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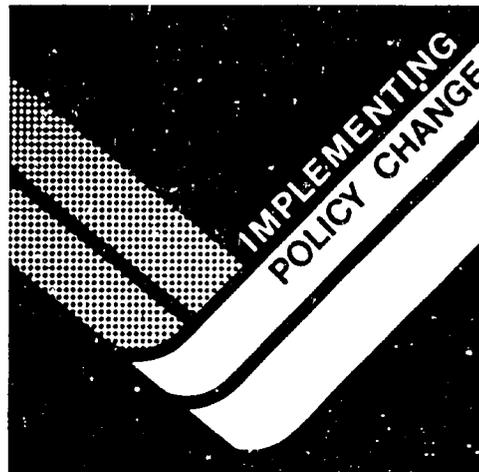
# **IMPLEMENTING POLICY CHANGE: A SELECTED, ANNOTATED BIBLIOGRAPHY**

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IPC Bibliography No. 1



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**Management Systems International**

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**Abt Associates Inc.**

**Development Alternatives, Inc.**

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This working bibliography is the first in the series of targeted literature reviews planned under the Implementing Policy Change Project. The items collected here serve two purposes: (1) cadre development, to orient IPC technical cooperation teams to managerial and sectoral policy implementation issues in support of field activities for host countries and A.I.D. missions; and (2) applied research, to provide a selected literature base from which critical organizational, managerial, and sectoral issues can be identified and synthesized to inform the IPC research agenda.

The bibliography has been compiled from a variety of sources. These include: the computer databases and libraries of the University of Maryland System, including the National Agricultural Library at Beltsville, MD; documents produced by members of the IPC consortium; reports prepared under other A.I.D. projects sponsored by the R&D Bureau (formerly S&T); and materials from other international donor agencies. The process for creating this bibliography is as follows:

- \* Searches of computerized databases and other sources identify potentially appropriate research related to policy implementation.
- \* Abstract printouts from the databases and citation lists are reviewed for items to be collected for cataloging.
- \* Selected items are chosen and catalogued for inclusion in the IPC literature file. An abstract for each item is prepared, both for this annotated bibliography and to accompany the item, which is kept on file at the International Development Management Center. Copies of articles, chapters and reports are available to IPC collaborators on request. For books included in the bibliography, copies of the table of contents and reviews are kept on file.

Contained in the following pages are 142 abstracts, organized into twelve general categories related to implementing policy change. The references included in each of the twelve sections are by no means exhaustive of the literature in that category. Rather, the items have been selected because they: (a) provide an overview of the key issues in the category, and/or (b) contain treatments of topics in the category of particular relevance to IPC's technical cooperation and/or research agenda. Each of the twelve sections begins with a list of the items under the category, followed by abstracts in alphabetical order. In cases where items fit under more than one category, a judgment was made of the piece's primary focus.

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**I. ADMINISTRATIVE REFORM,  
GOVERNANCE, DEMOCRATIZATION**

I. ADMINISTRATIVE REFORM,  
GOVERNANCE, DEMOCRATIZATION

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Bollen, Kenneth A. 1990. "Political Democracy: Conceptual and Measurement Traps." Studies in Comparative International Development. Vol.25, No.1, pp.7-24.

**Abstract:** The movement toward democratic political systems in many nations in the 1980s has renewed interest in measurement of political democracy. This paper calls attention to the problems that surround both the definition and measurement of political democracy. The main conceptual problems are the failure to develop an adequate theoretical definition of this concept, the confounding of the concept with others, and treating democracy as a binary rather than a continuous concept. Four problems of measurement are: invalid indicators, subjective indicators, ordinal or dichotomous measures, and the failure to test reliability or validity. The paper offers several suggestions to improve measurement as well as a warning about the danger of repeating past errors.

Chew, David C.E. 1990. "Internal Adjustments to Falling Civil Service Salaries: Insights from Uganda." World Development. Vol.18, No.7, pp.1003-1014.

**Abstract:** Real base salaries of civil servants in many developing countries have fallen during the past 13 years. Little is known, however, as to how the civil service personnel structure and pay system have responded to the salary cuts. Civil service basic salaries fell drastically in Uganda during 1975-88. The adaptive responses of the civil service are identified. Allowances have not increased to cushion the salary cuts, as is alleged to have happened in many developing countries. The adaptive responses have had negative effects on efficiency and equity within the civil service. They have reversed the decline in the public wage bill, the reason for deep salary cuts in the first place.

The adaptive responses cited within the article are:

1. Ugandan civil servants strive to have their posts regraded to a higher salary level or scale.
2. Cash allowances and payments in kind rose to compensate partially for falls in basic salary of government employees.
3. Improper use of allowances increase as salary and other allowances decrease.
4. Reduction in working hours, which the author states is the most visible adaption.
5. Efficiency decrease in response to inequitable upgrades of posts of similar difficulty and responsibility.

Ingraham, Patricia W. and B. Guy Peters. 1988. "The Conundrum of Reform: A Comparative Analysis." Review of Public Personnel Administration. Vol.8, No.3, pp.3-16.

**Abstract:** Despite obvious cross-national political and cultural differences, civil service reform policies exhibit strong similarities. An examination of reform efforts in the United States, the United Kingdom and Australia emphasizes the centrality of politics and political processes to administrative reform. This is true for mechanical or procedural reform, structural reform and what is termed "relational reforms," or, reforms aimed at restructuring the relationship between politicians and career civil servants. The overriding influence of politics reduces policy design considerations and often results in solutions that do not match the problems being addressed. The outcomes are new bureaucratic problems and the need for additional reforms.

Jacobs, Colin. 1990. "Training for Change in the Ugandan Civil Service." Public Administration and Development. Vol.10, No.3, pp.315-330.

**Abstract:** This paper has three objectives: to describe an example of a bilateral training programme for senior managers in the Ugandan civil service and to assess its impact; to recognize the main features behind its success and discuss its replicability elsewhere; and to produce a simple model to illustrate the importance of designing management programmes which are closely integrated with their context, by taking account of changes at the institutional and national level. The example is the Senior Management Programme (SMP) for officials in the Ugandan civil service. This course was developed under the bilateral Technical Cooperation Training Programme (TCTP) for Uganda funded by the British Government's Overseas Development Administration (ODA) and administered by the British Council.

Kathlene, Lyn and John A. Martin. 1991. "Enhancing Citizen Participation: Panel Designs, Perspectives, and Policy Formation." Journal of Policy Analysis and Management. Vol.10, No.1, pp.46-63.

**Abstract:** Even though a citizen participation component is included in nearly every major local government planning and policy initiative, most citizen participation techniques have been judged to be less than adequate tools for informing policy makers about the people's will. Recently, having planners or policy analysts work closely with long-standing citizen panels composed of a randomly selected sample of community members has been proposed as one appropriate response to many of the inadequacies of traditional techniques. In this article, staff from a municipal government policy analysis unit describe and critique a yearlong citizen panel project focused on developing a transportation master plan in a university community. They argue that panels can overcome many of the limitations to effective citizen participation. The authors also suggest that panels can work well, but only if policy analysts assume more pro-active and advocacy roles than those routinely found in local government.

Kleemeier, L. 1989. "Policy Reform and Rural Development Assistance in Tanzania." Public Administration and Development. Vol.9, pp.405-416.

**Abstract:** Tanzania for a long time refused to reform its economic policies along the lines recommended by the World Bank and IMF. Eventually the foreign exchange crisis forced the government to make the changes advocated by its own pragmatic economists and the Western donor community. The reforms were necessary, but not a panacea for all the problems which had plagued rural development programs over the past decade. Three big problems still face basic needs programs: the government administration has very little capacity to manage or back up programs; neither the national nor district governments can afford them; and rural residents have not compensated for either of these deficiencies through their own participation and contributions. This article looks at two basic needs programs in the rural water supply sector to illustrate how these long-standing problems continue to affect implementation. Both programs are funded and implemented by donors. The conclusion is that donors have not been sufficiently self conscious and innovative in grappling with the more intractable problems facing rural program assistance in Tanzania.

Lara, Francisco, Jr. and Horacio R. Morales, Jr. 1990. "The Peasant Movement and the Challenge of Rural Democratization in the Philippines." Journal of Development Studies. Vol.26, No.4, pp.143-162.

**Abstract:** Analysis of peasant efforts to build representative political institutions demonstrates that the major impetus for rural democratization has come from civil society rather than the state. The authoritarian political and economic institutions which have historically dominated the countryside remain entrenched in the Philippines, preventing the state from responding to increasingly well-organized and broad-based peasant demands, most notably for land reform. The peasant movement has responded to the post-Marcos 'blocked transition' with a range of alliance-building efforts both inside and outside the formal political system.

Lien, Da-Hsiang Donald. 1990. "Corruption and Allocation Efficiency." Journal of Development Economics. Vol.33, pp.153-164.

**Abstract:** In this paper, the author investigates the possibility of allocation inefficiencies associated with corrupt practices. Specifically, the case in which two firms compete via bribery of a corrupt government official for a to-be awarded project is considered using economic models. The economy may suffer allocation inefficiencies whenever there is some degree of discrimination. Given additional assumptions, it is shown that the possibility of inefficient allocations increases as the degree of discrimination increases. Although empirical verification of discrimination is difficult (due to the observational equivalence of an alternative imperfect knowledge model), two possible explanations for the determination of discrimination indicate that it is a general phenomenon in competitive bribery games.

Paul, Samuel. 1991. Accountability in Public Services: Exit, Voice, and Capture. Washington, DC: World Bank, Country Economics Department, PRE Working Paper No. WPS 614, March.

**Abstract:** Public accountability is strengthened when government control (monitoring and incentive systems) is reinforced by the public's willingness or ability to find alternative sources of supply (exit) or to exert pressure to perform (voice). What the public can and will do depends on the relative costs of these options, what the results might be worth, and the underlying degree of market failure. The phenomenon of capture is the tendency of those who manage and control the allocation of public services to seek rents rather than serve the public interest. Capture, together with government monopoly of many public services, the public's limited ability to demand and monitor good performance, and problems in measuring and quantifying the benefits of services, make the improvement of public accountability complex and difficult.

Three things can be done in the medium term to improve public accountability in developing countries:

1. Mobilize public opinion for change by disseminating comparative information about the performance of public services. Public surveys of client satisfaction, public evaluations of service providers, and comparisons of performance indicators within and across countries may help create a groundswell of demand for reform.
2. Muster exit and voice mechanisms to correct the imbalances among stakeholders of public services. In many developing countries, the mandates and behavior of service providers are dominated by their own preferences or the priorities of their supervisors and influential elite groups. The weakest stakeholders are the unorganized public and/or the poorer strata of society.
3. Check monitoring and incentive systems used by service providers and their supervisors for compatibility with the expectations of stakeholders, and work out the trade-offs involved. In developing countries, where poverty reduction is a major goal, imbalances must be corrected to shift services toward the poor and improve access to and quality of services.

Robinson, Derek. 1990. "Civil Service Remuneration in Africa."  
International Labour Review. Vol.129, No.3, pp.371-386.

**Abstract:** Although there are differences from one African country to another in the arrangements for the recruitment, grading, promotion and remuneration of civil servants, they do not seem of themselves to lead to significant differences in practice. In every country examined (22 African countries) there has been a reduction in the real value of civil service salaries since 1975. If allowance is made for the receipt of increments, there have still been reductions, sometimes extremely large ones, in the real salaries of civil servants recruited in 1975. Inclusion of improvements in remuneration resulting from promotion and allowances moderates the reductions but in many cases does not bring pay even up to the real levels received on recruitment.

Rosenau, James N. "The State in an Era of Cascading Politics: Wavering Concept, Widening Competence, Withering Colossus, or Weathering Change?" In The Elusive State, International and Comparative Perspectives. James A. Caporaso, ed. Newbury Park: Sage Publications.

**Abstract:** Although the concept of state is pervaded with ambiguity and, thus, is of questionable utility, the analysis proceeds from the premise that it must be employed inasmuch as so many analysts treat it as useful. At the same time, it is argued that the concept is used in diverse and contradictory ways, including tendencies to treat the state as increasingly omniscient and increasingly impotent as an instrument for meeting and resolving collective needs. The analysis also notes that states are quite resilient and capable of adapting to change under most circumstances.

If the state is viewed as an adaptive entity and its activities as policies of adaption, the author states these are advantages for a framework analysis:

1. The adaptive perspective offers a useful means of addressing the problem of measurement and the task of subjecting states to empirical observation.
2. The adaptive perspective provides a means for anticipating and tracing instances when the forecast seems sound yet the state collapses.
3. The adaptive framework is well suited to analyzing the dynamics whereby states are able to cope with cascading changes that render the fluctuations in their essential structures as more than routine and pose the danger of moving them beyond limits.
4. It offers a means of synthesizing the diverse perspectives on the state.

Sirowy, Larry and Alex Inkeles. 1990. "The Effects of Democracy on Economic Growth and Inequality: A Review." Studies in Comparative International Development. Vol.25, No.1, pp.126-157.

**Abstract:** What effects does political democracy have on such development outcomes as economic growth and socioeconomic policy? Competing theoretical models have been proposed that represent each of the possibilities: democracy as facilitating development, democracy as a hinderance to development, and democracy as bearing no independent relationship to development outcomes. Each of these theoretical models is explicated and, then, the evidence from quantitative, cross-national tests of the effects is reviewed. Overall, the evidence provided by the approximately dozen studies (of both developed and less developed countries) for each outcome yields few robust conclusions with respect to the theoretical models. To guide in the evaluation of the evidence, the studies are in turn distinguished by such design characteristics as sample, period observed, measures used, and form of relationship specified. This procedure, while it does not produce definitive support for any of the models, does assist in interpreting the results of past research as well as generating fertile guidelines for future research.

van Brabant, Jozef M and Claus Wittich. 1990. "Overview of the Centrally Planned Economies and International Economic Organizations." Journal of Development Planning. Vol.20, pp.3-25.

**Abstract:** This paper summarizes key issues of the external implications of the reforms of centrally planned economies that bear on their actual or potential participation in international economic relations. It discusses centrally planned economies in relation to: (1) international economic relations; (2) the global trade framework; (3) developing countries; (4) international monetary relations; and (5) reforms and regional economic organizations.

There is a need for tolerance in bringing about structural adjustments and in approaching the potential enlargement of international economic organizations. Favorable conditions for a more complete participation of planned economies are being created, for example, as a result of the Uruguay Round of negotiations in the case of the international trading system. But it is up to the planned economies to conceive desired structural changes and then perhaps seek assistance from international organizations, which may in fact help reforms in moving ahead with their intended changes in policies, institutions and policy instruments against entrenched interests. Against this backdrop, it would be useful if the centrally planned economies were to divulge more complete statistical information about their domestic and external economic activities.

World Bank. 1991. "Managing Development: The Governance Dimension."  
Washington, DC: Author, Discussion Paper, August.

**Abstract:** This paper, the product of a Bank-wide task force, discusses approaches to governance in relation to Bank programs and activities. It defines major concepts, reviews Bank experience to date, and highlights issues that have emerged as the Bank addresses a wider range of concerns in this area. The Bank's interest in governance arises from its concern for the effectiveness of its development assistance. Good governance is central to creating and sustaining an environment that fosters growth and equity.

Bank emphasis in development management has shifted in recent years from its own interventions to the country context within which its interventions are implemented. In the area of public sector management (PSM), attention has shifted from improving management of project-related agencies to more general reform of the civil service and public enterprises, and to the central economic agencies responsible for macro-economic policy. This paper does not delve in-depth into PSM, but focuses on three other key dimensions of governance: accountability, the legal framework for development, and information and transparency.

Economic objectives of accountability include congruence between policy and actual implementation, and the efficient allocation and use of resources. Macro-level accountability can be reinforced through competition and enhancing opportunities for participation by affected publics. Regarding legal frameworks, five elements of the rule of law are critical for development: a) a set of rules known in advance, b) rules in force, c) existence of enforcement mechanisms, d) independent arbitration and conflict resolution, and e) procedures for amending rules over time. Adequate and reliable information is a precondition for both accountability and the rule of law. Information access is needed about the economy and market conditions, and about the intentions of government.

These aspects of governance represent a natural extension of the Bank's PSM work, and are technical in nature. The Bank faces several constraints in intervening in the governance arena. As an external agency, it cannot intervene without real and effective borrower commitment and ownership of reforms. Its legal mandate precludes actions deemed political. Its past experience in institution building is mixed. Finally, work on governance is expensive, long-term, and limited by skill availability.

World Bank. 1991. The Reform of Public Sector Management: Lessons from Experience. Washington, DC: Author, Country Economics Department, Policy and Research Series, No. 18, September.

**Abstract:** This paper evaluates the Bank's efforts to improve the efficiency and effectiveness of LDC public agencies, offers guidance on improving those efforts, and suggests further work. Three themes are treated in detail: public expenditure management, civil service cost containment and institutional effectiveness, and improved public enterprise performance. Reform in all these areas requires downscaling of public sector efforts and strengthening of core central government organizations. PSM reform to date has yielded positive results, but has taken longer than initially expected, mainly due to sociopolitical obstacles. Bank and borrower understanding of PSM has increased, though more effort is needed.

Regarding public expenditure management, PSM reform has concentrated on improving public investment programming, strengthening the budget process, and allocating more resources to recurrent costs. Civil service reform consists of two complementary efforts: short-term cost containment through RIFs and wage bill reductions; and medium-term personnel and organizational systems change. These latter include, e.g., updating HR management systems, improving training, linking pay to productivity, and offering incentives to retain skilled staff. Improvements in public enterprises include: downsizing of the public enterprise sector, improvement in the market environment of public firms (introduction of competition), and measures to improve government-enterprise relations.

The instruments the Bank has used to promote PSM reform are: technical assistance (TA), training, and studies and policy dialogue through analytic and sector work. TA appears critical to success, but its effectiveness is subject to significant constraints. To improve TA the Bank should improve the design of TA interventions, intensify monitoring of TA, improve consultant selection and performance monitoring, make more use of resident and regional Bank staff for TA, and improve assessments of LDC capacity and commitment to effective use of TA.

The benefits of PSM reform are high, but reform tends to highlight tensions between economic benefits and political costs. Overcoming constraints requires detailed knowledge of the socio-political context, which is difficult and costly to obtain, and hard to apply. The Bank needs to focus its limited PSM resources in countries with demonstrated commitment on organizations and systems with high potential impact. In countries where commitment is low, policy dialogue and analytic work should include attention to PSM reform.

## II. AGRICULTURE

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Bates, Robert. 1988. "The Political Basis for Agricultural Policy Reform." In Africa's Development Challenges and the World Bank. Hard Questions, Costly Choices. Commins, Stephen K., ed. Boulder, Colorado: Lynne Rienner Publishers, pp.115-132.

**Abstract:** The chapter analyzes why African states choose particular policies. Discussion on the 'political origins' of economic failures points out policies that are often seen as harmful to sustained economic growth. The nature of African states and the composition of African elites makes reform of policies difficult. It is much easier to identify the necessary policy reforms than to implement them. In offering suggestions for specific policy changes, the paper moves beyond an internalized focus to note that there are important contributions that donors can make to help leverage policy reforms. In presenting some specific policy choices for states and donors, it links up the factors (learning, persuasion, and enforcement) contributing to existing processes for political decision making with reforms that could shift how initial policy choices are made (examples here being tax reform, food security issues, technical change, and economic literacy).

Batie, Sandra S. 1990. "Agricultural Policy and Environmental Goals: Conflict or Compatibility? Journal of Economic Issues. Vol.24, No.2, pp.565-573.

**Abstract:** Limited compatibility has been achieved between agriculture policy and environmental goals. Historic environmental provisions in the 1985 Farm Bill; the sodbuster, swampbuster, conservation reserve, and conservation compliance programs met with limited success. The presumption by environmentalists has been that changes in policy will lead to changes in farmer behavior, which in turn will lead to changes in environmental quality. So far however, proposed changes will probably come either at a loss of farm income or at a loss of the right to self-regulate.

If environmental quality is to achieve equal status with agricultural policy, a number of changes have to occur:

1. Society's environmental quality objectives need to emerge, recognizing that natural resources are an integral part of the ecosystem, possibly transcending the value of some farm production.
2. Much environmental legislation will have to come from legislation other than the farm bill, possibly through administrative regulation.
3. Farm income supports may also come from environmental protection legislation. This may lead to farmers aligning themselves with environmental representatives rather than agribusiness.
4. Some loss of production profits and individual freedom to farmers may be needed to pay the price of improved environmental quality.

Bunker, Stephen G. 1979. "Power Structures and Exchange between Government Agencies in the Expansion of the Agricultural Sector." Studies in Comparative International Development. Vol.14, No.1, pp.56-76.

**Abstract:** An exchange model of power is applied to the operations and outcomes of agricultural programs in the Amazonian Brazilian state of Para. These programs seek to involve small farmers in the market economy, overcoming two tendencies that work against such involvement: return to the caboclo economic mode centered on subsistence, and expulsion by larger enterprises. Rural extension programs must create self-sustained development quickly to be viable, since both local and national economic interests work against them. Government agencies tend to emphasize large-scale capital intensive enterprises. The programs of nine specific agencies involved in development in specific and limited ways are examined: the competing mandates of these agencies include surveying and titling the land; colonization of state lands; controlling minimum prices for specific crops; backing loans to cooperative societies; and the promotion of agricultural cooperatives. The operation of power at higher levels constantly affects the programs of rural agencies, making support too problematic to sustain development long enough for the creation of communities that could support it on a continuing basis.

Christensen, Cheryl. 1990. "Adjustment and Agriculture: Issues for the 1990s." Washington, DC: Abt Associates Inc., APAP II Collaborative Research Report No. 304, April.

**Abstract:** Structural adjustment is increasingly seen as a necessary, though not sufficient, element in managing the economic crises the LDCs face. The expectations of a quick fix have given way to the recognition of the need for long haul adjustment; international economic conditions have played a greater role in shaping growth than envisioned by the original architects of adjustment. In the 90s, adjustment must be integrated into wider development strategies to deal with stimulating growth, increasing efficiency, building capacity, reducing poverty, and fostering political stability.

Adjustment programs, even when conscientiously implemented will not solve deeply rooted debt problems. Complementary resources are needed to reduce debt burdens and support the investments countries need to make to lay the foundation for resuming growth and development. In poorer LDCs, where agriculture often dominates the domestic economy and provides an important share of exports, improved sector performance is critical to successful adjustment.

Adjustment raises distributional and poverty issues, which have only recently begun to be addressed. The expectation that negative welfare impacts would be transitory has given way to a recognition of the pervasiveness of poverty and the need to focus directly on these impacts, which have serious implications for sustainable reform.

Adjustment doesn't work, and isn't sustainable, if politically relevant groups aren't supportive. Experience has shown the need to move beyond thinking of ways to build "ownership" in reforms or broadening participation in policy dialogue, to recognize the possible emergence of new public support for political and economic change. This is reflected in recent world events and the push for democratization.

Fegan, Brian. 1989. "The Philippines: Agrarian Stagnation Under A Decaying Regime." In Agrarian Transformations. Local Processes and the State in Southeast Asia. Hart, Gillian, Andrew Turton, and Benjamin White, eds. Los Angeles: University of California Press, pp.125-143.

**Abstract:** Most countries, the Philippines being no exception, intervene in their agricultural markets, using diverse policy instruments to promote farm industrialization and grain self-sufficiency, and to win political support. These changes are supported by international scientific organizations like IRRI, by international lending agencies like the IBRD/WB and ADB that promote irrigation and agricultural modernization policies, and by IMF and a consortia of creditors that influence macro-economic policies.

In the Philippines, the devaluation of the peso, the elimination of subsidies at the behest of the IMF, and a bankrupt treasury have kept the farm cost of chemicals and machines high. With a continuing low price for land, capitalist farming cannot be expected to compete with the smallholding farmer.

The post-Marcos government's conflicting imperatives to supply the populace with cheap grain and maintain rural peace will constrain it to keep rice farmer's profits low, subsidize fertilizer credit, and at the same time complete land reform. This means that the smallholding will probably remain as the unit of production for most grains.

Hunt, Diana. 1984. "Policy 'Implementation': IFAD and Rural poverty in Kenya." In Room for Manoeuvre: An Exploration of Public Policy Planning in Agricultural and Rural Development. Clay, E.J. and B.B. Schaffer, eds. Fairleigh Dickinson University Press: Rutherford, New Jersey. pp.101-126.

**Abstract:** In the search for room for manoeuvre in public policy the involvement of foreign funding agencies in financing government programs adds a further dimension to an already complex problem. Any attempt to establish the scope for altering and improving public policy - for implementing new types of projects and programs geared to particular objectives - must take account of the influence that these agencies can exert on policy formation.

It is necessary to take into explicit account the policy objectives and lending criteria of external funding agencies and the way in which they tend to apply these in practice. Certain elements of government policy may be more acceptable than others. Certain proposals for change may also be more acceptable to particular governments than to funding agencies, and vice versa. Because disagreement may arise between a government and a funding agency over priority to be given to objectives and/or the way to attain them, it is necessary to assess the extent of any leverage exerted by the agencies.

When funding agencies want to see changes in existing government policy they must become instigators and actors in the search for room for manoeuvre. This paper considers one such example of the interaction between a funding agency and a national government. The agency is the International Fund for Agricultural Development (IFAD) and the national government of Kenya.

The paper suggests that the search for room for manoeuvre in public policy for rural poverty reduction can, to some extent, and at certain levels, be systematized. The paper shows how this was attempted, albeit on a small scale, with respect to rural poverty reduction in Kenya, and examples are given of findings which the approach used generated. The study concludes that despite certain policy constraints, some room for manoeuvre towards attaining IFAD's objectives existed within Kenya. However, it also concludes that where room for manoeuvre exists at the level of project design its exploitation can still be hampered by various factors.

Knudsen, Odin and John Nash. 1990. Redefining Government's Role in Agriculture in the Nineties. Washington, DC: World Bank, Country Economics Department, PRE Working Paper WPS 463, August.

**Abstract:** Government policies in agriculture have been costly and misdirected worldwide. In developing countries, those policies have impoverished rural people without providing the food security urban consumers and policy-makers want. Immense funding wasted on subsidies of fertilizer, credit, and urban prices should not have been invested in areas where private markets do not work well because the costs and benefits are difficult to internalize for private agents, e.g., infrastructure or basic research.

The Uruguay Round of the GATT Talks is an opportunity for developed and developing nations to strike a bargain. The authors outline elements of what should occur. First, eliminate waivers and exemptions that have set agricultural commodities apart from other products in their treatment under the GATT. Second, eliminate developing countries' special GATT status, which currently allows them to avoid reciprocity in trade policy reform and to protect infant industries or use quantity restrictions for BOP purposes. Third, get all countries to reform their agricultural policies to reduce policy-induced distortions. Measures needing reform include import restrictions; export subsidies; dumping of surplus commodities by OECD countries; and subsidies to fertilizer, irrigation, and credit, all of which distort trade incentives.

Such a bargain would result in a redefinition of governments' role in agriculture. Poor policies have resulted from governments' tendencies to see problems as resolvable by taking income from some groups and giving it to others. Legitimate roles of government, especially investment and research, have often been subordinated to roles where governments have shown little competence, such as price setting and interventions in markets. These priorities must be reversed. Solving agricultural policy problems requires withdrawing most government intervention for agricultural markets and recognizing economic rights of: a) farmers, to produce what they want and to sell freely at home and abroad; b) traders, to move goods in expectation of profits without fear of repression; and c) consumers, to buy foods at the lowest prices, from foreign or domestic sources. An important part of changing governments' role is the institutional changes that would follow.

Maxwell, Simon and Adrian Fernando. 1989. "Cash Crops in Developing Countries: The Issues, the Facts, the Policies." World Development. Vol.17, No.11, pp.1677-1708.

**Abstract:** The issue of "cash crops" is profoundly controversial. The debate uses different definitions of the term and slides across levels of analysis from the household to the international economy. It also cuts across arguments, crops, countries and time periods. This paper sets out to order the debate. It deals first with definitions and taxonomy and then reviews issues connected with cash crops and (a) growth, (b) distribution, (c) food security, (d) dependency and (e) the environment.

Cash crop policy needs to take account of a range of multifarious and dynamic effects. The task presents methodological problems of two sorts. In the first place, a method is needed which can answer questions about "who gains and who loses" at different levels of analysis and at different points of time. In the second place, the method must deal not only with the quantitative arguments about income found in the debates on growth and distribution, but also with more qualitative arguments found in the debates on dependency or the environment. Whatever method is chosen, there will be problems in dealing with tradeoffs between different groups or time periods.

The authors draw twenty-two conclusions based on the cash crop issues examined in the body of the paper. Factors deserving attention in relationship to minimizing the benefits of cash cropping are also examined.

Oklahoma State University. 1988. "Socio-Economic Indicators of Agrarian Reform and Rural Development." Washington, DC: U.S. Agency for International Development, Agricultural Policy Analysis Project.

**Abstract:** These guidelines have been developed as part of the Program of Action adopted by the World Conference on Agrarian Reform and Rural Development (WCARRD), held in 1979. They are meant to assist countries in developing socioeconomic indicators for monitoring and evaluation of agrarian reform and rural development, as part of their regular statistical, planning, project and program implementation activities, in applying them at regular scheduled intervals. Such indicators would also constitute the basis for countries' reporting to the FAO Conference on the WCARRD follow-up. The guidelines advocate a practical cost-efficient method for developing and applying key indicators of rural poverty and improving statistical program until the full range of primary indicators has been covered. They propose a step-by-step approach for developing socioeconomic indicator program in the countries and improving them through the implementation of long-term integrated program of census and surveys and administrators records. The guidelines have been made as consistent as possible with other international standards on social statistics and indicators. They remain flexible and adaptable to national requirements and conditions, so that in implementing them, the special circumstances of individuals should be fully kept in mind.

Olson, Mancur. 1985. "Space, Agriculture, and Organization."  
American Journal of Agricultural Economics. Vol.67, pp.928-  
938

**Abstract:** The main feature that distinguishes farming from manufacturing, and most other urban economic activities is space or land intensity. This paper takes into account spatial intensity while answering why there is a greatly different pattern of price and output variability over the business cycle in agriculture and industry. The differences in spacial intensity also address why there is a systematic difference in the treatment of agriculture in the developing and developed countries.

Spacial intensity explains the absense of economies of scale in farming. Other factors include the large number of farms producing each major commodity, special differences of collective action for large groups, and the special difficulties of surveillance and picketing over the vast amount of space. This explains the different price and quantity behavior of agriculture and urban industry over the business cycle.

The author concludes that for developing countries, the political market underprices agricultural products while developed countries overprice agricultural products at the expense of consumers and taxpayers.

Paarlberg, Robert L. and Merilee S. Grindle. 1990. "The Changing Political Economy of Agricultural Policy Reform: Implications for Donors." Cambridge, MA: Harvard Institute for International Development, APAP II Collaborative Research Report No. 306.

**Abstract:** Experience with policy reform suggests that when sectors undergo changes in "what needs to be done," the political process of reform changes too. Key participants in policy dialogue, their concerns, and the role donors can play shift depending upon how the constraints to agricultural growth are understood by policymakers, implementors, and stakeholders. During the 1970s, agricultural policy reform was defined primarily in terms of production constraints related to technology, infrastructure, and sector-specific investment. In the 80s, donors and LDCs emphasized the macroeconomic environment and the importance of adjusting sectoral policies to reflect market mechanisms.

How reform is understood tends to determine reform process as well as substance. The hierarchical status, expertise, and scope of responsibility of participants in policy dialogue shift when agricultural sector problems are linked to macroeconomic policies instead of technical constraints. Also, the "stakes" and the stakeholders change as well, affecting implementation. Policies focusing largely on the sector tend to run afoul of inter-ministerial competition, human resource limitations, and technical problems. Agricultural reforms stressing pricing and macroeconomic issues are affected by societal tolerance for the adjustments being implemented. On the donor side, different staff expertise and experience is called for depending upon whether LDC participants in policy dialogue are agriculture specialists or economists and central bankers.

Reforms are frequently undertaken in response to a dominant definition of what the problem is. This can lead to reform myopia, the tendency to focus on the crisis of the moment. A key role for donors is to counterbalance reform myopia, whether in the direction of sector problems or macroeconomic issues. LDC agricultural policymakers will focus on three increasingly urgent concerns in the 90s: employment, food production, and resource protection. With this redefinition of reform in the sector will come an increase in policy dialogue and implementation with sector specialists in the "spending" ministries. Implementation constraints will include: bureaucratic competence and compliance, institutional development, impact of the micropolitical demands of specific interest groups, regional interests, and local political forces. LDCs and donors need, however, to keep in mind the macroeconomic preconditions for reform success.

Ruttan, Vernon W. 1989. "Institutional Innovation and Agricultural Development." World Development. Vol.17, No.9, pp.1375-1387.

**Abstract:** This paper elaborates a theory of institutional innovation in which shifts in the demand for institutional change are induced by changes in relative resource endowments and by technical change. The supply of institutional innovations responds to advances in social science knowledge and changes in cultural endowments. Case studies draw on:

1. The interrelated effects of changes in resource endowments and technical change on the demand for institutional change in land tenure and labor relations in the Philippines.
2. Institutional innovation that has taken place in sectoral patterns of import substitution and export promotion of agricultural commodities in East Asia since the beginning of industrial development.
3. Agricultural policy research and institutional innovation in the design of agricultural commodity policy in the United States.

Elements of a general institutional innovation model are outlined. The model suggests the importance of going beyond the conventional general equilibrium model in which resource endowments, technologies, institutions and culture are treated as given.

Tweeten, Luther. 1987. "African Agricultural Policy Interventions: Problems and Opportunities." In Agriculture Market Intervention and Pricing Policies in Africa. Oklahoma State University: U.S. Agency for International Development. pp.1-18.

**Abstract:** Africa is the only region of the world in the past three decades that is declining in its capacity to feed itself as measured by per capita food production. This paper first lists economic problems and possible responses of African agricultural policy to deal constructively with these problems. This is followed by a section on priorities for emerging policies. The final section examines appropriate public policy for developed countries given the economic problems faced by the third world.

The primary reason agriculture in Africa is so poor is the disarray of existing market intervention policies. Within market intervention are problems with market orientation, price incentives and privatization. To improve agriculture policy in Africa, the following should be considered:

1. A program of policy analysis and planning that would avoid false starts and dead ends.
2. Private markets should be relied on instead of the public sector when there is a question between using one or the other.
3. The overwhelming challenge is implementation. Many conceptual and practical issues remain unresolved, but far more is known about sound agriculture and economic policies than is being applied.
4. Development planners have a key role to play in Africa in providing the kind of policy analysis that will facilitate implementation. Planners should not restrict their activities to a narrow concept of agriculture. Rather, they should also look at macroeconomic, trade and other national policies that influence agriculture and national development.

White, Louise G. 1990. "Increasing the Relevance of Agricultural Research: Institution Building in Third World Universities." Journal of Developing Areas. Vol.24, pp.451-466.

**Abstract:** Recent efforts to improve agricultural productivity in developing countries rely primarily on policy changes to liberalize prices, exchange rates, and trade. Price changes alone are insufficient to stimulate agricultural production without supporting improvements in research, extension, and marketing. Agricultural research is both critically important and chronically underfunded.

This study examined evaluations of agricultural research universities to explain success in producing significant and relevant research. Successful research included: (1) Support from US land-grant universities; (2) Political and financial support; (3) Organizational incentives; (4) Linkages with extension systems and farming communities

The author felt that strong leadership was also needed to impart a sense of mission and inspire entrepreneurs to build support coalitions in communities.

The primary combination of skills required for research success in developing countries was organizational incentives, institutional linkages, and strategic management.

### III. ANALYTIC METHODS AND MODELS

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Aberbach, J. and B. Rockman. 1987. " Comparative Administration. Methods, Muddles, and Models." Administration and Society. Vol.18, No.4. pp.473-506.

**Abstract:** This article explores three methodological and three conceptual ambiguities in the comparative study of public administration. It should be clear that the comparative analysis of administrative systems is a difficult undertaking. The complex set of methodological reasons include: (1) fundamental linkage problems between the parts of the administrative system, usually the focus of inquiry, and the administrative system as a whole; (2) it is difficult to relate the universal characteristics of organizational decision making to variations in the setting of administration; and (3) the linkage problems between the three analytical building blocks of comparative administration - structures (organizations), actors (officials), and actions (behaviors) - are formidable.

In addition to the methodological ambiguities in comparative administrative analysis, there are a difficult set of conceptual ambiguities to deal with: (1) the links between bureaucracies, bureaucrats, and politics are complex, and the concept of politics when applied or related to bureaucracy often has different implications; (2) the language of centralization, planning, and coordination assumes hierarchically arranged goals around a monolithic preference structure; and (3) it is difficult to define levels of bargaining and mediation across political systems and to define their relation to semiautonomous domains of influence within governments (subgovernments).

The author states that it is tempting to abandon the comparative study of administration. The problems discussed here are inherent in any study of administration whether comparative or focused on a single country or even a single agency. Comparative study pushes them to the fore, however, and propels us to a level of conceptual and methodological self-consciousness and clarity rarely found in noncomparative studies of public administration.

de Neufville, Judith Innes. 1982. "Social Indicators of Basic Needs: Quantitative Data for Human Rights Policy." Social Indicators Research. Vol.11, No.4, pp.383-403.

**Abstract:** This study is a report on the effort to improve the consistency and objectivity of the economic rights section of the annual Country Reports prepared by the Dept of State, to provide a basis for equitable implementation of United States human rights policy. The purpose is to define relatively objectively the extent to which a country's basic human needs are filled, as a basic backdrop to a discussion of the country's policy effort. Foreign policy personnel generally lack sophisticated knowledge about social policy or social data, and consequently existing social indicators were unreliable. Provisions of the Universal Declaration on Human Rights and the International Covenant on Economic & Social Rights, to which the United States is signatory, are assumed as starting points, along with literature on basic needs in developing countries. Education, health, income, and nutrition rights are selected as the highest priority areas for immediate action, policy issues were outlined for discussion, and a set overview, background, and diagnostic social indicators were selected for inclusion in the reports. Principles for the selection of indicators include simplicity, credibility, comprehensibility, and correspondence to policy issues. Indicators available through the World Bank included life expectancy, % of FAO daily nutritional requirements, % served by clean water. Cautions are raised that indicators should be used only in the context of expert limited measures. They should not be linked to policy too directly because causal connections may be tenuous. The project is seen as a first phase in improving the information used in United States human rights policy to give more visibility to the issues.

Feige, Edgar L. 1990. "Defining and Estimating Underground and Informal Economies: The New Institutional Economics Approach." World Development. Vol.18, No.7, pp.989-1002.

**Abstract:** A taxonomy of underground economies is elaborated based on the new institutional approach to economic development. Members of formal sectors confront different sets of transformation and transaction costs than do members of informal sectors, and these differences are regarded as crucial to the development process. The paper distinguishes illegal, unreported, unrecorded and informal economies and examines the conceptual and empirical linkages among them.

Alternative micro and macro methodologies for measuring underground activities are reviewed and evaluated, which include the following: (1) Discrepancy methods (unrecorded income and unrecorded transactions); (2) Currency ratio measurement methods (unreported and unrecorded income); (3) Census and survey methods.

The author concludes by asking the following questions, illustrating the complex nature of making policy decisions when incorporating informal economy issues:

1. Does a growing unreported economy encourage the development process by reducing transaction costs, relative price distortions, and wasteful government expenditures, or does it undermine needed public expenditures and force the government to conduct reckless monetary policies to collect taxes by the vehicle of inflation?
2. Do the benefits from avoiding institutional constraints outweigh the costs of exclusion from property rights and legal remedy?
3. What are the income distribution consequences of a growing informal sector?
4. Do the higher incomes accruing to informal employers result in lower incomes for informal employees?
5. Does a growing informal sector encourage technologies and factor input ratios that benefit aggregate production through linkages with the formal sector, or does it exacerbate technological and factor input imbalances?

Hall, Anthony. 1988. "Community Participation and Development Policy: A Sociological Perspective." In Development Policies: Sociological Perspectives. Hall, Anthony and James Midgley, eds. New York: Manchester University Press.

**Abstract:** Few concepts in the field of development policy-making have been as widely used - and misused - as that of 'participation'. Systematic analysis of the origins and application of this concept makes it apparent that 'participation' has many different interpretations, and that it has frequently been used to manipulate the beneficiaries of development initiatives rather than allow them greater control over directed socio-economic changes affecting their lives.

The author submits there are, for analytical purposes, four major modes of people's participation within the context of guided social and economic change: anticipatory, manipulative, incremental, and participatory. Constraints to participation, regardless of category, are many, and can be classified into operational, cultural, and structural. Case studies are cited of how the state has attempted to promote proper participation, and how participation has occurred outside state tutelage via non-governmental organizations (NGOs).

Henry, Reg. 1990. "Implementing Social Impact Assessment in Developing Countries: A Comparative Approach to the Structural Problems." Environmental Impact Assessment Review. Vol.10, pp.91-101.

**Abstract:** Social impact assessment (SIA) will be implemented in third world countries because its techniques and beliefs could be useful wherever development is causing rapid change and especially where the costs and benefits of the change are not being distributed equitably. This paper argues that SIA will experience difficulty in such situations because of structural factors. The ways in which those factors will complicate the successful implementation of SIA are illustrated from a previous program that aimed to assist development by promoting science and technology. While this program had many of the social purposes and concerns of SIA, it failed to fulfill its social objectives because of structural problems. The paper outlines those factors and then discusses whether SIA can be successful in developing countries as long as such structural barriers remain.

Hofferbert, Richard I. and Ustan Erguder. 1985. "The Penetrability of Policy Systems in a Developing Context." Journal of Public Policy. Vol.5, No.1, pp.87-105.

**Abstract:** Drawing primarily from the Turkish example, the fit of the input-output policy model, widely used in the West, to less developed countries (LDCs) is examined. It is hypothesized that, in LDCs, compared to the West: (1) policy patterns are more subject to political penetration; (2) once implemented, policies have a higher probability of penetrating social conditions; and (3) implementation structures and practices are less penetrable by policy directives. The major bottleneck to innovative policy formation and delivery in LDCs is the implementation process. Bureaucratic resistance and hesitancy to innovate are due to a control rather than service orientation, stemming from the peculiar sequencing of development of state apparatuses vis-a-vis the marketplace. These historical-institutional peculiarities do not appear to detract from the input-output model's ability to spot targets of opportunity for useful policy inquiry in LDCs.

Kiviniemi, Markku. 1986. "Public Policies and Their Targets: A Typology of the Concept of Implementation." International Social Science Journal. Vol.38, No.2, pp.251-265.

**Abstract:** An interpretation of the process of public policy implementation is outlined. The environment in which this occurs - i.e., the set of nongovernmental actors in a society - may be pro-policy or contra-policy in values and may have strong or weak resources. The author illustrates concepts on: public policies and their contexts; the stages and structures in policy implementation process; and public policy situations from combined structural and marginal perspectives.

The author states that the status of non-governmental actors in public policy has been an important theme in research on citizens' participation. The participation of citizens and their associations in the implementation of public policy is a question which has implications for the analysis of the failures of 'welfare policies'. Participatory modes of operation through the stages of implementation are also indicated as important. The article concludes, stressing that the reality of public policy is more than the mere policy process as such; it is also an expression of the political and social culture of the society which produced the policy in question.

Menzel, Donald C. 1987. "An Interorganizational Approach to Policy Implementation." Public Administration Quarterly. Vol.11, No.1, pp.3-16.

**Abstract:** Recent attempts to develop a theory of implementation are reviewed and assessed, and the usefulness of applying concepts from interorganizational literature to policy implementation is examined. The review suggests that implementation research should give more attention to the role of organization, particularly to the organization's external relationships. Most available implementation literature focuses on the organization's internal characteristics. An implementation framework constructed with interorganizational concepts would primarily seek to explain conflict and its consequences. Conflict can be treated as a function of interdependence among organizations, with conflict confounding policy implementation and the attendant outcomes. This view of implementation models the process as a disorderly learning process rather than as a predictable procedure. Implementation thus becomes a series of moves by individual organizations seeking to influence others in a partially disconnected process.

Ostrom, Elinor, Larry Schroeder, and Susan Wynne. 1990. "Institutional Incentives and Rural Infrastructure Sustainability." Burlington, VT: Associates in Rural Development. Paper prepared under U.S. Agency for International Development, Decentralization: Finance and Management Project, March.

**Abstract:** The authors discuss the institutional arrangements (structures of rules) within which rural infrastructure facilities are financed, designed, constructed, operated, maintained, and used. These arrangements shape the incentives of individuals responsible for sustaining those facilities. If sustainability is to increase, institutional changes must be made that substantially alter incentives. Certain attributes of rural infrastructure facilities can undermine development efforts: (1) they can be used jointly by many people simultaneously, and (2) it is difficult to exclude users. Thus infrastructure has often been provided by public enterprises. The analysis looks at five institutional arrangements to see how they can deal with rent-seeking, free-riding, shirking, costs of coordination and information search, and economies of scale: a simple market, a differentiated market, a user group organization, and centralized and decentralized government hierarchies.

No single institutional arrangement can overcome all the varied transactions costs associated with the provision and production of rural infrastructure facilities. However, polycentric governance arrangements generate incentives that improve the sustainability of rural infrastructure development. The authors offer a series of recommendations for the design of donor investments in the rural infrastructure sector.

Rickson, Roy E., Rabel J. Burdge, Tor Hundloe, and Geoffrey T. McDonald. 1990. "Institutional Constraints to Adoption of Social Impact Assessment as a Decision-Making and Planning Tool." Environmental Impact Assessment Review. Vol.10, pp.233-243.

**Abstract:** Even though most national governments and international donor agencies accept social impact assessment (SIA) as necessary, it is often partially, rather than fully, applied to development projects. Its adoption for planning and decision making is problematic, because some of its basic assumptions can contradict sociocultural and political traditions. A principle of modern SIA is that publics potentially affected by development should participate in assessing consequences. Because SIA models are heavily influenced by Western social liberal traditions about public participation, for instance, they are sometimes incompatible with the established social and political institutions of third world countries. Bureaucratic rigidity and disciplinary inertia are two potential barriers to adoption of SIA. Rancorous conflict, extreme poverty, and ignorance are also factors affecting how SIA is used. Barriers to using impact assessment techniques are being overcome by attempts to integrate SIA with the general planning process. SIA therefore assumes a positive role in development planning-to be integrated with economic and natural environment considerations.

Rickson, R.E. and S.T. Rickson. 1990. "Assessing Rural Development: The Role of the Social Scientist." Environmental Impact Assessment Review. Vol.10, No.1/2, pp.103-112.

**Abstract:** The type of information needed for assessment of rural development alternatives, and the importance of establishing and sustaining inter-disciplinary research and assessment teams is discussed. In this context integrated impact assessment is defined in terms of maintaining relationships between biophysical and social scientists. Assessment of the effect of development on small farms is the specific focus. Impact analyses easily integrate with development plans when they balance goals for economic growth with overall rural community development. Adequate assessment requires information about the equity of economic development alternatives for different types of farms and mitigation of short- and long-term impacts. The role of the social scientist is critical to ensure that these data are properly collected and applied.

Robinson, Brandon. 1990. "Collaborative Sector Analysis: A Foreign Assistance Technique for Improving LDC Sector Management." World Development. Vol.18, No.7, pp.1015-1029.

**Abstract:** Poor sector management holds back social and economic progress in many developing countries. Collaborative sector analysis is a technique for improving sector management. It provides findings of immediate utility for policy making, and strengthens less developed countries' capabilities in data collection, processing, analysis, and the formulation of policy. To be useful, the analysis should be limited to a few selected objectives, with aggregate and disaggregate measurements providing a baseline from which to monitor progress. The possible complementarities and the inescapable tradeoffs among objectives can be estimated periodically, and used to design sector strategies that are technically, financially, politically and administratively feasible.

Sagasti, Francisco R. 1990. "An Institutional Approach to National Development Planning." Technological Forecasting and Social Change. Vol.37, pp.321-334.

**Abstract:** The increasingly turbulent and unstable international environment requires new approaches to development planning. Current methods need to be reformulated, perhaps by employing an "institutional approach." Three possible directions are discussed: the need to enlarge the scope of anticipatory decisions covered by the planning process; the need to reinterpret and redefine the concept of planning horizon, transcending the limitations of the distinction between short-, medium-, and long-term planning; and the imperative of dispersing planning capabilities throughout society.

Schneider, Anne Larson. 1986. "The Evolution of a Policy Orientation for Evaluation Research: A Guide to Practice." Public Administration Review. Vol.46, No.4, pp.356-363.

**Abstract:** Evaluation research has become an increasingly important part of the management structure in many public agencies. However, the contribution of evaluation research to improved policy-making is hindered by: (1) the production of evaluations that decision makers find irrelevant to the decisions that must be made, and (2) the need for decision-making information that is seldom produced by evaluations. A model is presented that integrates evaluation, policy analysis, and other information-producing research activities into one ongoing process. Evaluation involves the analysis of programs or policies in terms of levels of performance, which may be assessed in terms of concepts outlined in the enabling laws, in guidelines, or in relation to constituency expectations. Various kinds of analysis produce the information that is used at different decision-making points, including: (1) routine reporting of descriptive information, (2) needs assessment, and (3) policy implementation studies. A policy-oriented approach requires that the research system be close to the decision-making system that it serves.

Vulliamy, Graham. 1990. "How Can Qualitative Research Contribute to Educational Policy-Making in Developing Countries?" International Journal of Educational Development. Vol.10, No.2/3, pp.151-156.

**Abstract:** Recent analysis of the relationship between research and policy-making suggests a far greater potential role for qualitative research than has hitherto been recognized. Qualitative research is best viewed as a strategy which combines an interpretive theoretical framework with the use of qualitative research techniques, such as participant observation and in-depth interviewing. It is particularly suited to the study of the processes of schooling and the evaluation of innovations, where divergences between policy and practice can be highlighted through a sensitivity to the unintended outcomes of the innovation. The arguments are illustrated with examples from Latin America, Papua New Guinea and Sierra Leone.

Ward, Michael. 1989. "Social Indicators: A Third World Perspective." Journal of Public Policy. Vol.9, No.4, pp.445-450.

**Abstract:** This article outlines the aims of the World Bank in creating a framework that develops additional indicators relevant to the evaluation and monitoring of social progress. Social indicators provide data for assessing the social issues and concerns for human welfare inherent in the concept of sustainable development, particularly in the context of economic structural adjustment. World Bank publishes information on social conditions in the Bank's Social Indicators of Development Report (SID).

Examples of the information contained in the SID report are: broad measures of social and economic change (for more than 170 countries); human welfare concerns (infant mortality, school enrollment, and estimates of access to health care); indicators of human resources and natural endowments; and basic stock of natural resources (people, land, and physical assets). In total, there are, potentially, ninety-four social indicators for each country in the 1989 edition.

Youl Yoo, Jong. 1986. "Policy Process in Developing Countries: The Case of the Republic of Korea." International Social Science Journal. Vol.38, No.2, pp.237-250.

**Abstract:** Public policy formation in the Republic of Korea is described, and the interactions among policy making organizations within the government are noted. A five-stage model of policy processes is set forth: goal setting, problem identification, policy development, policy implementation, and evaluation. One or more of these stages is commonly omitted in Korea, where the process is also characterized by discontinuity of goals, tempered problem identification, rigidity of alternative innovation, personalized choice of final policy, and lack of evaluation.

In the area of policy implementation, the author states that a number of things are necessary as preliminaries. Firstly, the policy has to be defined in operational and feasible detail. Secondly, a politically feasible implementation strategy has to be worked out, to put these details into action. Finally, budgetary allocations and responsibility assignments have to be made to the proper governmental organizations and bureaucracies. If interpretations, implementation strategy and budgetary allocations are not efficiently made, policy programs will be doomed.

#### **IV. DECENTRALIZATION**

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- Werlin, Herbert. 1990. "Decentralization and Culture: The Case of Monrovia, Liberia." Public Administration and Development. Vol.10, pp.251-261.

Aryeetey, Ernest. 1990. "Decentralization for Rural Development: Exogenous Factors and Semi-Autonomous Programme Units in Ghana." Community Development Journal. Vol.25, No.3, pp.206-214.

**Abstract:** The Ghana Government launched an integrated rural development program through a semi-autonomous institution, in its search for a decentralized development strategy. The strategy was to involve rural populations extensively, in projects that led to significant increases in their incomes. The decentralized program implementation unit was not only expected to be more effective than the regional offices of the Ministry of Agriculture in service delivery, but also be the means for achieving a multi-sectoral development of the region.

The decentralized unit was obviously greatly constrained in the achievement of its objectives. This may be attributed to the fact that various factors within the national and regional politico-administrative system made the environment for program implementation less conducive than anticipated. These include the national and local power structures and other socio-cultural factors.

The irony of the situation was that those same factors had always stood in the way of efficiency in the established bureaucracy. There was therefore the need for a recognition of the fact that, without any structural changes in the national politico-administrative structures, decentralization in only limited spheres of authority was bound to be less effective than expected. A more thorough decentralization of the national system would have made it possible to obtain real beneficiary-participation through the establishment of recognizable political institutions for local groups at the level of implementation.

Khan, Mohammad Mohabbat. 1990. "The Policy Significance of Decentralization in Bangladesh." South Asia Journal. Vol.3, No.3, pp.279-286.

**Abstract:** Since Bangladesh gained independence in 1971, successive governments have shown tremendous inclination to initiate, at least in public, basic policy shifts from the existing status quo. Most of these have remained confined only to public pronouncements, never intended to be realized. These were meant to enhance the popularity of a faltering regime or to gain instant popularity without any investment for the party in power. But some of these attempts did move a little further, i.e. from policy pronouncements to policy planning.

This article outlines the decentralization policies of the Ershad regime which took power in 1982, and concludes that it has had no positive impact on society in Bangladesh. The negative impact of the policy has in fact outweighed the marginal positive outcome which could have accrued from the implementation of the policy. It appears that popular participation in local affairs has not increased, as the sub-district level administrator is still dominated by the triumvirate of the centrally-disputed civil servant, locally elected politicians who come from rich and moderately rich families, and local influentials. Corruption has increased among those who are in power as well as those who are near to power.

Maddock, Nicholas. 1990. "On the Monitoring and Evaluation of Rural Development Projects Under Decentralization." Third World Planning Review. Vol.12, No.3, pp.249-260.

**Abstract:** This paper examines the objectives of, and constraints on, the monitoring and evaluation (M&E) of rural development projects under decentralized systems of project identification, planning and implementation. It also identifies criteria for the design of M&E systems under such conditions. Procedures for M&E under the District Focus strategy in Kenya are reviewed and it is concluded that for the type of projects typically found under decentralization, methodologies which are administratively and technically simple to operate are appropriate. It is also concluded that considerable gains can be expected from strengthening monitoring and evaluation at the level of the decentralized administrative unit but that generating evaluation findings for use in national and sectoral planning and policy-making presents difficulties.

Silverman, Jerry M. 1990. Public Sector Decentralization: Economic Policy Reform and Sector Investment Programs. Washington, DC: World Bank, Africa Region, Public Sector Management Division, Study Paper No. 1, November.

**Abstract:** This paper argues that alternative forms of public sector decentralization have important differential effects on the performance of economic development programs and projects, and suggests a new conceptual framework and improved analytical methods for assessing such effects. Consideration of alternative forms of decentralization reveals the need to clarify and establish priorities among multiple economic development and political objectives. Because of the potential for conflict among multiple objectives, decentralization policies need to minimize the trade-offs among those objectives. The paper also considers the need to analyze central and local government capacity to effectively carry out the functions assigned to each level in order to implement decentralization policies.

Sterkenburg, Jan. 1990. "Rural Development and the Evolution of Regional Planning in Botswana: The Implementation of National Policy in the Ngamiland District." Journal of Rural Studies. Vol.6, No.2, pp.217-229.

**Abstract:** Many governments in developing countries have made attempts to decentralize rural development planning. The arguments in favor of decentralization are manifold, but the following are the most prominent: the improvement of efficiency in the organizations and cost-effectiveness of their activities; the increase in participation of the local population; the greater attunement of policy measures and development activities to local circumstances and the increase of political stability in a country. After independence, the Government of Botswana attempted to decentralize development planning in the district level. In this article we analyze the effect of this attempt on the Ngamiland district against the background of the evolution of national policy and the country's main development problems.

Werlin, Herbert. 1990. "Decentralization and Culture: The Case of Monrovia, Liberia." Public Administration and Development. Vol.10, pp.251-261.

**Abstract:** The World Bank's urban development project in Monrovia, Liberia attempted, between 1979 and 1987, to promote decentralization, enabling the municipality to pay for services and infrastructure provided under this project. Because of cultural barriers and a blueprint approach, the project resulted in charity rather than institutional reform. However, effective approaches and procedures require more attention to the underlying causes of existing problems. In as much as politics, even more than culture, affects decentralization, the World Bank needs to be more open with its borrowers about political requirements.

## **V. ENVIRONMENT AND NATURAL RESOURCES**

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Atkinson, A. 1991. "Environment and Development: Concepts and Practices in Transition." Public Administration and Development. Vol.11, No.4, pp.401

**Abstract:** This article starts by sketching the shape of the institutions and mechanisms which currently aim to protect the environment in developing countries. The form these have taken is largely based upon the environmental institutions created in the United States in the early 1970s, under the influence of the outburst of environmental concern at that time. The sudden reemergence of environmental concern at the top of the political agenda in the 1980s is attributable in significant measure to the 'Green Movement', that has evolved out of the concerns originally expressed in the early 1970s. The new institutions and mechanisms have, however, failed to check environmental deterioration in many developing countries; it is necessary to focus on the macroframework determining development priorities and practices if environmental problems are to be adequately addressed. The root of the problem is not merely institutional, or even macroeconomic, but is primarily cultural, stemming more specifically from the imposition of European cultural values. The environmental crisis is not restricted to developing countries and is unlikely to be solved without considerably more far-reaching initiatives than we have seen so far. According to the literature of the Green Movement, the process of the 'greening of development' is far from completed in the creation of current environmental agencies and management mechanisms.

Ayanda, I.O. 1988. "Incorporating Environmental Impact Assessment in the Nigerian Planning Process." Environmental Impact Assessment. Vol.10, No.1, pp.51-64.

**Abstract:** Nigeria and other third world countries have witnessed a number of planned development programmes which have emphasized economic benefits with little regard to environmental problems. Where development projects are concentrated slums, dusty roofs and air pollution from gas emissions are common environmental problems. Similarly, efforts at agricultural modernization have necessitated construction of dams and resettlement of people in a number of river basins. The hardship to the human beings is not always compensated for by the benefits derived therefrom. The Federal Government of Nigeria recognized the need to check these problems by proposing legislation on Environmental Impact Statements in the Fourth National Development Plan, 1981-85. This paper emphasizes the need for such legislation and discusses what EIA is all about, and the potential role it could play if incorporated into the Nigerian planning process. Finally, the paper analyses the procedure by which EIA could be incorporated. Some solutions are suggested to anticipate problems if EIA is incorporated in the Nigerian planning process.

Chan, Arthur H. 1989. "The Changing View of Property Rights in Natural Resources Management." American Journal of Economics and Sociology. Vol.48, No.2, pp.193-201.

**Abstract:** The social, demographic, technological, and ecological circumstances in the United States have changed since its beginning. Society's view of property rights - i.e. the way resources are to be used - has evolved accordingly. Resource owners' virtually unrestricted right to use their property as they wished disappeared along with the western frontier, pristine wilderness, and abundant natural resources. There is now a strong commitment to preserve what little nature and resources are left. To overcome the problem of abuse or destruction of nature, it is necessary to recognize, first and foremost, that the problem has become institutionalized over the years and secondly, that humans and natural objects are interdependent and are of roughly equal importance in the biotic community. Protection of nature against abuse therefore requires that nature be granted legal rights on moral grounds, that consequently human decisions and actions must take into consideration their impacts on nature, and that defenders of nature be able to raise its rights in its own name in any administrative or legal dispute.

Chopra, Kanchan. 1989. "Forty Years of Resource Management: The Gainers and the Losers." Social Action. Vol.39, No.4, pp.333-344.

**Abstract:** Planning in rural India has not included renewable resources and the impact of planned development on resource use was the consequence of policies followed in other sectors. The management of water and forests is examined in the light of this. Water management has traditionally been seen as an adjunct to agricultural policy. The awareness of the significance of soil and moisture conservation has increased and so has the understanding of the concept of integrated watershed management. It is also understood now that the subsidies for irrigated agriculture are alarming and need to be reduced. It remains to be seen, however, whether public opinion of the right kind can be created to ensure that an institutional infrastructure is built up that makes these changes operational. Forest policy has been characterized by the presence and continued perpetuation of a hiatus between stated policy and law, both as enacted and as implemented.

Desai, Bharat. 1990. "Managing Ecological Upheavals: A Third World Perspective." Social Science and Medicine. Vol.30, No.10, pp.1065-1072.

**Abstract:** This paper seeks to examine the genesis of ecological upheavals which are reflecting the smoldering ecological crisis in the world. The natural as well as man-made disasters have more propensity to affect the developing countries of the Third World. The data presented in tabular form in the paper reveal their increasing 'killer potential'. The present inquiry shows that the non-sustainable development patterns and practices by the Third World countries have brought them on to the brink of irreversible environmental consequences. The study underlines that due to lack of adequate disaster identification, prevention and management capabilities these countries suffer the worst. It suggests that a regional level cooperation, on the lines of the SAARC, is suitable to streamline joint efforts to combat mass disasters. The study also highlights the possible legal responses and role of lawyers in this respects. Some of the emerging international eco-standards provide a basis for resolving disputes concerning transboundary effects of disasters. A comprehensive global convention on mass disasters, encompassing sharing of data and transfer of disaster management technology to developing countries is now 'need of the hour.'

Falloux, Francis, Lee Talbot and Leif Christoffersen. 1990. "Early Lessons and Future Directions." Paper prepared for the National Environmental Action Plans in Africa Workshop organized by the Government of Ireland, the Environmental Institute, University College, Dublin, and the World Bank (EDIAR and AFTEN).

**Abstract:** Sound environmental management is fundamental to sustained economic development. Environmental concerns must be internalized within the government policy and institutional frameworks, and supported by public awareness, versus adding environmental concerns onto development projects (at donor's request). The authors suggest that the NEAP process, with its commitment to participation in planning and policy formation, may be an effective means to accomplish a sound environmental agenda.

The NEAP process identifies the major environmental problems, lays out an environmental strategy necessary to deal with the problems, and provides a very specific plan for action, specifying: (1) necessary government actions; (2) ways in which existing projects and programs could be modified; and (3) an environmental investment program which specifies the new investment projects needed. Other elements of the NEAP approach include:

1. Identifying and prioritizing key environmental issues - it may be impractical to deal with all issues simultaneously, and issues can be selected on the basis of the urgency of the problem, potential environmental irreversibility, potential benefits and the degree of relationship between issues.
2. Focusing on underlying causes - usually population growth and economic, social and cultural factors
3. Developing a plan, which must: be a demand-driven national endeavor with local participation; have multi-organizational support; be flexible in terms of financing, timing and phasing; and produce action-oriented documentation.

The results to date have been encouraging at both the national and international levels. Future directions indicate high pay-offs in terms of national and local capacity building, political acceptance and broad support for implementation of policy changes, institutional reforms and new environmental programs and projects.

Guimaraes, Roberto P. 1991. "Bureaucracy and Ecopolitics in the Third World: Environmental Policy Formation in Brazil." International Sociology. Vol.6, No.1, pp.73-96.

**Abstract:** We are definitely in an age of scarcity. Scarcity of resources, scarcity of places to dispose of our waste, and, above all, scarcity of adequate institutions to face the challenges of the current environmental crisis. There is an ignorance of the range of relationships, interconnections and implications among human activities and the inexorable cycles of nature.

Ecopolitics represents the most immediate recognition that in order to look inward, searching for answers to the basic questions of human existence and destiny, we must look outward, to our ways of relating to our fellow human beings in society as well as to our partners in nature. This is thus a study of politics. It is also a study of the bureaucratic politics of environmental policy formation. But it is equally a study of a particular political system, of a particular policy formation, that of a Third World country, Brazil. Starting from an exploration of the context of Brazil's political development, attention is focused on the social and political conditions that favored the creation of a specialized environmental agency, as well as the extent to which these conditions have determined its perceived missions and its ability to translate environmental concerns into coherent public policies. The study introduces also an analysis of the bureaucratic politics of ecopolitics, understood both as pollution control and abatement, and as conservation and management of natural resources.

Implications for implementation of natural resource policies include:

1. The environmental agency in Brazil was created to respond to an emergency, and has continued to operate in a day-to-day operations mode, failing to address broader issues.
2. There is sometimes no clear definition of "winners" and "losers" in ecopolitics because of the difficulty in measuring the impact. Environmental policies can stand out as the "spoiler" because of their inability to provide tangible benefits to easily identifiable groups.

Horberry, J. and M. Le Marchant. 1991. "The Role of Institutional Strengthening in International Environmental Consulting." Public Administration and Development. Vol.11, No.4, pp.381-400.

**Abstract:** This article aims to describe, with the aid of a number of case studies, the role consultants are playing in bridging improved environmental management to fruition in developing countries. In spite of environmental considerations entering the political agenda in the early 1970s, global environmental deterioration continues. Donor agencies have thus recently greatly accelerated their assistance in this area, but are themselves not equipped to deal with many of the problems and issues and so have hired consultants to undertake aspects of the work program. Typically consultants are undertaking sector studies, pollution control, environmental improvement studies, and project and program assessment, and are seen as being primarily responsible for technical aspects. It has become clear that unless technical recommendations are firmly tied into institutional and management structures, the goal of long-term sustainability of projects will not be realized. Whilst the need for institutional strengthening in this respect is widely recognized, it often fails to materialize as a consequence of internal resistances. Furthermore, environmental goals are still often seen as secondary and contradictory to economic development goals, and are therefore not taken adequately seriously. The article includes four case studies, which illustrate the kinds of measures which are currently considered necessary to ensure the implementation of sustainable development programs and projects.

Hucke, Jochen. 1982. "Implementing Environmental Regulations in the Federal Republic of Germany." Policy Studies Journal. Vol.11, No.1, pp.130-140.

**Abstract:** Despite the appearance of clear and authoritative regulatory standards, air and water pollution control in the Federal Republic of Germany is characterized by the same high degree of bargaining between enforcement agencies and polluters seen in other countries. The result is an apparent weakening of environmentally stringent laws; however, study of the West German experience indicates that, in practical terms, bargaining often produces compliance to regulations equal to that produced by strict adherence to the law. Mutual dependencies between enforcement agencies contribute to the use of bargaining as an enforcement technique, as do power differentials between state agencies and regulated firms. Networks of policy implementation and strategic elements of administrative bargaining are examined, and background on pollution control in West Germany is provided.

Karaosmanoglu, Attila. 1989. "Environment, Poverty and Growth: The Challenge of Sustainable Development in Asia." Vital Speeches. Vol.55, No.13, pp.396-400.

**Abstract:** In developing countries, environmental resources are being degraded, depleted, and destroyed at an increasing rate because of pressure from large and growing populations and commercial exploitation. The interaction between poverty, environmental growth, and development is apparent, and concern about the unsustainable overuse of natural resources is growing. The attitude that environmental protection is a luxury for rich countries is being replaced by a desire for "sustainable development." The World Bank is helping Asian countries to address environmental problems by funding projects in 4 key areas of environmental action that correspond to the main environmental needs in the region: (1) new approaches to soil erosion and watershed management; (2) forest preservation; (3) reducing the environmental costs of energy projects; and (4) abatement of water and air pollution.

Larson, Bruce A. and Daniel W. Bromley. 1990. "Property Rights, Externalities, and Resource Degradation: Locating the Tragedy." Journal of Development Economics. 1990. Vol.33, pp.235-262.

**Abstract:** Resource degradation in the Third World is largely driven by the demands of farm households for fuelwood and land agriculture. Since resources are often controlled through indigenous systems of property, the tragedy of the commons has been used to explain resource degradation. As a result, private property is suggested as a solution to resource degradation. A dynamic model capable of examining household incentives for resource use under private and common property is developed. Results of the model reject the conventional wisdom that gives rise to the presumed optimality of private (individual) property in natural resources, and the correlated indictment of group management regimes.

Lester, James P. 1980. "Partisanship and Environmental Policy: The Mediating Influence of State Organizational Structures." Environment and Behavior. Vol.12, No.1, pp.101-131.

Abstract: Earlier studies involving the role of party in influencing environmental policies have argued that such policies are 'consensus issues,' which transcend the partisanship differences characteristic of most political issues. Here, the mediating effect in the United States of organizational structures on the relationship between Democratic partisanship and pro environmental policy is examined. As predicted, both Democratic partisanship and pro environmental policy is examined. As predicted, both Democratic partisanship and state organizational structures were positively related to the adoption of environmental control measures. However, within modernized states (ie, those with a professional legislature and a consolidated state environmental agency), partisanship was relatively unimportant in its effects on policy; in fragmented states (ie, those with an unprofessional legislature and a decentralized state agency), Democratic partisanship was strongly related to environmental policy adoption. These findings suggest that environmental structure may provide a stronger impetus for environmental policy adoption than transient partisan politics.

Linder, Stephen H. 1982. "Decision Rules and Regulatory Reform."  
Journal of Public Policy. Vol.2, No.4, pp.379-394.

**Abstract:** The regulation of risks to health and the environment in the United States is currently undergoing serious criticism for its impact on the recession economy. Attempts to diminish health risks by placing stringent limitations on potentially harmful substances are thought to be excessively expensive and ineffective. To remedy this problem, basic reforms in the way these regulations are fashioned have been proposed. Perhaps the best known is cost-benefit analysis. Nevertheless, there are a number of areas where agencies purposely avoid making tradeoffs between costs and benefits and instead assign priorities among levels and types of benefits. However, despite a considerable literature examining the merits of making tradeoffs in regulatory decisions, little attention has been given to the disparate premises of the tradeoff and no tradeoff rules, and how the choice of decision rules determines the role of cost considerations in agency decision making. These issues are examined, and an analytical framework for restructuring the choice between rules is developed. Instead of abolishing the no-tradeoff rules, the proposed framework can be used to generate a compromise rule that permits partial tradeoffs under certain well-defined circumstances.

Lowry, Kem and Tim Eichenberg. 1986. "Assessing Intergovernmental Coordination in Costal Zone Management." Policy Studies Review. Vol.6, No.2, pp.321-329.

**Abstract:** One of the primary incentives to state governments to participate in the national costal zone management program is the legal requirement that federal resources use activities, as well as federal projects and federally permitted activities that affect state ocean and coastal areas, must be consistent with federally approved state coastal programs. These consistency provisions are among the most innovative attempts to insure intergovernmental coordination in resource management. Based on an analysis of federal records of consistency reviews conducted in 1982 by states and state appeals to the Secretary of Commerce decided in 1984/85, it is found that this legal requirement has led to the development of a variety of formal and informal collaborative mechanisms for intergovernmental coordination in ocean and coastal management. While these mechanisms have led to the resolution of the vast majority of federal-state conflicts in coastal areas, some important federal-state conflicts have not been resolved. This situation has more to do with the character of these particular conflicts than the general effectiveness of the mechanisms for collaboration that have been established.

Lyon, Randolph M. 1989. "Transferable Discharge Permit Systems and Environmental Management in Developing Countries." World Development. Vol.17, No.8, pp.1299-1312.

**Abstract:** This paper examines the extent to which systems of transferable discharge permits (TDPs) can be useful in addressing the environmental management problems of developing countries. The paper first considers the basic features of TDP systems, including their design and resulting economic properties. Special considerations in using TDP systems in developing countries are then examined, including the implications of technological progress, industrial growth, and the ease of implementation. The analysis suggests that the TDP concept can provide useful insight into the design of cost-efficient environmental regulations, even if limited institutional and technological infrastructures moderate the immediate direct applicability of TDPs in developing regions.

Meier, P. and M. Munasinghe. 1987. "Implementing a Practical Fuelwood Conservation Policy -- The Case of Sri Lanka." Energy Policy. Vol.15, No.2, pp.125-134.

**Abstract:** It is universally recognized that fuelwood conservation and management programs are very important in developing countries, but formulation and implementation of viable programs have been difficult. Sri Lanka faces serious energy problems, and the fuelwood question is primary because of its potentially devastating long-term social and economic impact. The recent experience of Sri Lanka is described in establishing a National Fuelwood Conservation Program within the overall context of a national energy strategy. Among the important factors leading to a workable policy consensus have been institutional reforms and the use of simple but plausible models to demonstrate the dire consequences of continued inaction. In the Sri Lanka experience, analysis of the situation indicates clearly the need for both cookstove and plantation conservation programs, a conclusion that is likely to be applicable in other developing countries. Better stoves also need to be designed.

Mitnick, Barry M. 1980. "Incentive Systems in Environmental Regulation." Policy Studies Journal. Vol.9, No.3, pp.379-394.

**Abstract:** The central problem of environmental and other regulation is identified as one of control. An incentive systems framework is offered as a means of integrating and systematizing alternative means of regulation. The distinction between incentive and directive means of environmental regulation, together with the levels of their targets and the penalties for enforcement, are employed to develop a topology of regulatory means and to categorize environmental regulatory alternatives. Incentive systems facing state mining reclamation inspectors are discussed based on data gathered thorough a questionnaire administered to inspectors and their supervisors (total sample = 29).

O'Keefe, P., J. Kirkby and I. Cherrett. 1991. "Mozambican Environmental Problems: Myths and Realities." Public Administration and Development. Vol.11, No.4, pp.307-324.

**Abstract:** This article assesses the resource potential and environmental problems facing Mozambique at present, pointing to the extreme distortion imposed by the current war upon the development potential of the country. Looking at the long list of environmental problems and issues identified by Timberlake as characterizing the environmental crisis in Africa, it is noted that, at the national level, few of these problems prevail, but that most of them can be identified locally. Both the World Bank and the United Nations Environment Programme (UNEP) have carried out environmental impact assessment of Mozambique and, whilst not agreeing on what the major environmental issues are, are agreed on the major problem posed by the war. The main environmental threats are almost exclusively located along the coastal littoral. Fleeing the fighting in the interior, the population has concentrated along the coast, and environmental pressures in this area are becoming severe. It is likely that, even when the war ends, the population will remain in these areas. There is great potential for economic development in Mozambique, with substantial unemployed agricultural, energy and mineral resources. However, the traditional crop industries have been decimated and statistics indicate an overwhelming preindustrial subsistence economy. Half the population has been affected through massive civilian losses, malnutrition, displacement and emigration, and no reasonable environmental management strategy can be initiated under these conditions.

Perry, James A. and Robert K. Dixon. 1986. "An Interdisciplinary Approach to Community Resource Management: Preliminary Field Test in Thailand." Journal of Developing Areas. Vol.21, No.1, pp.31-47.

**Abstract:** Community resource management implies utilization of both biophysical and sociocultural resources. International "development" agencies are very active in altering community resource management practices as a way of changing lifestyles and economic variables. Science has not developed an adequate framework for research on, and evaluation of, such changes in management practices. Based on fieldwork in Thailand, contrasting management practices and development agency involvement, and in several other Asian, African, and Caribbean nations, a framework is presented that has utility as a basis for interdisciplinary research, as well as community resource problem solving. The framework utilizes a team approach, where the team is interactive and iterative in data collection, and includes: (1) biophysical inventory, (2) understanding of sociocultural and economic constructs of developer and developing community, (3) mutual discussion of goals, (4) critical evaluation of alternatives to proposed project strategy, (5) changes in and through development, and (6) critical postevaluation.

Runge, Carlisle Ford. 1986. "Common Property and Collective Action in Economic Development." World Development. Vol.14, No.5, pp.623-635.

**Abstract:** A fundamental issue in many less developed countries is the degree to which natural resource mismanagement is caused by common property arrangements. This view has led to widespread attempts to "privatize" forests, rangelands, and water resources. Many of these efforts have failed to stop overuse, and have contributed to inequality in resource distribution. This approach is seriously questioned, and a number of reasons are described why common property may continue to be both efficient and equitable, complementing and combining with private rights in a way consistent with the resource endowments of village economies. A theoretical approach is outlined, showing that the "tragedy of the commons" is an unsatisfactory model of common property. An alternative model is presented, together with a call for research into institutional alternatives in resource management.

Sabatier, Paul and Geoffrey Smith-Wandesforde. 1979. "Major Sources on Environmental Politics, 1974-77: The Maturing of a Literature." Policy Studies Journal. Vol.7, No.3, pp.592-604.

**Abstract:** A brief review of the major works published 1974-77 on the formulation and implementation of policy dealing with air and water pollution, land use (from environmental perspective), and the protection of natural resources is presented. Emphasis is placed on those works that have attempted to apply the cumulative knowledge of the profession and have made potentially significant contributions to the general understanding of the policy-making process. The material is organized in terms of stages in the policy process and classified in terms of agenda-setting, policy formulation and legitimation, and policy implementation and evaluation. Agenda setting examines the manner in which political culture, public opinion, interests groups, governmental elite, and other variables affect issues and their presentation on societal and political agendas. Policy formulation and legitimation focuses on attitudes of legislators and chief executives, transfer of authority for regulating land use from local governments to regional and/or state institutions, and the effects of public opinion on environmental legislation. Three models of enforcing pollution control standards re-examined in policy implementation and evaluation: (1) the traditional regulatory approach embodying emission regulations, (2) effluent charges, and (3) the development of markets in pollution rights.

Talbot, Lee M. 1990. "Institutional Framework for the Development and Implementation of National Environmental Action Plans." Washington, DC: AFTEN, Africa, Technical Department, The World Bank. Paper prepared for the National Environmental Action Plans in Africa Workshop organized by the Government of Ireland, the Environmental Institute, University College, Dublin, and the World Bank (EDIAR and AFTEN).

**Abstract:** The purpose of this paper is to present the general principles for the institutional framework for National Environmental Action Plans (NEAPS) on the basis of the experience to date with NEAPS in Africa. Institutional arrangements provide the foundations which are essential both for the successful development of a NEAP and for its subsequent implementation. The author emphasized that as this paper presented general principles, each country is very different and requires individual analysis.

Given that environmental concerns cut across all sectors of the government, the NEAP requires the sponsorship and authority of the Head of State and/or senior level ministry officials. A policy steering group, a NEAP secretariat, task forces, and non-governmental advisory committees are discussed as necessary components of the institutional framework. Institutional arrangements and options on how these groups should be organized and operate are discussed. Finally, examples of how the issue of environmental regulatory functions within and across Ministries are given.

Talbott, Kirk. 1990. "Public Participation in African Environmental Action Plans." Washington, DC: Center for International Development and Environment, World Resources Institute. Paper prepared for the National Environmental Action Plans in Africa Workshop organized by the Government of Ireland, the Environmental Institute, University College, Dublin, and the World Bank (EDIAR and AFTEN).

**Abstract:** Many action plans and other developmental activities pay lip service to the notion of public or local participation, but very few have much substance to show. National Environmental Action Plans (NEAPs) have encountered difficulties but are beginning to show potentially viable results. The assumption is that only through active and continuous participation of the thousands of communities of resources users in both the planning and implementation of a NEAP, can a NEAP achieve its desired results.

Local peoples in the context of African NEAPs include everyone who uses the natural resources, particularly the women, men and children in rural areas who manage those resources on a daily basis. They are often isolated from policy-makers in distant national capitals and most often those effected by the decline in the natural resources base. The NEAP model have been designed with strong collaboration in mind, and policy reform for increased public input, training, and media involvement should be encouraged. Five illustrative case studies are provided on Uganda, Guinea, Ghana, Madagascar and Rwanda.

The author concludes by (1) outlining what participation is in the African and NEAP context; and (2) how, when and where a NEAP can achieve public participation.

Thomson, James T., Alfred Waldstein, Sheldon Gellar, and Jerry Miner. 1989. "Options for Promoting User-Based Governance of Sahelian Renewable Natural Resources." Burlington, VT: Associates in Rural Development. Paper prepared under U.S. Agency for International Development, Decentralization: Finance and Management Project, January.

**Abstract:** Management of Sahelian renewable resources (RNR) under current conditions is often inadequate. Pressures on the resource base generated by growing human and livestock populations have sharply reduced RNR available in the Sahel. Repeated severe droughts over the past two decades have compounded the impact of these pressures on RNR, further degrading the region's resource base. Better renewable natural resource management (RNRM) is imperative. The paper assumes that erosion of RNR in most of the Sahel is serious and conditions will only worsen unless ways are found to encourage greater and more aggressive producer participation in RNRM.

The paper analyzes two fundamental constraints which make it difficult for Sahelian rural producers to manage their RNR effectively. These constraints are government restrictions on legal capacity at local levels to manage RNR, and exaggerated centralization of public finance power, which prevents most local jurisdictions from levying taxes within their boundaries on their own initiative to finance or support RNRM actions. The analysis makes no systematic attempt to deal with the risk and uncertainty issues involved in estimating the costs and benefits of governing RNR under Sahelian conditions. Neither does it attempt to deal directly with the risk issues involved in participating in collective action. Issues here include the extent to which others in a collective undertaking can be relied upon to do their part to protect and maintain governed resources, and the potential costs people may be forced to support.

The paper begins with a brief overview of the problems of RNRM in the Sahel. It then moves directly to presentation of a series of case studies of donor-financed or local RNRM initiatives. Material in the cases is organized according to a public choice analytical framework. The paper concludes with a section on policy implications and strategies to enhance popular control over, and participation in, RNRM in the Sahel.

Turnham, D. 1991. "Multilateral Development Banks and Environmental Management." Public Administration and Development. Vol.11, No.4, pp.363-380.

**Abstract:** This article aims to review the increased attention and initiative which the multilateral development banks (MDBs) - more specifically the World Bank and Asian Development Bank (ADB) - have taken in recent years with respect to environmental concerns. Although the MDBs made some responses to environmental concerns during the 1970s and 80s, until the late 1980s the resources devoted to this area were rather limited, and the banks came under increasing criticism for their lack of more substantial commitment. Since 1988 fundamental staffing and structural changes have brought environmental considerations, both into the evaluation of all project proposals and also as an approach to planning in its own right.

There is still much uncertainty regardsing the appropriateness of various techniques available to improve environmental management in developing countries. The article reviews the potential use of economic instruments, 'command and control' regulatory approaches, and the importance of macroeconomic policy as determinant of the success of environmental programs. Developing countries governments are increasingly prioritizing the environment, and bank efforts are currently focusing heavily on programs that address poverty and the environment simultaneously. But it will be necessary to carry out adequate research, monitoring and evaluation of current programs if these are to progress satisfactorily.

United States Agency for International Development, Bureau for Latin America and the Caribbean. 1988. "Environmental and Natural Resource Management in Central America: A Strategy for A.I.D. Assistance." Prepared for the LAC Bureau by the Regional Office for Central America and Panama (ROCAP).

**Abstract:** The strategy statement for AID assistance in Central America is designed: to refine and give substance to previous recommendations and studies; to attempt to establish boundaries and a rationale for AID's Central American efforts; and to act as a framework for the design justification and implementation of the future programs by AID in Central American natural resources management over a ten year period. The priority areas identified for the study are: sustainable agriculture; production from natural forest; management of wildlands and protection of biodiversity; management of critical watersheds; and policy formation, institutional strengthening and environmental education.

Within the policy formation section, the strategy states that natural resources policies often conflict with policies that stimulate economic growth. When examining potential change for policy, one should consider: (1) the appropriateness of individual policies and implementation effectiveness; (2) the cross conflict (or reinforcement) between policies; (3) the trade-offs of near-term benefits and long-term protection of the resource base; (4) the effectiveness of the regulatory process; and (5) "common property resources" and their potential exploitation.

Public sector institutions, strained to accomplish the intensive and complex tasks of the natural resources agenda, will need substantive changes. Steps suggested within the strategy are as follows:

1. Clarification of mandates - examination of the conflicts of multiple implementing agencies and the assignment of a lead agency is required.
2. Limit the scope of operations - adding aggressive natural resource management responsibilities will further reduce the effectiveness of overburdened public agencies. New partnerships with private organizations are suggested for increased effectiveness.
3. Financial flexibility is a key to responding to multi-faceted, ever-changing natural resource problems.
4. Provincial and community governments must be problem solve with the national government in that the impact of environmental degradation is first felt at the community level.

Warford, Jeremy J. 1987. "Natural Resources and Economic Policy in Developing Countries." The Annals of Regional Science, Vol. 21, No. 3, pp. 3-18.

**Abstract:** This paper argues for the need to design broad economic policy instruments to reverse the trend in many developing countries toward increasing degradation and destruction of natural resources. The natural resource base, often critical for economic development, is in many cases threatened by a rapid population growth, the effect of which is compounded by inadequately controlled land and water use.

Policy interventions that have a pervasive effect must be established to influence the environmentally-related behavior of countless, relatively small-scale, resource-using activities which take place throughout a nation's economy. Natural resource management should thus become a standard element of macro-economic and sector analysis, and the physical linkages between sectors must be critically examined.

Governments must overcome major institutional and political obstacles. New approaches, providing incentives and rewards to policy-makers, must be developed to increase interagency cooperation while avoiding overlapping jurisdictions and to prevent vested interests from paralyzing new initiatives.

**VI. FINANCIAL MANAGEMENT, TAXATION**

## VI. FINANCIAL MANAGEMENT, TAXATION

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- Bird, Richard M. 1990. "Intergovernmental Finance and Local Taxation in Developing Countries: Some Basic Considerations for Reformers." Public Administration and Development. Vol.10, No.3, pp.277-288.
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- Skok, James E. 1991. "Strategic Budgeting: Reviewing the Literature of an Emerging Theory." International Journal of Public Administration. Vol.14, No.5, pp.923-954.

Bird, Richard M. 1990. "Intergovernmental Finance and Local Taxation in Developing Countries: Some Basic Considerations for Reformers." Public Administration and Development. Vol.10, No.3, pp.277-288.

**Abstract:** Decentralization is an increasingly fashionable theme in the developing literature. This paper attempts to distil from experience in a number of countries some basic considerations that should be taken into account by would-be decentralizers with respect to intergovernmental fiscal relations and local taxation. After a brief review of the nature of the problem and the economic case for decentralization, four basic principles of reform - transparency, stability, flexibility, and incrementalism - are put forward as useful guidelines to the restructuring of governmental finances and functions that seem needed in many developing countries. Specific case examples in this paper are given from India, Brazil, Papua New Guinea, Argentina, Nigeria, Malaysia, Pakistan and Colombia.

Peterson, Stephen B. 1991. "Analysis and Management of Recurrent Costs: Lessons from Kenya." Washington, DC: American Society for Public Administration. Paper presented at the 52nd National Conference, March 23-27.

**Abstract:** This paper examines four issues. First, the level, composition, and stability of funding of recurrent costs in the Kenyan agriculture and livestock sectors. Second, policy prescriptions for redressing the situation. Third, the role of financial management and the specific financial analysis needed to promote appropriate and stable recurrent cost funding. And fourth, the methodological issues of recurrent cost analysis. In the area of policy reform, the paper recommends recurrent cost project financing along with a rethinking of the scheduling of project implementation. The paper concludes with a discussion of the technical and bureaucratic constraints to financial reform needed to improve recurrent cost financing.

Skok, James E. 1991. "Strategic Budgeting: Reviewing the Literature of an Emerging Theory." International Journal of Public Administration. Vol.14, No.5, pp.923-954.

**Abstract:** Among all the public management functions, the budget process comes closest to the scenarios pictured in the literature of strategic management and game theory. Unfortunately there has been very little written on the strategic aspects of public budgeting. Generally, writers on strategic management view budgeting as a secondary-level operation functioning as a means of implementing the strategic goals of the organization. Much of the public budgeting literature, however, suggests that budgeting serves a broader function, often helping to determine agency objectives as well as serving to implement objectives defined at top (usually political) levels. In this article the writer argues that strategic management of public agencies must be defined differently from the definition used for that process in private firms. The literature of strategic management and budgeting is reviewed in an effort to clarify the relationship between these two public management functions.

## VII. HEALTH AND EDUCATION

## VII. HEALTH and EDUCATION

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Knight, John. 1989. "Educational Policy Issues in a Period of Stabilization and Structural Adjustment." Journal of Development Planning. Vol.19, pp.59-72.

**Abstract:** There is a danger that investments in human resources, such as expenditure on education, will suffer in a period of macro-economic stabilization and fiscal retrenchment. Nevertheless, the high estimated social rates of return to investments in both the quantity and the quality of education suggest that education can be important in achieving structural adjustment and long-run economic growth. A possible way out of what appears in many countries to be an impasse is the more extensive levying of user charges at post-primary levels. Because the current system of subsidizing education appears to be regressive in many cases, higher user charges, if accompanied by appropriate scholarship schemes, would not necessarily be inequitable and might indeed reduce income inequality. Case examples of this study were drawn primarily from Kenya and Tanzania.

Milio, Nancy. 1981. "Promoting Health through Structural Change: Analysis of the Origins and Implementation of Norway's Farm-Food-Nutrition Policy." Journal of Social Science and Medicine. Vol.15A, No.5, pp.721-734.

**ABSTRACT:** A comprehensive farm-food-nutrition policy was implemented in Norway in 1975/76. Presented is an analysis of its development and of the results of its first years in effect, based on interviews in 1980 with Norwegian officials in agriculture, economics, nutrition, and health (sample not given). Some of its primary goals were to reduce fat consumption and promote a healthier diet, encourage domestic food production and agricultural development of rural regions, pursue a preventive health strategy (eg, by discouraging smoking), and make contributions to world food programs. In its first years in effect, the policy has produced some desired results, including an increased development of arable land, some gains in dietary objectives (although beef and sugar consumption have increased), and increases in crop yields and dairy production. The political and economic conditions that favored policy development, including uncertainties about foreign food sources and increased wealth from oil production, are assessed, and implications for United States policy considered.

Paul-Shaheen, P.A. 1990. "Overlooked Connections: Policy Development and Implementation in State-Local Relations." Journal of Health Politics, Policy and Law. Vol.15, No.4, pp.833-856.

**Abstract:** Increased public demand for health services has led to the need for programs that will operate efficiently and effectively to achieve their objectives. Establishing such programs requires an understanding of the factors that contribute to their development and implementation. This, in turn, requires a greater understanding of the policy formulation and policy implementation processes. A case study of Michigan's State-Local Cost Sharing Program is used to explore how policy formulation links to and influences implementation. The study considers the interaction between the administrative and political processes and how they are affected by shifting power relations, constituencies, and the environment, and how they affect program leadership and operating policies. A model is developed as a framework for monitoring the course of the program through the policy cycle. It recommends that the policy process be considered dynamic, interactive, and evolutionary.

VIII. INDUSTRIALIZATION, TRADE,  
EXPORT PROMOTION

## VIII. INDUSTRIALIZATION, TRADE,

### EXPORT PROMOTION

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Balassa, Bela. 1990. "Incentive Policies and Export Performance in sub-Saharan Africa." World Development. Vol.18, No.3, pp.383-391.

**Abstract:** The paper presents the results of an econometric investigation which shows that exports in general, and agricultural exports in particular, are responsive to price incentives in sub-Saharan Africa. It is further shown that, within sub-Saharan Africa, market-oriented countries generally gained, and interventionist countries lost, export market shares. The author uses the specific examples of Kenya and Ivory Coast to exemplify market-oriented economies, and Tanzania and Ghana to exemplify interventionist economies, in sub-Saharan Africa. The differences in export performance are even greater if comparisons are made between private market economies and estatist countries in a three-fold classification scheme that puts some countries in an intermediate category.

Bautista, Romeo M. 1990. "Price and Trade Policies for Agricultural Development." World Economy. Vol.13, No.1, pp.89-109.

**Abstract:** The role of price and trade policies in promoting agricultural development is important because these policies determine in substantial part the economic incentives necessary to encourage greater efficiency of resource use. Until recently, it has been conventional to examine the direct price effects of economic policies on the agricultural sector. Recent research has demonstrated the importance of the foreign trade and payments regime in influencing agricultural production incentives in less developed countries (LDC) both in terms of its direct effect on the domestic price structure and through the induced effect on the real exchange rate. The evolution of LDC development strategies is reviewed. Illustrative findings from existing studies show how production incentives have been affected by the domestic policy climate. The empirical evidence indicates that price and trade policies adopted in many developing countries have discriminated against agriculture.

Bhaduri, Amit. 1989. "Employment and Livelihood: The Rural Labour Process and the Formulation of Development Policy." International Labour Review. Vol.128, No.6, pp.685-700.

**Abstract:** The industrialization drive of the 1960s in developing countries failed to absorb either the urban unemployed or the new wave of rural-urban migrants it triggered. An effective industrialization strategy, therefore, must include measures to improve the lot of rural workers and encourage them to remain in the countryside. Otherwise, peasants unable to migrate will continue to become involved in forced commerce - exchange relations that trap them in poverty. A combination of measures is suggested to increase the flexibility of real urban industrial wages and to create income-generating opportunities for the rural poor. For example, if the real wage in terms of the agricultural produce can be reduced, then the same level of investment can be financed with a lower level of surplus. This can create a larger volume of employment with the same real wage bill, without extracting higher levels of agricultural surplus. Redistribution of land and of other productive assets, such as animals that give milk, and higher productivity on smaller landholdings would increase income and strengthen the survival strategies of the poorer peasantry.

Bienen, Henry. 1990. "The Politics of Trade Liberalization in Africa." Economic Development and Cultural Change. Vol.38, pp.713-32.

**Abstract:** The World Bank and many of the bilateral donors have urged a wide range of policy reforms on African countries, including correcting overvalued exchange rates, reforming the public sector, and trade liberalization. This article explores the prospect that external trade liberalization reforms will be undertaken and sustained. Many African countries have undertaken stabilization policies, including devaluation of their currencies. Some have embarked on fundamental public-sector reform programs: few have liberalized their trade extensively. This suggests after the fact that the political constraints may be greater for changing trade policies than for devaluation currencies may be greater for changing trade policies than for devaluating currencies or for restricting credit.

Issues raised on trade liberalization and reform include the following:

1. Trade liberalization policies in Africa often confront governments with hard decisions because opposition to them resides within the governments' civil and military bureaucracies. The most politically powerful pressures for import substitution policies and/or overvalued exchange rates come from the civil service - their demands are couched in the name of nationalism and the need to be modern and industrial.
2. The prospects for implementing and sustaining trade liberalization policies requires a political map of gainers and losers from various policies. An important consideration here is the category of analysis used (rural vs. urban, agriculture vs. manufacturing vs. mining, and so on).
3. Timing and sequencing of reforms are important - should they be undertaken all at once or incrementally? Should they be sweeping or modest? Considerations include how well the markets operate, how good information is, and what resources can be gathered from external sources to smooth transitions to new policies.

Esfahani, Hadi Salehi. 1991. "Exports, Imports, and Economic Growth in Semi-Industrialized Countries." Journal of Development Economics. Vol.35, pp.93-116.

**Abstract:** Export-promotion policies as a superior development strategy for semi-industrialized countries (SICs) have found support in the statistically significant correlations established between export and output growth. This positive export-GDP association is often attributed to the possible externalities of competition in world markets - e.g., efficiency of resource allocation, economies of scale, and various labor training and 'demonstration' effects. In this paper, the correlation mainly is due to the contribution of exports to the reduction of import 'shortages', which restrict the growth of output in many SICs. In this sense, export promotion is particularly important for countries that cannot obtain sufficient foreign aid or capital. A second contribution of this paper is the development of a simultaneous equations model to deal with the simultaneity problem between GDP and export growth rates.

Schaffer, Matt. 1990. "Countertrade as an Export Strategy." Journal of Business Strategy. pp.33-39.

**Abstract:** Many developing countries have limited funds, but firms which want to encourage trade with these countries may achieve benefits by using countertrade. The various countertrade vehicles which are available include counterpurchase, barter, coproduction, offsets, and compensation.

Three case studies of firms which have used countertrade as a corporate strategy are presented, including:

1. Ericsson in Uruguay - the sale of a \$90M telephone switching system was accomplished through (a) a commitment to export \$90 m worth of Uruguayan products; and (b) attractive export credit financing;
2. Westinghouse in Jordan - the sale of a \$100M air defense radar system was accomplished through a Mitsubishi trading company agreement to sell phosphate. Jordan was prepares to offer as payment;
3. U-Ren in Madagascar - the completion of a \$60M fertilizer plant was accomplished through the sale of cloves for hard currency.

**IX. MANAGEMENT ASPECTS OF POLICY**

## IX. MANAGEMENT ASPECTS OF POLICY

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Bery, Suman K. 1990. "Economic Policy Reform in Developing Countries: The Role and Management of Political Factors." World Development. Vol. 18, No. 8, pp. 1123-31.

**Abstract:** Increased recognition of the role of sound economic policies in economic development has stimulated interest in the political and administrative factors that determine policy responses of different developing countries. This article provides a critical introduction to three papers in this special issue of World Development, all of which deal with political and administrative dimensions of economic policy reform. Certain common themes are isolated and addressed; these include the role of political analysis and explanation, the concept of "political will" to undertake reforms, and the importance of the implementation phase in the reform process.

Blunt, Peter. 1990. "Strategies for Enhancing Organizational Effectiveness in the Third World." Public Administration and Development. Vol.10, pp.299-313.

**Abstract:** While problems of organizational dysfunction in the public domain are a global phenomenon, the consequences of such dysfunction are generally greater in the third world. Possible discipline-based (human resource management) explanations for the chronicity of these problems and a number of strategies for overcoming them are advanced. These strategies are described in terms of a number of imperatives and variables of effective organization. Structural imperatives include: clearly identified and agreed missions, goals, strategies, and main functions; accountability linked to sufficient power and control; clearly specified roles; particular notions of individual effectiveness and performance appraisal tied to rewards; and effective transformational leadership. The implicit model extends contingency theory by taking account of the evidence pointing to the cross-cultural convergence of certain organizational characteristics, but retains the central notion of adaption and hence the possibility of adaptive and non-adaptive culturally and/or ideologically based variation in organizational behavior. The model is built around a central core of value imperatives. Implications for human resource management (HRM) interventions - e.g. management training - include a possible shift away from a primary focus on skill and knowledge transmission, toward value and attitude change.

Cigler, Beverly A. 1990. "Organizational Position and Program Implementation." International Journal of Public Administration. Vol.13, No.6, pp.859-892.

**Abstract:** While examples of policy implementation success suggest that organizational characteristics are important, policy researchers generally neglect the explicit study of such characteristics. Survey data from a North Carolina study of program implementation in one policy area - local energy programs - are used to examine the effects of 2 organizational factors on the implementation process. The factors are: 1. the impact of capacity-builder's advice, and 2. the influence of the regular organizational position of implementor. A rudimentary methodology for studying program implementation is developed that assesses organizational change by measuring differences among policies based on the dimensions of change embodied in a policy. The findings show the usefulness of greater linkages of research across the organizational change and program implementation literatures.

Coates, Jonathan. 1990. "Management Training in Developing Countries." Industrial and Commercial Training. Vol.22, No.4, pp.4-9.

**Abstract:** The mobilization of local savings is the most important element in the buildup of effective local economies in developing countries. A program was initiated in Tanzania in early 1982 to train personnel from savings banks in the particular skills that make instructing and training as effective as possible. A UK management training company, Jonathan Coates & Associates, ran the same program for other groups in other countries as well. Simple as they were, these courses were very effective. In the next few years, developing countries will be exposed to problems relating to competition, consumers, computerization, and other issues. These issues provoke training and development needs that are not merely technical. A change in attitude will be required that, in turn, will need to be supported throughout the entire organization. There is much to be gained from help, guidance, and teaching from other nations that have gone through similar experiences and that can pass on their wisdom to developing countries.

Coleman, G. 1990. "Problems in Project-Level Monitoring and Evaluation: Evidence from One Major Agency." Journal of Agricultural Economics. Vol.41, No.2, pp.149-161.

**ABSTRACT:** Project-level monitoring and evaluation (M & E) systems have been in place since the 1960s but their effectiveness has often been questioned. This paper reviews the experience of M & E systems in a large number of projects world-wide which have been supported by one international funding agency over the last ten years. What emerges from the review is the extent to which problems have been recognized by the agency and remedial measures taken, particularly in the areas of methodology, organizational arrangements and training. Problems still exist, but there is evidence that many M & E systems do provide a valuable - and valued - service to project management.

de Lusigan, Guy. 1990. "Bridging the 'Management Skills Gap.'" Finance and Development. Vol.27, No.1, pp.40-42.

**Abstract:** Developing nations must achieve a much greater degree of skill in responding to internal and external shocks. After spending large sums of money for years on technical expertise, many developing countries still lack able administrators and managers. The Economic Development Institute (EDI) has provided mid-career training for senior development officials of countries that borrow from the World Bank. In recent years, it has tried to strengthen macroeconomic and sectoral management capacities. Based on EDI's efforts, 4 key lessons on approaches to mid-career training can be drawn: 1. It is highly desirable that skills be imparted as part of the overall secondary and university education. 2. Ways and means must be identified through training to better implement necessary reforms in the civil service and the organization of the government. 3. Multilateral institutions should provide opportunities for countries struggling with complex problems to share their experiences. 4. Training must be directed at middle level government officials.

Din, Addnan. 1989. "The Need for Integrated Second Generation Planning and Policy Implementation in FELDA Land Development and Settlement Programme." Environmental Science. Vol.12, No.2, pp.45-64.

**Abstract:** As the land development and settlement program provides a wider base for occupational mobility - a base which is a marked contrast to what the farmer had in his home village - it is expected that every farmer will be more economically well-off than before. The benefits of land development and settlement will inevitably trickle down to the second generation. At the same time there are many related issues, including education, training, land ownership, resettlement, employment and migration. An integrated and well-planned program, therefore, is needed to ensure continuous social and economic stability in the new settlement. The attributes of children were analyzed to determine priorities for integrated second generation planning and policy implementation.

Drabek, Zdenek. 1990. "Planning and the Search for the Right Incentives in LDCs." Journal of Comparative Economics. Vol.14, No.4, pp.575-582.

**Abstract:** This paper examines why planning has declined in some LDCs and the role of the function of markets and incentives in that decline. After discussing some of the features of traditional planning, the author argues that an important policy implication is the role for indicative planning. Three reasons for this are cited: (1) the need to stipulate the macroeconomic framework and its impact for economic policy; (2) the need for governments to manage an efficient public investment program; and (3) the requirement of planning the project selection process systematically.

The author submits the following conclusions:

1. While planning has clearly played a role in all LDCs, it cannot be necessarily identified as the cause of poor economic performance. The important condition seems to be the extent to which planning is an impediment to growth.
2. Important is the nature of distortions and their intensity rather than the presence of distortions. The prevalence of compulsory plan targets has resulted in much more severe distortions in incentives in centrally planned economies than in countries that distort market incentives through tax-cum-subsidy-cum-tariff measures.

Gage, Robert W. and Myrta P. Mandell, eds. 1990. Strategies for Managing Intergovernmental Policies and Networks. New York: Praeger Publishers.

**Abstract:** This book explores the management of intergovernmental relations policies and networks. Its contributors outline the strategies and managerial skills needed to build and maintain intergovernmental networks essential to the implementation of complex public policies and related programs. From a theoretical vantage point, the book introduces several innovative concepts and models that enhance understanding of strategic behavior and management in interagency settings.

Four major themes run through the book: a shift in emphasis from intergovernmental relations to intergovernmental management; the view of networks as a separate and distinct level of analysis requiring revised terminology, concepts, and approaches; a revised view of strategic management for use in the public sector that moves away from a "rational-logical" approach; and an emphasis on the individual and the importance of behavioral processes. Included here are the ideas of the importance of leadership as a facilitator, and the role of the leader's strategic vision.

Gulhati, Ravi. 1990. "Who Makes Economic Policy in Africa and How?" World Development. Vol. 18, No. 8, pp. 1147-61.

**Abstract:** To understand the considerable deterioration in the economic policies of many African countries during the 1970s, it is essential to go beyond the economist's analytical models. The pressing drive of authoritarian rulers to survive adds an important dimension to economic policy choices. Although constrained to varying degrees by ethnic, regional and class loyalties among populations they govern, African rulers enjoy a measure of autonomy in making policy. They did not react speedily to the growing economic crisis during the early 1980s, however. Most reforms were undertaken under pressure and many policy efforts failed. Some countries managed to sustain reforms, but the important question is how to go beyond these idiosyncratic cases.

Hermann, Chris. 1985. Implementing Policy and Institutional Change via Performance Disbursement. Washington, DC: Center for Development Information and Policy Coordination, AID Evaluation Occasional Paper. No.1.

**Abstract:** Performance disbursement designs have been used on a limited basis by AID in the Philippines, Bangladesh, and Niger to implement policy reform and related institutional changes. Performance disbursements operate on the basis of conditionality. Funding is divided into a series of tranches which are disbursed on the basis of satisfactory progress in implementing policy and institutional reforms. Policy and institutional changes are similarly divided into a sequence of revisions. Benchmarks are established to track progress toward achieving ultimate policy objectives. Periodic joint assessments involving AID and host country determine whether the conditions of the performance disbursement agreement have been met or whether progress has been satisfactory under unpredicted conditions to warrant the release of the next tranche. This paper explains the basic concept of the Performance Disbursement Model, identifies conditions which warrant the use of performance disbursement, and provides a defense of the approach as a legitimate mode of development assistance.

Honadle, George and Lauren Cooper. 1989. "Beyond Coordination and Control: An Interorganizational Approach to Structural Adjustment, Service Delivery, and Natural Resource Management." World Development, Vol.17, No.10, pp.1531-1541.

**Abstract:** A common assumption in the post integrated rural development era of development programs is that single implementing agencies can control the actors and resources needed to achieve significant progress. But recent experience with structural adjustment, service delivery, and natural resource management all suggest that many development problems must be attacked at an interorganizational level. This requires abandoning counterproductive approaches to management control and coordination and analyzing ways to bring various stakeholders into the program process. The authors present a field-tested method for doing this while facilitating sustained institutional development through the strengthening of local interorganizational networks.

Illy, Hans F. 1986. "Regulation and Evasion: Street-Vendors in Manila." Policy Sciences. Vol.19, No.1, pp.61-81.

**Abstract:** There are various reasons why the gap between policy formulation and policy implementation is especially large in developing countries: ambiguous policy goals, decision making without considering the needs of those affected, low degree of compliance and administrative capacity of implementing agencies, etc. Interest aggregation generally occurs at the enforcement stage only. This means that laws and regulations can be sapped and distorted along the lines of the power constellations of the actors involved. A case study is presented that deals with the regulatory aspects of street-vending in the particular cultural environment of Manila, Philippines, under the Marcos regime. Data are drawn from official statistics and various studies. It is demonstrated that regulations are inspired by Western images of modernization, largely removed from the harsh socioeconomic realities of the sector. Moreover, compliance is minimized by cultural values (conflict avoidance, respect of power structures) governing the behavior of lower level administrative agents and hawkers alike. The overall result is that regulations are purely symbolic and ineffective, nevertheless maintaining a climate of harassment and extortion. A more positive approach toward street-vendors is advocated, combining minimal regulation with measures of encouragement and public assistance.

Jones, Merrick L. 1990. "Efficiency and Effectiveness in an African Public Administration Context." International Journal of Public Sector Management. Vol.3, No.1, pp.58-64.

**Abstract:** While it is impossible to measure with any degree of certainty the efficiency and effectiveness of a national public administration system, there is evidence - empirical and impressionistic - to suggest that in many African countries the situation gives serious cause for concern. It is argued that African administrators face problems of a type and a degree of seriousness not experienced by their counterparts in the wealthy developed nations. These factors should be taken into consideration when judgments about organizational performance are made.

Specific examples given by the author are the following:

1. African administrators have inherited bureaucratic forms which were designed to maintain law and order, and are extraordinarily resistant to change.
2. There is increased responsibility for public sector administration to be the "engine of development" because of the weakness of the private sector.
3. Some countries have experimented with different political and administrative systems, adversely affecting organizational performance.
4. There is a critical shortage of administrative and management skills and experience, and of education systems capable of producing sufficient individuals with appropriate education and training.
5. Pay levels in the public sector are considerably inferior to those in the private sector, with predictable consequences.
6. Paper qualifications are often valued at the expense of experience and proven ability, again with predictable results.

Lee, James B. and Richard L. Schwaller. 1990. "Management Education and Development in Developing Countries: The Case of Technical Managers in Indonesia." Journal of Management Development. Vol.9, No.5, pp.65-72.

**Abstract:** In this article, many of the problems associated with the transfer of management techniques to developing countries are presented and discussed in the context of management education and development efforts in Indonesia. A pilot study designed to assess management needs indicates that: (1) the number of technical managers is inadequate, and present managers require additional training; (2) management skills learned in foreign countries are seen as applicable in Indonesia (with adaption); and (3) Indonesian technical managers working in Indonesia for subsidiaries or affiliates of foreign businesses are seen as having less opportunities for advancement and participation in policy decision than foreign managers in the firm. Recommendations are cited to improve management education and development.

The authors conclude that: (1) management education is addressing short-term needs rather than needs for future economic and technological growth; (2) educational institutions should undertake efforts to incorporate management into their curriculum; (3) financial assistance needs to be enhanced from a range of public and private sources; and (4) companies of Indonesian language and culture, government systems and regulations, and "business practices".

Linder, Stephen H. 1982. "Decision Rules and Regulatory Reform."  
Journal of Public Policy. Vol.2, No.4, pp.379-394.

**Abstract:** The regulation of risks to health and the environment in the United States is currently undergoing serious criticism for its impact on the recession economy. Attempts to diminish health risks by placing stringent limitations on potentially harmful substances are thought to be excessively expensive and ineffective. To remedy this problem, basic reforms in the way these regulations are fashioned have been proposed. Perhaps the best known is cost-benefit analysis. Nevertheless, there are a number of areas where agencies purposely avoid making tradeoffs between costs and benefits and instead assign priorities among levels and types of benefits. However, despite a considerable literature examining the merits of making tradeoffs in regulatory decisions, little attention has been given to the disparate premises of the tradeoff and no tradeoff rules, and how the choice of decision rules determines the role of cost considerations in agency decision making. These issues are examined, and an analytical framework for restructuring the choice between rules is developed. Instead of abolishing the no-tradeoff rules, the proposed framework can be used to generate a compromise rule that permits partial tradeoffs under certain well-defined circumstances.

Logan, Bernard I. 1990. "An Assessment of the Potential Application of the Transfer of Knowledge Through Expatriate Nationals (TOKTEN) Programme in sub-Saharan Africa." Applied Geography. Vol.10, pp.223-236.

**Abstract:** The Transfer of Knowledge Through Expatriate Nationals (TOKTEN) program provides an opportunity for third world professionals currently working in developed country economies to volunteer their services and expertise toward an economic development project in the less developed world. According to its organizers, the success of the program in Southern Europe, Asia and the Caribbean hinges primarily on the 'home country' rule by which professionals are assigned only to their countries of origin. Although African countries can benefit enormously from TOKTEN, very few of them have actually enrolled in the program. TOKTEN's implementation strategy is assessed in this paper with a view to determining a framework for ensuring its more effective application in sub-Saharan Africa.

Palumbo, Dennis J. and Donald J. Calista, eds. 1990. Implementation and the Policy Process: Opening up the Black Box. New York: Greenwood Press.

**Abstract:** This book presents an overview of why implementation research has contributed to a major reconsideration of the field of public policy analysis, and it offers conceptual frameworks that employ implementation research to develop a fuller understanding of the entire policy process. The chapters are organized by questions that move from the more empirical to more methodological and theoretical concerns. The chapters in the first section deal with questions of policy design:

1. To what extent is policy success/failure a result of design rather than implementation?
2. Is the top-down bias in implementation unrealistic and conservative in its orientation?
3. Is there a solution to the top-down vs. bottom-up, and the adaptation vs. fidelity dichotomies?

The chapters in the next section deal with implementation politics and the organizational context. They address:

4. How are organizational structures related to implementation successes and failures?
5. Under what conditions should implementors be given discretion?
6. Is there a particular point that determines whether implementation will succeed or fail?

The third section of the book includes chapters that extend the observations of the other contributions, develop generalizations, and suggest various lines of future research. The questions addressed are:

7. Has the epistemological orientation of implementation research, which has been primarily positivist, led us astray in our conclusions about implementation "failure?"
8. How has implementation research improved our knowledge of public administration?
9. Is it possible to discover general "laws" of implementation, or is implementation always contextual and specific?

Rahman, Syedur and Frederick Norling. 1991. "Managerial Thinking: A Study of Public Managers from Developing Countries." Public Administration and Development. Vol.11, pp.111-125.

**Abstract:** The field of comparative public administration/management in the United States has been criticized for theoretical underdevelopment and methodological narrowness. Utilizing advances made in comparative business management and taking into consideration the assertion that an agenda based on empirical research program in comparative public administration should highlight managerial processes, the individual, and group-level behaviors, this paper focuses on examining the attitudes of public managers towards their own organizations. It analyses the responses of 110 public sector managers from 58 different countries of the world while they were in residence for professional development at 12 major universities in the United States. Examining public managers outside their working environment makes this research on public sector management to some extent unusual. For purposes of data collection a stratified sample was utilized. The principal instrument consisted of 79 items. Managers were asked to state their attitudes towards problem-solving and decision-making, leadership, job challenge, change, and organizational culture. Primarily descriptive statistics are used to analyse the data. Limited use is made of the One-Way ANOVA test. Results show that public managers from developing countries tend to view themselves somewhat differently from the traditional western perspective, especially as it relates to organizational innovativeness and job challenge. Public managers also confirm the earlier held western perspective that personnel in the public sector are more concerned with their personal welfare rather than organizational welfare and that their leadership is more directive. While one has to be careful interpreting the data, the emerging profile of public managers should influence future policy makers in both developing and developed nations of the world.

Rondinelli, Dennis A. and John D. Montgomery. 1990. "Managing Economic Reform: An Alternative Perspective on Structural Adjustment Policies." Policy Sciences. Vol.23, pp.73-93.

**Abstract:** The structural adjustment policies of international development organizations have been undermined in many developing countries by weaknesses in administrative capacity to manage economic reforms. If economic reform policies are to be implemented more effectively in the future, international organizations must take a broader view of the development process and assess more carefully the administrative and political capacity of the state to guide the decisions of public and private organizations toward development goals in four policy arenas: economic growth, social equity, international transactions, and public sector management. The experience of developing countries that were more successful at economic and social development during the 1970s and early 1980s indicates the characteristics of development administration that policy analysts must assess in order to determine governments' capacity to implement economic reform policies successfully. Success appears to be related to the following:

1. None of the countries have continuously pursued any one sectoral approach. However, in all of them the state, at least initially, took a strong role in guiding public and private activities in three or four of the major policy arenas.
2. Strong political leadership and long periods of political stability allowed leaders to create structures through which purposive development goals could be established and pursued.
3. Political leaders were flexible, pragmatic, and responsive to changing economic conditions and were able to mobilize resources to change priorities and directions when needed.
4. As a result of strong leadership by individuals or political parties, countries were able to create strong public and/or private institutions to carry out development policies.
5. Governments formulated and implemented policies in all four arenas, though not in any standard sequence.

Rondinelli, Dennis A., John Middleton and Adriaan M. Verspoor.  
"Contingency Planning for Innovative Projects." Journal of the  
American Planning Association. Vol.55, No.1, pp.45-56.

**Abstract:** The projects for educational reform and human resources development sponsored by international assistance organizations and governments in less developed countries have become more complex and innovative in recent years than they were in the past, and officials must implement them in uncertain and often unstable environments. Although planners give much attention to assessing the financial, economic, and technical aspects of those projects in the planning and design stages, they pay little attention to assessing the ability of public and private organizations in developing countries to manage reforms and implement innovations. Planners must be able to assess the appropriateness of management strategies in terms of the level of innovation the project requires, degree of uncertainty in the environment, and the cultural values of participants. A contingency approach to planning that analyzes management requirements of projects and management capacity of implementing agencies can reduce the gaps that lead to problems of implementation.

Thomas, John W. and Merilee S. Grindle. 1990. "After the Decision: Implementing Policy Reforms in Developing Countries." World Development. Vol. 18, No. 8, pp. 1163-81.

**Abstract:** Implicit in many reform proposals is a model of the policy process that is roughly linear; a proposed reform gets on the agenda for government action, a decision is made on the proposal, and the new policy or institutional arrangement is implemented, either successfully or unsuccessfully. This article presents an alternative, interactive model of implementation that focuses on the conflict and reactions that are evoked by efforts to bring about changed policy or institutional contexts for development, and the resources that policy makers and managers are likely to require to sustain a reform in the face of such reactions. Central to the analysis is the assertion that characteristics of the reform being implemented will largely determine the kind of conflict it engenders, where such reaction is likely to become manifest, and what resources are needed for sustainability. The analysis suggests a framework for the strategic management of reform initiatives.

Vengroff, Richard, Mohamed Belhaj, and Momar Ndiaye. 1991. "The Nature of Managerial Work in the Public Sector: An African Perspective." Public Administration and Development. Vol.11, pp.95-110.

**Abstract:** It has been asserted too often that the development of non-western countries - those of Africa, in particular - is highly dependant upon their assimilation of western management techniques. Yet, the applicability of western management techniques to a non-western cultural milieu remains the subject of debate in the public administration and management literature. Much of the management development literature since the mid 70s has dealt with the replicability of Mintzberg's partition of the nature and contents of the manager's activities in diverse western work settings, in the US primarily. Few attempts have been undertaken to test Mintzberg's findings in non-western settings. In this article, the authors attempt to partially fill this gap in the literature. More specifically, the authors investigate the degrees to which the management roles identified in the US can be applied generically to the public sector in the African context. The findings indicate that perceptions of management roles at the macro level are highly consistent across cultural boundaries. Significant differences, derived primarily from the historic experience of colonial administration and the contingent micro level impact are also noted. The implications of these findings for the design and implementation of management training programs in Africa are explored.

Whitehead, Laurence. 1990. "Political Explanations of Macroeconomic Management: A Survey." World Development. Vol.18, No.8, pp.1133-1146.

**Abstract:** This paper surveys eight overlapping types of political explanation for patterns of macroeconomic management in the third world: (1) historical traditions; (2) socio-structural determinants; (3) the self-interest of politically powerful sectors; (4) entrenched characteristics of the political system; (5) formal properties of the political institutions; (6) the influence of economic ideologies; (7) vicious/virtuous circles; and (8) a residual category of conjunctural factors. It then considers the scope and limitations of such explanations, and reassesses the notion of "political constraint" on economic optimization.

## **X. PRIVATIZATION**

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Bienen, Henry and John Waterbury. 1989. "The Political Economy of Privatization in Developing Countries." World Development. Vol.17, No.5, pp.617-632.

**Abstract:** Privatization - ie, the sale or leasing of assets which the state has a majority interest and contracting out of publicly provided services - in less developed countries (LDCs) is described as a response to the need for fiscal austerity. The austerity and equity costs of privatization are relatively small compared to those of broader structural adjustment processes in which it is commonly situated; however, the payoffs from privatization are also relatively small, and it entails high opportunity costs in time and management. In addition, privatization is likely to be entangled in regional and ethnic conflicts. It is argued that privatization is not a linear or ineluctable process, and that privatization may be implemented in the absence of a commitment to market forces, as the state seeks to redefine the instruments and scope of its interventionism.

Fitch, Lyle C. 1988. "The Rocky Road to Privatization." American Journal of Economics and Sociology. Vol.47, No.1, pp.1-14.

**Abstract:** After classifying privatization in the United States into three subtypes, attention is focused on the one predominantly used—contracting out the production and delivery of services financed by public funds to either private for-profit firms or nonprofit organizations. Discussions of contracting out among those from the "public choice" school of economics and public administration generally emphasize theoretical economic advantages, and suppose that the practice can eradicate political machinations. It is argued that because of the practice's intensely political environment, many of its alleged advantages are not realized. Problems can be averted by improving the quality of contract management and putting less emphasis on obtaining the lowest bid for services.

Molz, Richard. 1990. "Privatization in Developing Countries."  
Columbia Journal of World Business. pp.17-24.

**Abstract:** Dozens of developing nations have engaged in large privatization programs, the process of shifting ownership and/or control of a state-owned enterprise to the private sector, to improve productivity, increase national economic wealth and help cope with the massive international debt problem. While multinational corporations (MNC) participation has the potential for considerable upside benefits, if such involvement is not done with sensitivity and care for the host nation and its people, the downside risk of privatization can be far greater.

The author outlines contributions a MNC can make to privatization, opportunities for MNCs, pitfalls for MNCs, and opportunities and pitfalls for host countries. MNCs contribution to privatization include needed capital, specialized industry knowledge, and management skills. Favorable conditions for MNCs include expansion to new markets and potentially new products, the acquisition of (or partnership with) an established trade name, an equitable regulatory environment for a new enterprise, and a potential favorable purchase price. Economic, managerial and political pitfalls for MNCs are discussed. Finally, host countries can obtain resource inflow, an improved domestic economy, and access to new markets within its relationship to MNCs, but could also lose autonomy and create political dissent.

Nankani, Helen B. 1990. "Lessons in Privatization in Developing Countries." Finance and Development. Vol.27, No.1, pp.43-45.

**Abstract:** The record of those nations that have undertaken privatization programs during the 1980s is quite mixed, and even for the more successful ones, no clear blueprint for success emerges. Each privatization seems to have its own history and dynamics, arguing the need to adopt a case-by-case approach rather than trying to formulate a simplified model. The examples of Chile, Malaysia, and Sri Lanka are discussed, as they highlight the possibilities - and limitations - of embracing privatization as a tool in the reform of the public enterprise sector.

Lessons underlying these attempts at privatization are:

1. Tailoring a choice of instrument, which depends on the objectives of the government, the state-owned enterprise's financial condition and performance record, and the ability to mobilize private sector resources.
2. Choosing complementary macroeconomic and sectoral policies to ensure that privatization occurs in an economic environment in which competitive forces, both domestic and international, are allowed to lead to efficient production.
3. Properly weighing the costs and benefits in terms of finance, economics, politics, and culture.

Rondinelli, Dennis A. and John D. Kasarda. 1991. "Privatizing Public Services in Developing Countries: What Do We Know?" Business in the Contemporary World. Vol. 3, No. 2, Winter, pp. 102-113.

**Abstract:** This article traces the reasons why many governments in developing countries are considering privatization, examines some of the means governments are using to privatize services, and discusses the potential advantages of and obstacles to privatization. It then attempts to sort out conditions under which privatization and expanded private-sector participation in service and infrastructure provision are appropriate, and suggests ways of improving their implementation.

The following forms of privatization are identified and discussed in terms of their implications (degree of government divestment, potential public employee opposition, degree of public-private sector interaction): sale of public assets to private investors, public-private partnerships, incentives/guarantees for private-sector participation, transfer of public service delivery to NGOs, deregulation and liberalization policies to facilitate private provision of public services, contracting-out, government encouragement of private sector expansion in service industries, and state subsidies for private service delivery.

The article concludes that while privatization is not a panacea, the private sector can, under appropriate conditions, play a valuable and cost-effective role in meeting growing service and infrastructure needs in urban areas. The advantages of privatization can be maximized when government assures a competitive environment, has adequate procedures for cost and quality control, and performs as an effective watch-dog for corruption and inefficiency. Public-private partnerships work best when the objectives of both parties are compatible, and when the transfer of ownership and responsibility is structured to achieve results that serve both of their interests.

Shirley, Mary and John Nellis. 1991. Public Enterprise Reform: The Lessons of Experience. Washington, DC: World Bank, EDI Development Studies.

**Abstract:** The view advanced in this book is that reform of the state enterprise sector and privatization can be mutually supporting strategies in the larger objective of creating a more efficient and productive economy. Chapter 1 addresses the macro-economic adjustments typically required to achieve a more open and competitive economy: trade liberalization, elimination of preferential treatment for state-owned enterprises (SOEs), banking reform, market pricing and reform in the institutional structure of tariffs, and internal changes in SOE staffing and compensation policies. Chapter 2 argues that along with macro-economic reforms, LDC governments need to determine the role, scope, and objectives of the state-owned sector. Chapter 3 addresses the nature of an effective relationship between government and SOEs, one that balances control and accountability with autonomy.

Chapter 4 examines mechanisms LDC governments can use to set goals for SOEs and evaluate their performance. Chapter 5 discusses the promise and risks of privatization, looking at outright sale, management contracting, leasing, franchising, contracting-out, and encouraging new entrants into the private sector. Chapter 6 offers an overview of the sequencing of reforms for a failing public enterprise sector. The lessons of the study are summarized in Chapter 7, and Chapter 8 discusses SOE reform in socialist Europe.

Wallis, Malcolm. 1990. "Privatization and Development Administration: Some Implications for Training." International Review of Administrative Sciences. Vol.56, pp.137-147.

**Abstract:** This article raises the implications of privatization for public administration training programs; a subject, the author believes, has so far been neglected within the privatization literature. Two managerial priorities for the LDC will likely arise out of privatization: (1) managers will increasingly be expected to facilitate the entry of the indigenous private sector into hitherto public sector dominated areas of economic activity; and (2) more importance is likely to be attached to worries over the extent of foreign involvement in the economy. Future training will revolve around such topics as laws related to environmental protection, preparation of contracts, coordination issues around public and private sector relationships, new ways of approaching financial management, and how to promote private enterprise.

## **XI. STRATEGIC PLANNING AND MANAGEMENT**

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Bozeman, Barry and Jeffrey D. Straussman. 1990. Public Management Strategies: Guidelines for Managerial Effectiveness. San Francisco: Jossey-Bass Publishers.

**Abstract:** Public sector managers must contend with an environment jolted by changes in public opinion, restricted by limited funding, and dictated by political cycles. While managers cannot completely control or avoid the influence of these external forces, they can take steps to manage strategically within the constraints of this environment. This book offers advice for setting and implementing a strategic agenda in the face of changing legal mandates, political pressures, and the bureaucratic limitations imposed on the public sector.

Chapter 1 shows how and why external political actors pervade almost every important issue in public management. Results must be achieved quickly because external actors shape demand. Personnel systems influence incentives, and managerial performance is defined according to political perspectives. Chapter 2 looks at strategic management in the public sector, as opposed to private business. Chapter 3 deals with managing financial resources, and touches on issues such as level of autonomy in the use of financial resources, ability to control the development of resources, means to assure stable resource flows, and the cultivation of alternative resource suppliers. In Chapter 4, the authors discuss marketing strategies for public managers. How information can be organized, systematized, and filtered to enhance strategic management is the topic of Chapter 5. The next chapter offers guidance on the use of organization design and reorganization as strategic tools. Organizational structure is not simply a means to increase efficiency in delivering goods and services, but can serve as an instrument for achieving strategic goals as well. Chapter 7 explores inter-organizational strategies public managers can use to cope with their environment. Chapter 8 discusses fostering innovation in government, and recognizes the difficulties in introducing and sustaining change. The final chapter considers individual characteristics of effective strategic public managers.

Bryson, John M. 1988. Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement. San Francisco: Jossey-Bass Publishers.

**Abstract:** Leaders and managers of public and nonprofit organizations must be effective strategists if their organizations are to fulfill their missions and satisfy their constituents in the years ahead. Strategic planning can help managers with this task. Chapter 1 overviews the concept and why such planning is important for governments, public agencies, nonprofits, and communities. Chapter 2 describes and critiques the major private sector strategic planning approaches and their applicability to the public and nonprofit sectors. Discussed are: the Harvard model, strategic planning systems, stakeholder management, content models (portfolio models and competitive analysis), strategic issues management, and process strategies.

In the remainder of the book, the author develops his own approach, details how to use it, and offers several case studies of organizations that have applied it. The approach consists of an eight-step process:

1. Initiating and agreeing on a strategic planning process.
2. Identifying organizational mandates.
3. Clarifying organizational mission and values.
4. Assessing the external environment: opportunities and threats.
5. Assessing the internal environment: strengths and weaknesses.
6. Identifying the strategic issues facing an organization.
7. Formulating strategies to manage the issues.
8. Establishing an effective organizational vision for the future, the "vision of success."

Conyers, Diana and Mohan Kaul. 1990. "Strategic Issues in Development Management: Learning from Successful Experience. Part II." Public Administration and Development. Vol.10, No.3, pp.289-298.

**Abstract:** Part I of this paper, published in Vol.10, No.2, dealt with the choice of criteria for determining the success of local development initiatives. Part II looks at the broader implications of the factors contributing to success in the local, national and international contexts. The majority of local initiatives require external assistance. Six major issues are discussed: the qualities which external agencies need in order to provide effective support; the relative merits of governmental and non-governmental organizations; the different levels of NGO operations; relations between governments and NGOs; North-South collaboration; and training implications.

Hanna, Nagy. 1985. Strategic Planning and Management: A Review of Recent Experience. Washington, DC: World Bank; Staff Working Paper No. 751.

**Abstract:** This paper reviews the recent experience of strategic planning and management in large institutions, primarily in the private sector. The main conclusions are:

1. Planning practices have undergone fundamental transformation in response to accelerated changes in the complexity of institutions, the diversity of their businesses, and the uncertainty and competitiveness of their environments.
2. Planning has evolved from a preoccupation with financial controls, forecasting and formal planning processes towards increasing emphasis on understanding the external environment and competitors, providing a strategic framework for resource allocation, and integrating the strategies, structures, systems, skills, and values of an institution to fulfill a clearly defined mission.
3. Strategic planning practices have employed various tools to promote environmental analysis, differentiate among market segments, and formulate a hierarchy of strategies for corporate, enterprise, and functional levels. In general, strategic planning has introduced a discipline for coherent thinking about the long term and uncertainties, and has raised awareness of the threats and opportunities arising from competitors and environmental changes.
4. Strategic management has emerged as the latest form of planning in response to tendencies toward bureaucratization and centralization of the strategic planning function. Strategic management emphasizes an ongoing strategy management process, widespread creative thinking, and the integration of strategy formulation processes with other management structures and systems. It employs a planning process that is outward-oriented, issue-focused, creative, selective, opportunity-seeking, and highly interactive. It emphasizes leadership, delegation within a strategic framework, and line management ownership of strategy development and implementation. Staff planners act as facilitators, catalysts, counselors, and stimulators to the line manager, who must be the strategist. Strategic managers bridge the gap between planning and implementation by addressing implementation early and often, by involving key players at early stages, by experimentation, and by conscious management of resistance to change.

McCaffery, Jerry L. 1989. "Making the Most of Strategic Planning and Management." In Managing Public Programs: Balancing Politics, Administration, and Public Needs. Cleary, Robert E., et al. San Francisco: Jossey-Bass Publishers, pp.193-211.

**Abstract:** The movement from strategic planning to strategic management is a movement away from controlling the future toward managing the present. Strategic management includes strategic planning, but is a more inclusive concept, emphasizing dynamic interaction with the environment and an incremental methodology that allows for environmental scanning to choose the target that will yield the most benefit for the effort expended. Strategic management can be described as a six-step process: (1) confirmation of mission, (2) scan of the external environment, (3) identification of strategic issues, (4) assessment of organizational resources, (5) formulation of strategies, and (6) implementation and adaptation of strategies.

Policy matrices can be used to manage strategic issues. In the private sector the most widely used matrix places market growth on one axis and market share on the other. The cell containing a product with high market share and high market growth rates is called a superstar; conversely low growth, low market share is the territory of dogs. So-called cash cows have dominant market share, but low growth rate. The last cell (high growth rate but low market share) is the problem child. The matrix can be adapted to the public sector by crossing degree of public support/need (tractability to policy intervention) with degree of unit capabilities (stakeholder interest). The public sector star in this matrix falls in the cell with high public support and openness to policy intervention, and high capacity of the implementing unit to carry out the policy, along with strong stakeholder interest.

There are a number of constraints to managing strategically in the public sector. These range from constitutional arrangements to legislative and judicial mandates, to government-wide rules and regulations, to jurisdictional boundaries, to scarce resources, to political climate factors, to client and constituent interests. Time is a particularly difficult issue. Public policymakers typically have short attention spans because of electoral cycles, fiscal crises, and a history of ineffective long-range planning. Nonetheless, strategic management holds the potential for significant improvement in public management.

Paul, Samuel. 1983. Strategic Management of Development Programmes.  
Geneva: International Labour Office, Management Development  
Series No. 19.

**Abstract:** This book presents a strategic management approach to development program management. It defines strategic management as the inter-related set of top management interventions that create the framework within which operational decisions and actions are taken to accomplish the goals of a development program. Creating this framework involves paying attention to four main influences on program performance: the program's environment, strategy, structure, and processes. The essence of strategic management is to create a fit among these so that the program benefits from their internal consistency, or congruence.

The nature and scope of development programs are explained in Chapter 1. Chapter 2 examines the preconditions for performance in the public context, where most development programs are designed and implemented. The concept of strategic management, its components, and their inter-relationships are discussed in Chapters 3 through 8. The end of each chapter contains questions and guidelines to help managers apply the concepts presented. Chapter 9 offers practical suggestions for policymakers and program managers on how to put strategic management into action in the particular context of a new or ongoing development program.

Ring, Peter S. and James L. Perry. 1985. "Strategic Management in Public and Private Organizations: Implications of Distinctive Contexts and Constraints." Academy of Management Review. Vol.10, No.2, pp.276-287.

**Abstract:** Public and private sector strategic managers in different contexts that generate distinctive constraints on their behaviors and choices. Key constraints on public sector managers are identified in the five propositions;

1. Policy directives tend to be more ill-defined than for private organizations.
2. The relative openness of decision making creates greater constraints for public sector executives and managers than for their private sector counterparts.
3. Public sector policymakers are generally subject to more direct and sustained influence from a greater number of interest groups than are executives or managers in the private sector.
4. Public sector management must cope with time constraints that are more artificial than those that confront private sector management.
5. Policy legitimation coalitions are less stable in the public sector and are more prone to disintegrate during policy implementation.

Implications for the evaluation of public sector management and for the behavior of public managers are drawn. It is argued that application of private sector models to the public sector is problematic, and that general models of strategic management are needed.

Schneider, Susan C. and Arnoud De Meyer. 1991. "Interpreting and Responding to Strategic Issues: The Impact of National Culture." Strategic Management Journal. Vol.12, No.4, pp.307-320.

**Abstract:** Perceptions of environmental uncertainty and organizational control influence strategic behavior. As national culture influences these perceptions we expect to find cultural differences in interpretation and response to strategic issues. Given a case describing an issue concerning deregulation of the U.S. banking industry, managers completed questionnaires rating interpretations and responses to that issue. National culture was found to influence interpretations and results. In particular, Latin European managers when compared with other managers were more likely to interpret the issue as a crisis and as a threat. Latin Europeans were also more likely to recommend proactive behavior. This study indicates that different cultures are likely to interpret and respond to the same strategic issue in different ways. These differences may help to explain and predict different responses of European countries to 1992.

## **XII. STRUCTURAL ADJUSTMENT**

## XII. STRUCTURAL ADJUSTMENT

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Curry, Jr., Robert L. 1990. "A Review of Contemporary U.S. Foreign Aid Policies." Journal of Economic Issues. Vol.24, No.3, pp.813-824.

**Abstract:** The recommendations of the Task Force on Foreign Assistance, issued in February 1989, include repealing the current Foreign Assistance Act and replacing it with an International Economic Cooperation Act. This act would attempt to: (1) encourage broad-based economic growth; (2) improve environmental, natural resource, and agricultural management; and (3) develop human resource capacities to improve the well-being of the poor and their economic pluralism. Although it seems unlikely these recommendation will be implemented, the task force's report offers a set of normative propositions that could improve the composition and direction of US aid. The primary focus of US aid should be to assist people in poorer countries to mobilize domestic resources and to supplement them with resource transfers from the US in ways that generate employment, income, and output in recipient countries.

Herbst, Jeffrey. 1990. "The Structural Adjustment of Politics in Africa." World Development. Vol.18, No.7, pp.949-958.

**Abstract:** It has long been recognized that the structural adjustment programs currently being proposed by the World Bank and the International Monetary Fund in Africa have important political consequences. However, there has been almost no attention devoted to what structural adjustment, if implemented, means for the way that politics is actually carried out in African nations. The failure to examine the long-term consequences of economic reform for politics is particularly surprising given that the major instruments of structural adjustment - public sector reform, devaluation, elimination of marketing boards - threaten to change not only the constituencies that African leaders look to for support but the way in which leaders relate to their supporters in the countries south of the Sahara. The paper examines how structural adjustment, if actually implemented, would affect politics in African countries. The paper finds that structural adjustment makes the political climate much riskier for leaders while weakening the central apparatus of the state on which rulers have long relied to stay in power. The implications of the analysis for donors are also discussed.

Lele, Uma. 1990. "Structural Adjustment, Agricultural Development and the Poor: Some Lessons from the Malawian Experience." World Development. Vol.18, No.9, pp.1207-1219.

**Abstract:** Typical adjustment measures may not address the long-term, nonprice constraints to a strong supply response from agriculture. The paper discusses such constraints in Malawi, including legal restrictions that have divided agriculture into a rapidly growing estate subsector and a subsector of smallholders mired in poverty. The initial adjustment measures, taken on short-term macroeconomic grounds without considering the implications of this split, curtailed grain marketing interventions, fertilizer subsidies, and the National Rural Development Program.

The implications of these decisions were not adequately considered before implementation. The experience with implementation of structural adjustment loans demonstrates that many of these interventions were essential, but improvements were needed to make them more efficient and focused. The most recent structural adjustment efforts have attempted to correct the initial mistakes. This fine-tuning must become an integral part of Malawi's economic policy and donor support.

Loxley, John. 1990. "Structural Adjustment in Africa: Reflections on Ghana and Zambia." Review of African Political Economy. Vol.47, pp.8-27.

**Abstract:** An analysis of the experience of Ghana and Zambia in operating structural adjustment programs (SAPs) illustrates the debate taking place on the appropriateness of these programs in the context of African economies. Both countries faced major economic crises in the 1980s. While supporters of SAPs see Ghana as a success stories of the World Bank and IMF policies, Zambia is regarded as a prime example of failure because of non-adoption of these policies.

However, this article shows why in the short run, Ghana could have been expected to perform better than Zambia. It further shows that the Ghana program is not likely to be replicated by other countries, and that the program may not be sustainable. In analyzing Zambia's experience with an IMF/World Bank program, the article argues that the economic structure made short-term gains from adjustment impossible and led to the program abandonments. The government program that replaced it also failed because it did not fully address the nature of Zambia's economic crisis.

Marshall, Judith. 1990. "Structural Adjustment and Social Policy in Mozambique." Review of African Political Economy. Vol.47, pp.28-43.

**Abstract:** This article analyzes the social costs of Mozambique's Economic Recovery Program, introduced by the World Bank in 1987. The program has had some success in arresting economic decline, though not as fast as anticipated. However, social differentiation has increased, with traders, large farmers, corrupt state and military officials and private entrepreneurs gaining from the changes. However, women, children and the poor in particular are finding their standards of living dropping sharply with devastating consequences for their health and nutritional status. The article uses the findings of research studies and interviews with urban dwellers on the issues of food supply, education and health to support this analysis. The loss to the IMF and the World Bank of Mozambican control over economic policy, the increase in human suffering with its potential for social and political breakdown, and the appropriateness of the program in conditions of war, are the three central issues which have to be faced by proponents of this kind of adjustment.

McCleary, William A. 1989. "Policy Implementation under Adjustment Lending." Finance and Development. Vol.26, No.1, pp.32-34.

**Abstract:** It has been eight years since the World Bank began lending for structural adjustment. A study of 51 structural adjustment loans or sectoral adjustment loans in 15 developing countries has been completed. The results indicate that:

1. About 60% of the conditional policy changes had been implemented at the completion of the disbursement of the loans;
2. Between policy areas, there was substantial difference in the degree to which the conditions were met; and
3. Highly indebted countries were somewhat more successful in meeting the conditions, but this probably reflects differences in composition of conditionality and random factors more than any systematic differences in performance.

Lessons for future adjustment lending should involve: (1) Agreement on overall program; (2) Commitment by the government; (3) A realistic program that is not too restrictive; (4) Assistance to the poor during adjustment; and (5) The importance of a favorable economic environment. Structural adjustment seems certain to be necessary for a long-time. The World Bank has begun to be more selective in adjustment lending for balance of payments support. This should strengthen the approach to adjustment and reduce the risk to its portfolio. At the same time, it will assist developing countries by assuring appropriate domestic and external financing to support realistic adjustment efforts.

Morales, Juan Antonio. 1991. "Structural Adjustment and Peasant Agriculture in Bolivia." Food Policy. Vol.16, pp.58-66.

**Abstract:** This article examines how small farmers and their subsistence economy have fared under the policy reforms implemented since 1985 in Bolivia. Market liberalization has not produced a clear improvement in terms of trade or output of peasant agriculture. The reason for this is threefold.

1. Difficulties in managing the mix of exchange rate control and tariffs. One solution is further reduction of tariffs and agricultural inputs;
2. Macroeconomic stability and more appropriate relative prices are not sufficient for large scale agricultural production and growth. Adjustment programs need government support, in particular more effective governmental investments in agriculture; and
3. The program in Bolivia has left an unfinished agenda of reforms in the market for factors such as incomplete liberation of the credit market, constraining regulations on producible land, and only partial evaluation of land reform.

Nunberg, Barbara. 1990. Public Sector Management Issues in Structural Adjustment Lending. Washington, DC: World Bank, Discussion Paper No. 99.

**Abstract:** This paper provides an overview of public sector management reforms in structural adjustment lending and assesses World Bank experience with implementation. It focuses on those institutional aspects of adjustment dealing specifically with "macro-management" issues related to improvements in the performance of core central government institutions and to systemic changes in public administration. The paper covers management reforms in 59 structural adjustment loans (SALs) and 43 companion technical assistance loans (TALs) from 1979-88. The areas of reform are: (1) institutional changes required for macroeconomic and financial management (present in all 59 SALs); (2) non-financial sector reforms (56 SALs); (3) trade policy and administrative reforms (50 SALs); and (4) public administration (PA) reforms (31 SALs).

Most SALs emphasized improvements in public investment programming. This involved strengthening coordination of interagency decision making, structures and procedures for planning and investment, and monitoring. SALs also stressed tax administration improvements, eg. customs procedures, revised tax codes, and better tax collection systems. Non-financial sector reforms tended to be dealt with through separate sectoral adjustment loans and cross-conditionality. PA reforms have become more prominent components of SALs. These comprise civil service reform, eg. downsizing to reduce public wage bills, pay and incentive system changes. SALs often leveraged one-shot reforms, while TALs provided support for longer term improvement efforts.

Despite some success, institutional reform has proceeded haltingly due to: (1) weak management capacity to deal with reform demands; (2) rapid turnover of management and political leaders; (3) poorly-executed technical assistance and inadequate training of local staff in policy implementation; (4) failure to institutionalize systems and procedures appropriate to borrowers' needs and capacities; (5) failure to monitor and supervise reform programs to keep them on track; and (6) conflict between SAL schedules and the longer timeframe needed for institutional development. Further institutional reform is not monotonic or linear; some reforms have come unraveled or been reversed. The Bank needs to pay more attention to political, institutional, and management issues in sector work and SAL preparation.

Rodrik, Dani. 1990. "How Should Structural Adjustment Programs Be Designed?" World Development. Vol.18, No.7, pp.933-947.

**Abstract:** More than seven years have elapsed since the onset of the generalized debt crisis of 1982, yet the effected countries have still not managed to stabilize their economies. These countries must now attempt structural adjustment in the midst of pervasive macroeconomic and political instability. Structural adjustment packages should be designed with this reality in mind. This paper argues that structural adjustment programs should strive for sustainability, rather than the economic liberalization that they presently stress. Illiberal policies which do not damage overall macro stability are preferable to liberal policies which are inherently unsustainable or engender macro instability. Liberalization programs that are not sustainable are likely to bring few benefits, and also have high costs in terms of private investment. The paper discusses some of the chief implications of this opinion for the design of adjustment programs.

Snider, Lewis W. 1990. "The Political Performance of Third World Governments and the Debt Crisis." American Political Science Review. Vol.84, No.4, pp.1263-1280.

**Abstract:** The developing countries' suspension of payments on their external debt is as much a consequence of the political weakness of their governments along with excessive politicization of their economic policies as it is a result of unfavorable structural changes in the international economy. Differences in debtor governments' political performances are treated as an explicit variable rather than as residuals to an economic explanation in estimating the probability of developing countries' suspending their external debt service payments.

Using a logit model, this paper analyzes 58 developing countries for the years 1970-1984. The results show that political capacity can be decisive in correctly predicting the probability of a government's suspending its external debt service payments. The model predicts 96% of the total outcomes correctly and 80% of the debt payment suspension cases correctly.

van Ginneken, Wouter. 1990. "Labour Adjustment in the Public Sector: Policy Issues for Developing Countries." International Labour Review. Vol.129, No.4, pp.441-457.

**Abstract:** In the hostile economic environment of the early 1980s, many developing countries experienced acute balance-of-payment problems that were generally accompanied by high government budget deficits and inflation. This led them to rely on help from the International Monetary Fund or the World Bank for loans at below prevailing commercial interest rates. However, such loans carry certain conditions regarding trade and price policies, the size and structure of government spending, and the extent of government controls on production. The adjustment policies also required retrenchment in the public sector, resulting in wage erosion and demands for higher productivity. The problems of the 1990s will call for the International Labour Office to respond in new ways. At the request of different developing countries governments, it will have to provide more short-term technical advisory services. Effective and efficient public services will depend on employment planning, labor market analysis, human resource development policies, and sound labor relations.

Vondal, Patricia. 1989. Operational Issues in Developing A.I.D. Policy Reform Programs. Washington, DC: US Agency for International Development, Program Evaluation Discussion Paper No. 28, October.

**Abstract:** Program assistance for the support of macroeconomic and sectoral policy reform has become a major element in the U.S. Agency for International Development's strategy for fostering broad-based and sustainable economic growth in developing countries. This paper identifies and discusses some of the major operational issues involved in the process of planning, designing, and negotiating policy reform programs. It is based on lessons learned from A.I.D. experience worldwide since 1983.

The topics covered include approaches to selecting policy reform objectives, analytical requirements for designing programs, donor coordination, design of conditionality, the use of A.I.D. resources in packaging reforms, sources of A.I.D. influence, and negotiation strategies and styles. The paper also provides some suggestions for approaches to developing and promoting reform programs based on instances of successful experiences.

The primary conclusion is that the manner in which A.I.D. plans and designs and then negotiates policy reform programs has major implications for the degree of support the ultimate program will have from the host country government and its people, the implementation of that program by the host country, the sustainability of the program, and the tenor of bilateral relations between the US government and the host country. Agency efforts that stress collaboration, consensus-building, flexibility, sensitivity to cross-cultural differences, and appreciation of country political and economic circumstances hold the most promise for success.