unlikely writings or titles:) that the missions and LDC's lack information and awareness in this field.

- Many of the concepts and techniques tested under widely differing conditions in the Philippines and Nicaragua can be adapted for sectoral projects in other countries with the prospect of appreciable progress in the improvement of economic and social conditions.

- The design of a project to provide increased field support for sector management is not only feasible but is of critical importance in enabling AID to implement effective sectoral activities and respond to Congressional mandates. Such a project should include:

  - Resources and mechanisms for quick response to requests for assistance;

  - A system for making available significant experience and literature on sector management;

  - Action research to demonstrate the effects of improved sector management; and

  - A system for training of host country personnel in the application of appropriate concepts, methods, and techniques of sector management.

II. LITERATURE SEARCH

A. AID Documentation

1. Congressional Presentation

At the suggestion of TAB/DA, Development Associates undertook a cursory review of the 1977 Congressional Presentation to gain some impression of the nature and magnitude of the problem of sector management. Recognizing all the limitations of this approach, the results seem to have some significance.

DA was able to identify 36 sector projects which appear to involve appreciable management concerns. Twenty-two described some proposed management improvement activities and/or identified planned staff assistance in management areas. In 14 cases, however, the language used or the proposed staffing suggested little or no activity in this aspect of the program. To illustrate what we mean, one project has as its objective to "increase capability of the government . . . to analyze, plan, and implement agricultural development policies, programs, and projects in furtherance of its goal of improving the socioeconomic status of the rural people." Achievement of such a goal would seem to require some management activities, but the Congressional Presentation shows that all planned assistance in 1977 would be in the field of economics.

Obviously, it would be unwise to draw hard and fast conclusions from this analysis, especially as some of the differences in the way projects are described may be due to choice of words rather than substance. Nevertheless, three conditions seem reasonably clear:

- The number of sector projects involving substantial elements of management appears large enough to warrant increased field support from AID/Washington in the design, implementation, and evaluation areas.

- There is need for a system of exchange of information, as well as technical assistance, to enhance project preparation and minimize the need for each mission, LDC, and each project to "rediscover the wheel" in the field of sector management.

- With so many activities under way, many large and costly, it would be well to undertake some kind of action research both to effect change and to document the impact of increased attention to management in achieving sectoral goals and in improving service to the rural poor.

2. Project Review

In addition to the review of the Congressional Presentation, DA reviewed some 12 Project Papers and PRP's. These documents, selected by AID/W, all contained, as one identifiable component but often under different labels, an assessment of management needs and some courses of action to meet those needs. These documents as well as the Congressional Presentation show that, in the main, sector management is approached from two directions:

- First, and by far the largest category, projects designed principally to effect improvements in agriculture, health, education, or nutrition. In these projects improvement of management is approached as a major or minor device to achieve program objectives.

- Second, the unusual type of project represented by the Provincial Development Assistance Project (PDAP) in the Philippines which is designed principally to improve the capacity of local government to improve the well being of the poor.

In all cases, however, sector management goes well beyond any narrow definition of administrative services. It is not "a thing apart" but becomes closely intertwined with technical activities. Sector management may include judgment about the capacity of alternative local institutions to plan and implement the project, the implementation of a system for planning, methods of supervision by local technicians, use of a systems' approach in judging the resources required for service to the rural poor, manualization of operations to introduce discipline into various practices, application of a systems approach in determining whether additional crops will reduce or accentuate labor shortages, training and assistance in realistic methods of organizing the poor, means of running cooperative ventures, etc.

This broad approach to sector management is further supported by some of the literature discussed below.

3. AID-funded Studies

DA also supplemented its general familiarity with Harvard's work on commodity systems with a review of three recent AID-sponsored studies: Strategies for Small Farmer Development: an Empirical Study of Rural Development Projects, dated May 1975, by Development Alternatives, Inc., and Managing Planned Agricultural Development, dated August 1976, by Governmental Affairs Institute's Agricultural Sector Implementation

Project. Though focused on agriculture, this latter work addresses many of the issues of management that apply to all sectors. The third publication reviewed was Elements of Project Management, dated June 1976, produced by the U.S. Department of Agriculture in cooperation with AID.

4. Background on Invierno and PDAP

As the DA staff members prepared for their field work in Nicaragua and the Philippines, they reviewed in some depth, all available documents relating to these two projects for study, Invierno in Nicaragua, and PDAP in the Philippines. They thus were well prepared before undertaking their field inquiries.

B. Annotated Bibliographies

Measured by the pound, the search for bibliographies was highly productive; by content it was near zero. As mentioned previously, the annotated bibliography in Annex H, Managing Planned Agricultural Development, is the most relevant to this project. In Annex 3 of this report, we are including some selected references along with correspondence suggesting leads to additional bibliographies or materials expected to be available at a later date.

The bibliographies obtained were:

- A Guide to the Setting up of a Public Administration Library prepared for the Public Administration Division of the United Nations by the International Institute of Administrative Sciences, Brussels and dated December 31, 1973.

- Administration of Family Planning and Population Programs an especially prepared computer printout prepared upon request by the Technical Information Service of the Carolina Population Center, University of North Carolina.

- A special computer printout prepared at our request by the Population Information Program, 2001 S Street, N.W., Washington, D.C., and transmitted by letter dated December 27, 1976.

These three bibliographies all contain some references that appear highly relevant to sector management and we trust they will be pursued as part of the proposed project in sector management, in Section IV of this report on page 16 . We propose further use of the bibliographies as part of the four-part program in sector management.

DA's efforts to locate relevant bibliographies in health and agriculture proved unproductive. The American Public Health Association, for example, despite its extensive collaboration with AID, apparently had nothing available. In agriculture, the Agriculture Development Council indicated that it did not plan to publish a bibliography on Agricultural Management and referred us to the East West Center which suggested that it would be another six months before the bibliography would be available. Still another unit of the East West Center suggested that we communicate with certain centers in various countries.

The modest level of effort provided in this work order obviously precluded DA from indepth analysis of the available bibliographies or pursuing the additional leads developed, but on their face they do not appear to offer a rich vein to be mined. We are, as mentioned above, including some selected references in Annex 3 as well as copies of the correspondence on additional leads in the annex of this report for future reference.

C. Specific References

Three of the documents reviewed seemed particularly relevant and we urge that as a part of the project on sector management they be distributed to all missions for reference purposes. While all three are directed toward agricultural development, they are quite pertinent to other sectors as well and should be made available to all concerned mission personnel on a planned basis.

Serving Agriculture as an Administrator by A. T. Mosher, Agricultural Development Council, Inc., New York, 1975. This 64-page study could well be a desk reference for 95 percent of the administrators at all levels in LDC's. Although it does not provide indepth coverage of any one subject, it does identify most of the administrative problem areas that must be addressed in agriculture, education, health and family planning, and nutrition.

The AID-financed Managing Planned Agricultural Development should also be part of a planned distribution system. Though not intended for general reading, it contains such a wealth of useful information on sector management that consideration should be given to its broad distribution, in whole or in part, among all concerned with sector management.

A third publication that warrants wide distribution is The Design of Rural Development: Lessons from Africa by Uma Lele, a World Bank research publication, the Johns Hopkins University Press, Baltimore. Of greatest use in Africa, the distribution of this work should not be limited to Africa. By reviewing a number of projects in several countries, this work identifies

many of the cultural-technical and administrative elements that must be considered in the management of sectoral activities in agriculture. Most of these elements carry over, in part at least, to all types of sectoral activities in other regions as well as Africa.

III. FIELD STUDIES

A. Introduction

For a first hand observation of field problems in sector management Bernard Fisken undertook a ten-day review of Project Invierno in Nicaragua, and Hiram S. Phillips undertook a parallel study of the Provincial Development Assistance Project (PDAP) in the Philippines. For consistency of findings in these two completely different projects, both staff members used the same instrument and the detailed reports in Annex 1 and 2 follow essentially the same format.

Principal areas addressed were:

- Central Office Management;
- Management of Delivery System - Local Level;
- Consumer (citizen) Participation;
- Supervision over Local Activities; and
- Services and Control Activities.

In the following sections we shall summarize the descriptions of the projects and call attention to some of the management approaches and techniques that DA believes can be adapted for many other sectoral activities.

B. Project Invierno - Nicaragua

Invierno, an autonomous agency, is a relatively new effort to provide integrated services to the farmers through institution building, integrated agricultural credit, technical assistance in agriculture, marketing assistance, community action, adaptive research and technological packages for small farmers, land sale guarantees, access road construction and improvement, municipal development, small rural and handicraft enterprises, and rural housing. At this stage, Invierno's principal activities are in credit, technical assistance, marketing assistance, and related services outside the field of agriculture. Some of these activities are handled by Invierno directly and some are coordinated with other agencies.

Among the key management elements in Project Invierno are:

- Close coordination with other agencies and ministries through formal agreements and informal mutually planned undertakings;

- High priority to the planning function centrally and locally with coordinated local, regional, and central planning meetings including, at headquarters, recorded commitments to take particular actions by specified dates;

- A system for resource allocation based on numbers of participants served, which controls staffing, office equipment, vehicles, etc.;

- Internal coordination through a series of synchronized planning meetings at all levels as well as required written reports;

- Internal and external evaluations, internally through the Executive Committee, and externally, two annual evaluations, one by AID and one by a Nicaraguan organization which will include efforts to evaluate Invierno's impact on individuals as well as communities;

- Procedural controls and their periodic reappraisal, which involves a system for issuance of manuals, procedures, and instructions and plans for their periodic review to assure that they are still appropriate;

- Centralized decision making on a concensus basis with beginnings of delegation to regional and local offices;

- Delivery of services by teams on an outreach basis to serve the farmer at his doorstep;

- Gradual regionalization and further decentralization to spread the program to other areas and bring it closer to the people;

- Internal reporting that parallels' oral discussions at planning meetings;

- Citizen involvement by encouraging the formation of community groups which can take over some of Invierno's functions by forming such organizations as production and marketing cooperatives;

- Personnel administration which makes Invierno an attractive place to work;

- Automatic data processing which, among many other uses, makes it possible to process a large volume of small loans at low cost; and

- Training to strengthen technical skills, increase understanding of Invierno's philosophy and objectives, improve administrative performance, improve interpersonal skills, particularly related to the motivation of the farmers.

C. PDAP - Philippines

The principal objective of the Provincial Development Assistance Project (PDAP), in operation since 1969, is to strengthen the capacity of the provinces to perform various services for the rural poor and, in the process, generally to strengthen local government. Its major thrust is the development of a planning staff in each participating province, development and operation of a motor equipment pool largely with excess U.S. government property purchased by the province, construction of rural feeder roads and bridges, real property tax mapping and administration to increased provincial tax collection, and improvement of provincial personnel administration.

Among the key management elements in PDAP are:

- High priority to the planning function through a core planning staff in each province reporting directly to the Governor;
- Extensive and detailed procedural requirements to introduce discipline and facilitate decision making;
- Flexibility for local substantive decisions within a tight procedural framework;
- Agreement on annual plans which carry commitments for both the province and PDAP/USAID;
- Training of all types and levels;
- Intensive technical assistance diminished as the provinces mature;
- Expenditure of provincial funds for approved activities subject to reimbursement when work is completed in an acceptable manner;
- Coordination with all provincial and national activities in the province;
- Improvement of the personnel system for all provincial employees to raise standards and stabilize employment; and
- Beginning of movement toward lower levels of government, municipalities, and communities (Barangays).

These and other points are developed in much more detail in the trip reports in Annexes 1 and 2.

IV. PROJECT DESIGN OUTLINE

A. Introduction

Based on its analyses and the two field studies, Development Associates, Inc. (DA), proposes the development of a four-part project to improve field support for sector management. The programs consists of the:

- Establishment of rosters of readily available consultant specialists who can respond quickly to mission and host country requests for assistance;
- Initiation of sector management information series to make significant experience and literature available to the missions and host countries;
- Undertaking programs of action research to demonstrate and document the impact of better management in the improvement of sectoral programs; and
- Training in management to facilitate implementation of sectoral projects.

These recommendations are presented in two parts:

- Ten elements of sector management that should be addressed in all four parts of the program and should be the focus of assistance to the host countries in project design, implementation and evaluation; and
- Development of an outline of the four-part program with suggestions of means of immediate and longer range implementation.

B. Principal Aspects of Sector Management

To assist the developing countries in project design, implementation, and evaluation, Development Associates proposes that attention be focused on ten elements of sector management as discussed below. These ten priority elements would be the focus of all four parts of the program with adaptations, of course, to meet particular country or project needs.

1. Organization of Sectoral Programs

This element would deal with three critical areas:

- Selection of appropriate national, intermediate, and local institutions to carry out or participate in sectoral programs, identification of organizational changes needed to make the program effective, and assistance in the implementation of the changes.

- Clarification of internal organizational arrangements within participating institutions; and

- Clarification of relationships of activities and operations among various levels of the organization(s) to assure prompt and effective delivery of services.

2. Management Needs Assessment/Institutional Capacity

This element would address two issues that will arise primarily in the design stage but may be relevant in the implementation stage or the evaluation process.

- Identification of management practices that are likely to impede or facilitate the sector project; and

- Development of modifications in management practices as well as the means and timing for effecting the necessary changes to achieve sectoral objectives.

3. Planning and Review

- Devising structures and systems to build local capacity for analysis and planning of sectoral objectives and means of implementation which take into account considerations of technological feasibility, socio-economic impact, contribution to other sectoral objectives, financial considerations, timing, local acceptability, and technological and administrative capabilities.

- Introducing discipline into the planning process as well as the review of ongoing activities, and to make the planning and review function one of the principal tools of sector management.

4. Coordination

Devising methods and procedures of:

- Coordination with other activities which are part of the sectoral project, with other sectoral projects serving the same geographic area, as well as with related national or local activities in the area which impinge on sectoral activities.

- Coordination with the private sector where appropriate.

5. Management Information Systems

Devising information systems which will facilitate proper planning, monitoring of performance, and evaluation of results, taking into account information available from all sources and the limited statistical resources and lack of statistical sophistication of most LDC's.

6. Resource Allocation and Control

- Devising concepts, methods, and procedures for the allocation of financial, physical, and human resources and for their proper usage and control.

- Technical assistance in the installation of such concepts, methods, and procedures.

7. Citizen (Consumer) Participation and Involvement

- Devising methods, procedures, structures, and techniques for local involvement in definition of needs and priorities, assessment of progress and evaluation.

- Devising means for citizen participation in operations such as cooperatives, youth brigades, voluntary work programs, etc., adapted to traditional practices in the area, and emphasizing the means of managing such activities.

- Training and technical assistance in the management of such citizen endeavors.

8. Implementation Methods

- Introducing methods for improved delivery of services by use of systems approaches, consideration of alternative delivery methods, training, incentives and rewards, supervision and control, etc.

- Devising systems for elimination or reduction of bottlenecks in activities affecting delivery of services, e.g., hiring, procurement, fiscal authorization.

9. Training

- Introduction of methods for training that are designed to change attitudes and develop skills and practices as well as impart information.

- Planning and implementation of programs to improve program direction and supervision and the application of management techniques to technological activities.

- Devising programs that meet operational needs at minimal costs and with the least disruption of operations.

10. Evaluation

- Devising systems for the evaluation of progress and accomplishments in sectoral program management.

- Ensuring participation from the management perspective in evaluations and in implementing changes resulting from the evaluations.

C. Field Support for Sector Management

Working within the ten elements discussed above, DA proposes a four-part program of field support to improve sector management. Within each of the four parts discussed below DA will suggest an action program to implement the activity.

1. Establishment of Rosters of Readily Available Consultant Specialists

a) DA proposes that the most immediate aspect of the project design include provisions for the establishment of panels of readily available firms and individuals qualified to perform design, implementation and evaluation work in the ten elements discussed above. Obviously, many individuals or firms will be qualified in more than one of the elements.

b) Among the criteria that should be considered are:

- Language and area competence;

- Knowledge and skills in the ten areas of management;

- Sectoral experience;

- Experience in management in LDC's; and

- Experience in working with the delivery of services to the very poor domestically and/or internationally such as ex-Peace Corps Volunteers, and work designed to improve management in domestic programs for the urban or rural poor.

c) As a part of this activity, means should be devised so that the services of these consultant specialists can be obtained with a minimum of delay. This is essential as most of the services required will be short term, the missions and LDC's may not be able to forecast needs long in advance, and the utility of these consultant specialists may well depend on their timely availability.

d) Some means should be devised to make the rosters available to the missions and LDC's either on regular distribution or on call. In any event, the missions should be kept generally informed of the types of services available.

e) With respect to means of implementation DA proposes that the rosters be developed in three stages:

- First, canvas present IQC contractors for competence in sector management with particular reference to the ten categories listed above. Add to this list individual consultants who have served AID effectively in sector management. A list developed in this manner will provide a beginning to aid the missions and LDC's and will provide an easily useable resource.

- Second, canvas available rosters such as former AID employees, rosters maintained by various organizations such as the Society for International Development, public administration, and management societies, organizations that have worked in sectoral fields such as USDA and APHA, etc. Add names from such sources to the roster mentioned above.

- Third, publish in the Commerce Business Daily the criteria AID is seeking, as suggested above, and invite submittal of statements of competence from firms and institutions interested in providing assistance in sectoral management. After proper screening, these firms might be added to the panel and some arrangements worked out with the contract office to expedite action to respond promptly to field requests.

2. <u>Sector Management Information Series</u>

Particularly in the design stages, mission and host country personnel are handicapped by lack of knowledge of the experience and approaches to sector management used in other countries. To help fill this gap, DA proposes that a Sector Management Information Series be established. The documents could be made available to the missions upon request based on brief summaries distributed routinely. The material would in

general fall into three categories:

- Special descriptive reports on sector management experience in AID and other programs such as the studies of Invierno and PADP included in this report. Such specially authorized studies, of course, would need very careful planning and editing to include relevant background and enough detail to make them useful for consideration and adaptation by various countries. The outline used for fact finding in the Philippines and Nicaragua could be a useful point of departure for such special studies.

- Rare pieces of literature on sector management such as the World Bank study The Design of Rural Development: Lessons from Africa by Uma Lele. With appropriate explanatory material this book would be relevant for rural sector projects anywhere in the world and parts would be useful in other sectors as well.

- A search of the widely scattered references to sector management in the development literature and distribution of selected references or summaries. This task will not be easy as sector management is not a defined category is most bibliographies. A start could be made, however, from the various bibliographies obtained under this work order. They would include: the United Nations' Guide to the Setting up of a Public Administration Library, the selected annotated bibliography in Annex H to Managing Planned Agricultural Development and the computerized printouts, particularly in family planning. Also, some of the other leads developed in our quest for more material could be explored; for example, information from Pasitam and institutions in India.

3. Action Research in Sector Management

Observation of two totally different projects in completely different regions and cultures, Invierno in Nicaragua and PDAP in the Philippines, suggests strongly that attention to management contributes to improved sectoral activities. These observations need documentation by action research. DA proposes that research be conducted along the following lines:

- Institutions or firms be contracted to undertake action research on the management aspects of sectoral programs in Asia, Africa, and Latin America. This geographic coverage should establish whether there are significant differences due to differences in culture, language, and levels of management sophistication.

By action research we mean the establishment of baseline information on current management, devising and providing assistance in alternativ methods and arrangements, recording what was done and why, and documenting the impact, quantitatively when feasible. It is conceivable that such action research may develop significant indicators for appraisa of sector management and its role in improving services to the very poo

- As a first step in the action research, a management assessment of the sector would be made both as a basis for program planning and to establish a baseline for judging future changes.

- The firm or institution would provide technical assistance and training in the various areas of sector management, documenting the proposals and later assessing their effectiveness and the reason for success or failure.

- An assessment would be made of the success of the project with efforts aimed at documentation of the impact of management on sectoral activities and particularly on the delivery of services, the presumption being that good management would have a significant and measurable effect.

- Conclusions would be generalized for guidance on further improvement of sectoral management, and the studies would be available as helpful additions to the scarce literature on sector management, as reference materials in training programs, and for use by AID-personnel and the consultant specialists.

Training in Sector Management

One of the principal objectives of this project should be the widest possible dissemination of knowledge and skills in sector management. Training can become the principal vehicle for this dissemination process as soon as enough information becomes available. As a matter of fact, training need not wait for comprehensive, documented knowledge but should begin as soon as fragmentary information is available on sector management.

Development Associates proposes that the project design include provision for:

- Encouragement and assistance to missions and LDC's, as well as institutions responsible for participant training, to include discussio of sector management in ongoing training programs as soon as som materials are available.

- Establishment of a training resource center which will receive copies of all relevant materials on sector management, especially materials used for training, and will design and test modules that can be used for training in sector management. This training resource center will assist LDC's in developing local training in sector management.

- Support one or more institutions in the U.S. or overseas, possibly combined with the resource center mentioned above, that can undertake higher and middle level training programs in sector management for LDC and AID personnel.

D. Breadth of Project

Development Associates believes that the project outlined above can be applied with good results in any one or all sectors. In making judgments on the scope of the proposed project, we believe AID should weigh carefully:

- Financial resources available as it would appear the wiser course to concentrate resources in one or two sectors, rather than spread them thinly across several sectors.

- Availability of firms and institutions with capacity to assist in this endeavor as the number of qualified organizations might prove to be a limitation on too broad an approach.

- The degree of interest in the management approach shown by the responsible technical offices because sector management must be an adaptation of general management concepts and techniques to the special needs of particular program activities in the LDC's.

E. Summary

It is believed these four elements -- Roster of Consultant Specialists, the Sector Management Information Series, Action Research in Sector Management, and Training in Sector Management provide a rounded package that will

- Start quickly to respond to current needs;

- Cull literature and experience so that missions and LDC's will no longer need to "rediscover the wheel" in sector management;

- Develop longer range methodology and documentation of the impact of improved sector managementon project effectiveness and service to the poor; and

- provide a vehicle for wide dissemination of information on sector management so that whatever is known can be put into practice with a minimum of delay.

In the next section we include a detailed description of the FDAP and Invierno projects, followed by a bibliography of selected, relevant materials.

ANNEXES

ANNEX 1

PROVINCIAL DEVELOPMENT ASSISTANCE PROJECT - PHILIPPINES

I. INTRODUCTION

The Provincial Development Assistance Project (PDAP) has been evolving in the Philippines since 1969. It was the subject of a review by this consultant during the period January 24 - February 4, 1977, to learn what this successful experience might contribute to improvement in management of other sector projects sponsored by AID. Development Associates, Inc. (DA) undertook this analysis of PDAP under IQC Contract No. AID/otr C-1382, Work Order Number 4, for the AID Technical Assistance Bureau, Office of Development Administration, as part of a broader study with the objective of developing an outline for a project to strengthen field support for sector management.

In addition to this review of background material, the study involved discussions with USAID personnel, visits to the PDAP office, now part of the national Department of Local Government and Community Development, and visits to the capitals of three provinces -- Quezon, Pampanga, and Bulacan. On these visits the consultant was accompanied by Mr. Mark Sullivan representing the Provincial Development Office of USAID and on the visit to Bulacan by Mr. Alan Vestrich, the Washington-based staff member responsible for the sector management project.

PDAP was selected for study because it was felt that its unique features might contribute lessons from experience that could strengthen the management of more common types of sector projects and might offer possibilities for strengthening management in some area development programs. The feature that distinguishes PDAP from most other projects is that its primary purpose is to strenghten local capacity to perform services contributing to improvement of the well being of the poor. By contrast, most sectoral projects are designed primarily to carry out integrated technical programs with secondary or incidenta attention given to improvement of management. A further consideration that may be relevant elsewhere is that PDAP serves provinces in many parts of the country and part of its success may be measured by the extent to which the provinces apply the management concepts and techniques to other provincial activities beyond the confines of the PDAP project itself.

The PDAP is a five-part program including:

- Program planning by a Provincial Development Staff appointed by the governor and funded by the province;

- Establishment of a motor equipment pool for use in provincial infrastructure activities with equipment purchased by the province from excess U.S. government property;

- A program of building rural roads and bridges;

- A program of real property tax mapping and tax administration which will increase provincial revenues and reduce the burden of financial support from the national government; and

- A program to raise provincial government personnel standards and stabilize employment.

The core of the program is a tightly disciplined planning process carried out by the Provincial Development Coordinator and his staff. This planning process includes:

- The development of a socioeconomic profile of the province, the only available compendium of all data on the province, which must be developed in consultation with provincial, national, and local sources operating within the province;

- A plan for a network of all roads in the province into which proposed rural roads must fit;

- A capital improvement program which will show projected construction plans and the capacity of the province to carry out the plans;

- Funding of infrastructure activities by the province subject to reimbursement by the Department of Local Government and Community Development (DLGCD) and USAID when the project meets acceptable standards;

- Tight procedural and quality requirements incorporated into detailed and specific manuals which tell not only what must be submitted and when, but where documents are to placed in folders and the colors of identifying tabs; and

- Extensive training and technical assistance on the part of the Philippine Government and USAID.

At the same time, the availability of AID loans and the heavy equipment purchased by the province at reduced prices are strong inducements to the province to undertake the obligations of the program. As a part of the quid pro quo for the equipment, the province undertakes a tightly executed program to improve capacity to maintain the equipment, to maintain records and controls, and to operate a motor equipment pool.

The roads program again demands careful planning as well as implementation. The location of the roads, for example, requires consideration of socioeconomic factors affecting agriculture which, in turn, requires participation on a task force of national and provincial technicians knowledgeable in agriculture. Another aspect of the planning is the need for justification of each proposed road or bridge. When it comes to implementation, the procedures require, among many other things, photos taken of the DLGCD inspector at the work site. Further, the province is not reimbursed for the costs of the roads by PDAP, from funds provided by AID loans, until the roads pass inspection by PDAP/USAID and even then there is no reimbursement for cost overruns.

The real property tax mapping and administration is at an early stage but lends itself to the same types of planning and controls. Provincial and national government interest in this phase of PDAP appears high because most provinces are collecting less than 50 percent of the real property taxes now on the books.

In the personnel phase of the program, the provinces have just appointed provincial personnel officers and are undertaking classification surveys under the guidance of PDAP/Philippine Civil Service with technical assistance to be provided under a mission contract.

One further point should be noted. To participate in the PDAP program, the province must be certified by USAID. Failure to meet standards may lead to the withholding of recertification for the following year.

This brief section hardly does justice to the project but many of the elements will be developed more fully in the following sections of this report.

Unlike many sectoral projects, where there is a direct line of relationship from the central government to the delivery of services at the local level, there is no such relationship between the central government and the province, even though provincial governors, formerly elected, are now appointed by the President. As a consequence, PDAP is not in a position to direct the province to do anything but can issue standards, requirements, and procedures which must be met if the provinces are to obtain PDAP/USAID funds and participate in PDAP programs. Further, the requirement of USAID certification for continuation in the PDAP program is a strong inducement to provincial compliance.

In addition, the PDAP program is further circumscribed by the fact that the provinces have no direct responsibilities in such major fields as health and agriculture. Such programs are planned nationally and carried out by central government employees stationed in the province. Despite these limitations, it is a measure of the increasing capacity of the provinces through PDAP that following the recent disasterous typhoons and floods, the central government gave responsibility for some of the reconstruction activities to PDAP provinces.

In the following sections, we shall generally follow the outline presented to TAB/DA in the original work plan, and somewhat recast before the field visits, even though it was designed primarily for the more common types of sector projects. This outline stands up reasonably well in PDAP and will facilitate comparisons between the management approaches of PDAP and Invierno. It will also provide a basis for identifying some of the critical problems of field support discussed in Part IV of this report.

II. CENTRAL OFFICE MANAGEMENT

A. Organizational Arrangements

PDAP has been the driving force -- the motor -- for the Provincial Development program. Originally attached to the National Economic Council, PDAP was transferred to the Office of the President with the attendant "clout" that this location carried, and has recently been made a somewhat autonomous part of the national Department of Local Government and Community Development (DLGCD).

Three concepts seem to tie PDAP together:

- National plans may not fit local priorities and there must be local inputs if the plans are to be implemented;
- There must be planning at the provincial level and the key to that planning is a required planning staff financed by the province, headed by a Provincial Development Coordinator who reports to the Governor; and
- There is room for substantive flexibility at the local level within the framework of manualized procedures and detailed technical requirements which must be met if the province is to be reimbursed for the expenditures of its own funds on PDAP projects.

PDAP plays a leadership role in developing the planning mechanism, provides technical assistance, establishes procedures and requirements, reviews provincial plans, monitors performance, and recommends approval to AID for activities meeting loan requirements. (AID makes PDAP loan funds available to the Department of Local Government and Community Development which in turn makes funds available to the provinces for PDAP projects and AID replenishes DLGCD funds used in accordance with requirements.)

In addition to its own personnel, PDAP draws heavily on personnel detailed from other agencies. Even more than a means of augmenting staff, this detail or joint use of personnel thus becomes a coordination mechanism with other

government departments. For example, Miss Josefina Mendoza, who is directing PDAP's efforts to get the provinces to update their classification and pay plans for all provincial employees, is a key member of the staff of the Philippines Civil Service. PDAP also makes frequent use of advisory committees to assure coordination with the national government, for example, in areas of finance and budget.

B. Commitment to Sector Development

The original support for PDAP came from the National Economic Council which was interested in a tool for planning at the local level. Then the Office of the President saw it as an important means of strengthening local government and transferred PDAP to the Office of the President and, in turn, the identification with the Presidency gave more status to PDAP. Now it is identified with a cabinet department committed to strengthening local government.

Such support continues. The President is quoted in the press almost daily on the need for strengthening provincial, municipal, and Barangay (small community) activities. Such statements are echoed by the Secretary (Minister) of the Department of Local Government and Community Development. Even more significant is the appointment of the First Lady as the governor of the province of Metro-Manila and her continuous advocacy of more and more effective action by the province, municipalities and the Barangays.

From a fiscal point of view, PDAP is important to the central government as well as the provinces. Presidential Decree 144 provided formulae, effective July 1, 1973, for funneling national funds to the provinces and even modest success in the PDAP-sponsored provincial tax program will tend to lessen the financial burdens of the national government.

Some governors recognize PDAP as an important device because, over and above the money and resources it may bring in for motor equipment and rural roads, the planning function serves to strengthen provincial government beyond the PDAP projects. PDAP, for example, has required the upgrading of offices like the Provincial Engineer whose responsibilities extend far beyond PDAP to all provincial intrastructure activities. Furthermore, PDAP-sponsored activities like the provincial classification plans affect all provincial personnel (except teachers), not just personnel engaged in development projects.

From another perspective, PDAP provides a means of linking national and local development plans. The national government, for instance, may have decided on irrigation activities in certain areas. PDAP provides a means of building feeder roads that can link those areas with potential markets and make it possible to bring in extension agents who can assist in upgrading farming on the newly irrigated land.

C. Institutionalization of Planning

The objective of PDAP is not the institutionalization of planning at the national level but at the provincial level. This objective is needed in a variety of ways: establishment of detailed technical and procedural requirements; review of proposals submitted by the provinces and questioning and challenging until they are acceptable; establishment of requirements that annual provincial plans must be approved by the provincial development council and the governor; technical advice and assistance; inspection of starting, ongoing, and completed activities; arrangement for, and advance scheduling of training activities and requirements that members of the Provincial Development staff participate, as well as other top officials, including, at times, the governor and provincial auditor.

A rather unusual feature of the effort to institutionalize planning is the implanting of the concept of a two-way commitment applicable to recipient and donor alike. Thus, the annual plan is not only a commitment on the part of the province but requires quite specific commitments as well from PDAP/USAID; for example, the scheduling of specific training activities at tentative dates through the whole year and the commitment to provide say ten days of technical assistance of a specified type for example, between April 15 and July 15

PDAP's strongest efforts at institutionalizing planning lay in its personnel and program requirements. Each participating province must appoint and fund a core Provincial Development Staff composed of a Provincial Development Coordinator, Project Analyst, Fiscal Analyst, Engineering Analyst, Agricultural Analyst, and Researcher, and the province must provide this staff with necessary administrative support.

PDAP does not establish any special requirements for these staff members beyond whatever civil service requirements may be relevant. PDAP does indicate a preference for filling the positions from experienced personnel already employed in other capacities in the provincial government who can then be equipped for the planning job through training. Should the governor choose to fill the Provincial Development Staff with unqualified personnel, PDAP would exercise no sanctions but the province would lose out on the benefits of PDAP participation, as it would be unlikely that such individuals could produce acceptable projects. Furthermore, with a PDS unable to develop acceptable projects, it might be that USAID would be unable to certify the continued participation of the province in PDAP. Such action, of course, would cut the province off from access to excess U.S. Government excess motor equipment and loan funds for rural roads.

Programmatically, PDAP goes beyong the requirements of engineering projects in its efforts to institutionalize the planning process. Although PDAP's major activities are the equipment pools and the feeder roads, PDAP's planning requirements are broader -- a socioeconomic profile of the province, consultation with all provincial and national agencies involved in agriculture for guidance in planning the roads, a five-year capital improvement program, an annual work plan, etc.

Whether these measures will carry over and be broadened to include other aspects of development planning is not certain but in one of the three provinces visited, Bulacan, the PDS appears to be in process of becoming the central planning staff for the governor in areas well beyond PDAP.

A further aspect of PDAP/USAID efforts to institutionalize planning at the provincial level is the gradual reduction of technical assistance as the province matures in the handling of its planning. Originally having technical assistance personnel outstationed to serve two provinces, assistance has been reduced in many cases to assistance in "putting out fires" and to periodic PDAP visits for inspection or to provide specialized assistance or training.

D. Management Objectives

A key part of the program was a specially designed training program at the University of Connecticut in development administration for the Provincial Development Coordinator. This program was considered successful but it did not reach enough people; about two years ago PDAP/USAID sent a team of trainers to Connecticut. They have returned and reportedly have designed a course tailored to Philippines' problems. The first course has been conducted at Los Banos and the second one is now in preparation. These courses will enable broader participation at lower costs. With a larger group trained to see the broader picture, PDAP may be able to focus more attention on objectives and possibly minimize its heavy emphasis on procedural requirements.

Perhaps most significant, the annual plan developed by each province, requires a statement of objectives for each project or activity, a statement of the rationale for that project or activity, and quantifiable targets, e.g., completion of ten kilometers of a certain type road between "x" and "y" by a specified date. Furthermore, the provinces are required to undertake evaluation programs and thus are able to measure and submit documentation for review by PDAP, which will show the measure of their achievement of goals.

In addition, there is a careful examination of reports and statistics to measure progress against stated goals. This includes family planning and health activities carried out within the province even though performed by employees of national departments.

PDAP has also trained the provincial staffs in setting up, in effect, operational rooms for Presidential or other VIP visits. They have guided the provincial staffs to provide key statistics on undertakings and accomplishments, instead of providing long complex reports. The PDAP material, of course, naturally lends itself to simple, dramatic presentation.

As a further step in defining and responding to management objectives, PDAP is now asking the School of Public Administration of the University of the Philippines to set up a Management Information System that can be used by th provinces as well as PDAP.

E. Resource Allocation

PDAP has introduced effective capital budgeting and allocates only amounts that the provinces can afford and can use effectively. For this purpose, they use not only submittals from the provinces but information from progress reports, data in the capital improvement program, the province profile, field visits, etc. In the process they are influenced not only by financial and engineering considerations but also by the availability of qualified people not only in PDS but in other provincial offices that must execute the programs, e.g., the office of the Provincial Engineer. They know that the provinces cannot always attract those who are highly trained. It is more realistic, PDAP believes, to build on the availability of experienced men and women and provide them with training and guidance. (Note: The provinces had available university graduates who had broad enough backgrounds to fill key positions on the Provincial Development Staffs.)

The classification and pay studies now underway is one further step in PDAP's efforts to raise provincial personnel standards. The studies are expected to raise some job requirements, eliminate some pay discrepancies, and generally strengthen provincial capacity to plan and implement all types of programs by making it more attractive for good people to continue working with the provincial governments.

Given these other conditions discussed above, one highly effective tool for reasonable allocation of funds is the requirement that the provinces must expend their own funds, subject to reimbursement if and when the work is performed in an acceptable fashion. This requirement of spending their own money tends to work as a brake on the possibility of fiscal irresponsibility. There is a further effective control in the stipulation that any cost overruns must be absorbed by the provinces.

F. Coordination

As previously mentioned, PDAP's main devices for coordination are:

- The detailing of personnel from collaborating agencies, such as Civil Service, so that the detailed staff member jointly represents PDAP and the collaborating agency; and

- The use of committees or task force groups which include other important agencies, for example, in the budget and fiscal areas.

G. Evaluation

PDAP's evaluation activities are numerous and varied:

- Prior Approval - Advance review of plans and projects.

- Physical Inspection - Examination at the work site before, during, and after construction to assure that the work meets the plans and specifications.

- Work Plans - Examination of the work plans and schedules to determine the extent of compliance or deviation.

- Procedural - Review to determine adherence to detailed procedural requirements.

- Statistical - To measure reported delivery of service as compared with targets; for example, the number of family planning acceptors compared with provincial targets established by the national Department of Health.

- Public Relations - PDAP requires approval of plans by the Provincial Development Council and the governor and fairly wide distribution of the plans. This automatically involves a fairly wide group in informal monitoring of performance and evaluation of the results.

H. Debureaucratization

The provinces are not subject to the common constraints of cumbersome operations common to many central governments. Once authorizations are approved, for example, provinces are able to do most of their purchasing in the open market subject to no more delays than commercial customers unless there are AID or some other special requirements involved. There are, of course, long delays in procuring excess U.S. government property, (mainly from Europe) but the savings involved lead to acceptance of the delays as normal.

The greatest potential danger for bureaucratization lies within the organization itself. Detailed and specific procedural requirements have been established by PDAP to introduce discipline into the planning process. There is always a danger that these requirements will become more elaborate and complex as time goes by or that they will continue needlessly after they have outlived their usefulness.

I. Decision Making

The whole PDAP system is geared to prompt orderly decision making. The manuals spell out dates for submittal, the format of presentation and even the physical arrangements of copies, as well as the standards required. All of this facilitates the review process and effective decision making.

The funding and weather cycles almost force timely decisions. Given the heavy rains as well as the frequency of typhoons in some areas, construction must be started and completed by certain dates. Delays may well mean that action may have to be delayed for another year or at any rate another dry season. This is conducive to timely decision making.

III. MANAGEMENT OF DELIVERY SYSTEM - LOCAL LEVEL

A. Delivery of Services

The primary purpose of the Provincial Development Staff (PDS) is to plan for the delivery of services responsive to local needs. This planning is principally concerned with the various activities in the PDAP program (building local planning capacity, motor vehicle equipment pool, rural roads, real property tax administration -- tax mapping, assessment, collection -- and personnel administration. In addition, the PDS may be assigned other activities by the governor.

The PDS has a direct responsibility for delivery of services only in very limited areas -- the motor equipment pool, rural roads, tax mapping, building up provincial planning capacity. Even here, the action responsibility falls on other offices, for example, the Provincial Engineer who operates the motor equipment pool and constructs the roads. However, PDAP may require the province to provide additional positions in the Office of the Provincial Engineer in order to assure effective performance in PDAP activities such as the motor equipment pool or rural road building. As part of its planning function in the PDAP area, however, PDS specifies what will be done, when, and how, but in accord with detailed manual requirements, i.e., flexibility in content and rigidity in methods.

In the non-PDAP areas, e.g., family planning, PDS has no responsibilities for service delivery, but incorporates in the socioeconomic profile data provided by the provincial staff of the Ministry of Health with respect to targets and accomplishments. Subsequently, in its report, the PDS evaluation is limited to statistical analysis of the targets and accomplishments, as PDS is not in a position to probe more deeply.

To improve planning and service delivery, PDAP gives major attention to a wide variety of training activities in which PDS personnel must participate. (See page 1-17 for more detail on training.)

Also with regard to the motor equipment pool, PDAP requires a quality control office and adherence to a pool equipment manual covering maintenance, records, and administration. Further, while the province pays for the equipment, PDAP/USAID checks on the proper use of the equipment.

B. Role in Planning, Budgeting, Staffing, Procurement

1. Planning and Budget

Provincial planning is based on three main instruments:

- A socioeconomic profile of the province (provinces visited had just completed their second profile) which is the only compendium of all available data about the province;
- A capital improvement program which shows projected improvements over a five-year period; and
- A roads network analysis showing all current provincial and national roads in the province and projections for a ten-year period.

As instruments for planning, all have two points in common: they require the development of a firm factual and quantitative base; they require discussions with knowledgeable people in the province, whether employed by the province or not, to get the benefit of their thinking as well as information about other plans which may bear on PDAP activities.

In general, the process works along the following lines. Data are developed by the PDS and working groups of provincial staff and local representatives of the various national line departments, e.g., health, agriculture. In planning for rural roads, for example, a task force may consider many aspects of agricultural development but the end product of this aspect of planning is when, where, and how, and at what cost particular roads or bridges will be built or repaired.

In making its recommendations for proposed roads, the PDS Task Force conducts studies of both engineering and economic feasibility. As a part of the feasibility study, the PDS might be concerned with marketing opportunities opened by the new roads, added extension service activities, etc. They would have no responsibilities, however, for operating extension services or new marketing programs, but they might recommend the training of, say, four technicians and money for a five-day seminar to facilitate new programs related to the new roads.

All activities carry a price tag and must show where the money is coming from. Thus, additions to the PDS planning or supportive staff would be shown as a cost of the provincial government but the costs of air conditioners for the PDS office might be shown as a PDAP cost. All these plans must be approved by the Provincial Development Council and the governor prior to approval by PDAP.

A key part of the planning process is the development of a joint annual Province/PDAP workplan. For each proposed activity, the plan requires a statement of the objective as well as a statement of the rationale for the proposal, costs, and sources of funding, results expected, and a time table for action. In addition, the work plan requires corresponding specific commitments on the part of PDAP/USAID, for example, and specific types of technical assistance to be provided for a given number of days between "x" and "y" dates.

A further control on the planning process is that most major expenditures, for example, for purchase of excess U.S. motor vehicles or for building of rural roads, are made by the province out of their own funds (mainly allocations from the central government plus some local tax collections). These expenditures are subject to reimbursement by PDAP/USAID when the work has been carried out in a satisfactory manner, e.g., the width of the road meets specifications, or there has been sufficient impaction of the soil. When the project fails to meet requirements, PDAP/USAID may require corrective work prior to the authorization of reimbursement.

In addition, USAID reviews the provincial program annually to determine whether it is willing to recertify the province for participation for an additional year.

As a further part of the work plan, the province must formulate a detailed plan for a program of Real Property Tax Administration as most provinces collect less than 50 percent of their taxes. Under this plan, tax mapping must be completed within five years. Tax rates are said to be low but there are problems of identification of owners and boundaries, hence the priority given to tax mapping.

Procedurally, the planning process is tightly controlled by instructions from PDAP. The province is required to submit its plan in accordance with detailed and specific procedures, meet established deadlines, organize its presentation in a standard format, etc. (See Administrative Procedures, Booklet Number 1 - Planning and Implementation, revised September 1976 - DLGCD/PDAP.)

2. Procurement

In the Philippines the provinces do not use the national government's procurement system so that there are no unusual delays beyond those involved in commercial transactions and assurance of meeting provincial audit requirements and any AID requirements should AID money be involved.

The purchase, delivery, and reconditioning of surplus U.S. motor vehicle equipment is a long process but the savings are so great and the training so important that these delays are built into the system.

3. Personnel

In the area of provincial personnel administration, the PDS staff is breaking new ground in response to PDAP requirements. PDS has been the vehicle leading to the establishment of a personnel office to serve all provincial personnel, not just the relatively few in the PDAP programs. In addition, the PDS is the vehicle for the development and installation of province-wide classification plans which, among other things, are expected to clarify qualification requirements and adjust some pay rates which, hopefully, will tend to stabilize provincial employment.

Illustrative of the PDS role in the classification study, the Provincial Development Coordinator in Quezon Province arranged a meeting attended by the governor, representatives of 17 provincial agencies, and a representative of PDAP/Civil Service. At this meeting, the PDAP/Civil Service representative responded to questions about survey procedures, and the questionnaires raised by agency representatives so that they, in turn, could explain broad objectives and survey details to the personnel of the provincial agencies. The meeting also gave the governor an opportunity to voice his personal support for the classification survey.

4. Expanding Planning Role

The broadening role of the PDS in some provinces is illustrated by activities currently under way in Bulacan Province, a comparatively rich

area. Here, the province has added an economist and a manpower and youth analyst to the PDS staff because these two areas are of priority concern to the province. These two positions bring to 26 the total number of professional and supporting PDS positions funded by the province.

In this province PDS is playing an active role in other areas as well as it seems to be moving toward a broader role as the central planning unit for the province:

- PDS developed the training design and implemented the first three programs for training low level agricultural technicians;
- PDS participated in the screening of candidates for outreach workers for a new program being launched by the Population Commission;
- The province launched a program of training youth brigades to open new lands in the mountains and PDS worked with the provincial agriculturalist in the training design;
- PDS made feasibility studies for slaughter houses;
- PDS became involved in evaluation of nutrition programs as a member of the nutrition evaluation committee; and
- PDS selects outstanding private citizens who have participated as volunteers and arranges for ceremonial presentation of awards by the governor.

C. Flexibility at Local Level

Within the framework of procedural rigidities prescribed by PDAP, there is substantial flexibility at the provincial level.

- Beyond the core staff, the province can add additional positions to meet its own priority needs and provide as much additional supportive staff as it deems necessary;
- Subject to review by PDAP, the province can determine what types of motorized equipment to add to its pool and when;
- Subject to approval by PDAP, the province can decide what roads and bridges are priorities, where to locate them, when to build them;

- The province can make PDS the principal vehicle for planning coordination of national, provincial, and local development programs in the area; and

- The governor can add to the PDS functions and can, as appears to be the case in Bulacan, convert PDS into the central planning body for the province and give it an important role in launching new provincial programs such as the rural youth brigades.

In addition, the province can determine whether to use force account or contractors to build roads and bridges and how much of the unskilled labor will be furnished from the local area. Time schedules for PDAP activities are included in the annual work plans and the province is expected to take whatever action is necessary to meet the commitments.

With respect to non-PDAP activities, the action area is indirect. PDS can be selective in what material is presented in the annual report, for example, how well the family planning program is meeting targets. By calling this information to the attention of the governor, and perhaps 50 others who receive copies of the report, PDS can exert some influence on executive and political action for change to meet local conditions. Effectiveness in this area will depend, in large measure, on the relationships between the Provincial Development Coordinator and the governor.

D. Communications

Communication between PDS and PDAP/USAID naturally varies with the stage of development of the provincial program. Obviously, provinces that are fairly new to the program get more attention than those that are near the takeoff point. Thus, early in the program USAID had outstationed area representatives who served two or three provinces over and above the specialist help coming from PDAP and USAID/Manila.

Also, on new technical programs close communication is involved. As mentioned previously, representatives of PDAP/Philippines Civil Service are visiting each province to participate in the launching of PDAP-sponsored programs for the classification of all provincial positions (not just those in PDAP activities).

A third type of communication is involved in the PDAP training program. PDAP lays out an extensive series of training activities and as part of the annual work plan the province commits itself to participation in various types of programs.

In addition, the annual work plan and the annual report to the governor are not only important parts of the communication process but also important vehicles for public relations activities.

In the preparation of the Provincial Socioeconomic Profile, the PDS staff obtains data not only relating to PDAP activities but drawn on all provincial offices for information as well as on provincial representatives of national line departments such as health and agriculture. The profile thus becomes not only a useful compendium, but becomes an important device to stimulate communication among key individuals and agencies.

The communication process also becomes a key element of the planning process. A PDS staff member will serve as a member or chairman of a task force composed of representatives of all provincial and national agencies concerned with, say, rural roads or infrastructure. The group will then be able to consider all available information and future directions in agriculture as a basis for recommending the nature, location, and timing of the building of rural roads, consistent with the work of another task force representing those involved in planning a network of provincial and national roads.

IV. CONSUMER (CITIZEN) PARTICIPATION

Citizen participation is not a high priority in most PDAP activities which are aimed primarily at increasing the capacity of provincial governments to plan and implement programs. Nevertheless, the requirement of approval of the annual plan by the provincial development council is a form of citizen participation and some of the councils scrutinize the plans carefully leading to modifications before the plans are submitted to the governor for approval.

Individual provinces may seek citizen involvement in various ways, In Bulacan, for example, volunteerism is encouraged and each year the governor makes formal awards, based on PDS recommendations, to outstanding citizen volunteers. In addition, Bulacan has established youth brigades which are helping to open up new farm lands in mountainous areas. In other actions involving citizen participation in Bulacan, PDS has participated in the development of the youth brigades and helped design the training program. PDS is also involved in the screening of candidates for the new family planning outreach program now being established by the Population Commission.

V. SUPERVISION OVER LOCAL ACTIVITIES

Within the province, supervision begins with the planning process and the objectives, specifications, and schedules established. Technical supervision comes from the responsible technical office, usually the provincial engineer. It is his responsibility to see that the mechanics in the motor equipment pool are properly trained and doing effective maintenance and repair work, that road work is proceeding on schedule, and in accordance with specifications. The ultimate responsibility for supervision, of course, rests with the governor and he, in turn, is responsible to the President who appoints him. PDAP, however, does not have a line responsibility over the provinces and strictly speaking, it exercises no supervision over the provinces. In a real sense, however, PDAP provides supervision by prescribing requirements, specifications, and procedures; providing guidance and assistance; reaching agreement on annual work plans; reviewing work in process and on completion; providing funding for some activities and authorizing reimbursement for work properly performed.

At early stages or when provinces first join PDAP, this advice and assistance is close and frequent, decreasing as the province matures in its PDAP activities.

VI. SERVICES AND CONTROL ACTIVITIES

This section of the outline is largely irrelevant to PDAP. The provinces are largely free of the traditional management activities of the central government and PDAP is encouraging the provinces to improve their planning processes, personnel administration, supervision, and some aspects of fiscal management.

One of PDAP's strongest areas, however, is training. PDAP has:

- Arranged a six-month administration course at the University of Connecticut for most Provincial Development Coordinators;
- Arranged for a group of trainers to attend the University of Connecticut and then establish similar training at Los Banos where more Filipinos can participate in a program directly responsive to local needs;
- Scheduled some 20 programs a year, including dates, and as part of the annual plan requires commitments of named participants;
- Developed training programs from very broad to narrow and specific as the need arises; and
- Initiated programs that are now beginning to involve the municipalities and smaller communities.

VII. ELEMENTS OF THE PDAP PROGRAM THAT APPEAR TRANSFERABLE

Several elements of the PDAP program appear to be adaptable to other types of sectoral projects. Among the most significant are:

- The requirement of a core planning staff, funded locally, reporting directly to the responsible head of the project and specification of minimum responsibilities for that staff;

- Development of an annual plan with defined objectives for each proposed activity, a stated rationale for the activity, explanation of resources required, and the sources from which available, clear statement of targets to be achieved and means and timetables for implementation;

- Introduction of disciplines into the planning process through detailed manuals (specifying actions required, content and format of submittals, action dates, etc.) which provide procedural rigidity while allowing flexibility for local decision making;

- Annual reports, given fairly wide distribution, showing status of progress and status of activities in the annual plan;

- Carefully designed and implemented training and technical assistance to make the planning process effective;

- Requirement that project activities (in the Philippines financed out of loans) be funded locally subject to reimbursement when the work is completed and found acceptable;

- Onsite inspection of work planned, in process, and completed, and when necessary, immediate instruction for corrective actions; and

- Intensive training and technical assistance to see that services or activities are performed satisfactorily and services are delivered as planned.

ANNEX 2

PROJECT INVIERNO - NICARAGUA

GLOSSARY OF TERMS
ACRONYMS AND ABBREVIATIONS

Agromoc:	INVIERNO job title. An agronomo with additional training in communication and social sciences. Primarily liaison with community and its population. Also primary transmitter of agricultural technology.
Agronomo:	Graduate of a three-year high school level vocational agricultural training school (Perito Agronomo), or a high school graduate who majored in agriculture (Tecnico Agronomo).
BAVINIC:	Banco de la Vivienda de Nicaragua. Nicaraguan housing bank.
BNN:	Banco Nacional de Nicaragua.
CAP:	AID Capital Assistance Paper.
CEDE:	Centro de Desarrollo Corresponds to Regional Assistance Center (RAC) in CAP.
CENCA:	Centro de Capacitacion. Training Center for the Public Agricultural Sector, in Ministry of Agriculture.
Client:	Any low income rural person who may be assisted by INVIERNO. Usually a small farmer or a rural worker and their families.
Cordoba:	Nicaraguan unit of currency C$ 7.00 = $1.00.
Credomerc:	INVIERNO job title. Responsible for delivering inputs to farmer and assisting him in marketing his produce.
DGP:	Direccion General de Presupuesto. GON budget office.
DIPSA:	Direccion de Planificacion del Sector Agropecuario. MAG planning, programming, and budgeting arm.
GON:	Government of Nicaragua.
INCEI:	Instituto Nicaraguense de Comercializacion Exterior e Interior. Semi-autonomous agency responsible for price stabilization and storage of agricultural products.
INTA:	Instituto Nicaraguense de Tecnologia Agropecuaria. Semi-autonomous agency to be established to absorb MAG research, extension, and education activities.
INVIERNO:	Instituto de Bienestar Campesino. Semi-autonomous agency responsible for the interface between the GON and the rural poor.
IRENA:	Instituto de Recursos Naturales Renovables. Semi-autonomous agency to be established to absorb MAG forestry, water, fisheries, and other natural resources activities.
Locality:	Rural community. Corresponds to Regional Development Assistance Group (RDAG) in CAP.
MAG:	Ministerio de Agricultura y Ganaderia. Ministry of Agriculture
MOC:	Motivacion-Organizacion-Capacitacion. The function of effective communication and training in community organization and development. Also an activity in the INVIERNO program.
NAC:	National Agricultural Committee.
PAS:	Public Agricultural Sector. Public sector agencies whose activities are directed at agricultural and rural development.
Postrera:	Second, or summer planting season: July-August-September.
Primera:	First, or spring planting season: April-May-June.
Promotor Social:	INVIERNO job title: Primary community development/MOC professional. Usually a University graduate in the Social Services.

Socio: A line of cre 'it borrower from INVIERNO. Any line of credit borrower may or may not borrow for subsequent planting seasons. INVIERNO tends to use the term socio for those socios who have borrowed for a particular planning season. To avoid confusion we would prefer the term prestatario (borrower) for the specific season.

Trabajador Social: Promotor Social.

UNASEC: Unidad de Analisis del Sector Agropecuario. Sector analysis unit which performed the agricultural sector assessment, and whose members have become key personnel in DIPSA and INVIERNO.

I. INTRODUCTION

During the period January 10 through January 21, the consultant visited Nicaragua under an IQC Contract No. AID/otr C-1382, Work Order Number 4, to study management methods used in Project Invierno for their possible applicability to sector projects in other countries. This report will be presented in six sections as follows. First, some general background will be presented on Invierno to provide the reader with a general overview of the project. Second, Invierno's central management will be described, including Invierno's basic organizational structure, commitment to sector development, planning function, objectives, allocation of resources, internal and external coordination, evaluation processes, debureaucratization strategy, and decision making process. Third, will be a discussion of the management of the project at the regional and local levels, with particular emphasis on how these levels attempt to provide services to project participants. Fourth, the degree and nature of participation by consumers of Invierno services will be discussed. Fifth, the central administrative support role of Invierno is outlined. Finally, some suggestions are offered for field support for Invierno-type projects.

II. BACKGROUND

In 1972 the Government of Nicaragua established a commission to analyze the country's agricultural and livestock sector and to prepare a long term plan for that sector's development. The resultant plan stressed the need "to improve the standard of living of the rural population, through greater access to the flow of goods and services, and increased participation in the decisions that affect their progress." Following the Commission's recommendations, the government created a governmental autonomous agency named the Instituto de Bienstar Campesino (or Invierno) on May 5, 1975.

The primary objective of Invierno is the improvement of the standard of living of the low income rural farmer. To achieve this objective the project attempts to provide integrated services to the farmer through several programs; specifically, institution building, integrated agricultural credit, technical assistance in agriculture, marketing help, community action (MOC), adaptive research and technological packages for small farmers, land sale guaranties, access road construction and improvement, municipal development, small rural and handicraft enterprises, and construction/improvement of rural housing. Rather than assume all these activities directly and all at once, Invierno decided to handle certain services itself and to coordinate selected services with other organizations. At this stage, Invierno's principal activities are agricultural credit,

technical assistance, marketing assistance, and related services outside the field of agriculture.

Target communities and target clientele were selected only after careful research. Invierno made its selection of clientele on the basis of per capita income and number of acres owned. Thus, Invierno will offer its services to farmers earning less than the national per capita average of $590.00 per year and owning less than 150 acres. It was decided to work initially with two regions: the Central Interior Region comprising the Departments of Esteli, Matagalpa, and Jinotega, and the Central Pacific covering the departments of Managua, Masaya, Carazo, and Granada. After establishing the project in these two regions, it was planned that Invierno would gradually spread to all other regions throughout the country. At the present time Invierno is operating in the Central Interior Region and is about to enter the Central Pacific Region.

III. CENTRAL MANAGEMENT

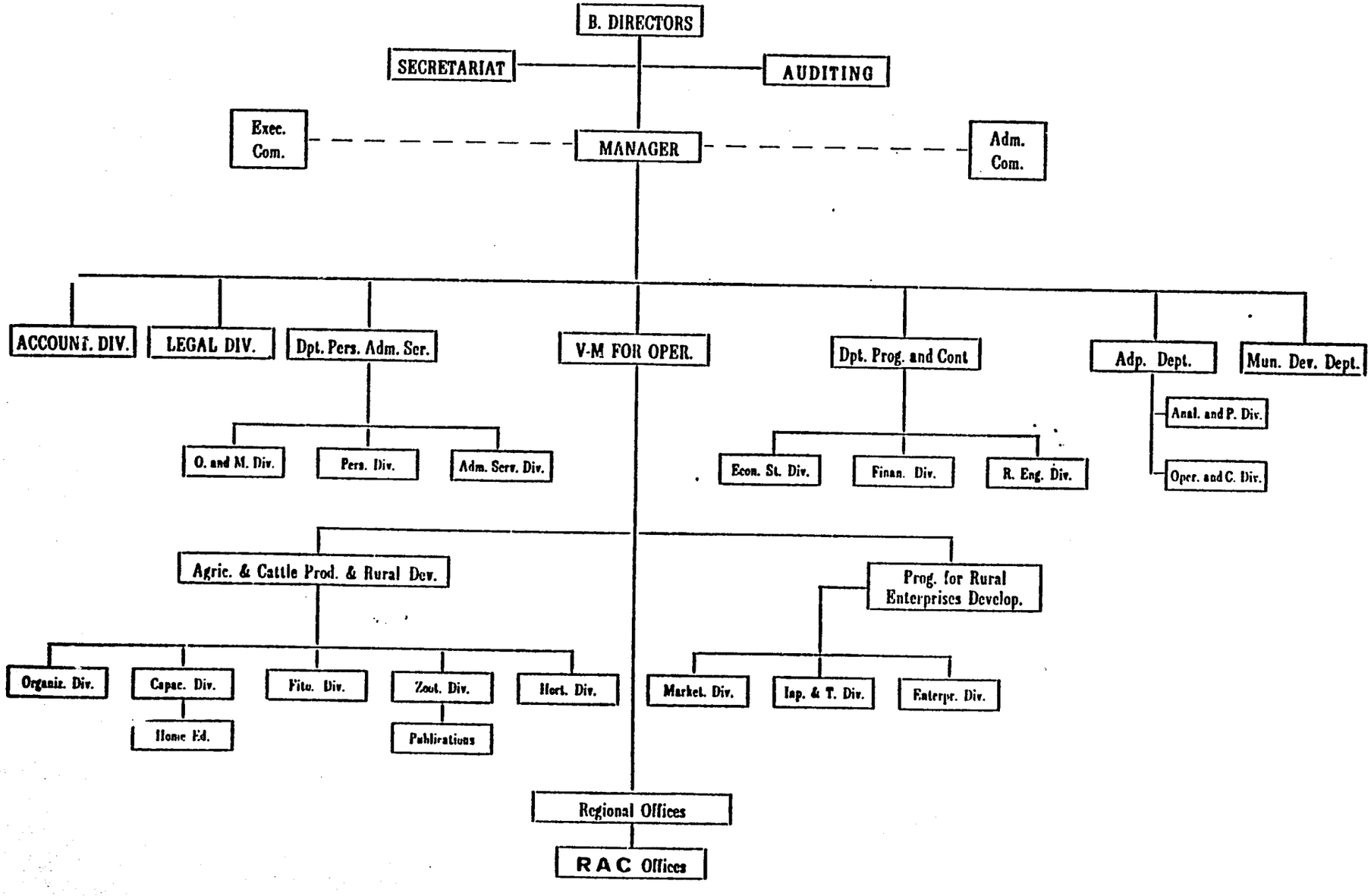
Invierno has been asked to provide a wide variety of complex services in an integrated manner to clientele often difficult to reach. To assure success, Invierno created a central management system designed to facilitate the provision of quality, interrelated services to the rural poor. In this section the consultant discusses Invierno's central management with particular emphasis on those areas which may have relevance for other sector development projects.

A. Organizational Structure

Table 2 on the following page shows the way Invierno is organized. A Board of Directors headed by the Minister of Agriculture and composed of other high level public officials provides overall policy direction for the Institute. The General Manager has responsibility for executing the board's policy decisions and for managing the daily program and administrative activities of the organization. Reporting to him are a Vice-Manager for Operations who coordinates all program activities at the central, regional, and local levels; a Department of Programming and Control Director for coordination of administrative data at the central level; and Internal Auditor for trouble-shooting and quality checks on procedures and practices; a Legal Counsel; a Personnel and Administrative Officer who handles the employee pay and classification system, purchasing, motor vehicle scheduling, inventory, and a variety of other tasks; and a Chief Accountant.

INSTITUTO DE BIENESTAR CAMPESINO

ORGANIZATION CHART



C. The Planning Function

Planning is given a high priority throughout the organization, and a great deal of effort was dedicated towards clear definition of philosophy, objectives, and approaches. The planning function continues at all levels of the organization primarily through the use of planning meetings and planning records.

Department heads keep track of overall project objectives and individual program objectives through the use of individual standardized planning sheets. To the extent possible, overall Institute objectives and tasks are assigned to the appropriate department head who logs progress on these individualized sheets. Departments send in a narrative description each month to the Programming and Central Department. In the future, it is anticipated that there will be intensive use of PERT charting, with each program having its own PERT chart. Similar individualized planning records are maintained at the regional and CEDE levels.

Along with the planning and progress records, the key to planning lies in a series of closely synchronized meetings at the central, regional, and local (CEDE) levels. Each Monday the Central Executive Committee meets in Managua, both as a decision making group and a planning body where short and long term strategies are discussed and agreed upon. Each Tuesday the regional staff meets to learn from the Regional Director the results of the Executive Committee meeting in Managua the previous day. The Tuesday meeting also gives the Regional Director information from his own staff and the CEDE's which he can act on or pass along to the Executive Committee the following week. This information comes from a meeting Saturday morning at each CEDE at which a regional staff person works with the CEDE in planning the week's activities. This regional staff person also relays information from the Tuesday meeting. Thus, the synchronized meetings are devices both for planning and for a flow of information for planning and operations from the top down and the bottom up.

Given the need for Invierno to accomplish many complex objectives quickly, the setting of broad plans for the organization has been tightly centralized. It is anticipated, however, that yearly plans and budgets will be developed at the regional levels and submitted to the central office for review. Furthermore, a start has been made, on a pilot basis, of planning at the CEDE level.

D. Objectives

As mentioned earlier, Invierno was assigned the general mandate of improving the living standards of low income rural farmers. Within this overall objective, Invierno has developed subobjectives which are specific, time-limited, and realistic. The objectives are written into Invierno's informational brochure and employees are given intensive training in these objectives, so that

staff has a commonly-shared perception of what Invierno is all about and hopes to accomplish. By establishing quantifiable organizational objectives, Invierno has also established a basis upon which its performance can be evaluated. This evaluation process is discussed in more detail later in this section of the report.

E. Allocation of Resources

As a means of arriving at the appropriate configuration of personnel to achieve its objectives, Invierno has developed a Resource Allocation Table. Table 3 below establishes a formula for the utilization of organizational resources such as personnel, equipment, and vehicles. The key element is the number of participants served. Thus, for a given number of participants, a specific number of social workers, agricultural workers, desks, jeeps, etc., will be assigned. This method of resource allocation is used in other areas as well. For example, the establishment of a CEDE is based on the estimated number of possible participants who cluster in a given area and the maximum distance from this cluster that the CEDE can be located and still provide adequate service.

TABLE 3

TABLE OF ORGANIZATIONAL REQUIREMENTS

PERSONNEL

1 Asistente del Gerente para 100 o mas socios
1 Trabajador Social por 500 o menos socios
1 Credomerc por 500 o menos socios
1 Agronomo por 60 o menos socios
1 Supervisor A.T. por 4 o 5 Agromoc
1 Administrador por 600 socios (salvo cuando hay 2 subCEDE)

EQUIPO

1 Escritorio Ejecutivo + silla por Gerente, Asistente, Auditor.
1 Escritorio corriente + silla por Supervisor A.T., Trabajador social, cooperativista, Administrador, Credomerc, Cajero, Contador, Estadigrafo
1 Mesa comun para los Agromocs (1.5 m^2/Agromoc). Mas sillas.
1 Escritorio + mesa para maquina + papelera escritorio por secretaria.
1 Mesa + silla por Bodeguero.

VEHICULOS

1 Jeep por Gerente, por Supervisor de Asistencia Tecnica.
1 Jeep para los Promotores sociales.
1 Pick-up por Agromoc.

F. Coordination

In order to integrate all the different elements in the program, internal and external coordination has received much attention. Internally, Invierno coordinates its activities through the use of the Executive Committee, monthly reports, and assignment of coordinating functions to specific organizational units. The Executive Committee is the principal vehicle for internal coordination. At the Monday meeting the top level administrative and program people meet to share results, formulate plans, and to coordinate activities. Not only is there a healthy interaction between the program and administrative staff, but the attendance of the Regional Director and a CEDE Director (on a rotating basis) permits coordination across geographical lines as well. The same pattern is followed at the CEDE level also where the Saturday meeting provides an opportunity for coordination among CEDE program and CEDE administrative personnel as well as the CEDE staff and the regional representative.

Internal coordination is also achieved through the use of written narrative monthly reports. Each department head is responsible for submitting a monthly report of highlights and accomplishments to the Director of Programming and Control by the 7th of the following month. The individual reports are then summarized and critiqued by the Programming and Control Department and sent to the General Manager for his review and analysis. In addition, the Vice Manager of Operations coordinates program data based on data on field program activities in the Region and CEDE's.

External coordination efforts are used to extend Invierno's relationships with Since Invierno is charged with bringing a variety of resources to bear, Invierno enters into formal and informal relationships with outside organizations. Formal relationships occur when a written agreement is entered into by Invierno and the other institution to perform specified services. For example, an agreement with the Ministry of Public Works to improve rural access roads in a particular area. Informal relationships involve an understanding between Invierno and another organization that may not be reflected in a legal document, for instance, Invierno and a particular Ministry jointly planning the development of a particular village. The group ultimately responsible for this outside coordination is the National Council of Rural Agricultural Development, a public agricultural sector committee of which Invierno is a part. It should be noted that agreements reached at the national level, often require the agreement and implementation at the local level by the CEDE outreach worker and the local representative of the appropriate Ministry.

G. Evaluation

The General Manager of Invierno is aware of the importance of evaluation and has built several elements that will permit internal and external evaluations.

In Invierno's overall plan certain quantifiable goals were established which have become benchmarks against which actual results can be measured. Specific examples of this are the number of participants to be served, the average amount of loans, and the area that a CEDE can adequately service. Another example is the computerized comparison of interest charged to participants under Invierno's credit system with the hypothetical interest charged under the traditional credit system in order to evaluate Invierno's lending performance in comparison with the traditional sector.

Another evaluation technique is the assignment of specific responsibilities within definite time limits at Executive Committee Meetings. After group discussion general agreements reached on plans for dealing with a particular subject. The person responsible for implementing the decision immediately informs the recording secretary what he/she will do specifically and what date. This amounts to a professional administrative pledge to complete the task. The minutes of the Executive Meeting are, in effect, a compilation of these pledges, which are circulated throughout the organization. The Department of Programming and Control logs all the products, due dates, and responsible action persons. This log is read at the end of each Executive Committee meeting to hold individual officers accountable for their pledges.

Besides the above internal evaluation devices, Invierno will have two outside evaluations each year: by AID and by a Nicaraguan evaluation organization. The first AID evaluation was undertaken by a consulting firm in late 1976. The Nicaraguan evaluation will include interviews with participants to determine the impact of Invierno on individual members as well as on communities. The establishment of specific, quantifiable, time limited objectives should greatly facilitate the outside evaluation process.

H. Debureaucratization

In order to accomplish its first year goals of establishing and operating a functioning organization, it was necessary for Invierno to design and implement numerous manuals, procedures, practices, and systems. (See Table 4 for listing.) This is to be viewed as a very creative process by a dynamic institution which because of its status as an autonomous agency, had the flexibility for innovation. However, these same manuals, procedures, practices, and systems could become in time, limiting bureaucratic constraints

INVIERNO: PROCEDIMIENTOS ADMINISTRATIVOS Y MANUALES OPERATIVOS DE LOS PROGRAMAS

PROCEDIMIENTOS		MANUALES	
-Manual de Organización Interna.	(Feb. 1976).	-Boleta de Censo de Primera y su Instructivo.	(Dic.75)
-Manual de Control Interno.	(Feb. ").	-Plan de Implementación General de las Oficinas Regionales y CEDE.	(Ene.76)
-Manual de Entrega de Financiamiento.	(Mayo ").	-Manual para la Incorporación de Nuevas Localidades y Censo para Postrera.	(Jun.76)
-Reglamento de Excepciones.	(Marzo ").	-Instructivo para la Creación del Grupo de Consulta para Referencia de Socios.	(Jun.76)
-Procedimiento para el Manejo de Fondos.	(Abril ").	-Uso de Formas para Parcelas Demostrativas.	(Jun.76)
-Procedimiento de Control de Caja.	- -	-Forma de Boleta de Encuesta Social Censal.	(Jun. ")
-Procedimiento para la Administración de Faltantes.	- -	-Plan Preliminar de Implementación.	(Oct.75)
-Procedimiento para la Información y Registro de las Devoluciones por Financiamiento de parte de los Socios de INVIERNO	(Mayo 1976).	-Financiamiento por Cultivo para 1976.	(Mar.76)
-Manual de Programas de Auditoría.	(Junio 76).	-Plan de Crédito Agropecuario.	(Mar. ")
-Procedimiento para la Creación de Registros de la Reserva para obsolescencia de INVIERNO.	(Junio 76).	-Plan de Implementación Detallado para 1976.	(Abr. ")
-Manual de Formularios para el Análisis de Control Interno.	(Junio ").	-Programa "Fondo de Garantía para Compra de Tierras".	(May.76)
-Manual para la Entrega de Financiamiento Agropecuario.	(Junio ")	-Códigos de los Gastos y de las Tareas Agropecuarias - Costo de Producción y Financiamiento para 1976.	(May.76)
-Sistema para la Preparación de Pronóstico de Fondos.	(Julio ").	-Plan Nacional de Vivienda Campesina, Volúmenes I y II.	(May.76)
-Sistema de Información de INVIERNO.	(Junio ").	-Evaluación del Sistema de Comunicaciones de INVIERNO.	(Jul.76)
-Reglamento de Caja Chica.	(Sept.1975).	-Plan de Implementación - Programa de Mejoramiento y/o Construcción de Caminos de Acceso	(Jul. ")
-Instructivo para la Conservación de Activos.	(Oct. 1975).	-Manual para el Sistema Contable de Fincas.	(Agos.")
-Instructivo para la Preparación de las Descripciones de Trabajo para los cargos de INVIERNO.	(Nov. 1975).	-Manual para la Entrega de Asistencia Técnica.	(Nov.")
-Reglamento Interno de Trabajo.	(Nov. 1975).	-Manual del Agronoc para la entrega de Asistencia Técnica para Especialista y Supervisor.	(Ene.76)
-Instructivo para el establecimiento del Manual de INVIERNO y el sistema para su administración.	(Nov. 1975).	-Guía Técnica para las Parcelas Demostrativas	(Abr. ")
		-Indicaciones para tomar muestras de suelo.	(May.76)
		-Manual del Promotor Social.	(Abr.76)
		-Plan de Implementación M.O.C.	(Feb.76)

/2.

PROCEDIMIENTOS	
-Instructivo del Plan de Seguro Médico Hospitalario.	(Dic. 1975).
-Reglamentación de Horas Extras.	(Dic. ").
-Reglamento Interno para la Administración del Programa de Ahorro Personal de INVIERNO.	(Dic. 1975).
-Manual General de Organización.	(Ene. 1976).
-Manual para el Establecimiento de las Comunicaciones.	(Ene. 1976).
-Instructivo para el Control de Formas.	(Ene. ").
-Reglamento para el Pago de Viáticos.	(Feb. ").
-Manual de Procedimientos del Personal.	(Ene. ").
-Manual de Transporte.	(Feb. ").
-INSTRUCTIVO PARA EL CONTROL DE INVENTARIO de Mobiliario y Equipo de INVIERNO.	(Marzo ").
-Anexo No. 1 - Control de Mantenimiento de Equipo, anexo del anterior.	(Junio ").
-Manual de Procedimientos Contables y Catálogo de Cuentas.	(Año 1975.)

MANUALES	
-Manual para el estimado de cosechas.	(Jul.76)
-Plan de Implementación del Departamento de Asistencia Técnica.	(" 75).
-Paquete Tecnológico para la Producción de Hortalizas.	(May.76)
-Paquete Tecnológico para la Producción de Granos Básicos.	(- -)
-Paquete Tecnológico para la Producción de Papa.	(Abr.76)
-Manual de Vacunación y Desparasitación del Ganado Bovino.	(Abr. ")
-Instructivo para llenar los registros de datos para las Parcelas Demostrativas.	(May.76)
-Instructivo para el llenado de "Registros de fechas de diferentes sucesos en la producción agropecuaria. (Por Localidad).	(Jun.76)
-Manejo y Uso de Pesticidas.	(Jul.76)
-Manual de Procedimientos. (M.O.C.)	(1975)
-Manual de Procedimientos del Departamento de Insumos y Mercadeo.	(Ene.76)
-Plan de Implementación - Estructura Lógica de INVIERNO.	(Ene. ")
-Manual de Procedimientos del Credomerc.	(Feb. ")
-Manual de Procedimientos del Especialista Credomerc.	(Feb.76)
-Estrategia para la Creación de Cooperativas de Mercadeo.	(Feb.76)
-Manual de Información de Precios.	(Jun.76)
-Manual para Almacenamiento en Trojas.	(Jun.76)
-Procedimientos para la Compra de Granos Básicos.	(Jun.76)
-Manual de Compra de Granos Básicos.	(Jul.76)
-Plan de Implementación Departamento de Mercadeo.	(Año 75)
-Programa de Pequeña Empresa.	(Sep.76)
-Programa de Pequeña Empresa - Asistencia Técnica.	(Sep.76)
-Programa de Crédito p/el Desarrollo Municipal	(Sep.76)

rather than enabling instruments. Invierno is aware of this danger and is trying to build means for encouraging creativity management style, personnel evaluations, the training program, organization, and management review.

Starting at the top with the General Manager and permeating throughout the organization is a management style and philosophy which encourages constructive criticism and finds alternative ways to better accomplish activites. This style is evidenced by the Executive Committee approach and the constant desire of management to receive both internal and external feedback.

A second debureaucratization technique is holding personnel evaluations every six months, at which time employees receive feedback from their supervisors on performance strengths and weaknesses. Employees who have performed well are so informed and are rewarded by salary and/or responsibility increases, while employees who have performed poorly are provided the opportunity to improve before being sanctioned.

The training program is a third method used by Invierno to avoid bureaucratization. While the organization is generally pleased with the results of the initial preservice and inservice training program, it also wishes to modify the training component to further improve the effectiveness of employees. Training at Invierno receives a high priority, as evidenced by the hiring of a full time professional training consultant for 18 months. Finally, to insure that the manuals, procedures, and practices once created to enable exciting things to happen do not degenerate into rigid operating obstacles, Invierno plans to review all manuals and procedures on a periodic basis (tentatively every six months) to make certain that these documents individually and collectively serve the existing organizational needs.

I. Decision Making

While decision making is a group-consensus process, it is centralized. Centralized decision making is to be expected in the beginning stages of a comprehensive program trying to integrate many diverse services. However, there is some decision making at the regional/CEDE levels and Invierno appears committed to delegate greater authority to the Regions and CEDE's in the near future. At present, the Regional Director has defined areas within which he can operate. He has hiring and firing authority for a certain level of employees; he has a petty cash fund of approximately U.S. $430.00, and he can commit up to U.S. $143.00 without prior authorization. In addition, the Region has its own checking account and local people can sign off on checks.

In the future, CEDE's in Regions will gain greater decision making authority partly out of design and partly out of necessity. Within the next six months the San Ramon CEDE will present an annual operating budget and plan. While this

plan will receive close scrutiny this time as the first CEDE-originated plan, it is anticipated that future CEDE plans will receive rather minor modifications from central Invierno. In addition, the central office will be setting up Regional Invierno offices throughout the country. Existing Regional offices will as a consequence, be operating more independently on their own simply because central Invierno will be busy helping establish new regions.

IV. PROJECT MANAGEMENT AT REGIONAL AND CEDE LEVELS

In previous sections of this report the consultant concentrated on Invierno's management at the central level. This section will treat the Region and CEDE's roles in project management. Particular emphasis will be placed on the delivery of services, planning process, local flexibility, written and oral communications, evaluation process, and site selection.

A. Delivery of Services

At the present time only one Regional Office is in operation. This office is staffed by a Director plus various supervisors for the technical areas, including two Social Work Supervisors, two Supervisors of Agricultural Technical Assistance, and a Credit Supervisor. Reporting to the Regional Office Director are five local development centers (CEDE's) which service some 25 communities.

Each CEDE has a manager who supervises a staff of administrative people (i.e., cashiers and clerical personnel) and technical outreach workers. There are essentially three types of CEDE technical outreach personnel: an AGROMOC or Agricultural Extension Agent; a Trabajador Social or Social Worker; and a CREDOMERC or Marketing Specialist. It is the CEDE Manager's responsibility to ensure that these technicians function as a team in the field.

Several mechanisms have been established to insure the effective and efficient delivery of services at the local level including: holding weekly planning meetings; developing written standardized manuals and procedures; using backup technical personnel; performing internal audits; and utilizing computerized time sheets. Each of these mechanisms is now discussed in greater detail.

Every Saturday morning at each CEDE a staff meeting is held to share results from the prior week's activities, to discuss problem areas, and to plan for the coming week. One technical representative from the Regional Office attends each of these CEDE sessions on a rotating basis so that over time each

Regional Technical Supervisor visits each CEDE. These sessions tend to function as a local executive committee and stress the team approach towards servicing the needs of the Socio (lin[illegible]dit borrower).

A second method for insuring quality s[illegible]s is the extensive use of written manuals and procedures for field program and administrative people. Invierno is a program on wheels, with a heavy emphasis on outreach. To make certain that these services have a consistent standard of quality, much time has been given to writing standardized procedures and to training personnel in the application of these procedures.

Third, at the Regional Office there are technical supervisory personnel who coordinate the activities of the field technicians in their respective disciplines and provide appropriate backup assistance when needed. Thus, when an ACROMOC (agricultural technician) has a technical problem in agriculture that he cannot handle himself, he will seek the assistance of the Supervisor of Agricultural Technical Assistance in the Regional Office. This procedure also holds true for field social workers and field CREDOMERCS (see page i, definitions) who are coordinated and backstopped by the regional Social Worker Supervisors and CREDOMERC Supervisor respectively.

Fourth, Invierno uses two internal auditors for quality control checks. At least two activities of these auditors deserve mention. A full 13 percent of the loans granted by Invierno during its first year of operation were verified by the Audit Department to insure that the Socio did in fact, receive the amount of money stated in the loan agreement. In addition, to determine the quality of services provided, the internal auditors interviewed a considerable number of Socios.

Fifth, the project is experimenting with the use of computerized time sheets to be completed by technical outreach field personnel. These sheets not only will permit the CEDE manager to more closely supervise the activities of CEDE field staff, but will also permit the Central Office to analyze the training method used and patterns of technical assistance provided by the field staff.

B. Planning Process

Systematic planning, as discussed above, is built into Invierno's organizational structure: the use of planning meetings throughout all levels of the Institute; the initiation of an annual operating plan by the CEDE; and the method used to determine future CEDE locations.

Also as mentioned earlier, the Central Executive Committee plays a key planning role. Through the attendance of the Regional Director at every Executive Committee meeting and the attendance of CEDE managers at these meetings on a rotating basis, the regional and local levels are able to provide

input and participate in the planning process. In addition to this planning meeting, other planning sessions are held at the regional and CEDE levels each Tuesday and Saturday, respectively. Thus, the structure of the planning meeting system at Invierno allows for the flow of information horizontally as well as vertically throughout the organization.

A second planning element is tied into Invierno's aim of gradual decentralization. Now that the first Regional and CEDE offices are functioning, the Central Office is experimenting with the development of a comprehensive annual plan by the CEDE of San Ramon. In the past, the Regional and CEDE plans have emanated from the Central Office, but it is anticipated that eventually the development of all annual plans with their corresponding budgets will begin at the CEDE level with review by the Central Office.

Invierno's commitment to national planning is also reflected in the manner in which CEDE sites are chosen. Only after intensive analysis of the anticipated number of potential members and the economics of providing services to those members, is a site chosen for a CEDE office. In some high potential areas, Invierno has opted to set up a sub-CEDE rather than a full CEDE. Sub-CEDE's provide the same types of service, but tend to have a smaller technical staff.

C. Local Flexibility

While the Central Office has standardized many processes for Regional and CEDE staff, the Central Office, in keeping with its philosophy of eventual decentralization, is presently allowing for much flexibility at the Regional level and is planning for even greater local determination and flexibility in the future. Present manifestations of local flexibility are found in personnel administration, handling of funds, the Executive Committee system, and the manner in which manuals are written.

While much of the personnel system is centralized, the Regional Director has some personnel flexibility, For example, he can make internal personnel transfers without Central Office approval. Thus an AGROMOC can be transferred by the Regional Director from one CEDE to another. Also, the Regional Director may recommend to the Central Office that a particular person be hired. Usually his recommendations are accepted.

The Regional Director also has some flexibility in the handling of funds. Examples of this lie in his ability to incur expenses up to a specified limit without prior Central Office approval and the existence of a rather substantial petty cash fund at the Regional Office. In addition, the Regional Office has a checking account with a nearby bank and check signing authority remains at the Regional level.

The Executive Committee provides yet another means of local flexibility. When situations arise at the Regional level which conflict with established Central Office practices, the Regional Director will present the situation and his recommended solution to the Executive Committee. It deserves mentioning that Invierno's style of working with the Regional Office follows the management by exception principle, allowing the Regional Director much latitude in decision making. Thus, only a small number of cases tend to be brought before the Executive Committee for discussion and resolution.

Finally, the manner in which operating manuals are written seems to facilitate local flexibility. While the manuals attempt to standardize procedures and practices, their content and format are general enough to allow local adaptation and application.

D. Written and Oral Communications

Communications, both internally and with external organizations, appear to be very important to project staff. Internally, a number of written reports originate at the local level and flow from the CEDE to the Regional and Central Offices. Examples of these reports are time sheets, planning sheets, reports or activities accomplished, and specific community project proposals.

The internal oral communication takes place at the various regularly scheduled planning sessions that are held throughout the organization. In addition, each CEDE has a radio transmitter/receiver set, so that instant oral communication is possible from CEDE to CEDE, from each CEDE to the Regional Office, and from the Regional Office to the Central Office. In the future it is planned to assign one mobile radio unit to each CEDE so that there will be radio communication between any locality serviced by a CEDE and the entire Invierno organization.

Communication is not limited to Invierno's internal operations, but extends to Invierno's relations with outside local groups. In attempting to implement at the local level some of the agreements worked out by Invierno in Managua with other agencies of government, CEDE, and Regional staff often meet with local representatives of other public agencies. For example, a social worker might talk with the local representative of the Ministry of Education about assigning a teacher to teach school in an Invierno community or with a local representative of the Public Health Ministry about sending a nurse to an Invierno target community to give innoculations.

E. Evaluation Process

As mentioned earlier, Invierno is very conscious of the importance of the evaluation process. Not only are evaluation procedures established for the Central Office, but for the Regional and CEDE levels as well. For example,

one desired result of the community groups being developed in CEDE localities is for these groups to provide ongoing monitoring of Invierno's activities in the area. Also Invierno's Internal Auditor goes directly to individual Socios to receive feedback on the quality and degree of service offered by the Project.

In addition, CEDE's can compare their performance against the quantified goals established by the organization. Thus a CEDE can compare its number of Socios, area services, and average amount of loan against some sort of a norm. One interesting result of this comparing process has been the extension of the service area of CEDE's from 15 to 25 kilometers. This was done after it was determined that the CEDE's could provide services to a much larger physical area than originally planned.

F. Site Selection

The choosing of communities in which to operate as well as selection of CEDE's from which to service these communities, has been a capricous decision at Invierno. From the outset, Invierno performed meticulous studies to determine where the organization was to function physically. The project tries to define areas which could benefit most from Invierno input and which have a highly probability of success. Some of the variables which Invierno considers in determining appropriate site selection are rainfall, condition of land, potential membership, and access to all-weather roads.

In choosing the eventual stie for its first Regional Office, Invierno was also concerned about presenting an appropriate image. As a result San Ramon, a rural population center, was selected over a locale that was more urbanized.

V. COMMUNITY PARTICIPATION

A priority of both U.S. AID and Invierno is the involvement of consumers in the development and management of the services provided to them. In this section, the consultant will discuss the methodologies used by Invierno to generate and maintain the participation of rural farm families in the project. Specifically, the categories of initial needs assessment, local group development, use of volunteer collaborators, motivational training, and the team approach will be discussed.

To determine the needs of the population in the target communities, the project attempted to visit each household to gather basic data and to inform the family of the existence and purposes of Invierno. As part of this intensive canvas, a "boleto" or form was prepared by the interviewers which served the two-fold purpose of gathering census data on the household and generating loan application

information. All this information was then fed into the computer. It is anticipated that as additional information is obtained on Socio families, this will also be put into the computer, resulting in a family profile which can be used by all Invierno staff working with the family.

Initially, Invierno worked primarily on a one-to-one basis with individuals. This was due in part to the lack of existing groups in the communities which Invierno entered. However, Invierno hopes to develop, strengthen, and institutionalize local groups which will eventually assume some of Invierno's functions, e.g., marketing and production cooperatives. The consultant visited one such group which in addition to serving as a community liaison group to Invierno, is also now engaged in building a school, largely due to Invierno's assistance in community action.

Wherever possible, Invierno tries to identify in the target area a person who is recognized as a leader or has leadership potential. This individual, called a volunteer collaborator, is viewed as the prime contact person between Invierno and the community and as a disseminator of Invierno information to the community. Invierno plans to provide training to these collaborators in leadership skills, community development techniques, and holding meetings. It is assumed that many collaborators will take future leadership roles in groups that may be developed to work with Invierno and community self-help projects.

MOC (or motivational training) is an acromym that has become a familiar part of the Invierno lexicon. Essentially, MOC deals with how to relate to the rural people and how to motivate the farmer to positive action in meeting individual and community needs. Although this type of training is offered elsewhere, primarily to persons providing social services, in Invierno all of the outreach teams (including the administrative staff) receive MOC training. Thus, an agricultural worker acts as both an agricultural technician and a change agent in relating to the farmer. Further, MOC training has had some effect on Invierno internally. Many of the staff seem to use MOC techniques in relating to other Invierno personnel. The Executive Committee meeting, where an environment has been created for the free and open expression of feelings, is an excellent example of internally applied MOC.

Another method used by Invierno to stimulate community participation is the team approach. Invierno's concept of dealing with the total needs of the rural farmer at his doorsetp, has resulted in the formation of an outreach team which can either provide needed services directly or arrange for their provision by other organizations. This team is comprised of a Social Worker, an Agricultural Extension Worker, and a Marketing Specialist who work together in concert with the Agriculturalist in attempting to improve the economic and social well being of the poor farmer.

VI. CENTRAL ADMINISTRATIVE SUPPORT ROLE OF INVIERNO

In a prior section we discussed how the Central Office was organized, how it planned and how it performed evaluations. In this section, we will concentrate on those activities which the Central Office performs which support or backstop the activities of the Regional and CEDE offices. In other words, the things which the Central Office does which enable the local units to perform their programmatic tasks at a quality level. Specific support areas to be discussed are personnel administration, electronic data processing, accounting, equipment purchasing, and training.

A. Personnel Administration

It does not take very long for an outsider to learn that Invierno has an extremly competent staff. This is due in large measure to a highly professional personnel system containing the following elements:

- competitive salary scale;
- liberal fringe benefit package;
- six-month individual employee performance evaluation; and
- promotion from within policy (i. e., promoting Agromocs to Agricultural Technical Specialists).

This professional pay and classification system has helped bring to Invierno persons with substantial academic training and prior work experience. Many of Invierno's top management have advanced degrees and many years of prior high-level technical experience. Invierno has been successful in recruiting top talent from both the private and public sectors. One of the reasons why these high quality people tend to stay at Invierno is the professional stimulation provided by the organization. Other Nicaraguan institutions are beginning to recognize the dynamics of Invierno as both an organization and as a cadre of innovative professionals.

In addition, many Nicaraguans are seeing Invierno as a good professional move that offers a challenging environment. This professionalism is evident throughout the organization, and exists at the regional/CEDE levels as well as the central levels. Thus, the commitment by the Central Office to a quality personnel system has resulted in highly qualified administrative and technical people at the local levels.

Other features of the centralized system are:

- Maintenance of all personnel records and handling time-consuming personnel matters (such as social security payments and life insurance applications) by the Central Office. This relieves the local offices of much burdensome paper work.

- Classification of all employees by skill and training areas. Thus, when a local CEDE needs a person with a certain skill, i.e., farm machinery repair, the local office can request a person with such a skill from the Central Office's talent bank.

- A rational system for the creation of new job positions. To assure that the Regional/CEDE offices have thought out their rationale, the local offices are now required to justify new positions through cost benefit analysis. While this may sound like an obstacle, this Central Office requirement helps the local offices think through their proper allocation of human resources.

B. Electronic Data Processing

One of the more interesting support services provided by the Central Office is its electronic data processing (EDP) operation. In addition to handling administrative activities such as cash flow, payroll, and budgets, Invierno's EDP personnel are doing some highly innovative work in applying computer technology to program areas. Some examples of this are:

- Designed a loan application form which allows for the systematic processing of a large number of loans each one of which is for a small amount of money. Invierno's ability to handle and make judgments upon a high volume of small loans speaks to a significant problem that has long troubled efforts by public and private banks to provide credit to the marginal farmer. Built into Invierno's computer program is a weighting scale which assigns points to key criteria in the loan application. The application receives either a passing or failing grade. Those obtaining a failing grade are then reviewed manually to verify the computer's judgment.

- Now being developed is a product pricing system, which inventories the prices of products throughout the country. This should be of considerable assistance to the CREDOMERC who can inform the Socio of the best area in the country to market his products at any given time.

- Experimentation with a computerized time sheet for outreach workers. Not only does the worker log in the number of hours he/she works per day, but also the instructional technique used and by functional area affected, e.g., two hours used in a demonstration plot technique as a specific activity within technical assistance in agriculture.

- Computerized use of its experimental plots. These plots each had at least one treatment and one control planning group. In some cases there will be four groups, i.e., no fertilizer and criollo (wild) seed (which is the method used by most area small farmers); fertilizer and criollo seed; fertilizer and high yield seed; and no fertilizer and high yield seed. Both the inputs and the resultant yields have been computerized giving outreach staff throughout the Invierno target area data on what seems to be the most cost effective method of planting for farmers in particular localities.

C. Accounting

While many organizations view accounting as a necessary chore to be performed begrudgingly to satisfy internal and external reporting requirements, such is not the case at Invierno. At Invierno the accounting operation is viewed as a creative process, where the best aspects of traditional accounting practices are blended with new accounting procedures specifically developed by Invierno. Three examples of innovative accounting are: salary allocation by program; monthly operating statements; and the use of depreciation. Each is described briefly below.

To assure that the loan aspect of Invierno's program will someday be self-sustaining, Invierno has already started to allocate salaries throughout the organization to either the loan program or the non-loan program. This permits Invierno to evaluate, over time, just how much it costs to run a self-sufficient loan program. Many of the Invierno staff come from private sector and have brought with them a concept of profit accounting which they are attempting to blend with public funds accounting. The results is that each month, Invierno produces an operating (or profit and loss) statement.

In as much as Invierno is a program on wheels that requires a large amount of mobile equipment that wear out over a rather short period, the organization has built the depreciation concept into its accounting system. By doing this, Invierno is essentially setting aside a financial reserve for the replacement of equipment that receives hard use. The concept of depreciation is typically employed by private sector institutions and seldom found in public entities. However, Invierno has faced up to its need for equipment replacement and is accounting for them in a relevant way.

D. Equipment and Supplies Purchasing

The Central Office provides extensive purchasing services to the field offices, thereby allowing these offices to more fully service Socios. Essentially, the field offices require two types of equipment or supplies -- those for staff use by the CEDE's and Regional Office such as vehicles, office equipment, and office supplies; and those to service the Socios such as fertilizer and seeds.

To ensure that the right things get to the proper place at the right time, Invierno has developed a centralized purchasing system which receives purchase plans from the local offices. Thus, the local office develops a purchase plan with deadline dates which it submits to the Central Office for purchase action. Submission, approval, and followup is extremely important in the case of purchasing seeds and fertilizer as they must be requested by January 15 in order to be available to the farmer by April 1.

E. Training

An important support service provided by the Central Office to the local offices is that of employee training. The importance of training to the organization is evidenced by the hiring of training consultants under an 18-month contract.

The Central Office arranges for both preservice and inservice training for its personnel. Training is intended to strengthen the employees technical skills, increase his understanding of Invierno's philosophical concept and objectives, improve his administrative performance (i. e., applying procedures spelled out in operating manuals), and broaden his abilities to interact with and motivate Socios. In addition to designing the initial training programs, the Invierno Central Office is also charged with the responsibility for evaluating the effectiveness of training and applying the evaluation results in the design and implementation of future training programs.

VII. RECOMMENDATIONS

This section will treat some general implications of these findings for AID field support for sector development programs such as Invierno and will discuss areas of Invierno's experience that appear transferable and adaptable to other sector projects.

A. Organizational Structure

Invierno has built into its organizational structure as an autonomous agency, certain elements which appear to facilitate the management of its program. First, the Executive Committee seems to have helped launch and keep together

the many Invierno components. This Committee allows for group decision making and feedback; the integration of program and administrative persons; the integration of Central Office and local office persons; and close collaboration with the local AID Mission. In addition, the Central Executive Committee acts as a model for the functioning of staff committees at the Regional and CEDE levels.

A second key element of Invierno's organizational structure is the attention given to quality control. Quality control is extremely important in a new organization that has to provide many services very quickly after its creation. In Invierno, there are three structural quality control points: the Director of Programming and Control who coordinates and monitors administrative matters at the central level; the Vice-Manager of Operations who coordinates and monitors programmatic matters at the central level; and the Internal Auditor who does trouble-shooting and randomly audits administrative and programmatic matters.

A third concept built into the Invierno structure is that of institutionalizing elements of the project so that eventually these will be operated by the clients presently being served. An example of this is the formation of local community self-help groups which will over time take over certain financing and marketing functions.

A fourth ingredient of the Inverno structure is to insure that at least one entire component of the project will be self-sufficient. Specifically, it is intended that the loan program will some day be self-financing.

B. Integrated Services

In addition to organizational structure, Invierno has done some interesting work in integrating services that merit further research. Invierno's services are financing, agricultural technical assistance, marketing assistance, and treatment of problems that are outside the agricultural field but directly affect the small farmer, e.g., social service. Thus, Invierno has chosen to deal with key problems confronting the rural poor. To accomplish this, Invierno not only coordinates the services which it offers directly, but also enters into written agreements with other public agencies to provide selected services such as the Ministries of Public Work, Public Health, and Education.

C. Outreach Program

A third characteristic of Invierno that may be appropriate for other sector development programs is the concept of service at the clients' doorstep. This is to say, that all the services of the organization are provided by staff at the clients location. Thus the Invierno cashier, agricultural experts, and social worker work with the farmers in his house and on his land.

D. Resource Allocation

As part of its management approach, Invierno utilizes a fourth strategy that appears to be effective and might be the subject of further investigation. To assure that all its resources are allocated on some rational basis, Invierno has developed a resource allocation formula. This formula is based on the estimated number of Socios to be serviced in a given locale. Thus, the number of people (social workers, agronomists, administrative assistants, etc.), jeeps, and desks to be assigned depends on the Socio potential of a community.

E. Computer Applications

A particularly exciting Invierno activity is that of computer usage. While Invierno uses the computer for many administrative purposes, such as payroll and budgets, Invierno has made some exemplary strides in computer applications for programmatic areas. One example of this is Invierno's ability to process a large quantity of individual small loans. In the past, a factor which has mitigated against extending credit to small scale farmers has been the high costs involved in processing loan applications. Invierno's ability to make loan processing cost effective through the use of a computer application form and a computerized decision making model, has ramifications both for public and private sector lending institutions in the rural credit field.

A second example of computer application for programs is Invierno's use of a computerized model for comparing Socio loan repayments under the Invierno repayment schedule with a hypothetical repayment schedule that the Socio would have used had he borrowed from another banking institution, e.g., the National Bank.

The use of this computer model will test Invierno's hypothesis that Invierno's repayment method will normally cost the Socio less in finance charges than will the National Bank repayment method.

One additional example of computer use is the field worker time record. By categorizing the time each outreach worker spends by the method of instruction used (i.e., demonstration plot, one-to-one agricultural technical assistance, and group agricultural class), Invierno can evaluate the working patterns and efficiency of outreach personnel.

F. Internal Determinations and External Assistance

Invierno has taken an approach towards the utilization of outside assistance which is somewhat different from the traditional approach and which may be relevant for other sector development projects. Rather than bring in at the onset an outside team of specialized technicians to set the framework for the organization, Invierno chose to determine its objectives, philosophy, and approaches internally. Thus, Invierno's initial staff laid the groundwork for the project. It appears that outside technical assistance will be required later on, but this assistance will be well defined, heavily specialized, and for short time periods.

G. Human Relations Training

Another area in which Invierno is experimenting is in providing human relations and motivational (MOC) training to technicians who are not from the social science disciplines. Invierno is training all of its outreach workers in MOC, including agricultural extensionists and credit specialists. In effect, the Institute is attempting to develop two skills (i.e., agricultural and motivational) for the price of one. This MOC training seems to have had two effects on the technicians. First, they appear to relate more readily to the Socios. MOC training may have helped the technicians in presenting technical assistance so that it will be absorbed and implemented by the Socio. Second, the MOC training may also help the technician more fully relate to his social service colleague -- the social worker -- thus strengthening the outreach team concept.

H. Modern Management Tools

Invierno's charge was to complete a large number of complex tasks within a very short time frame. To accomplish all these tasks, Invierno is using a considerable number of modern scientific management tools in its daily operations. The list of tools include written manuals, flowcharts, PERT charts, and innovative systems. Two specific management devices used by Invierno merit individual mentioning. First, written minutes (Actas) are kept of each Executive Committee meeting which document the individual administrative pledges made by session participants to do certain things within definite time constraints. Second, Invierno uses a highly professional and competitive classification and pay system which permits the organization to attract and retain high quality personnel.

I. Local AID Mission Collaboration

The consultant was impressed with the close working and collaborative style relationship that exists between Invierno and the local AID Mission. An AID representative is invited to participate at Executive Committee meetings where

the Invierno staff freely discusses internal and external problems. It appears that Invierno is not fearful of AID intervention and indeed welcomes close AID collaboration. This spirit of collaboration is having an effect on the local AID Mission that transcends the initial AID-GON loan agreement for the Invierno Project. Because of its multi-faceted approach to resolving the problems of low income persons, Invierno is being viewed by the local mission as a basis for future mission programming. Future relationships between Invierno and the local AID Mission are being assessed in the fields of municipal development, nutrition, and education.

J. Credit System

Invierno is doing some interesting things in the area of arranging credit that may have specific relevance to AID projects in the agricultural credit field. First, Invierno extends a line of credit to a Socio on which he can draw, when, and if he wants to. This line of credit method has been chosen by Invierno over the more traditionally used specific loan amount methods. Second, Invierno bases its payment schedule on the production cycle and the Socio's ability to pay, rather than on a fixed monthly payment schedule. Third, if the Socio cannot pay because of some unnatural or unforeseen occurrance, e.g., act of God, family illness, etc., no penalties are assessed. However, if a Socio can pay but refuses to do so, penalties are then assessed.

K. Host Country Support

A key ingredient that has helped Invierno immensely is the support given the project by the GON. It is to be emphasized that the GON while granting support has also avoided political interference. This support is manifested by the amount of GON financial contribution, the GON's willingness to provide startup funds quickly, and the GON's commitment to restructure the entire Ministry of Agriculture to allow Invierno to function effectively.

L. Technical Assistance

Central AID may also have a technical assistance role in supporting sector development projects. Two possible technical assistance areas for central AID involvement are: development and maintenance of a technical assistance resource bank and dissemination of material on sector management.

Should other sector development projects follow Invierno's lead by defining their own goals and bringing in technical assistance on an as-needed basis, the types of outside consultants required will be somewhat different from traditional consultants of the past. Rather than consultant generalists, highly

specialized consultants will be needed, i.e., accounting applications for the computer, packaging of delicate produce, and development of agricultural equipment below the level of intermediate technology. Also these consultants rather than living in the country for a one or two-year assignment, may be needed for repeated short periods of say one or two weeks. Projects such as Invierno will need access to some sort of a bank which lists these short term highly specialized experts by skill area and background. AID/W could fill this need by pulling together from a variety of sources a centralized list of this type of consultants. Sources would include existing lists scattered throughout AID/Washington and lists from professional organizations such as the American Institute of Certified Public Accountants and the Agricultural Economist Association.

AID local Missions could participate in the process by providing names of appropriate consultants to central AID for their review and followup. To standardize the data, central AID could develop a form which interested consultants could fill out.

A second technical assistance area for possible AID/W involvement is the dissemination of written materials on sector development as technical assistance to local AID Missions and through these Missions to the sector development project itself. These materials may be either existing studies or evaluations of sector development projects or may be future action research studies that AID/W may perform in the future. To assure that the information can be readily accessed by local AID missions, an annotated bibliography of these studies would periodically be sent by AID/W to the local missions.

M. Training

AID/W may also have a role in arranging training for the personnel of sector development programs. One possibility is the development of an annual training schedule which lists the anticipated training courses to be conducted by AID or other institutions during the next year. Both USAID/Nicaragua and Invierno staff felt that such an annual plan would considerably help Invierno in prioritizing its training requirements and in scheduling personnel to attend AID training courses.

A second area is to offer more regional courses in Spanish. Some persons interviewed felt that some courses offered are designed for English speaking participants on a world-wide basis and are too general to meet the needs of Spanish-speaking participants from Latin America.

A third area is for AID/W to gain additional insight into the current training needs of sector development projects. The types of outside help needed by projects such as Invierno, are becoming highly specialized. To assure that scheduled training is responsive to the requirements of sector development projects, a training needs self-assessment form might be developed and sent to sector development projects to gain their inputs.

ANNEX 3

SELECTED ANNOTATED BIBLIOGRAPHY

I. INTRODUCTION

As mentioned in the text of the report, work will be required to develop a useful bibliography on sector management as references are widely scattered and useful information may often be found in unexpected places.

In Part II of this Annex, we are listing a few references selected from various bibliographies collected as one aspect of this preliminary study of sector management. Items listed should be considered only as tentative starting points for more indepth analysis. Moreover, since these selected references come from different bibliographies, in each case we are following the format provided in each document.

In Part III, we are including copies of correspondence suggesting leads to sources of additional bibliographic material.

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378 Management science support of family planning programs in the developing countries, by Curtis P. McLaughlin and Edward S. Trainer. Chapel Hill, N.C., Carolina Population Center, University of North Carolina, 1970?
18 p. Photoprint. (Carolina Population Center. Systems Analysis Program, Working Paper, no. 9.)

Paper presented at the 11th American meeting of the Institute of Management Science, College of Simulation and Gaming Seminar on environmental planning, Los Angeles, Calif., Oct. 21, 1970.

1. Management science. 2. Planning. 3. Family Planning programs. 4. Developing countries. 5. Training. 6. Economics. 7. Games -- Theory. 8. Models. 9. Decision making.

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442 Organization and administration of family planning programmes ground paper for the 1974 World Population Conference. Prepared by the Public Administration Division, U.N. Department. of Economic and Social Affairs. New York, N.Y., U.N. Dept. of Economic and Social Affairs, 1973.
iv, 28 p.

1. Family planning - Programs. 2. Administration. 3. Program development and management. 4. National. 5. Organizational structure and relationships. 6. Recommendations -- Type of document. R-3638.

D. Population Information Program, Washington, D.C.,

(1) Popinform: 74C01942
(2) Accession Number: 00926C R971
(3) Author: Reynolds, J.
(5) Title: Clinical Utilization of Output: Accessibility, Availability, Adequacy, and Acceptability of Services.
(6) Source Document Title: Paper presented at "UN Laboratorio Para Ejecutivos y Administradores, 'Como Mejorar Programas de Planificacion Familiar en America Latina?'" Botota May 24 - June 4, 1971. 13p.
(8) Year of Publication: 1971.

(1) Popinform: 73P07176
(2) Accession Number: 723355
(3) Author: Perera, N.S.L.
(5) Title: Report of Plenary Session V.
(6) Source Document Title: In: Aziz, F., Ed. Indian Seminar on Administration. Lamore, Pakistan, Family Planning Association of Pakistan, 1972.
(8) Year of Publication: 1972
(9) Source of Document Author: Aziz, F.
(10) Number of References: 0
(11) Language: En.
(12) International Standard Serial Number: 0000-0000
(13) Abstract: A summary of plenary session V including a paper by Mr. B. Aluvihare Entitled "Developing a Work Program", and the group discussion after the paper was given is presented. Mr. Aluvihare stressed the need for voluntary organizations to plan their activities more specifically, in order that objectives will be achieved in a given time span through an optimum utilization of all their resources.

(1) Popinform: 74C05160
(2) Accession Number: 0323C R974
(3) Author: Helbig, D.W.
(5) Title: Identifying Management Issues in the Organization and Delivery of Family Planning Services.
(6) Source Document Title: In: The Role of Universities in Improving the Management of Population Programs. L. Gooch. Ed. Chapel Hill, N.C., School of Public Health, and Carolina Population Center, 1974, pp. 88-91.
(8) Year of Publication: 1974.
(9) Source Document Author: Gooch, L., Ed.

(1) Popinform: 73P14964
(2) Accession Number: 742247
(3) Author: Korten, D.C.
(5) Title: Some Considerations in the Generation and Use of Management Information in the National Family Planning Program.
(6) Source Document Title: Managua, Nicaragua, Instituto Centro-Americano de Administracion de Empresas Study of Family Planning Progra Management, January 1974. (Technical Report No. 2.) 11 p.
(8) Year of Publication: 1974.

(1) Popinform: 74C05167
(2) Accession Number: 03026C R974
(3) Author: Lagman, O.
(5) Title: Introducing Marketing Concepts into Family Planning Programs.
(6) Source Document Title: In: The Role of Universities in Improvin the Management of Population Programs. L. Gooch. Ed. Chapel Hill, N.C. School of Public Health, and Carolina Population Center, 1974, pp. 134-136.
(8) Year of Publication: 1974.

(1) Popinform: 74C03311
(2) Accession Number: 01629C R972
(3) Author: Ranerjfe, A.M.
(5) Title: Administrative Components of a Family Planning Programm
(6) Source Document Title: International Planned Parenthood Federation, Southeast Asia and Oceania Region Monograph No. 3, 1972. 16p.
(8) Year of Publication: 1972.

III. LEADS TO ADDITIONAL BIBLIOGRAPHIC MATERIALS

This section contains copies of correspondence which suggest additional sources of bibliographic materials which appear worth pursuing during the implementation of the proposed project to strength field support for sector management.

The EAST-WEST CENTER

EAST-WEST FOOD INSTITUTE

1777 EAST-WEST ROAD
HONOLULU, HAWAII 96822
CABLE: EASWESCEN

January 13, 1977

Mr. Hiram S. Phillips
Senior Associate
Development Associates, Inc.
1521 New Hampshire Avenue, NW
Washington, D.C. 20036

Dear Mr. Phillips:

The monograph "Management Learning and the Agricultural Administrator" is not yet available in published form. We are hopeful that it will be ready in about six months.

The materials referred to as "selected readings" are currently being finalized in typescript form for offset reproduction. They too should be ready within approximately six months.

If you have not already done so, you may wish to contact the Indian Institute of Management in Ahmedabad, India. Their Center for Management in Agriculture has several years of experience with a one year post graduate course on agricultural management with an agribusiness orientation plus an increasing experience with nonformal, management training for public sector officials in agriculture. The contact person and his address is attached. Also included are contact persons at other locations with experience in management training in agriculture.

Our experience has focused primarily on the management skill and development orientation needs for the middle level program managers with emphasis on the managers of field units which implement various agriculturally-related programs. In developing materials (i.e., the selected readings, or more appropriately, a source book) we did not go the annotated bibliography route, but rather selected, excerpted, modified, or wrote short items that fit the topical framework or perspective developed (see brief report attached). Beyond the materials we found our methodology was extremely important in terms of activating associative learning processes; i.e., encouraging and reinforcing the testing and analysis of various management techniques, tools, and ideas against personal management situations and experience. While the workshops we conducted did attempt to increase understandings and skills (and thus influence attitudes and subsequent behavior) of the manager participants, another important objective was to demonstrate a process or approach to management learning to key upper level agency officials. Taiwan (JCRR and the

Provincial Farmers' Association) did the best job of internalizing the idea and running with it. Thus you may also want to contact them. Since the personnel with whom we worked have moved on I can only suggest that you write to the Director, Farmers' Service Division, JCRR, 37 Nanhai Road, Taipei, Republic of China and ask for information from those individuals currently working with management training for agricultural managers.

With best wishes. When our materials have been published we will let you know.

Sincerely yours,

Donald G. Green

Donald G. Green
Acting Director

DGG/ky
Enclosures
cc: A.M. Weisblat

Dr. Gunvant Desai
Indian Institute of Management
Vastrapur, Ahmedabad 15
INDIA

Mr. F.N. Youdale
Senior Lecturer, Management
Managa Agricultural Management Center
P.O. Box 96
Tashaneni, Swaziland

Principal
International Training Institute
Middle Head Centre
Middle Head, Mosman, N.S.W. 2088
AUSTRALIA

(you might refer to Mr. F. Sipos or if he is not there ask for information from other relevant staff)

Dr. David Brown
International Professor of Agricultural Economics
University of Tennessee
P.O. Box 1071
Knoxville, Tennessee 37901

PROGRAM OF ADVANCED STUDIES IN
PASITAM
INSTITUTION BUILDING AND TECHNICAL
ASSISTANCE METHODOLOGY

William J. Siffin
Director
(812) 337-1341

Midwest Universities Consortium for International Activities, Inc.

Indiana University
1005 East Tenth Street
Bloomington, Indiana
47401

24 January 1977

Hiram S. Phillips, Senior Associate
Development Associates, Inc.
1521 New Hampshire Avenue, NW
Washington, DC 20036

Dear Dr. Phillips:

Thank you for your letter of December 22 regarding a bibliography on sector management. The PASITAM Documentation Center staff would be willing to consider such a project. Please inform us whether you would like a literature search performed, an actual bibliography prepared, or simply need a consultant. More information specifically outling the project would also be helpful, but this can be worked out later.

I look forward to hearing from you and am hopeful that a satisfactory contract can be arranged.

Cordially,

Richard A. Steele

Richard A. Steele, Coordinator
PASITAM Documentation Center

The EAST-WEST CENTER

EAST-WEST COMMUNICATION INSTITUTE

1777 EAST-WEST ROAD
HONOLULU, HAWAII 96822
CABLE: EASWESCEN

February 3, 1977

Hiram S. Phillips
Senior Associate
Development Associates, Inc.
Management and Governmental
Consultants
1521 New Hampshire, Northwest
Washington, D. C. 20036

Dear Mr. Phillips:

Your letter to David Radel has been referred to me for reply. Dr. Radel is on leave from the Center.

We at the Communication Institute have not been focussing on management of family planning programs. It did occur to us, however, that you might contact the following people who are more directly concerned with this particular aspect of family planning:

Whang, In-Joung, Dr. Programme Coordinator (FP)
Asian Center for Development Administration
No. 3 Jalan Spooner, Lake Gardens,
Kuala Lumpur, Malaysia

D.C. David Korten
Harvard Institute for International Development
Harvard University
1737 Cambridge Street
Cambridge, Massachusetts 02138.

Sincerely,

Sumiye Konoshima

Sumiye Konoshima
Resource Material Specialist

SK/sh