

PN - ABC-030
0328

DRAFT

LOCAL ORGANIZATIONAL DEVELOPMENT
FOR SUSTAINABILITY

Sustainability as a Framework
for Analysis of Development Assistance

Submitted to

USDA/OICD/DFMC in Partial Fulfillment
of Purchase Order No.
40-319R-7-0021

John P. Mason
with the research collaboration
of Deirdre Zitek
Donnelly Roark & Associates, Inc.
June 12, 1987

Table of Contents

<u>Chapte.</u>		<u>Page</u>
I.	The Sustainability Issue as a Framework for Critical Analysis of Development Assistance.....	1
	A. Introduction.....	1
	B. Purpose and Methodology.....	3
II.	The Decline of Social Soundness Analysis.....	7
	A. Who is AID's Client?.....	7
	B. Participation for Sustainable Development...	8
	C. Understanding Local Organization Capacity...	9
	D. Recommended Solutions.....	10
III.	Local Organization Development for Sustainability...	12
	A. Whose Project Is It?.....	12
	B. Building Local Linkages Out and Up.....	15
	C. Recommended Solutions.....	17
IV.	Loosening up the Process: Flexible Organization Management.....	18
	A. Organization Management for Development.....	18
	B. Understanding AID Organization Culture.....	23
	C. Loosening Up.....	26
	D. Recommended Solutions.....	30
V.	Technology Transfer and Technical Assistance as Organizational Learning.....	31
	A. Transfer and Assistance: Developing a How-to Capacity.....	31
	B. Recommended Solutions.....	35
VI.	Appropriate Policy and Leadership for Local Organization Development.....	36
	A. Policy as a How-To Matter.....	36
	B. Locating Leadership for Local Management....	38
	C. Recommended Solutions.....	39
VII.	Summary.....	41

Bibliography

Annex I: Scope of Work

I. THE SUSTAINABILITY ISSUE AS A FRAMEWORK FOR CRITICAL ANALYSIS OF DEVELOPMENT ASSISTANCE

A. INTRODUCTION

The issue of "sustainability" goes to the heart of the matter of foreign development assistance. Sustainability as an issue has given donor agencies such as AID a framework within which it can examine critically and introspectively their own organizational capacity to provide meaningful and effective development assistance. Instead of framing the issue predominantly in terms of developing country "problems," the concept of sustainability almost by definition necessitates an examination of the development process as a two-party system. That means AID also looking at AID—in the same way it attempts to observe and understand a host country's organizational policies, procedures and practices.

The concern for sustainability is based on a growing consensus that project benefits for the most part are not being continued once the project has ended. Recent findings by AID (Occasional Paper No. 5, 1985; Devres 1987) and the World Bank (1985) show that in the vast majority of cases little continuation of their efforts could be found within a few years of withdrawal of program or project assistance. If these findings have validity—and in fairness it must be mentioned that measuring sustainability is by no means a purely empirical matter—then certain questions must be asked. "Is there another, improved way of providing development assistance? And, if so, what and where should the improvements occur?"

These questions will take us into a review of numerous AID studies and evaluations pertinent to program and project sustainability and the recent academic literature whose concerns are also tied to sustainability issues. Attention to issues of sustainability also furthers the implementation of the

fourth pillar of its present program, institution development. (AID 1983)

Institution development in its broad sense is the fostering of organizational capacity to create and carry on activities deemed useful by clients or other users. Continuing the provision of useful benefits is the test of an institution's sustainability. In this sense the concepts of both "institution" and "sustainability" will be considered as generic and therefore relevant to the variety of sectors in which AID works.

1. The Problem

Despite considerable efforts to assist developing countries to develop their natural and human resources, AID and other donors have not generally succeeded in perpetuating those efforts much beyond the life of their assistance. The reasons for the lack of success in creating sustainable development are numerous, varied and complex: they result as much from the manner in which the external assistance is structured as they do from the conditions of the developing country society and economy.

One of the major contexts of AID's activity is the developing country economy and society. AID's work is intended to favorably alter, even transform, developing country social and economic conditions. After completion of any given assistance effort--usually in the form of a project or program--AID looks for continuing results of its assistance. Often as not little evidence can be found for those continuing results. Another way of stating this is that the planned changes have not continued in such a way that the people for whom they were intended have taken them over as their own.

The context of development consists of more than just the society and economy of the country in which assistance is being given. It also includes the donor organization, in this case AID, with its own internal and external

political agendas, bureaucratic structure and techno-economic focus. AID has its own traditions--just as host countries do--some of which die much harder than others.

Those AID traditions of doing business which "die hard" and which seem not to contribute to sustainable development are raised in subsequent discussions of their implications for field operations.

Furthermore, AID works in the countries it does precisely because of the absence of sustainable change in those societies' political, social and economic forms. Where such an absence of change exists it is usually accompanied by wide discrepancies in income and wealth. In many of these countries the development of institutions that ensure the fulfillment of donor and governmental economic and political promises has not occurred. (Loehr 1981)

Such institutions are not in abundance in AID-assisted countries because their political systems lack the appropriate checks and balances. Given the absence of such checks and balances, sustainable development programs--as much of the recent development literature advocates--(Esman 1986; Honadle and VanSant 1985; Korten 1984; Moris 1981; Roark and Hemmings 1986; Rodinelli 1984; Uphoff 1986) depend on donor assistance in building organizational capacity at the local level.

B. PURPOSE AND METHODOLOGY

1. Purpose

The purpose of this paper, according to the Scope of Work (see Annex 1), includes the following:

- (a) provide a review of institutional development literature for issues of sustainability;
- (b) identify and extract from that review, research findings and programmatic experience most directly applicable to field missions; and

- (c) relate those findings to the problems being encountered by field missions in achieving institutional sustainability and continuation of program benefits following termination of AID assistance.

From the outset it was agreed that the focus of the paper would be local institutional or organizational development, but of course in the larger context of national level development institutions.

2. Methodology

The review of '84, '85 and '86 AID evaluations (Devres 1986) which serves as the baseline for this paper elicited several factors bearing on the sustainability of AID projects. It is important to note that the subset of evaluations reviewed for the sustainability issue represents a modest proportion of total projects reviewed (40%), simply because sustainability has been accorded so little attention in project design and hence is absent as a criteria in the evaluations. Furthermore, most of the evaluations were of an interim or ex post type, complicating the measure of sustainability since insufficient time had passed for the projects to demonstrate any measurable capacity to continue their benefits. It is only in the latest AID Evaluation Handbook (April 1987), that AID requires evaluations to examine sustainability as one of several broad concerns.

A brief summary list follows of factors found in the evaluation reviews to have a significant bearing on the prospects of a project continuing after withdrawal of AID assistance (not necessarily in order of priority):

- leadership quality
- adequacy of client constituency
- organization of participation in context of local milieu
- management capacity
- linkages to appropriate organizations
- financing, including recurrent costs
- flexibility of design and implementation
- appropriateness of policies

These and other factors extracted from the literature which bear on the sustainability issue are treated in the body of the paper, except for financial and economic matters which are presented separately from this paper.

3. Operational Definitions

For the purpose of clarifying certain terms used in framing the discussion of sustainability, several definitions are briefly presented as follows:

- (a) sustainability- the capability of previously donor-assisted host country institutions to be self-reliant and to continue to provide the useful development benefits initiated by external donor assistance to beneficiary populations on an ongoing basis (adapted from AID Scope of Work for this paper);
- (b) organizational capacity- the how-to capability to bring together people and resources to accomplish a specific aim;
- (c) taking and accepting responsibility- being answerable, accountable for or chargeable with something within one's control, power or management;
- (d) commitment- to obligate oneself to or give assurance to an act;
- (e) client- most simply, the customers, one who receives certain goods, services or benefits;
- (f) constituency building- developing a body of supporters;
- (g) linkages- a series of connections, in this case between peoples and among organizations they comprise;
- (h) institution- an organization devoted to the promotion and achievement of a specific objective or set of related objectives;
- (i) leadership- simply, an ability to lead as in an act of directing or guiding people to achievement of an objective(s);
- j) organization learning- a process in which host country project participants and AID project personnel work and learn together to arrive at effective modes of assisting local organizational development.

2. Limitations of Literature Review

This study was limited to available AID documents, other development agency reports and academic or think-tank publications which concentrated or in some cases just touched on matters of sustainability. A further limitation is the general lack of focus in the '84, '85, and '86 evaluations on sustainability as an important, much less critical issue. The inattention to sustainability and the formulation of systematic criteria for its measurement only compound the issue. Even in the absence of such criteria, however, it is still possible to sort out and analyze those factors which contribute or not to sustainability.

II. THE DECLINE OF SOCIAL SOUNDNESS ANALYSIS

The Problem: Social soundness analysis introduced as a result of the 1973 New Directions legislation, has in recent years lost its former importance in AID work. If it were redefined as a development management tool to link local populations, their natural resources, and organizational needs to regional and national institutions as well as to donor organizations, it could greatly improve the chances for program and project sustainability.

A. WHO IS AID'S CLIENT?

From 1973 the definition of a specific client population for AID—the so-called poor majority—pointed to who was to directly benefit from AID assistance. Social soundness analysis (SSA) was the major tool designed for assuring where the benefits should go. From the late 1970s through the early 1980s, SSA was refined for use in identifying projects and "target" populations. Since good social analysis is complex and often time-consuming, the SSA is an important but organizationally difficult process to implement. Consequently over the last several years, SSA has diminished in importance, usually becoming an add-on, a justification, used only after a project has already been designed. Its lessened importance is attributable to a proliferation of projects requiring swift bureaucratic approval and to the fact that many of its main advocates and practitioners—social anthropologists—had moved up the career ladder into program management positions. Another reason for SSA's decline is the de-emphasis by the present administration of social concerns, in general.

Social, political and cultural conditions, if not properly understood can foil a project. The abandonment of SSA as a tool for increasing sensitivity to local conditions has not helped the cause of sustainability. SSA was

never intended, however, to lead to sustainable projects in the sense of local organizational management of resources and linkages to higher level institutions. It is only in recasting the SSA that it can contribute to developing sustainability.

B. PARTICIPATION FOR SUSTAINABLE DEVELOPMENT

One of the major issues for AID program and project designers in developing effective projects has been beneficiary participation. Social soundness analysis was supposed to result in part in appropriate modes of participation, but the issue turned out to be much more complex. As many writers on the topic have suggested (Cohen and Uphoff 1980; Gow and VanSant 1983; Huntington 1976; Montgomery and Esman 1971; Roark 1986) the politics and practical realities of beneficiary participation are rife with complexity and ambiguity.

One particular problem is the outright opposition of host government officials to participatory development or the lack of agreement about how to define it. Unless the issue is addressed directly, defined and operationalized, from the start, official support for a project may be subsequently withdrawn during implementation. An instructive example is an AID-supported project in squatter upgrading in Casablanca, Morocco. (Mason 1986) There, Moroccan officials gave verbal support for squatter participation in planning and implementing the project. After some time had passed in planning the project, it became clear to the American technical assistance organization that what Moroccan officials had meant by participation and what AID and its technical advisors meant were two entirely different matters. Moroccan officials intended for the squatters to participate essentially through responding to survey questionnaires, while the Americans expected community

meetings to be convened to determine residents' involvement in the actual work of transforming the slum. The lack of understanding and agreement on this point created considerable strife and time delays. Had a SSA been used and agreed to by project signatories and, applied as a tool in the organization of local people and resources, these complications might not have arisen.

It is to be noted here that beneficiary participation is not a panacea. It must be operationalized in terms of who has responsibility for what and how that is carried out in a specific project context.

C. UNDERSTANDING LOCAL ORGANIZATIONAL CAPACITY

AID program and project designers can improve the sustainability of their interventions by learning more about the socio-cultural and institutional environments of local resource management. Recent analysis (Uphoff 1986) has clearly shown the appropriateness of some types of local organizations over others in developing different types of natural resources. While AID has been aware of which organizations can effectively develop specific natural resources, it has not always dealt effectively with the how or how-to capacity of local populations to organize themselves in such ways.

An example from Yemen is illustrative. There, Local Development Associations (LDA) based on existing community structures had over the years carried out activities to improve local welfare. When these local organizations received government funds, they were able to build thousands of kilometers of roads, schools, clinics, and water systems. Then AID stepped in to "test" the kind of support it could give that would produce even better LDA results. However, this experiment was forced to achieve specific "outputs" so the "testing" concept was ultimately omitted. AID support to LDA's became a conventional project that added "nothing to local capacities for resource

mobilization and management". (Uphoff 1986) In this case, understanding of the how-to capacity of local organizations was obscured by AID's own agenda and organizational practices. This underscores the lesson that analysis of host country socio-institutional conditions is in itself insufficient: AID must sufficiently understand its own organization culture for it to deal effectively with host country organizations.

D. RECOMMENDED SOLUTIONS

Recommended solutions to overcoming constraints and obstacles to sustainability encountered by AID in the socio-cultural context are presented in abbreviated form, since they are presented in part as a means of creating a discussion of the relevant issues.

1. A reformulated social soundness analysis should be designed as a tool of development management so as to operationalize modes of linking local populations, their natural resources, and organizational needs to higher level institutions. SSA would be applied to project development at the very earliest stage. It should be seen as a project-specific socio-institutional analysis, replacing the current outmoded social soundness analysis. The socio-institutional analysis should look at the entire implementation structure of a project, including local organizational linkages to higher level institutions, potentials for local organization management, and introduction of a collaborative learning, problem solving approach.
2. Legitimize and give responsibility to local communities in AID programs and projects, and in collaboration with them define their participation in the project, making those local groups a signatory party to the project agreement. While this may seem to be an

impractical proposal at first glance, given the reality of host country politics, it lies at the heart of the collaborative learning-problem solving approach advocated herein.

3. Use participatory research techniques as part of social science training and field research.

4. Open the communications system with all parties to a project by using the redefined SSA as a reconnaissance tool to identify local management systems, strategies for possible two-way information systems, and linkages to higher level institutions.

III. LOCAL ORGANIZATION DEVELOPMENT FOR SUSTAINABILITY

The Problem: In the case of many AID projects, questions about who are the "target" groups, who will manage the project, and to whom will field managers be responsible are already answered when the project is originated externally. This type of planning neither encourages nor permits project participants to be included in terms of their interest in and commitment and responsibility to a project from which they are supposed to benefit. Further, it does not allow for linkages to be made with service and other support institutions higher up the line, a situation which eventually results in management problems. The present mode of learning what works and what does not in development leaves out critical actors and information from the process, often resulting in ineffectual learning.

The reality of incorporating the silent client, the beneficiary, into a meaningful role in projects is complicated by the political structures of host countries, requiring intensive policy dialogue to convince them of the results of empowering project participants. Since this is in part a Western notion, no illusions are held concerning the effort required to invoke that kind of change.

A. WHOSE PROJECT IS IT?

There are certain givens in the foreign assistance process that must be accepted, including the fact that AID's projects are instruments of U.S. foreign policy or the "building blocks of foreign aid," and that a multitude of U.S. actors act on a variety of domestic and foreign interests which impinge on AID's policy and program coordination. Despite these givens, the Agency is still the most "developmental" of all the international bodies providing foreign assistance. How, then, to do the job better, to make the project as

unencumbered a vehicle of development as possible? And how to do this despite present conditions in which everybody owns the project and nobody owns the project.

1. Creating Self-Reliant Autonomous Local Organizations

The development of autonomous, self-reliant grassroots organizations which are capable of continuing project benefits is seen as essential to sustainability of local development efforts. Three necessary conditions for sustainability of benefits by local organizations have been outlined previously elsewhere. (Roark and Hemmings 1986) These are: (1) "identification of local management systems, (2) utilization of two-way information strategies, and (3) acknowledgement of need for specified areas of local control." These three conditions in combination, form a replicable model of the participatory process that can be used by development assistance agencies as they devise new procedures of operation which complement and support "project power sharing" and increasing local control. Since management, information exchange and control mechanisms are present in all socio-cultural environments, they have a certain universal application, regardless of the specific social or cultural context. Each is briefly described in terms of its relevance to local level project management and AID mission management.

a. Local Management Systems- The numerous communities assisted by AID around the world already possess ways of organizing information about their local resources and how to manage them. These existing systems have permitted those communities to at least persist, often grow and sometimes even flourish under harsh physical and life conditions. Such local management systems are organized by working villagers or community members who do the work and make decisions about the work.

From the vantage point of project implementation it has become more and more clear that existing local systems of knowledge, learning and management offer the most appropriate foundation for local development activities. Steps necessary for identifying and defining such local systems invoke a significant degree of knowledge and understanding of community social systems. These should be outlined by a redefined SSA as part of its role as an organization management tool.

b. Two-Way Information Strategies- The necessity of an open communication mode between project personnel and community local resource managers in planning and implementing projects that are to become sustainable has become clear. Two-way information systems permit designers and implementors to become aware of how local communities are organized to manage resources, their perceptions of risk, resource distribution within the community, and local assessment of the workings of the resource management system. (Roark and Hemmings 1986) As a trade off, local management groups need information about project designers' alternative solutions, impact of proposed activity on the present way of working and, not least, financial cost to them. They also need to know how proposal changes will presumably affect their participation in managing the new activity. To ensure community representation, the focus of the two-way flow of information must focus on the local management system and not simply local leadership, since the two are not necessarily the same. Again, as in the case of local management systems, good information strategies should derive from detailed SSAs. Such information is essential in avoiding problems posed by blueprint projects, including exclusion of local person knowledgeable about local resource management.

c. Local Control Approach- Successful approaches to development of locally organized and managed resources usually encourage an eventual mix of local, community knowledge and methods, with methods tested and proven in the West. Introduction of new methods puts a unique burden on the receivers, since they have long put their stock in local methods which have at least ensured them survival. To enhance the success of interventions at the community level and to encourage use of local information and management skills, identification and incorporation of existing patterns of local management and control systems will go a long way to generating and safeguarding the partnership essential to success. Therein lie the seeds of sustainability. But the hard decision is how donor organizations can come to grips with issues of local organizational control in terms of those issues' impact on their own organizational policy, procedures and practices.

B. BUILDING LOCAL LINKAGES OUT AND UP

A few promising strategies for building linkages of local organizations outward and upward appear in recent literature. One such strategy is that for purposes of rural development in low resource situations such as sub-Saharan Africa (Esman 1986), all of the possible institutional resources that can be brought to bear on a problem should be. Such a problem solving approach recommends a mix of government bureaucracies of national, regional and local origin, private business groups, voluntary agencies and local membership organizations. The effectiveness of the last, local membership organizations, (Esman calls them LMIs or local membership institutions) strongly relates to that type of organization's ability to develop vigorous ties with other local level groups.

In addition to the importance of horizontal ties is the ability of local membership organizations to develop linkages with several higher level institutions (called by Esman 'multiple vertical linkages'), in order to ease the risk of having only one or a few upward links. These multiple upward ties are recommended as advantageous for more marginal, less favorable farming conditions--such conditions as AID finds itself dealing with in many African and some selected non-African countries. d

The matter of fostering linkages in practice, itself easily glossed over in planning exercises with a fancy structural diagram or organigram, is complex, sensitive and time-consuming. Specifically where vast discrepancies of wealth and power occur between rural communities and elite urban enclaves, it may be even more difficult to obtain those linkages critical to local development. That is precisely why it is more effective to develop several upward links so as to decrease the risk associated with only one or two such ties. However, if AID intends to undertake local development in these situations, additional time and resources have to be provided or at least such projects must be prioritized against the risk of failure in societies with unbridgeable social gaps. ✓

An example of a special effort to create linkages between local organizations and national level development institutions was AID project assistance to the Philippines. Directed in part at strengthening those institutions' capacity to work with the poor in building local capacity, the project began small but eventually tackled a large problem. The project built on improving the existing base of farm production for home consumption. Once subsistence needs were met, it shifted its focus to a market orientation. Simultaneously, the project was building those important national-local links. (NASPAA 1985)

C. RECOMMENDED SOLUTIONS

- (1) In order to realize an earlier recommendation that project participants become signatories to project agreements, convey actual ownership of projects to participants as part of the organizational learning approach. Prior steps to that transaction involving participants include: identification of local management systems, operationalizing a two-way information strategy with the local community and according the responsibility and authority for the community to exercise local control.
- (2) Use all of possible institutional resources that can be brought to bear on a problem, including a mix of public/private, national, regional, local bodies, and horizontal/vertical ties, so as to spread the risk. Assist local organizations to develop close ties with other local groups and to build linkages with several higher level institutions, again in part to ease risk.
- (3) Prioritize efforts in local organizational development according to level of difficulty in bridging existing inequities.
- (4) Introduce organizational policies, procedures and practices which will allow missions to come to terms with the need to share in negotiated points of local control.

IV. LOOSENING UP THE PROCESS: FLEXIBLE ORGANIZATION MANAGEMENT

The Problem: One of the primary problems of organizing and administering development is the presence of a large gap in the project cycle between planning and implementing. That gap results in part because planners, especially when they are influenced by economic models, often treat organizational capability as lying outside of project development. The net result is that many development strategies neglect administrative and organizational factors, which are crucial to sustainability. Furthermore, those strategies which do account for organization management and administrative aspects often do not provide enough flexibility to permit easy and rapid in-course change.

A. ORGANIZATION MANAGEMENT FOR DEVELOPMENT

A real constraint confronted by AID is one of central governments often assuming the bulk of responsibility for planning and implementing the management of natural resources. Such a dominant role by national government institutions often occurs due to the assumed weakness or absence of local institutions in those tasks. The paradox is that the absence or inadequacy of strong local institutions may in fact occur because the central government preempts local functions and financial resources. (Uphoff 1986) AID itself has sometimes complicated that situation by overemphasizing the role of central government in planning and implementing projects, to the detriment of local development. In fact, regardless of where the planning emanates from, bureaucratically planned and implemented programs often stifle the will and energy of the community because they negate specialized local knowledge and expertise in favor of external assistance. Such programs also entice local communities to become dependent on non-local organizations for their own well being. Therein lie the seeds of an even greater alienation on the part of local communities.

1. Alternative Local Institutional Channels

Effective means of developing organizational human resources capabilities have begun to emerge and, to a limited degree, are being applied in AID programs. (e.g., Honadle 1985; Uphoff 1986) While this process is still at the experimental stage, certain promising approaches are emerging. The typology of 'alternative local institutional channels' in both public and private sectors, for example, (Uphoff 1986) offers the basis for new organizational opportunities for local development. X

While decentralization is an old organizational model, its application in a new setting has proven effective. In the Egypt Basic Villages Services Project (Uphoff 1986; WASH 1986) AID funded \$200 million for the construction of roads and water supply and sewerage services channelled through local councils which possessed a great diversity of capacity. The project made a major investment in training to improve management capacity of councils to enable them to select projects, plan, and carry out rural activities with the availability of loan funds, which seems to have kept the project going. This approach contradicted initial assumptions that such a decentralized method would slow progress. Another example of using alternative local institutional channels is seen in the Brazil Esperanza Project (Uphoff, 1986), where strong vertical and horizontal linkages have enabled rural health aides and promoters to increase activity. What began as a curative missionary program became a regional program stressing community based health projects. Community members were involved as participants, with older, literate women suited to maternal and child care aspects, and farmers, fishermen and others involved in various other areas. Incentives for their participation included a painted signpost outside their home, and free transportation to training sites. They also J

received special training in management and organization. This approach of including local people as major actors in the project established a network of local collaborating institutions.

As much as working with existing institutions can assist in the eventual sustainability of projects, so can ignoring them hinder progress. In the Philippines, for example, (Uphoff 1986) indigenous irrigation organizations traditionally contributed labor and materials to canal and dam systems. When Japanese aid was introduced in 1980 with an expansive (10,000 hectares) irrigation scheme that the GOP had requested, the new program completely ignored the existing organizations and canal systems. Fortunately, the design was eventually revised to incorporate existing resources, but not before valuable time, money and confidence was wasted.

2. Organizational Learning for Improved Management

Organizational and management factors become especially salient when viewed by the development professional as a key to the learning which underlies all projects. Projects really have no greater legitimacy than teaching, testing, trying out new methods of development. Any other result is more or less a bonus. Yet, if we reflect on the matter, even development specialists have problems learning from the work they have done. Not so much the technical lessons, but the lessons about people and how to help them organize and manage actions devised for their self betterment. Perhaps it has to do with how that help is offered and how it is received, as much as it is what is given and how it is taken. As so many writers on this topic have said, learning is better organized and effected in horizontal than in vertical relationships.

(Silverman 1980, 1986; F. Korten 1983, 1984, 1986; Silverman, Kettering & Schmidt 1986; Uphoff 1986; Honadle 1985; Thomas 1983; Mason 1986) The sense of

this is that persons involved in the development process have to be willing and able to learn from each other, regardless of their social standing and who and what they know.

Much of the recent literature on approaches to project development and implementation has reached a clear consensus about the need by AID and others for an organizational learning or collaborative learning/problem solving approach. (Korten 1984; Moris 1981; Honadle and VanSant 1985; Silverman 1985; Kettering and Sensenig 1986; Uphoff 1986) Organizational learning is defined here as host country project participants and AID and contractor personnel working and learning together to arrive at the most effective way(s) to mobilize and apply human and natural resources to improve life conditions. As an approach, organizational learning reinforces what much of the professional development community has known for a long time: people develop through learning how change works by way of their full inclusion in the process of change. That this approach has not been widely adopted is related to the perception in some quarters that it is somehow threatening. Perhaps more important is the absence of the organizational capacity, including typical project and career timeframes, of planners and implementors to adapt themselves to this more complex and time consuming approach.

The absence of an organizational learning approach is documented by AID in the following:

Success of AID projects is measured in terms of how efficiently funds are used during the project period. Development of strengths necessary to carry on a project are costly and do not generate immediate project benefits, thus reducing the rate of return. Thus, the AID system does not encourage investments that will yield results after AID funding ends. f

(USAID 1987 Current Status Report) This same study found that successful health projects were ones that followed on the heels of previous AID projects

of the same nature. They thus had five to ten years of implementation behind them, and were more likely to have incorporated some needed strengths.

3. Recognizing Existing Constituencies and Building on Them

Potential project participants must already be participating in the management of many of their own resources if they are to be effectively brought into local organization development. Only then is it likely that they might be willing to organize for a project endeavor and take responsibility for continuing it. (AID Special Study No. 34, 1985) Organizational capacity obviously becomes important to AID in determining precisely who will support its projects (Korten 1986), not simply in the sense of end users but supporters throughout the system which links local participants to national institutions. (Benor 1984; AID Special Study No. 38, 1986) Reinforcement for the concept of building constituencies is, if not stated directly, implied in the AID (1983) institutional development policy paper. Other implied support for these concepts is found in more operationally pertinent PID and social soundness analysis guidelines (AID 1982).

One project which consciously built on an existing constituency is the USAID/Malawi Community Self-Help Rural Water Program. Consistently exemplified as a success story, (Korten 1980) it consisted of the Department of Community Development working through local chiefs for cooperation. Participants were told that it was their project, not the government's. The government provided materials, pipes and training of local para-professionals, while participants provided labor to dig trenches and lay pipes. The project used the philosophy of self-help and responsibility: if sections of the project failed to mobilize their resources, participants were the ones to suffer. They would not get water. Water became an immediate benefit visible to all: during construction,

as one section of pipe was completed, water was turned on, and so on.

Another project which exemplifies certain aspects of the organizational learning approach is a UN-supported local development effort in Oman. There, Community Development Centers have been set up by villagers who plan projects with government staff through their local governors. Upon agreeing which projects will be done, responsibility is given to small committees of interested villagers. They begin road, school, groundwell, and latrine projects whereby they provide the labor and local materials. Projects implemented through such self-help efforts were found to build upon local skills and to develop community will and self-confidence. (Report on UN workshop on Community Based Approaches to Rural Development, Geneva 1985) Other studies have shown that when a community devises and implements a program, it is more likely to adopt improvements into its daily life, but it must often have national, political support for this. In the final analysis, "Lasting change is usually established at the local level by individuals with strong incentives to create institutions which provide benefits they cannot obtain acting alone." (Studies in Institutional Analysis and Development, Costa Rica case 1977)

Before considering possible ways of introducing flexibility into the development process, it is useful to look at some of the major themes that organize the AID culture.

B. UNDERSTANDING AID ORGANIZATION CULTURE

A key component of AID's organization culture is its focus on project design and implementation. Consequently, AID projects generally have an array of built-in short-term expectations. This makes them highly demanding for project participants, developing country officials, and—certainly not least—AID itself. Since the project is AID's way of demonstrating that the Agency

can "do" development, it becomes the crucible on which rests much of the Agency's effort. The fact that the AID project is the present "building block of foreign assistance," suggests that it must surely represent the very best of organizational learning capability. However, some observers suggest, (e.g., Fisher 1972) that when projects are the principal mode of implementing development, this is a sign of a "marked lack of organizational learning."

Within the context of project-oriented development aid, there is a tendency to blame project implementation for what is really poor project planning. (Moris 1981) Poor planning often results in setting project time frames which do not reflect the time consuming nature of socio-economic development. The entire AID project cycle, including short-term length of project, overseas duty assignment, and other elements, is not geared to the painfully slow rhythm of development. As one AID study reports: "Development is the goal, but it is overshadowed and often derailed by other requirements... productivity measurement, individual career concerns." (AID Special Study No. 43) The long-term nature of the development process contrasts with the AID bureaucratic culture time frame, which is on a much faster track. Proper concern to such issues in an expanded, project-specific socio-institutional analysis would enhance prospects for the sustainability of project objectives.

1. AID Time

In contrast to the gradual flow of development time, AID's cycle seems to be much more adapted to "ordinary" time, to career pattern time, children's academic scheduling needs, fiscal years. Development time is more attuned to what we may call "traditional" time: seasonal, cyclical, ritual oriented. To make those traditional people "modern," AID mobilizes them into our "modern" time frames. It is clear that it just does not and cannot be made to work that

simply. Many analysts of AID's organization culture and behavior have noted this discrepancy in time frames—between what is often expected for results in Washington and what is realistic for sustainable development in the developing countries. (e.g., Honadle and VanSant 1985; Kettering and Sensenig 1986; Barnett and Engel 1982) A refined socio-institutional analysis, if used effectively, could point out the dangers or contradictions inherent in planning short-term interventions in long-term contexts.

What the discrepancies between "our time and "their time" does to the memory of time and events is to blur them. Since the memory of an institution's work and history is an important part of its culture, we will briefly look at AID's memory.

1. AID's Memory

AID's memory of things past is blurred. Not unexpectedly, developing country recollections of prior development activity are even sketchier. While corrections such as the formation of CDIE have begun to be made to improve data collection and retrieval for purposes of providing access to lessons learned, these have not yet had a significant effect. The problem goes well beyond AID's data retrieval system, which is only symptomatic. It is a problem defined by the fact that none of the actors in the development aid process--neither AID administrators nor developing country officials, nor even project participants--have effectively shared knowledge about specific development activities from the beginning of the project cycle to the end.

If AID does not have a firm handle on its own lessons, developing country governments cannot be expected, much less local membership groups, to generate and benefit from their lessons learned. Only a concerted effort in shared learning can improve mutual understandings of important development

issues. In this respect mission foreign service nationals (FSNs), host country employees of AID who often work for missions for a dozen years or more, are perhaps the best repository of lessons learned at the mission level. But their incorporation in mission decisions is in most cases limited.

C. LOOSENING UP

Most development management analysts would probably agree that many of the Peters and Waterman In Search of Excellence prescriptions for American business could well be applied to AID's practices. In fact recent moves towards decentralization of some of AID Washington decisions to field missions may be a conscious attempt to apply Excellence to AID operations. (This has another side which is that mission directors by virtue of their increased authority but the same geographic distance from HQ, are now in a position to proliferate even more projects than before, but with no guarantee of greater opportunity for enhancing those projects' sustainability.) Decentralization and other "small is better" approaches have in some respects put field missions in a better position to improve their own organizational capacity. One of the major ingredients of these approaches is an increased flexibility to adjust to unforeseen circumstances and unintended results, and to experiment with new or problematic situations.

1. The Artful Introduction of Flexibility

Introducing flexibility to project planning and implementation is an art and the more serendipity involved in that, the better. For the purpose of discussing flexibility in the AID context it is probably more effective to show where its presence has helped and its absence hindered sustainable development. Flexibility, while a result in part of "artful dodging" does have its organization management side. It is in the interactional process of development,

the sharing of knowledge and ownership, that flexibility has a much better chance of flourishing--in contrast to its inappropriateness in rigid, one-way, blueprint situations.

To start with a positive lesson concerning flexibility--unintended in this case--the Bakel Small Irrigated Perimeters Project in Senegal (AID Special Study No. 34) was developed to introduce technologies of irrigation and demonstrate the technical and economic feasibility of irrigation. This effort intended to build on efforts of farmers who had installed small irrigation perimeters by assisting the government agency SAED to provide guidance, inputs and extension services. AID began implementing the project from Dakar, far from the project sites and because the Mission was new, it did not try to assume control because it was busy starting up. The unintended hands-off approach turned out to be a bonus for the project, because SAED took more responsibility and thus felt it had ownership of the project. In fact, AID technicians often had more support from local SAED offices than from AID. Additionally, since AID had many problems with procurement for the project, SAED was given the opportunity to successfully take over. It was unclear why AID had assigned itself total procurement responsibility in the first place. In any case because the host country was capable of implementing the project (through SAED), AID was able to adopt a loose management style, accidentally, but it worked. Local participation in management was encouraged and participants were able to choose their own leaders. One lesson in this is that participation requires not only time and resources committed to local learning, but that a certain degree of flexibility in management can go a long way.

A case in which flexibility played a key to success throughout a project derives from the Philippines. (NASPAA 1986) In a Development of

People's Foundation (DPF) project in the Philippines, established by a local medical school to give students opportunities to practice medicine, it was soon realized that more community participation was needed for the work to be effective. So the Foundation began to organize communities to define and assume the initiative for their own health needs. Then it was discovered that the government health workers needed to be trained to respond to the community needs that were now being heard along with their new demands for health programs. The DPF then began working with government agencies at various levels to create a setting for local initiatives. The communities turned out to have more concerns than just health and these needed to be heard. The government accepted this and now a member of DPF staff serves as a member of a government regional development council to ensure continued support of the community projects. Whereas assistance was viewed at first as being needed exclusively at the village level, that turned out to be only the final step of a national process that began at the highest possible level of support and awareness.

2. Flexibility in AID

Another piece of the flexibility question concerns those things AID brings to field missions which influence its management orientation. First of all, when AID leaves home it carries with it certain political, diplomatic, commercial and other vital strategic interests which often apparently need to be guarded from the host country. Secondly, AID brings a wide variety of development options, ranging from, for example, large, capital intensive, structural adjustment type programs and projects--to micro-small street level credit programs for individual bicycle vendors. (e.g., PISCES 1981) Project ideas reflect the latest development fashion or political mandates, such as the

present application of the "four pillars." The point is that while many ideas for specific AID projects originate in the host country and missions, these are nevertheless often based on pre-conceived ideas. Even those donor institutions which come in and ask "what do you want?" tend to already have their own priorities and strategies in mind. An example from an AID study is very telling in this respect: "We [project designers] went to the villages to ask what they wanted. They said give us an improved water supply. We asked what else? They said a hospital. We asked what next? They said a school....All the time, in the backs of our heads, we knew they were going to get maize production." (AID Special Study No. 32)

One of the constraints in AID's own organization has been the radical swings of approach with the Agency. An example is the general shift of AID's approach from programs in the 1950s and '60s to projects in the 1970s, coinciding with the New Directions legislation. With that shift, AID as an organization has also undergone a significant change in its administrative and management structure, including its cycle of work and definition of career patterns. Some critics have charged that in reaching out to the poor majority, despite the introduction of useful social analysis tools to assist in achieving that aim, AID reformulated its program objectives in the absence of significantly altering its organizational structure or procedures. (Moris 1981) Others feel that this absence of change in AID's organizational structure has reinforced the existing gap between host country haves and have nots, in that AID's mode of dealing with the major client--the poor majority--mirrors that of host country official. They are both predominantly top-down, it is contended. (Korten 1980)

That AID's approach to host country clients is top-down is not exactly

certain. That it is "bureaucratic" is indisputable. To make the approach less bureaucratic is probably not the point—but to make it more adaptable or flexible, is. Such flexibility depends in part on putting in place the organizational learning mode described earlier, in opening up the two-way system, and giving more and more ownership to project participants.

C. RECOMMENDED SOLUTIONS

1. Begin to experiment in changes in organizational and operational practices and procedures which will permit identification of natural constituencies and which will allow for flexibility to meet the needs of communities in terms of their definition of their needs.
2. Account in detail for organization management needs in host country development programs through more rigorous applications of the SSA and through conscious use of the organizational learning process.
3. Reduce bureaucratization of project planning and implementation through formation of small, ad hoc work groups consisting of AID, FSN, host country official and non-government representatives. These groups, formed for specific, limited purposes would have a mandate to bluesky, strategize and recommend alternative solutions to planning and implementation problems.
4. Management studies of AID in order to highlight critical themes and patterns which are related to performance in provision of sustainable development efforts; to pinpoint key points in organization culture which are underpinned by dominant values and attitudes; and under-scoring those factors in the organization susceptible to change, under what conditions, and how changes might be introduced.

V. TECHNOLOGY TRANSFER AND TECHNICAL ASSISTANCE AS ORGANIZATIONAL LEARNING

The Problem: Technology transfer and technical assistance are both "delivered" in the development process as if they were somehow apart from the other how-to capabilities. Granted the content of technical knowledge is distinct from organizational knowledge, the two still share a common feature: learning by doing and sharing. These two forms of knowledge can only be effective in the context of local organizational development if they are unified in the overall process of purposely shared learning.

A. TRANSFER AND ASSISTANCE: DEVELOPING A HOW-TO CAPACITY

The recent literature on technical assistance is replete with plans for how to make the consultative process more collaborative. (Cooper 1984; Kettering and Schmidt 1984; NASPAA 1982; Silverman 1984; Silverman, Kettering and Schmidt 1986) Much of the writing has come out of the World Bank, (though not exclusively) which typically develops its dialogues and negotiations high up on the official hierarchy. So, while the recommendations for collaboration are all well intentioned and thought out, they are directed predominantly to planners and other officials who for the most part work at mid-high levels of government. More attention, therefore, needs to be directed towards the other end of the hierarchy, where local organizational development takes place and where technical assistance is equally needed.

1. A How-To Capacity

A how-to capacity is a capability to match people and their natural resources with an appropriate way of organizing themselves and their technology into productive modes. Such a capability assumes a learning process, and the knowledge of how to make that match. The four basic partners in the development process--AID, host country officials, project participants and technical

assistance organizations--all have specific pieces of knowledge to share about the people-resources-technology mix. While this may be the way the process is supposed to work, the sharing of knowledge or collaborative learning/problem solving approach is often only haphazardly applied. One reason for this is that the approach is time consuming--which gets back to AID time frames. What is more, neither AID nor the majority of its contractors/grantees is organized to participate fully in that approach. AID is so often preoccupied with developing new projects and managing contracts, while contractors are busy putting technical systems and information in place, that the collaborative learning process is at best given only passing attention or at worst gets totally submerged in day-to-day activity. While the above may exaggerate the picture, it reflects a certain "structural" inability to organize to assist others in managing their development.

2. A Distinction Between "Their" Knowing and Our Knowledge

In the context of donor assisted development, technology transfer and technical assistance are part of the "we know what you need to know" pattern. This pattern can be broken down into several pieces: (a) yes, certain technical knowledge from outside may be useful to local communities in organizing and managing their natural resources; (b) local communities have been managing those resources in the absence of outside help for generations; (c) a mix of the two 'know-hows' or 'how-tos' is often a desirable result; (d) how that mix is made depends largely on the medium through which people meet and exchange their know-how and (e) since they are in their communities while we are outsiders when this presumed exchange takes place, their know-how--but especially their how-to--knowledge has to be respected and used.

3. Responsibility as a Key Factor

Illustrative of this distinction is a recent analysis (Roark 1987) focusing on management of water supply and sanitation programs. Whereas previous emphasis had been on initiating programs, the present focus on sustainability has now begun to shift attention to responsibility for continuing project benefits once the initial stimulus has disappeared.

This shift implies a set of different project management actions, one set for initiating, the other for developing responsibility for continuation. When responsibility becomes the crux, decisions must be made by local groups concerning such factors as, in this case, management of water points; design, implementation and maintenance of the project; and negotiated responsibility for control. According to Roark (1987) project cycle activities are clearly affected by the second set of actions, especially in terms of the requirements of:

- identifying and using local management systems vs. dealing mainly with local, political and cultural leaders in the formal system;
- establishing an information exchange system between local organizations and project vs. mobilization of local participation as proof of commitment and responsibility for project outcome;
- negotiating for specific areas of local responsibility and control vs. provision of project inputs and use of these by local participants;
- setting up collaborative evaluation efforts to focus on how events unfold vs. determining what has already occurred.

Without going into detail here, suffice it to say that these actions raise several difficult questions with respect to AID's organization management.

First is whether or not the set of actions necessary for responsibility to occur is acceptable to AID? Second, what impact would the accepted change have on AID and host country organizational policies? And third, what operational, field procedures would have to be altered to implement the new actions? The crux of this is AID's coming to terms with the possibility of having to change its own organizational policies, procedures, and practices in order to accommodate local organizational control and ownership of projects and their sustainable benefits.

While answers to these questions do not come easily, the questions themselves begin to point to something important. For one, the "technical" information required for a specific project merges with the need for local groups to know how to organize themselves in using that knowledge to carry out their work. For another, there is a distinct need for AID project management to understand and begin to utilize an organizational learning approach, outlined earlier. Understanding will come in part through knowing how that approach works, which can be done first through documenting how the existing process of learning works.

4. Documentation for Shared Learning

It would be illuminating to understand the manner in which AID and its clients interact in the process of developing, carrying out, and continuing a project. How do they collaborate? What do they share and how? How do they solve common problems? How does commitment happen? How is responsibility conveyed to project participants? What incentives are present for continuing a development activity upon AID's withdrawal?

One technique for deriving answers to these and similar questions is a documentation of the present types of interaction of AID and host country

persons as they occur from the beginning to the end of the project cycle. A collaborative documentation of how a specific project unfolded, carried out in cooperation by AID and host country officials and project participants, is a potentially powerful tool. Preferably facilitated by a team of observers with at least one American non-AID person and one host country non-official, such a documentation could provide insightful observations on the existing process by which projects come to or do not come to provide sustainable benefits. Such observations of the organizational learning process or, as some such as Korten have labelled it in a slightly different context—"process documentation"—require expenditures of time, effort and funding which exceed present resources of a standard project. Perhaps such an endeavor could comprise a distinct project by itself. The value of that could just conceivably be incalculable for development generally and AID specifically.

B. RECOMMENDED SOLUTIONS

- (1) Analyze local knowledge/know-how systems using a redefined socio-institutional analysis prior to proposing solutions for either technology transfer or technical assistance.
- (2) Identify local management systems at the project identification stage as part of the analysis suggested above, so as to define how local organizational and technical know-how might best be tapped for project purposes.
- (3) Carry out a pilot collaborative documentation of the existing organizational learning through the full cycle of a selected project in selected missions in order to pinpoint critical junctures in the cycle and in the informational exchange system.

VI. APPROPRIATE POLICY AND LEADERSHIP FOR LOCAL ORGANIZATIONAL DEVELOPMENT

The Problem: Getting policies "right," like getting prices right, is an illusory process. AID's role in the process of policy formulation or "dialogue" is a sensitive and difficult one. How should it play that role? What place should projects be given in the policy dialogue? And, do projects really affect policy? On the leadership side of the coin, how can local leaders be identified for building local organizational capacity? How is leadership shared? And how are followers developed?

A. POLICY AS A HOW-TO MATTER

Getting the policy right is partly a question of a national government choosing from a series of institutions a subset which will best serve to carry forth a plan of action. In this sense the policy problem has been aptly defined (Honadle and VanSant 1985) as "an institutional problem with an implementation dimension." In short, the policy and implementation process cannot be divorced from one another, making organization and management all the more important regardless of at what level or what particular sector of activity they are directed.

One approach to the resolution of the planning-implementation gap is the use of implementation itself as an instrument in the policy reform process. (e.g. Honadle and VanSant 1985) In that approach lessons learned are derived from "doing" a project, which can then be used in reshaping policy. But the process of policy reform, as may be well known but probably not well understood, is itself a highly sophisticated organizational activity which usually requires a management organization all its own. Furthermore, policy reform is often a time consuming matter, given its usual political dimensions, which lags behind action for several years before catching up, if ever it does.

In the sense of the project as a vehicle of development, then, one of its most effective functions is in illuminating the reform process for the actual content of policy. On another level, the implementation of a development project serves to identify and develop the organizational channels for carrying out specific aims.

1. National Policy Impact

One of the major considerations for AID and other donors at the macro political level is the question of congruence or variance of the policy objectives of the national government and poor majority. The working out of power plays in this context need not be a zero-sum endeavor. (Uphoff 1986) Rather, if the goals and objectives of national governments are congruent with those of the poor majority, then assistance in building of local capacity by national institutions aids both parties to reach their objectives.

A necessary condition for project sustainability is the national government's support and commitment to the donor's goals. Speaking directly to this issue, the AID draft report on Sustainability of U.S. Supported Health Programs in Honduras, ascertained for the most part that projects which the GOH did not consider high priority were not sustained (family planning and nutrition). In order to determine the congruence of goals and expectations, cooperative negotiations between AID and the ministry were deemed essential. In general, projects viewed by the GOH as "AID-imposed" were not sustained". (USAID, Sustainability 1987)

It has become clear to AID, other donors, and some central governments that, while local development cannot proceed effectively in the total absence of outside assistance, dependency must be avoided at all costs. The need for such assistance in stimulating sustainable local institutional development has

been suggestive of a strategy of "assisted self-reliance." (Esman and Uphoff 1984) Such a seeming contradiction of terms is really only a paradox, based on the need to support and nourish self-reliance and self-development, as well as creating greater interdependence among people as part and parcel of the development process. An example from a Mexican Integrated Rural Development Program with a rural component is illustrative of this interdependence. The Ministry of Works was assigned responsibility for the program but it had very little road building equipment, so it had to rely on labor from communities to meet its target. Local road committees would provide labor if they were satisfied that the road was worth their effort. The fact that a government agency was dependent on rural communities meant it had to work in a cooperative, non-authoritarian manner. (Uphoff 1986) Communities responded when given a voice in determining what would be built, when, where and how.

B. LOCATING LEADERSHIP FOR LOCAL MANAGEMENT

Leadership qualities and skills are not developed in a vacuum and not necessarily embodied in one individual personality. In the context of AID program and project implementation, the skills and tasks required of leadership may be shared by several individuals. From the perspective of organizational capability, leadership development depends significantly on the development of followers. (Uphoff 1986) Rather than being simply an individual consideration, leadership is perhaps better understood as collective in character. Accepting responsibility, then acting on it, is essentially a collective act and can be shared by several individuals. As an example of an innovative way of locating leadership, a Ford Foundation project in Southeast Asia began by identifying key agencies that were involved in managing the resources in the project. They then identified key individuals in those agencies that expressed interest in

the project. Working with these individuals, the foundation funded studies to determine what projects were needed and how. Workshops were then held to examine the results of the studies and included the interested personnel involved to date. These workshops served as a catalyst for potential leaders to come forward. Those most interested ended up participating more and, eventually, this core of interested people formed a working group for the project. The working group identified pilot projects to test project ideas. Leaders were not appointed, they emerged, and contributed to the success of the project. (NASPAA WP No. 12)

Good examples appear in the literature on advantageous sharing of leadership responsibility in local project development activities. One example is a project having one leader for official, public relations purposes where a formal education might be assumed and another leader for day to day implementation and management purposes. (Uphoff 1986) Other cases show clearly that leader selection which rests in the community's hands, including in the poorer segments of rural society, is usually more effective than where it is imposed from outside.

C. RECOMMENDED SOLUTIONS

- (1) Where a policy issue is or seems intractable, use the implementation of a development project to identify and develop the organizational channels for carrying out the project's specific aims.
- (2) To elicit government commitment to sustaining specific project benefits, use socio-institutional analysis to locate areas of mutual dependency between host country development institutions and local organizations.

(3) Locate leadership in local organizations as if it were part of a collective act, since accepting responsibility is a collective act and by definition one which can be shared by several individuals.

VII. SUMMARY

A summary list of key findings based on the review of documentation and a selection of the major recommended solutions derived from our own analysis are presented below.

A. SUMMARY OF KEY FINDINGS

- Sustainability provides a framework within which AID can examine its own organizational capacity to provide meaningful and effective development assistance
- Social soundness analysis has declined, in part because it did not contribute as a development management tool to enhancing the possibility of sustainable development
- Sustainable development at the level of local organizations is greatly compromised in developing societies characterized by large social inequities
- Three necessary conditions for sustainability of benefits by local organizations are identification of local management systems, use of two way information strategies and acknowledgement of the need for specified areas of local control
- A strategy of multiple linkages of local organizations to national and regional institutions as well as to other local organizations will diminish risk of failure
- Flexibility in development projects derives from an organizational learning approach and must therefore be introduced in the same learning context
- Technology transfer and technical assistance must be provided so that technical knowledge and organizational know-how are integrated and used

by responsible local organizations for continuing project benefits once the initial stimulus has disappeared

B. SUMMARY OF MAJOR RECOMMENDED SOLUTIONS

- A reformulated social soundness analysis designed as a project specific tool of development management should be used to identify and operationalize linkages of local organizations to higher level institutions and to identify potentials for local organizational management and control
- Introduce organizational policies, procedures and practices which will allow missions to come to terms with the need to share in negotiated points of local control
- Begin to experiment in changes in organizational practices and procedures which will permit identification of natural constituencies and which will allow for flexibility to meet the needs of communities in terms of their definition of their needs.
- Analyze local knowledge/know-how systems using a redefined socio-institutional analysis prior to proposing solutions for either technology transfer or technical assistance
- Carry out a pilot collaborative documentation of the existing organizational learning through the full cycle of a selected project in selected missions in order to pinpoint critical junctures in the cycle and in the informational exchange system.

BIBLIOGRAPHY

- Adelman, Irma & Cynthia Morris. Economic Growth and Social Equity in Developing Countries. Stanford, CA: Stanford University Press, 1973.
- Ayres, Robert. Banking on the Poor: The World Bank and World Poverty. Cambridge: MIT Press, 1984.
- Bahl, Roy, David Greytak, Larry Schroeder, Kenneth Hubbell and Benjamin Diokno. Strengthening the Fiscal Performance of Philippine Local Governments: Analysis and Recommendations. Metropolitan Studies Program, Monograph No. 6, The Maxwell School, Syracuse, NY: Syracuse University, June 1981.
- Bahl, Roy, Ved Gandhi, Malcom Gillis, Charles E. McLure, Jr. and Larry Schroeder. Tax Reform and Private Sector Growth: Proceedings of a Conference Held July 10, 1986, Washington, D.C. Metropolitan Studies Program Monograph No. 18, Local Revenue Administration Project, The Maxwell School, Syracuse, NY: Suracuse University, March 1987.
- Belshaw, C.S. The Sorcerer's Apprentice: An Anthropology of Public Policy. New York: Pergamon Press, 1976.
- Bennett, John W. "Agricultural Cooperations in the Development Process: Perspectives from Social Science," in Studies in Comparative International Development, vol. XVIII, nos. 1-2, Atlanta: Georgia Institute of Technology, 1983.
- Benor, Daniel, James Q. Harrison, and Michael Baxter. Agricultural Extension: The Training and Visit System. Washington, D.C.: The World Bank, 1984.
- Berger, Peter. Pyramids of Sacrifice. Garden City, N.J.: Doubleday, 1976.
- Blank, Herbert G. "The World Bank Approach to Irrigation Rehabilitation Project Development in Sri Lanka." Washington, D.C.: The World Bank, September 1985.
- Bryant, Coralie and Louise G. White. Managing Rural Development: Peasant Participation in Rural Development. W. Hartford: Kumarian Press, 1980.
- Cancian, Frank. The Innovator's Situation: Upper-Middle Class Conservatism in Agricultural Communities. Stanford,: Stanford University Press, 1972.
- Cernea, Michael M. Measuring Project Impact: Monitoring and Evaluation in the PIDER Rural Development Project-Mexico. World Bank Staff Working Paper No. 332. Washington, D.C.: World Bank, 1979.
- Chambers, Robert. "Project Selection for Poverty-Focused Rural Development: Simple is Optimal." World Development, vol. 6, pp. 209-19, 1978.
- CILSS/Club du Sahel. "Recurrent Costs of Development Programs in the Countries of the Sahel," Working Paper (English Translation), 1980.

- Cochrane, Willard. Agricultural Development Planning. New York: Praeger, 1974.
- Cohen, John M. & Norman T. Uphoff. "Participation's Place in Rural Development: Seeking Clarity through Specificity." World Development, vol. 8, 1980.
- Cohen, John M., Mary Hebert, David B. Lewis and John Swanson. "Development from Below: Local Development Associations in the Yemen Arab Republic." World Development, vol. 9, no. 11/12, 1981.
- Cooper, Lauren. The Twinning of Institutions: Its Use as a Technical Assistance Delivery System. World Bank Technical Paper No. 23. Washington, D.C.: World Bank, 1984.
- Cracknell, B.E. and J.E. Rednall. "Reports on Defining Objectives & Measuring Performance in AID Projects and Programmes." London: Overseas Development Administration, 1986.
- Darnel, B.W. "Success & Failure in Tropical Land Settlement: Seven Projects in the Coastal Region of Northeast Brazil." USAID/Brazil/NE, 1971.
- De Weerd, Guido, et. al. Mauritania Institutional Development: Constraints and Recommendations. Mauritania: The World Bank, July 14, 1986.
- Development Program Management Center. "Building a Design and Appraisal Capability in a Developing Country." Washington, D.C.: DPMC, October 1985.
- Devres, Inc. Synthesis of AID Evaluation Reports. FY 85 and 86. Washington, D.C.: Devres, February 1987.
- Devres, Inc. Analysis of Institutional Sustainability Issues in USAID 1985-86 Project Evaluation Reports. Washington, D.C.: Devres, March 1987.
- Doan, Rebecca Miles, Gerard Finin, and Norman Uphoff. "Local Institutional Development for Primary Health Care." Ithaca: Cornell University, LID No. 4, ND
- Dore, Ronald. Community Development: Comparative Studies. London: Croom Helm, 1981.
- Douglas, David; Peter Doan; Norman Uphoff. "Local Institutional Development for Natural Resource Management." Ithaca: Cornell University, LID No. 2, ND
- "Effective Institution Building: A Guide for Project Designers & Project Managers Based on Lessons Learned from the AID Portfolio." AID Program Evaluation Discussion, Paper No. 11. Washington, D.C.: AID PPC/CDIE, 1982.
- Erickson, J., J. Lowenthal et al. "Morocco: The Hassan II Institute of Agriculture and Veterinary Medicine -- Institutional Development and International Partnership," Washington, D.C.: U.S. Agency for International Development, 1986.
- Esman, Milton. Administration and Development in Malaysia. Ithaca: Cornell University Press, 1972.

- Esman, Milton. "Development Administration and Sonstituency Organization." Public Administration Review, March/April 1978.
- Esman, Milton. "Principles and Concepts of Effective Institutions." U.S. Congress: Office of Technology Assessment, 1986 (Draft).
- Esman, Milton and Norman Uphoff. Local Organizations: Intermediaries in Rural Development. Ithaca: Cornell University Press, 1984.
- Fisher, John L. "Why Do Projects Fail to Come Up to Expectations?" In CENTO Seminar on Agricultural Planning. Ankara, Turkey: Public Relations Division, Central Treaty Organization, pp. 106-113, 1972.
- Foster, George. Traditional Societies and Technological Change. New York: Harper & Row, 1973.
- Goulet, Denis. "Development Experts: The One-Eyed Giants." World Development, 8: 7/8, 1980.
- Goulet, Denis. The Uncertain Promise: Value Conflicts in Technology Transfer. New York: IDOC/America, Inc., 1977.
- Gow, David D. and Jerry VanSant. "Beyond the Rhetoric of Rural Development Participation: How Can It Be Done?" World Development, vol. 11, no. 5, 1983.
- Gran, Guy. Development by People. New York: Praeger, 1983.
- Gran, Guy. "Learning from Development Success: Some Lessons from Contemporary Case Histories." Washington, D.C.: NASPA, 1983.
- Gray, Clive and Andre Martens. "The Political Economy of the 'Recurrent Cost Problem' in the West African Sahel." World Development. November 1983.
- Green, Edward C., ed. Practicing Development Anthropology. Boulder: Westview Press, 1986.
- Gusfield, Joseph R. "Tradition and Modernity: Misplaced Polarities in the Study of Social Change." American Journal of Sociology, vol. 72, no. 4, 1967.
- Heller, Peter. "The Underfinancing of Recurrent Development Costs," Finance and Development. March 1979.
- Heller, Peter S. and Adrienne Cheasty. "Sectoral Adjustment in Government Expenditure in the 1970s: The Educational Sector in Latin America," World Development. December 1984.
- Hirschman, A. Development Projects Observed. Washington, D.C.: Brookings Institution, 1967.
- Hoek-Smit, Maria. Community Participation in Squatter Upgrading in Zambia. American Friends Service Committee, 1982.

- Honadle, George and Jerry VanSant. Implementation for Sustainability: Lessons from Integrated Rural Development. West Hartford: Kumarian Press, 1985.
- Huntington, Samuel Philips. No Easy Choice: Political Participation in Developing Countries. Cambridge: Harvard University Press, 1976.
- Hursh-Cesar, Gerald and P. Roy, (eds.) Third World Surveys: Survey Research in Developing Nations. Delhi, India: The Mcmillan Co. of India, 1976.
- Industrial Training Service. "The Learning Implications of Technical Transfer in the Water Sector." Presented at the 5th World Congress on Water Resources, Brussels, 1985.
- Kettering, Merlyn and Terry Schmidt. "Making Technical Assistance Teams More Effective, The TPM (Team Planning Meeting) Advantage." Washington, D.C.: Development Program Management Center, February 1984.
- Kettering, Merlyn and Barton Sensenig. Improving Development Project and Program Implementation: A Decade of Learning Experience. College Park, MD: International Development Management Center, 1986.
- Kleczkawski, B.M. and N.O. Pilsson. Health Facility Projects in Developing Areas: Planning, Implementation & Operation. Geneva: World Health Organization, 1984.
- Korten, David C. "Community Organization and Rural Development, A Learning Process Approach." The Public Administration Review, vol. 40, no. 5, pp. 509-517, 1980.
- Korten, David C. "Learning from USAID Field Experience: Institutional Development and the Dynamics of the Project Process." Washington, D.C.: NASPAA, June 1983.
- Korten, David C., ed. People Centered Development: Contributions toward Theory & Planning Frameworks. West Hartford: Kumarian Press, 1984.
- Korten, David C. and Norman T. Uphoff. "Bureaucratic Reorientation for Participatory Rural Development." Washington, D.C.: NASPAA, November 1981.
- Korten, Frances F. "Making Research Relevant to Action: A Social Learning Perspective." New York: The Ford Foundation, 1986.
- Krug, R.E., P.A. Schwarz and S. Bhakdi. "Measuring Village Commitment to Development." Values and Development: Appraising Asia's Experience. Cambridge: MIT Press, 1976.
- Lele, U. The Design of Rural Development. Baltimore: Johns Hopkins University Press, 1975.
- Lim, David. "Government Recurrent Expenditure and Economic Growth in Less Developed Countries." World Development. November 1983.

- Lindenberg, M. and Benjamin Crosby. Managing Development: The Political Dimension. West Hartford: Kumarian Press, 1981.
- Lipton, Michael. Why Poor People Stay Poor: Urban Bias in World Development. London: Temple Smith 1977.
- Loehr, William and John P. Poweloon. The Economics of Development and Distribution. New York: Harcourt, Brace, Jovanovich, Inc., 1981.
- Maguire, Robert. Bottom-Up Development in Haiti. Washington, D.C.: Inter-American Foundation. Second Edition, 1981.
- Mason, John P. "Modeling as Participation in a Botswana Village," Ethnoscape: Studies in Action and Space, University of Surrey, 1987
- Mason, John P. "Qadhafi's 'Revolution' and Change in a Libyan Oasis Community." Middle East Journal, vol. 36, no. 3, 1982.
- Mason, John P. "U.S. Development Assistance to Morocco in Upgrading a Casablanca Squatter Community: As Seen through the Eyes of a Development Anthropologist." Practicing Development Anthropology. Boulder: Westview Press, 1986.
- Mayo-Brown, Carolyn and Dean Millslagle. "Latin America Assessment of PVO Training Needs with Recommendations to USPVOs & USAID." Experiment in International Living, Brattleboro, VT. 1987.
- Mead, Margaret, ed. Culture Patterns and Technical Change. New York: Mentor, 1955.
- Meerman, Jacob. "Minimizing the Burden of Recurrent Costs," Finance and Development. December, 1983.
- Mickelwait, Donald R., C. F. Sweet and E. R. Morse. New Directions in Development: A Study of U.S. Aid. Boulder: Westview Press, 1979.
- Montgomery, John D. (1980) "Administering to the Poor (Or if We Can't Help Rich Dictators, What Can We Do for the Poor?)." Public Administration Review, vol. 40, no. 5, pp. 421-425.
- Montgomery, John and Esman, M. (1971) "Popular Participation in Development Administration." Journal of Comparative Administration, vol. 3, no. 3, pp. 358-382.
- Moris, Jon R. Managing Induced Rural Development. Bloomington, Indiana: International Development Institute, 1981.
- Morss, E. et al. Strategies for Small Farm Development: an Empirical Study of Rural Development Projects. 2 vols. Boulder: Westview Press, 1976.
- Murphy, Robert. An Overture to Social Anthropology. Englewood Cliffs: Prentice Hall, 1979.

- Nash, June; J. Dangler and N. Hopkins. (eds.) Popular Participation in Social Change. Hague: Mouton Publishers, 1976.
- National Association of Schools of Public Affairs & Administration. The Working Group as a Mechanism for Managing Bureaucratic Reorientation Experience from the Philippines. Washington, D.C., May 1982
- National Association of Schools of Public Affairs & Administration. "Micro Policy Reform: The Role of PVO Development Agencies." Working Paper No. 12. Washington, D.C., 1986.
- National Association of Schools of Public Affairs and Administration. "People Centered Planning: The USAID/Philippines Experience." Working Paper No. 2. Washington, D.C., 1985.
- Nellis, J. Public Enterprises in Sub-Saharan Africa. June 19, 1985.
- Organization for Economic Cooperation & Development. Methods & Procedures in AID Evaluation. Paris: OECD, 1986.
- Ozgediz, Selcuk. Managing the Public Service in Developing Countries. Washington, D.C.: The World Bank Staff Working Papers, No. 583. 1983.
- Peters, Thomas J. and Robert H. Waterman, Jr. In Search of Excellence: Lessons from America's Best Run Companies. New York: Warren Bros., 1982.
- Pietro, D.S. Evaluation Sourcebook for Private and Voluntary Organizations. New York: American Council of Voluntary Agencies for Foreign Service, 1987
- "Progress in the Attainment of the Goals of the International Drinking Water Supply and Sanitation Decade." New York: United Nations, 1985. A/40/108.
- Roark, Paula and Grace Hemmings-Gapihan. "Low-Resource Agriculture in Developing Countries: Implications for Africa Incorporating Participatory Approaches in Institutions." Washington, D.C.: U.S. Congress, Office of Technology Assessment, Dec. 1986.
- Rondinelli, Dennis A. Development Management in AID: Baseline Review of Project and Program Management Assistance in the US Agency for International Development. (Technical Cooperation Project, NASPAA) Washington, D.C.: NASPAA, 1984.
- Rondinelli, Denis A. "Rethinking National Development." Journal of the American Institute of Planners, Vol. 44, No. 1, January 1978.
- Rondinelli, Denis A. and Kenneth Ruddle. "Local Organization for Integrated Rural Development: Implementing Equity Policy in Developing Countries." International Review of Administrative Sciences, Vol. XLIII, No. 1, 1977.
- Schmidt, Terry D. "Management Methods for Project Success: Team Guidelines for Project Start-up or Restart." Washington, D.C.: Development Program Management Center, December 1983.

- Schumacher, E. Small Is Beautiful. Economics as if People Mattered. New York: Harper & Row, 1973.
- Siffin, W. J. "Institutional Development Strategies and the 'Institution-Building Problem'." Bloomington: International Development Institute, Indiana University, 1985.
- Silverman, Jerry M. Technical Assistance and Aid Agency Staff: Alternative Techniques for Greater Effectiveness. World Bank Technical Paper No. 28. Washington, D.C.: World Bank, 1984.
- Silverman, Jerry M., Merlyn H. Kettering, Terry D. Schmidt. Action-Planning Workshops for Management Development. Washington, D.C.: The World Bank, February 1986.
- Silverman, Jerry M., Merlyn H. Kettering, Terry D. Schmidt. Action-Planning Workshops for Development Management: Guidelines. Washington, D.C.: The World Bank, August 1986.
- Silverman, Jerry M. Recent Technical Assistance Experience in Eastern Africa: A Conceptual Approach. Washington, D.C.: The World Bank, March 1986.
- Smelser, Neil J. "Toward a Theory of Modernization," from "Mechanisms of Change and Adjustment of Changes," in Wilbert E. Moore and Bert F. Hoselitz, eds., The Impact of Industry, Paris, International Social Service Council, N.D.
- Smith, Peter. Agricultural Project Management. London: Elsevier Applied Science Publishers, 1984.
- Solomon, Morris J. and Anthony Flaccavento. "Using a Microcomputer Program for Systematic Iterative Improvement in Design and Appraisal." Washington, D.C.: Development Program Management Center, April 1, 1985.
- Solomon, Morris J. "How Various Considerations from Different Disciplines Can Be Integrated in Programs and Projects in Developing Countries." Washington, D.C.: Development Program Management Center, June 10, 1985.
- "Studies in Institutional Analysis and Development: Workshop Report." Bloomington: Indiana University. Presented at Conference on Institutional Analysis & Development. Washington, D.C., May 1985.
- "Success and Failure in Selected Community Development Projects in Batangas." Manila: University of Philippines, 1960.
- Tendler, Judith. Inside Foreign Aid. Baltimore: John Hopkins University Press, 1975.
- Thomas, Theodore. "Reorientation Bureaucratic Performance: A Social Learning Approach to Development Action." Washington, D.C.: NASPAA, July, 1983.
- Thomson, James T., Ed Connerly, James S. Wunsch. "Decentralized Finance & Management for Development," AID/S&T/RID, 1986.

- Uphoff, Norman. "Analyzing Options for Local Institutional Development." Ithaca: Cornell University. LID No. 1, ND
- Uphoff, Norman. "Drawing on Social Energy in Project Implementation: A Learning Process Experience in Sri Lanka." Paper presented at the Annual Meeting of the American Society for Public Administration in Boston, March 1987.
- Uphoff, Norman. Local Institutional Development: An Analytical Sourcebook with Cases. Cronell University, West Hartford: Kumarian Press, 1986.
- U.S. Agency for International Development. The PISCES Studies: Assisting the Smallest Economic Activities of the Urban Poor, ed. Michael Farbman. Washington, D.C.: USAID, 1981.
- U.S. Agency for International Development. "Sustainability of U.S. Supported Health Programs in Honduras." Washington, D.C.: USAID CDIE/PPC, 1987.
- U.S. Agency for International Development. "Bureau Procedural Guidelines for Evaluation." Washington, D.C.: USAID/ANE/DP/E, 1986.
- U.S. Agency for International Development. AID Handbook: Social Soundness Analysis Appendix 3F. Washington, D.C., 1982.
- U.S. Agency for International Development. Blueprint for Development: The Strategic Plan of the Agency for International Development. Washington, D.C.: USAID, N.D. [1985]
- U.S. Agency for International Development. AID Policy Paper. Institutional Development. Washington, D.C.: USAID, March 1983.
- U.S. Agency for International Development. AID Policy Paper. Private Enterprise Development. Washington, D.C.: USAID, March 1985.
- U.S. Agency for International Development. AID Policy Paper. Institutional Development. Washington, D.C.: USAID, March 1983.
- U.S. Agency for International Development. "Caribbean Education Development." Washington, D.C.: USAID, August 1985.
- U.S. Agency for International Development. "Current Status Report on an Evaluation of the Factors that Generate Sustainable Health Programs." Washington, D.C.: USAID/CDIE, 1987. Draft.
- U.S. Agency for International Development. Development Management in Africa: The Case of the Agriculture Analysis and Planning Project in Liberia. AID Evaluation Special Study No. 37. Washington, D.C.: USAID, 1985.
- U.S. Agency for International Development. Development Management in Africa: The Case of the Bakel Small Irrigated Perimeters Project in Senegal. AID Evaluation Special Study No. 34. Washington, D.C.: USAID, 1985.

- U.S. Agency for International Development. Development Management in Africa: The Case of the Land Conservation & Range Development Project in Lesotho. AID Evaluation Special Study No. 31. Washington, D.C.: USAID, 1985.
- U.S. Agency for International Development. Development Management in Africa: The Case of the Egerton College Expansion Project in Kenya. AID Evaluation Special Study No. 35. Washington, D.C.: USAID, 1985.
- U.S. Agency for International Development. Development Management in Africa: The Case of the Niamey Department Development Project in Niger. AID Evaluation Special Study No. 36. Washington, D.C.: USAID, 1985.
- U.S. Agency for International Development. Development Management in Africa: The Case of the North Shaba Rural Development Project in Zaire. AID Evaluation Special Study No. 32. Washington, D.C.: USAID, 1985.
- U.S. Agency for International Development. Development Management in Africa: Context & Strategy—A Synthesis of Six Agricultural Projects. AID Evaluation Special Study No. 43. Washington, D.C.: USAID, 1986.
- U.S. Agency for International Development. Managing Development Programs: Management Strategies & Project Interventions in Six African Agricultural Projects. AID Evaluation Special Study No. 38. Washington, D.C., 1986.
- U.S. Agency for International Development. "Health Sustainability in Africa: An Evaluation of the Factors of Sustainability in the Gambia Mass Media and Health Practices Project." Washington, D.C.: USAID/PPC/CDIE, October 1986. Draft
- U.S. Agency for International Development. "Health Sustainability in Africa: An Evaluation of the Factors of Sustainability in the Lesotho Rural Health Development Project." Washington, D.C.: USAID/PPC/CDIE, Oct. 1986.
- U.S. Agency for International Development. "Improved Water and Land Use in the Sierra." Final Evaluation. Washington, D.C.: USAID, 1985.
- U.S. Agency for International Development/Jordan. "Jordan Health Education Project." Project Evaluation. Aug. 23, 1985.
- U.S. Agency for International Development. Lessons Learned from AID Program Experience in FY 1984. AID Evaluation Occasional Paper No. 5. Washington, D.C., 1985.
- U.S. Agency for International Development/Botswana. "Primary Education Improvement." Evaluation Report. 1986.
- U.S. Agency for International Development. "Structural Adjustment in Kenya Needs to Be Evaluated." Audit Report No. 3-615-85-8. February 15, 1985.
- U.S. Agency for International Development. "Technical Assistance to the Ministry of Finance and Public Credit of the Government of Honduras." San Juan, Puerto Rico: Clapp & Mayne, Inc., 1986.

- U.S. Agency for International Development. "Training Strategy for Shelter & Urban Development." Office of Housing and Urban Programs. Washington, D.C.: USAID, 1986.
- U.S. Agency for International Development. "Guidelines for Data Collection, Monitoring & Evaluation Plans for Asia and NE Bureau Projects." Washington, D.C.: USAID/ANE/DP/E, 1985. Draft
- U.S. Agency for International Development/Colombo. Final Evaluation of Water Management Project, 1985.
- U.S. Agency for International Development/Dominican Republic. "Final Evaluation Report: Energy Policy Development." October 1985.
- U.S. Agency for International Development/Egypt. "Evaluation Report, Phase III Mid-Term Evaluation, Development Planning Studies Project." September, 1985.
- U.S. Agency for International Development/Somalia. "Comprehensive Groundwater Development Project." New York: TAMS, 1986.
- Water & Sanitation for Health Project. Midterm Evaluation of the USAID/CARE Community Water Systems Development Project in the Republic of Haiti. Field Report No. 205, February, 1987. Draft
- Water & Sanitation for Health Project. "WASH Activities to Improve the Sustainability of Water Supply and Sanitation Projects." Presented at AIDIS Conference in Guatemala, 1986.
- Weaver, James and Kenneth Jameson. Economic Development: Competing Paradigms. Lanham, MD: University Press of America, 1981.
- Werge, R. Social Science Training for Regional Agricultural Development. Asian Report No. 5, New Delhi: CIMMYT, 1978.
- White, Louise G. Creating Opportunities for Change: Models of Development Program Management. (Exerpt from draft manuscript pending publication with funding by ST/RD's Performance Management Project).
- World Bank. "Bolivia Ulla Ulla Development Project." Washington, D.C.: World Bank, 1982.
- World Bank. Human Factors in Project Work, Staff Working Paper No. 39f, Washington, D.C., 1980.
- World Bank. "Rural Water Supply & Sanitation: A Framework for Improving Investments." Washington, D.C., November, 1985. Draft
- World Bank. Sustainability of Projects: First Review of Experience. Report No. 5718, Washington, D.C., 1985.

Addendum

Roark, Paula. "New Analytical and Management Framework to Achieve Sustainability in Community Water Supply," Water and Sanitation for Health Project/UNDP, May 1987.

SCOPE OF WORK

1. Using lessons learned and problem areas identified from two AID studies (FY 84 Program Evaluations and Audits, and FY 85 and 86 Project Evaluations), and a 1985 World Bank Study on sustainability, prepare a review of institutional development literature to identify and extract research findings and programmatic experience most directly applicable to the problems being encountered by field missions in achieving institutional sustainability and continuation of program benefits following termination of AID assistance. The following are illustrative of the topics the review of literature will cover:
 - a) How AID program and project designers can derive a sufficient understanding and appreciation of the socio-economic, behavioral, institutional, and cultural environment.
 - b) How to develop autonomous, self-reliant grass roots organizations and link them to higher level institutional/ organizational mechanisms.
 - c) Most effective means of developing organizational human resource capabilities during and following project assistance.
 - d) Assuring adequate attention to organization and management factors.
 - e) How to build sufficient flexibility into development projects to permit them to take account of and adjust to unforeseen circumstances arising during implementation which impinge on effective institutional performance and sustainability of benefits.
 - f) Most effective ways of dealing with recurrent costs of development activities initiated and organizations responsible for executing them.
 - g) Mechanisms to ensure appropriateness of technology for both development and sustainability; and to effectively transfer technology to beneficiary groups, in order to sustain the flow of benefits derived from the technology to beneficiary populations.
 - h) How to identify the effects of government policies impacting on institutional and project benefits sustainability, and recommendations for ways to overcome negative impacts and increase positive impacts.
 - i) Advice on technical assistance to ensure efficiency and cost effectiveness of development institutions and enhance their linkages to client populations.
2. The results of the literature review will be summarized in a clear and succinct report (no more than 40 pages, excluding any appendices) outlining the salient findings and recommendations for dealing with major institutional and benefit sustainability problems.

3. Following a workshop, consisting of AID personnel with field experience and a few individuals from outside AID with research or operational experience, a final report will be prepared incorporating the results of the workshop into the draft report, including any additional literature review decided upon in the workshop. The final report will be no more than 40 pages, will include an executive summary of less than three pages, and appendices as appropriate.