A.I.D. EVALUATION SUMMARY - PART I

PD-AAZ-062 6053

1. BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS.
2. USE LETTER QUALITY TYPE, NOT "DOT MATRIX" TYPE.

IDENTIFICATION DATA

A. Reporting A.I.D. Unit:

Mission or AID/W Office S&T.RD/IDM
(ES# _____)

B. Was Evaluation Scheduled In Current FY Annual Evaluation Plan?
Yes [ ] Slipped [X] Ad Hoc [ ]
Evaluation Plan Submission Date: FY ____ Q ____

C. Evaluation Timing
Interim [X] Final [ ]
Ex Post [ ] Other [ ]

D. Activity or Activities Evaluated (List the following information for project(s) or program(s) evaluated; if not applicable, list title and date of the evaluation report.)

Project No.	Project /Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
936-5317	Performance Management		9/30/90	7000 S&T 15000 Missions	5,608,570 S&T 7,624,402

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director

Action(s) Required	Name of Officer Responsible for Action	Date Action to be Completed
A. For PMP's last 18 months, reduce project objectives and focus activities so as to emphasize the following aspects of current plans: * Focus research/learing focus on refining/validating/adapting/applying "proven" management improvement approaches (rather than theoretical breakthroughs). * Explore a few applied research topics that have high potential for application and high priority for AID. * For end of project products, emphasize operationally-based guidance, (development management theory with practice; management interventions with performance improvement). * Increased support for capacity in dev. management by U.S. universities and LDC management resource institutions; through targeted publications, conferences and network activities. * (To the entent possible financially,) extend this capacity building to US firms and other contractors, to strengthen their ability to use specific, appoaches available through PMP. * Increase selectivity re: field service requests.	Jeanne North	Until End Of Project
B. Project Management: maintain flexibility to address emerging development management issues, but be more assertive in clarifying priorities, responsibilites and products for implementors.		

(Attach extra sheet if necessary)

APPROVALS

F. Date Of Mission Or AID/W Office Review Of Evaluation: Completed (Month) March (Day) (Year) 88

G. Approvals of Evaluation Summary And Action Decisions:

	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
Name (Typed)	Jeanne F. North	L. Graham-NASPAA P. Isman- DPMC M. Ingle- IDMC	Fern Finley, S&T/PO	Eric Chetwynd, Jr. S&T/RD (Acting)
Signature	Jeanne F. North		Fern Finley 8/24/88	Eric Chetwynd
Date	7/22/88			8/16/88

SUMMARY

J. Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3) pages provided)
Address the following items:

- Purpose of evaluation and methodology used
- Purpose of activity(ies) evaluated
- Findings and conclusions (relate to questions)
- Principal recommendations
- Lessons learned

Mission or Office:	Date This Summary Prepared:	Title And Date Of Full Evaluation Report:
S&T/RD/IDM	7/20/88	Mid-Term Evaluation of the Performance Management Project, March 1988

To use donor investments effectively during the time of active support, and to sustain their value thereafter, LDC organizations must be able to marshal and manage resources. Donor investors must therefore take greater account of the nature of LDC program management and adopt strategies which strenthen it. PMP seeks more cost effective A.I.D. investments through improved LDC development program management.

To this end, PMP supports research, training, consulting and improved design and management of donor-funded projects. An intermediate objective is for developing country management resource organizations, A.I.D. Missions and contractors to work with greater knowledge of more effective management technologies, (eg: analytic methods, implementation, financial systems, organizational structures and learning processes) to the end of building quality management in LDC organizations responsible for development programs.

The project's R and D seeks (through research linked with practice) understanding of the: a) dynamics and key issues of managing LDC programs given the contexts and resources with which they work; b) effectiveness of alternative change strategies, methods and tools for improving management; and c) use of management training as a change strategy.

Through practice backed by research, the project seeks to: a) support A.I.D. mission programs; b) develop skills in the practice of management consulting and training; and c) strengthen networks of LDC and US management training and educational institutions. Project implementors are the National Association of Schools of Public Affairs and Administration (NASPAA) and the Development Program Management Center (DPMC) of USDA and the International Development Management Center (IDMC) of the University of Maryland.

The PP outlined specific program management issues for concentrated attention. PMP's research and support to 50 Missions to date (concentrated support to 15-20) can be characterized as focusing on the following issues, including those specified by the PP: a) management of programs to increase "grass root" ownership, initiative and skills; management of local government; b) financial management; c) management of agricultural research; d) monitoring, evaluation, training, work planning and implementation capability in public organizations to improve program performance; e) planning/coordination combined with training for district level management of irrigation; f) transitions to privatization and other approaches to implementing policy reform; g) host country ability to assess, prepare for, and take leadership in donor funded projects; h) development of new graduate schools of business; i) strengthening development focus and practice capability of other management training institutes; and j) training and consultant strategy, methods, procedures and tools for effective support to LDC program management.

b

Four A.I.D. officials conducted the interim evaluation (18 months befor project's end), to appraise the value of PMP's diverse activities fo continuing project management and for design of a project to follow. Fro the SOW: "The study will focus on project implementation including: a) ho project activities were analysed; b) what activities were conducted; c) wha products were produced; and d) what broader objectives are likely to b achieved. The basic methodology is that of a process oriented case stud utilizing a variety of qualitative and quantative data. The design i complicated, however, by the project's complex management structure an comprehensive scope".

The evaluation SOW listed the following questions to be examined:

1. "What activities has the project actually conducted and what outputs has t produced, (eg: research, publications, technical assistance, training, etc)? How do these activities and outputs relate to project plans?
2. How has the project been implemented over time? How and why did differences emerge between planned and actual project activities and outputs, including issues of project's implementation structure and interventions carried out, the project's use of 'action research' and the balance between the project's research and technical assistance?
3. What has been the quality of project outputs, (TA, training, publications, etc), the nature of outcomes, and the appropriateness of project activities for achieving broader project purposes?
4. What are the implications of the evaluation for future project actions and follow-ons, particularly in relation to A.I.D.'s role vis a vis other donors and A.I.D.'s policies and initiatives in institution building, decentralization, privatization and technology transfer?"

The evaluation's conclusions and recommendations follow, as stated in the "Mid-Term Evaluation Of the Performance Management Project":

Like its predecessor, the Performance Management Project provides a broad, "thematic framework" for improving program management, rather than a specific package of inputs and outputs. Within this broad framework, PMP has a number of laudable achievements. It has clarified diverse threads of development management theory and tested specific approaches for management improvement. It has mobilized human resources and improved capabilities for management improvement both in the United States and developing countries. It has provided management training, developed training materials, and strengthened management training institutions. It has provided field services that have enabled A.I.D. missions to better address difficult development management issues in their programs and projects. And, it has supported direct management interventions that have improved the performance of host country development programs.

Yet, development management has also proven to be a broader and less coherent field that PMP's designers envisioned, characterized by diverse and competing theories and alternative models, rather than a single, unified approach. It is a field that encompasses a wide range of management problems, which raise different theoretical issues and require different intervention approaches. It is also a field in which consultants must creatively cope with the unexpected exigencies of development management in practice. In retrospect, PMP's initial specification of applied research products proved over precise. Some topics bore fruit, others did not, and entirely new issues emerged, reflecting the changing priorities and experience of A.I.D. in the 1980's.

Nearly every A.I.D. activity has a development management dimension and management improvement implications. As such, nearly every A.I.D. activity is also a potential market for the knowledge and experience that PMP is accumulating. Given the complexity of development management problem, the importance of management to program sustainability, and the scarceness of management improvement expertise, there is a continuing high level of demand, and a lack of alternative sources, for much of the technical support PMP provides.

PMP is also fundamentally a learning endeavor. Many questions about development management remain unanswered and PMP represents A.I.D.'s only effort to tackle these questions systematically. As in any research and development endeavor, each line of investigation has not paid-off equally, but PMP has gained substantial new knowledge about how development management can be improved and how management improvements can be transferred. Several of PMP's field activities have resulted in management changes that appear to be enhancing the performance of development programs. Few of these management improvements would have been developed or tested without PMP's involvement.

The Performance Management Project has evolved, and should learn from its experience. PMP plays a unique role in A.I.D. as a source of development management ideas and practices, and should continue exploring new issues and applications. At the same time, the project's major emphasis should remain on adapting, refining, and routinizing relatively well understood management technologies, not on achieving theoretical breakthroughs. Successful interventions, once tested and proven, could then be made more routinely available through mechanisms and sources outside the project.

- o PMP's major publications successfully synthesized a wide variety of materials on development, organizational behavior, management, and training which had previously remained disparate. PMP made sense of a variety of competing paradigms, theories, and empirical data and focused on their relevance to development management practice. PMP did not, however, develop major new theoretical insights or breakthroughs.
- o Other PMP publications provided more detailed explications of particular management intervention approachs (particularly "performance management" and "people-centered and community development").
- o Several PMP papers identified important emerging issues and important new areas for management improvement (particularly, the management for policy implementation, privatization, decentralization, and institutional analysis).
- o PMP supported applied research that tested and advanced the practice of management improvement (particularly, through "performance management" and "community development" approachs).
- o PMP provided an easily accessible/fast response mechanism providing development management leadership, support,and assistance to missions. PMP successfully met a continuing high level of demand from the field, provided services of clear utility to missions and LDC organizations, and effectively demonstrated development management interventions combining a variety of management technologies.
- o PMP provided extensive direct management training services (particularly through management training seminars in francophone Africa).

o PMP strengthened indigenious management education and training institutions (particularly in southern Africa, Asia, Paraguay, and the Dominican Republic). while PMP helped to build new programs, improve linkages, and strengthen curricula, the long-term impacts of this institutional development are not yet clear.

o PMP enhanced the capabilities of NASPAA, DPMC, IDMC, and associated faculty and consultants to provide management improvement services and increased professional interest, activity, and thinking in the development management field through a variety of networking, dissemination, workshop, and conference activities.

Broader Implications: While this evaluation has focused on PMP's immediate outcomes, senior administrators should also consider the project's broader implications for A.I.D.'s leadership in the development management field. Until recently, most applied research in development management was sponsored by A.I.D. and other bilateral and multilateral donors consistently looked to the Agency for guidance. Now, however, A.I.D. appears to be relinquishing much of its leadership in development management to the World Bank. The Bank has become more concerned with management and institutional development, particularly in Africa, and has established several new organizational units focused specifically on institutional and management concerns. The Bank has also begun shifting its attention from project-level management to sectoral and national program issues and problems of benefit sustainability....

The Bank's Development Management efforts have relied heavily on previous A.I.D. and PMP experience, particularly DPMC's performance management, action training, and team planning meeting approachs. Several of the people now working on development management and institutional issues at the Bank were previously involved in PMP's applied research and field support activities.... Other knowledge and expertise developed through S&T/RD sponsored research are being utilized in the Bank's efforts to incorporate institutional concerns in sectoral and structural adjustment lending.

Meanwhile, A.I.D.'s own resources allocated to development management have diminished. Only one central project deals with broad development management issues, while a second project, "Decentralization: Finance and Management," focuses more narrowly on cost recovery and infrastructure maintenance....

A.I.D. should consider the effects of progressively withdrawing from development management leadership. Should A.I.D. abandon an area in which it has a clear comparative advantage and in which the bulk of human resources are American either by training or nationality? should A.I.D. cede leadership to an organizational that is primarily concerned with the performance of governmental and quasi-government organizations? How will A.I.D. meet the growing demand for management assistance from developing countries that increasingly look to the agency for support?...

Recommendations: during PMP's final 18 months, major emphasis should be placed on clarifying the lessons learned through PMP's experience, translating these lessons into operationally useful forms for A.I.D. missions and LDC agencies, and transferring the greatest possible management improvement capability to continuing U.S. and LDC institutions. In this regard, PMP's planned technical and guidance papers are crucial. They should clearly delineate "tried and true" management interventions: what works, how it works, and how it can be best applied in the field.

More generally, and particularly for any eventual follow-on:

1. PMP's primary focus should be on refining, validating, and adapting relatively proven management improvement approaches, and on applying these approaches to actual management problems, rather than on achieving theoretical "breakthroughs". Promising topics for new or more focused research include "performance management" as it relates to specific technical fields (e.g., irrigation, agricultural research, forestry, marketing, etc.) and the role of PVO's/NGO's in "community development".

2. PMP's intellectual products should emphasize operationally-based guidance that clearly relates development management theory and practice through field experience. This rarely involves basic research or rigorous proof, but must clearly link management interventions and performance improvements.

3. PMP should continue exploring a relatively small number of new applied research topics that have high potential for application and high priority for A.I.D. emerging topics warranting particular attention include institutional assessments, policy analysis, and management support for A.I.D.'s privatization, decentralization, and program sustainability initiatives.

4. PMP should continue expanding management assistance resources by:

   a. Encouraging project implementors to seek diversified funding for management improvement efforts from other donors, LDC agencies, and A.I.D. offices and missions directly, where appropriate;

   b. "Spinning off" proven management intervention approaches (such as "team planning meetings", "management training seminars", and "performance management" elements) and making them routinely available (for example, through an IQC);

   c. Continuing to disseminate improvements in development management theory and practice through publication, conferencing, and networking activities; and

   d. Encouraging and assisting selected institutions to improve their development management capabilities (as, was done, for example, by involving more universities in management training initiatives).

5. PMP should be more selective in meeting requests for field services from missions. Field services should either advance PMP's knowledge about management improvement or provide development management assistance that is unavailable elsewhere. Where other sources of assistance exist, PMP might play a useful brokering role.

6. PMP should continue efforts to strengthen LDC management education and training institutions, but should clarify its strategy and objectives. This should include more clearly delineated links between training improvements and program management interventions, including follow-ups to management training seminars.

7. While PMP should remain flexible in addressing emerging development management issues, S&T/RD managers should be more assertive in clarifying priorities, responsibilities, and expected products for implementors.

8. PMP should continue addressing the long term sustainability of NASPAA, DPMC, IDMC and indigenous management institutions by encouraging broader support for their development management activities and, particularly, by emphasizing the use of local expertise and local training capacity, whenever possible.

ATTACHMENTS

K. Attachments (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier; attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

Mid-Term Evaluation of the Performance Management Project
Annex 1
Annex 2

COMMENTS

L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report

XD-AAZ-062-A
60538

MID-TERM EVALUATION OF THE PERFORMANCE MANAGEMENT PROJECT

March 1988

PPC/CDIE/PPE, Gerald M. Britan (Team Leader)
S&T/RD, Jerome French
ANE/TR/ARD, Jim Lowenthal
AFR/TR/HRD, Peggy Shaw
ANE/TR/ARD, Jerry Weaver

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EXECUTIVE SUMMARY

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More specifically:

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INTRODUCTION

Effective management--the successful coordination and application of resources towards agreed upon objectives--is essential to effective development performance. Indeed, nearly every A.I.D. project includes a management component aimed at improving organizational systems for project implementation. But project implementation, however important, is only a small part of the development management problem. During the past decade there has been a growing recognition that a lack of managerial and institutional capabability is among the foremost constraints to development and growth (see DS/RAD Strategy Paper, 1981). A.I.D.'s major challenge is to help create sustainable improvements in indigeneous capacities for managing long-term development programs.

"Expanding the capacity of public and private organizations in developing countries to conceive, plan, and carry out development programs and projects has always been an important goal of U.S. foreign assistance" (Rondinelli 1987: 4-5). Historically, A.I.D.'s primary means of expanding this capacity have been through management education and training. But education and training by themselves have rarely been sufficient to enhance program performance. The Performance Management Project (PMP), like its Project Managment Effectiveness (PME) predecessor, takes a broader view of management improvement that encompasses not only the knowledge and skills of individuals, but also complementary changes in organizational environments, structures, systems, leadership, and operations that are necessary to improve program performance.

This mid-term evaluation assesses PMP's progress towards achieving its broad development management objectives. As such, the evaluation asks some basic, formative questions: What has the project accomplished and how do its outputs compare with project plans? How has the project been implemented and how have implementation problems been resolved? What is the quality of project outputs and how are they contributing to the achievement of project purposes and goals?

Like its predecessor, however, PMP is less concerned with achieving specific development outcomes than with supporting a broad range of activities that provide a "thematic framework for learning and innovation" about development management. Thus, questions about the project's "action research" strategy are central: Has the project added to our knowledge about effective means for improving program management? Has the project increased indigenous capacities for development management improvement? Has the project helped A.I.D. missions and host governments resolve specific management problems and improve specific development programs? And, most importantly,

has the project focused on development management approaches and problems that are most important to A.I.D., most promising for short-term progress, and most relevant for continued emphasis and follow-up.

HISTORICAL BACKGROUND

Summary

The Performance Management Project reflects a long history of A.I.D. involvement in development management. After the failures of early efforts at broad administrative reform in the 1950's and 1960's, A.I.D.'s interest in improving development administration diminished and most assistance was directed at management education and training activities. By the mid-1970's, however, increasing concerns about management problems culminated in the Hall Task Force Report and Policy Determination #69 which recognized that management deficiencies were seriously impeding project implementation. The PME Project, initiated in 1976, reflected these concerns and emphasized comprehensive, multilevel interventions to improve project management performance and ensure continuous commitment and involvement by key host country program and support staff. While noting PMEP's achievements, the final project evaluation in 1982, and the related Development Management Strategy Paper in 1981, recognized the need for a broader and more integrated performance improvement approach that would more clearly articulate the management improvment technologies being developed, systematically build knowledge in selected management domains, and emphasize sustainable improvements in continuing host country development programs.

The Emergence of Performance Management Concerns

Although A.I.D. has had a continuing interest in improving host country management capabilities, the focus of this concern has varied markedly over time. During the 1950's and early 1960's, for example, the Agency sought to transform national bureaucracies by introducing Western management practices and establishing indigenous institutes of public administration. By the mid-1960's, however, it had become clear that attempts at broadly-based administrative reform were having little impact on improved development performance. Administrative reform programs were also proving costly, difficult to implement, and politically sensitive. Many host country officials viewed them as attempts to impose Western public adminstration models that were inappropriate to social, cultural, political, and economic conditions in the developing world.

The resulting de-emphasis on administrative reform efforts was reflected in a diminishing bureaucratic role for development management within A.I.D. In the early 1960's, A.I.D.'s Office of Public Administration was abolished, replaced by a new "Development Administration Division" located within PPC. By the late 1960's most of the Agency's field technicians in public administration were gone.

In the late 1960's and early 1970's, A.I.D.'s development strategy shifted to place greater emphasis on sector analysis and programming. Spurred by a sharp drop in personnel, A.I.D. began to rely increasingly on generalist field staff supported by technical specialists and contractors. As part of this shift, Development Administration was relocated in 1969 within the newly established Technical Assistance Bureau. However, this new Development Administration Office lacked program responsibility and remained focused on research.

Meanwhile, most of A.I.D.'s operational concern for management improvement was embodied in education and training, both long term participant training and short term training focused in particular technical areas. The primary emphasis was on training senior managers--those destined to fill the top levels of host country bureaucracies. Training, moreover, tended to be seen as a discrete function, separate from other management improvement and institutional development efforts. The underlying assumption was that improving "human resources" would itself improve development performance.

Despite these human resource investments, by the mid-1970's it was becoming increasingly apparent that management deficiencies continued to impede the implementation of A.I.D. funded projects. In part, this reflected the emergence of "new directions" and projects that emphasized a broader array of services and impacts for the poor. In part, it reflected continuing cuts in A.I.D. staff, and a growing reliance on host country counterparts for project implementation. In part, it reflected the increased visibility of management problems as developing countries coped with a growing energy crisis and an emerging era of economic adjustment. In part, it reflected advances in public administration theory, and research by the Office of Public Administration on problems of project implementation, sector management, and local action.

A.I.D.'s renewed concern for development management was highlighted by the Hall Task Force Report of 1975 and by the issuance of Policy Determination #69 in 1977 which identified key management improvement needs and emphasized the importance of management improvement to development progress. By the late 1970's, however, only a handful of direct-hire development management specialists remained in the Technical Assistance Bureau. The development administration office (merged in 1978 into DS/RAD) therefore responded to increased demand for development management research and services by establishing the Project Management Effectiveness Project.

The Project Management Effectiveness Project (PMEP):

PMEP began in 1976, as the Project Applications Management Project, focusing on host government performance impediments to project implementation. Though working primarily in a project context, PMEP took a broad view of management improvement, emphasizing "comprehensive, multilevel interventions directed at performance unit flexibility and adaptation, and continuous commitment and involvement of key host country program and support staff." (PMEP Evaluation 1982:2) The project sought both to increase the availability of experts to implement management improvements in the field and to improve information and learning from, previously piecemeal, management improvement programs.

The project, initially, had two foci: support for regional management training institutions and assistance to improve host country project implementation. The primary vehicle for improving host country project management was the RSSA-supported Development Project Management Center (DPMC) estblished in USDA/OICD in 1976. Support for regional management training institutions was provided through a series of grants, some of which predated the project.

In 1978, the project was extended through FY 1983, renamed, and somewhat redesigned. A second implementing agency, the National Association of Schools of Public Affairs and Administration (NASPAA) was funded through a cooperative agreement, joining DPMC, which was now funded through a PASA. NASPAA was given primary responsbility for working with management training institutions, drawing its field staff primarily from the university community and relying on its university linkages in developing management training materials and strengthening institutional capacities. Based on its experience, DPMC was expected to emphasize "project management training and administrative systems," relying on its existing professional network of trainer-consultants skilled in these areas.

Both DPMC and NASPAA were expected to identify experts who could provide immediate assistance to A.I.D. projects, while also formulating broader management improvement strategies that could be applied in other settings and would add to PMP's knowledge base. Each agency was responsible for fundamentally similar outputs, including direct mission support through short-term consultancies, applied research, development of experts networks and consultants rosters, preparation of "state of the art" papers, and information dissemination. Funding was provided both through a core budget and mission add-ons, with activities divided among field support, applied research, and professional exchange and development areas. The reorganized development administration office (now S&T/MD) was responsible for overall project management and coordination, including the approval of annual work plans.

During the course of the project, the implementing agencies developed different, but complementary, emphases and (after an initial start-up period for NASPAA) provided growing numbers of mission funded field service consultancies. NASPAA's applied research and consulting focused in two major areas: social development issues, particularly through David Korten's long term field assignments in Asia; and the assessment and improvement of management training, particularly the expansion of the University of Pittsburgh's Francophone management training efforts.

DPMC concentrated on developing and refining a "performance approach to management development" that emphasized a collaborative process for adapting and using available management technologies to solve actual development problems in real organizational settings. DPMC activities included long-term "action training" in Jamaica, short-term management improvement consultancies to mission and regional projects, initial consulting on Sahel financial management, microcomputer applications activities, agricultural team building initiatives (partially funded by OICD), and cooperation with the University of Maryland on research and dissemination. Both NASPAA and DPMC also developed and tested materials, participated in professional meetings, prepared and disseminated papers, expanded experts' rosters, and participated in a variety of information exchanges.

The Prelude to the Performance Management Project

The final evaluation of PMEP in 1982 gave the Project generally high marks for providing easily accessible technical expertise to the field; developing and refining conceptual and methodological bases for improving development management; and in synthesizing, disseminating, and exchanging lessons learned. At the same time, the evaluation concluded that the project was "more a thematic framework for learning and innovation than a discrete, easily discernable project." While the evaluation found that DPMC and NASPAA's "flexible modus operandi" had served well in providing "quick response, high-quality field service informed by applied research," the evaluation also concluded that any new project should more clearly articulate the management improvment technologies being developed. The evaluation also suggested that any follow-on project focus and clarify the applied research agenda and be more selective in accepting field service assignments that would systematically build knowledge in selected management domains. To support this process, the evaluation recommended the development of longer term plans for sustaining and expanding the professional capabilities of the implementing organizations.

Not surprisingly, these recommendations closely paralleled those of the 1981 "Management Development Strategy Paper" prepared by DS/RAD (now S&T/RD). The Strategy Paper outlined A.I.D.'s historical involvement in Development Administration

and the major causes and dimension of development management problems. It concluded that despite growing recognition of the critical importance of management improvements to development achievements, the Agency's approach remained "incremental, largely reactive, and ad hoc." What was needed was "a significant, but not radical, shift in A.I.D.'s management development and training strategy"--an emphasis on a "Performance Approach."

According to the Strategy Paper, "the performance approach emphasizes that the purpose of a management improvement effort is more than the improvement of management. Rather, every management improvement effort should be judged in terms of whether what is done represents a performance improvement," increasing "the likelyhood that...development policy objectives will be achieved." The Paper notes that the "Performance Approach" emerged as a "management technology" during the 1970's based on experience in a variety of country and sectoral settings. Indeed, much of this experience was gained through the PME Project and, like the PMEP evaluation, the Strategy Paper suggested continuing, elaborating, and refocusing ongoing PMEP initiatives.

The Strategy Paper recommended that A.I.D. emphasize "coherent [development management] approaches which promise short-term payoffs in improved implementation within the context of long-term institutional development." Activities should not only be targeted at A.I.D.-funded projects, but also at at continuing developing country programs (operational organizations) and management support (particularly education and training) institutions. Interventions should focus on host country needs and responses, long term field efforts, proven management technologies, action-oriented approaches, and non-governmental as well as governmental organizations. Given A.I.D.'s limited resources and primary role as a facilitator and catalyst, the "critical problem" was improving knowledge generation and dissemination systems. This could only be accomplished by encouraging U.S. and LDC institutions to develop their own resources for supporting performance based management improvement approaches.

OVERVIEW OF THE PERFORMANCE MANAGEMENT PROJECT

Summary

The Performance Management Project implemented most of the recommendations of the PMEP evaluation and the Management Development Strategy Paper. PMP focused on improving the performance of development programs--involving indigeneous organizations with continuing development responsibilities--rather than temporary, donor funded projects. It sought to concentrate on a limited number of relatively proven management improvement technologies. It emphasized "action research" for learning by doing, expecting

that most knowledge could be gained in the process of fulfilling requests for technical assistance from the field. It also sought to expand the capacity of U.S. and developing country institutions to apply management improvement technologies and proposed a specific and detailed schedule of activities and products to synthesize and disseminate knowledge about management improvement to the wider development community.

There were, however, significant differences between the outputs anticipated in the PMP Project Paper and the outputs actually achieved. In some cases, project outputs met or exceeded Project Paper expectations: demand for field services, for example, was higher than anticipated, as were requests for management training. At the same time, key knowledge consolidation, testing, technological development, and guidance activities proceeded rather differently than planned. Baseline and overview papers, for example, intended as early references for field interventions, were not completed until the fourth project year, and one paper was dropped. Overall, development management proved a far broader field than project planners envisioned, less well-integrated theoretically, and less translatable into testable management technologies. This greater than expected complexity is reflected in changes in the project's agenda for technical papers, country assistance reports, and demonstration and workshop activities.

The PMP Project Paper seems to have viewed development management as a well defined field, with clear theories, based on extensive practical experience, yielding a small number of well-understood management improvement technologies. But the technologies identified in the Project Paper actually represent broad themes within an even broader field. The Project Paper's implicit focus on a comprehensive and integrated development management framework seems, in retrospect, both overly optimistic and overly narrow. Yet, while project activities varied somewhat from initial plans, the outputs--intellectual products, applied research, field service, and dissemination--are broadly consistent with the project's purpose and goals. The Performance Mangement Project has generated useful knowledge, formulated and tested improved management technologies, and improved program performance. Whether the themes that have emerged from this broader view of development management have long-term significance for A.I.D.'s development priorities remains to be assessed.

Project Description

The ultimate goal of the Performance Management Project is to "increase the cost-effectiveness of development program outputs produced by LDC organizations supported by A.I.D."--that is, to improve the management of host country development programs.

The more immediate project purpose is to help collaborating developing country organizations, A.I.D. missions, and contractors utilize more effective management technologies, including better analytical methods, implementation systems, financial systems, organizational structures, and learning processes. To achieve this purpose, the PMP project applies existing management technologies, develops and tests new ones, and syntheses and disseminates results. This not only includes knowledge about substantive program management improvements, but also knowledge about how such improvements can best be induced. It also involves related efforts to improve the capabilities of management training and consulting institutions.

Although the project paper groups activities in applied research, field service, and networking and dissemination areas, the overall strategy is strongly oriented towards action research. The first step would be "theory building and identification" (see 1/2/84 Kornher Memo) or, more modestly, "literature research, mapping, and developing conceptual approaches" (1986 Management Review). Approaches would then be systematically tested through field interventions (mission and centrally funded), which would provide the basis for "country studies," "how-to-do-it" "technical papers," and final "guidance" reports. The research seeks to understand the dynamics of effective LDC program management, the effectiveness of alternative change strategies and management improvement tools (including management training as a change strategy), and the means for strengthening LDC educational and training institutions.

The PMP project paper delineates two major applied research themes--program management and management training/consulting--and identifies a number of subsidiary work clusters within each theme. These work clusters seem to reflect categories of the previous project's activities more than any overarching development management framework. Thus, Program Management work clusters include (1) program performance management, (2) people-centered program management, (3) implementation approaches and methods (4) financial management, and (5) new technologies to support program management. The management training and consulting theme encompasses (1) managing organizational change, (2) management training strategies and programming, (3) management training methods and materials, (4) consultants as change agents, and (5) LDC management institutes' development impact. In essence, the project intended to conduct research and provide consultancies to improve program performance; enhance the capabilities of management training and education organizations to improve performance; and learn how performance improvements could best be facilitated.

Consistent with the project's "action research" strategy, a research component would "be built into all technical collaboration efforts that provide for involvement in actual operations of LDC organizations." The project paper anticipated that eight jointly funded, long term adivsors (four working in residence and four through recurrent visits) assigned to eight USAID's would conduct the core of applied research activities. This would be supplemented by the applied research of short-term, mission-funded advisor/consultants, who would conduct an estimated 20 TDY's per year.

The project paper also placed a strong emphasis on dissemination and networking. In addition to exchanges during field service and applied research consultancies, this would include workshops, demonstrations, publications, audio-visual packages, and teaching materials. Key audiences for dissemination included A.I.D. personnel, A.I.D. implementors and contractors, LDC collaborators, LDC management institutes, PVO's, professional associations, U.S. universities, and international organizations. Project implementors were expected to develop common theme networks among members of these audiences--webs of formal and informal relationships that could further the learning and application of learning from the project.

While PMP's ultimate goal was to improve program performance and its purpose was to stimulate the adoption of management improvements, the project's intended outputs were primarily knowledge oriented. The following sections describe these intended outputs in more detail and assess the the extent to which they have been achieved.

Planned Project Outputs

Although the PMP project paper did not specify which implementing agency (DPMC, IDMC, or NASPAA) would conduct what activities, it did provide a detailed list of planned outputs. These outputs were grouped in relation to the project's major applied research, field service, and dissemination functions, and included:

I. "Knowledge consolidation and guidance":

Five overview papers summarizing the state of theory and practice at the beginning of the project and five guidance papers (towards the end of the project) reflecting the knowledge gained through practice, covering

1) "Baseline, state-of-the art document"
2) "Program Performance Mangement"
3) "Management of Organizational Change"
4) "Designing and Programming Management Training"
5) "Increasing the Development Impact of LDC Management Institutions"

II. "Improved Management Technologies Developed and Tested Under LDC Conditions"

A. Six technical papers:
1. "People-Centered Management"
2. "Implementation Approaches and Methods"
3. "Financial Management"
4. "Microcomputers for Program Management"
5. "Integrated Design Perspectivies"
6. "Consultants as Development Change Agents"

B. Eight "Country Assistance Papers" which are the final reports from the eight long-term field support efforts.

III. "Knowledge and Methods Demonstrated and Disseminated"

A. "Seventeen R&D Workshops":
1. One workshop for each overview/guidance topic (baseline, program performance management, management of organizational change, designing and programming management training, and increasing the development impact of LDC management institutions);
2. The remaining workshops covering technical paper topics (three for people-centered development, three on implementation, two on financial management, one on microcomputers, two on integrated design, and one on consultants as change agents).

B. "Eight Demonstrations" of management methodologies (USAID funded "field laboratory applications"). One "demonstration" in each of the following areas:
1. people-centered development;
2. people-centered implementation;
3. implementation systems;
4. financial management (Sahel);
5. integrated design;
6. programming management training for indigeneous institutional development;
7. development of indigenous contractors as change agents
8. assistance to LDC management institutions to increase their development impact.

IV. "Assist Eight LDC Management Support Organizations to use new Technologies"

A. "Four with long-term advisors in-country (75%-85% USAID funded)"
B. "Four with long-term recurrent TDY's (nearly 100% USAID funded)"
C. Plus "short-term action research support" (as funds permit).

V. TDY Field Services Provided Upon Request

(approximately 20 TDY's per year or 120 over the life of the project)

VI. Two "Common Theme Networks" Functioning (organizations and individuals)

A. Program Management
B. Management Training

VII. "Trainers, consultants, and managers trained"

Train, or directly affect the training, of 1200 LDC people and influence the training of thousands more. In addition to "training services" provided by NASPAA and DPMC, the project paper envisioned an "IQC type contract" for quick response "management skills training courses" and also encouraged and supported U.S. training for LDC participants.

Actual Project Outputs Through FY 1987

During its first four years of implementation, PMP produced many of the outputs described in the project paper, failed to produce others, modified some, rescheduled others, and added substantially new products. In terms of the categories delineated in the project paper, this included:

I. "Knowledge consolidation and guidance" products"

The project paper anticipated that five baseline/overview papers would be produced early in the project--during the first year--to clarify the framework for technical assistance and action research. These papers were expected to delineate the "state of the art" in development management, to summarize the diverse academic literatures on which development managers based their practice, and to identify management improvement approaches that could be tested in the field. In practice, the baseline/overview papers took much longer than expected to prepare, were somewhat refocused, and were less clearly related to field activities.

The project paper was quite explicit about the general subject matter of the baseline/overview papers, but did not specify who would prepare the papers or how the subjects would be treated. Although the division of responsibility between NASPAA (three papers) and DPMC (two papers) was fairly quickly decided, specific topics and authors for the papers were not chosen until well into the second project year. Meanwhile, S&T, NASPAA, and DPMC had extensive discussions about rules of evidence and degrees of rigor and how development management theories should be reflected in field activities. Papers were prepared addressing these research methodology issues, but were ultimately judged unsatisfactory. The whole process was delayed by implementation uncertainties--staff turnovers at DPMC and NASPAA and problems in approving a new NASPAA cooperative agreement--that are discussed later. More basically, the field of development management simply proved broader, less coherent, and less theoretically developed than the Project Paper envisioned.

After several attempts, a few rejections, and many revisions, four baseline/overview papers were ultimately published in 1987. This included a "baseline" study summarizing previous development management efforts and reviewing A.I.D.'s historical involvement in development administration by Dennis Rondinelli; an overview of the major theories related to development program management by Louise White; an "overview" of the theory and practice of managing organizational change by Jerald Hage and Kurt Finsterbush; and an "overview" of management training approaches by John Kerrigan and Jeff Luke. The work on LDC management institutions was cancelled when the International Labor Organization published a book precisely on this topic.

Following the experience with baseline/overview papers, plans for eventual guidance papers were also altered. Because of their broader focus, the delays in their completion, and the more limited than expected level of theory and practice, the overview papers did not define clear models and approaches that were then tested in the field. Indeed, extensive fieldwork occurred well before the overview papers were drafted, reflecting the background and experience of practitioners with specific development management approaches. Therefore, rather than organizing individual guidance papers around broad overview topics, project managers now envision a single guidance book (perhaps in two volumes) encompassing the practical knowledge gained through a range of field interventions.

II. "Improved Management Technologies Developed and Tested Under LDC Conditions"

The Project Paper anticipated six technical papers, prepared during the course of the project, that would synthesize theory and practice based on field experience with particular management technologies. However, most of the "management technologies" encompassed by the project were not specifically defined interventions so much as broadly conceptualized improvement strategies, and none of the technical papers have been completed precisely as planned. Papers on "Integrated Design Perspectives" and "Consultants as Change Agents," for example, were dropped early in implementation. While it was initially expected that much of the "change agents" material would be covered in country assistance reports, it is now hoped that it will be covered in the final guidance paper. An effort was made to prepare a technical paper on "implementation approaches and methods," but the resulting lengthy manuscript focused primarily on DPMC's own implementation methods, and was given only limited distribution.

Still, the project has produced a number of relevant technical documents. Marcus Ingle's book on "Microcomputers in Development," for example, originally published by Kumarian Press in 1983, was revised for republication under the project. A useful portion of this book and a paper based on it have already been disseminated. A compendium of David Korten's writings on "people-centered management," rather than the single, integrated paper originally envisioned, is being prepared for publication in late 1987 or early 1988. Numerous papers on "financial management" have also been prepared under the project's aegis, and a longer financial management manuscript is currently being revised prior to publication as a separate volume. In addition, literally dozens of other papers on management improvement technologies have been prepared, presented, disseminated, and, in a few cases, published by project implementation staff.

Several papers developed during the course of the project reflect new knowledge and new themes that were not anticipated at the project's inception. This includes, for example, NASPAA's work on the management of privatization and the implementation of policy reform and DPMC's work on "team planning" methodologies. It also includes preliminary work by S&T/RD and NASPAA on institutional development and institutional assessment methodologies. The emergence of these topics demonstrates the greater than expected complexity and breadth of the development management field and also defines some promising areas for future activity.

"Country assistance reports" (CAR's), documenting knowledge gained through field activities, also proved more difficult to complete than anticipated. In part, this was because PMP implemented fewer long-term (residential and recurrent) consultancies than planned. In part, it also reflected a lack of specificity in the project paper about what CAR's embodied and how they would generalize from experience. To a certain extent, this reflected a real need to refine the broad "action research" (learning from practical experience) methodology outlined in the project paper. But extended discussions among the implementors (from 1984 to 1986) on theory development and hypothesis testing, methodological rigor and canons of proof, and the relationship between specific results and generalizable lessons became over-elaborate and involuted.

By early 1988, only five CAR's had been completed (for Mali, CAR/Djibouti, Ecuador, CARDI, and Haiti), and three had been dropped. Despite all the discussion, the CAR's remained primarily descriptive case studies of actions taken. Three were organized around more complex theoretical assumptions, with the Haiti study providing the best example of a systematic and concise analysis of a complicated, long term effort. Aside from the value of country assistance reports as such, the experience raises underlying questions about the appropriate mix between longer-term consultancies and shorter-term technical assistance, and the dynamics of mission buy-ins, that will be discussed later.

III. "Knowledge and Methods Demonstrated and Disseminated"

The PMP Project Paper envisioned an elaborate series of workshops and demonstrations encompassing all of the areas covered by baseline/overview and technical papers. Project designers seem to have assumed that these represented well defined management improvement technologies that could be fairly easily tested in application. In fact, as the problems preparing overview and guidance papers indicated, many of these technologies--and underlying development management theories--remained broad, ill-defined, and difficult to apply.

S&T/RD managers and project implementors quickly recognized that demonstration and dissemination plans were more elaborate than appropriate--particularly given limitations in core funding--and eliminated the 17 specific workshops outlined in the Project paper. Instead, smaller workshops were organized--as knowledge and experience warranted--around more focused topics. This included, for example, workshops on managing agricultural programs, on micro-computers, and on strategies for organizational change. It also included a number of topically focused "experts" conferences, particularly panels organized around

development management issues at American Society for Public Administration meetings. As practical experience has grown, workshops oriented specifically towards information and technology dissemination have also been developed, as reflected, for example, in the implementors' current workplans.

"Demonstrations" were expected to involve "field laboratory" applications of key management technologies through long-term field service consultancies. Thus, these demonstrations, and the knowledge gained from them, were expected to be a major elements in Country Assistance Reports. As the difficulties in preparing CAR's indicated, however, it was never entirely clear what these demonstrations embodied, how they would be conducted, or how knowledge would be gained. The problem was complicated by the vagueness and multi-faceted nature of several management technologies and the pragmatic and responsive orientation of most initial field consultancies. In the end, while many specific interventions were implemented and evaluated through short-term field consultancies, long-term demonstrations of specific management technologies were never systematically executed.

However, a number of short-term (primarily DPMC) consultancies did "demonstrate" management improvement approaches that were subsequently incorporated in project designs and implemented outside the PMP framework. Examples include DPMC's involvement in the Sahel Financial Planning Project, the Mali livestock project, the MARE (Ministry of Agriculture project) in Malawi, and a CARDI agriculture project in the Caribbean. PMP consultances have also demonstrated the utility of particular intervention and assistance approaches which, while not specific to management improvement, are particularly helpful in this sensitive area. Examples include the use of combined U.S.-LDC technical teams, the use of action training techniques, and the use of team planning meetings.

IV. Assisting LDC Management Support Organizations to Use New Technologies

As with other outputs, the Project Paper listed precise levels of activity for assisting management support organizations, but left the specific nature of activity and what would be accomplished ill-defined. The project paper also tended to take the same activity--for example, long-term field consultancies--and relate it to multple project outputs (intellectual products, demonstrations, organizational support). In this case, the Project Paper seemed to imply that all eight of the long-term field consultancies would include a focus on assisting LDC management support organizations. In fact, some long-term

consultants (e.g., Binkerhoff in Haiti) worked primarily at directly improving the operational management of development programs. Other activities (such as Korten's work in Asia) involved both operational programs and management support organizations. Still other activities (such as Marapa's work with SADCC) focused primarily on enhancing the capabilities of management training and education institutions themselves.

While only a few long-term field activities focused on mangemement support organizations, a number of shorter term consultancies did. This includes assistance to the development of management training institutions in Santo Domingo, Paraguay, Barbados, Costa Rica, India, and elsewhere. Indeed, while less structured as long term "demonstrations," PMP appears to be placing more emphasis on assisting management support organizations than the Project Paper anticipated. Far more than eight such organizations have been helped thus far.

V. "TDY Services Provided"

Demand for development management assistance from the field has proven far stronger than even the high levels anticipated in the Project Paper. Indeed, by the project's second year, when plans for baseline/overview papers were still being debated, the project had already responded to more than 50 requests for field services. By the end of FY 1987, with two years remaining, more than 128 consultancies had been conducted in 51 different countries--more than had been anticipated for the entire project. And, this does not include a variety of PMP-related efforts that were funded outside the project.

These field service consultancies encompassed a wide range of activities--ranging from workshops for LDC managers, to design and evaluation assistance for missions, to continuing interventions to improve LDC development programs. More details about the nature and accomplishments of these TDY's are provided in subsequent sections. It should be clear, however, that the level of TDY activities substantially exceeded planned project outputs.

VI. "Common Theme Networks Functioning"

"Common theme networks" in "Program Management" and "Management Training" have been implemented through a variety of formal and informal activities. In particular, NASPAA and DPMC cooperated in organizing formal sessions and interest groups within relevant professional organizations. This includes a development management section within the American Society for Public Administration (ASPA) which sponsors special sessions at

ASPA's annual meetings and the creation of a "development management network" which sponsors an annual workshop in Washington, D.C. NASPAA's International Section has also developed a specific focus on training and curriculum issues. Both NASPAA and DPMC have developed rosters of development management consultants, trainers, and interested academics, and have disseminated a wide range of publications, working papers, bibliographies, and curricula. NASPAA, in particular, has participated in at least six regional meetings of African management specialists. DPMC and IDMC have presented papers at meetings of Title XII universities, have developed exchange and training for specific agricultural universities, and have facilitated A.I.D. regional Agricultural Officers meetings (IDMC in Thailand and DPMC in Nairobi).

VII. "Trainers, Consultants, and Managers Trained"

The PMP project has directly trained hundreds of development management professionals, equalling or exceeding the Project Paper's numerical projections. This includes training activities associated with PMP's "performance management" consulting, long-term support for management training institutions, and numerous short-term workshops for LDC managers. Additional development management training has been provided by NASPAA through a related contract.

PROJECT IMPLEMENTATION

Management Overview

The Performance Management Project's ambitious aims were to be achieved through a rather complicated implementation structure. The project began with two co-equal implementors: the National Association of Schools of Public Affairs and Administration (NASPAA), funded through a cooperative agreement; and the Development Project Management Center (DPMC) at the USDA, funded through a PASA. NASPAA itself was an association representing more than 250 university programs encompassing a wide variety of faculty with different specialties, perspectives, and international experience. DPMC, with only a small number of core staff, relied extensively on sub-contractors--in particular, over time, an ongoing cooperative agreement with the International Development Management Center (IDMC) at the University of Maryland. Eventually, IDMC emerged as a third, virtually co-equal implementor.

Yet despite its detailed list (pp. 7-11) and precise schedule (pp. 31-32) of planned outputs, the PMP Project Paper provided little information about who would perform what activities or how S&T/RD would manage the overall project. The project paper

did indicate that PMP would be implemented by DPMC and NASPAA, who had implemented the predecessor PME project. The Project Paper also provided detailed first year budgets (pp. 22-28) for DPMC and NASPAA, inflating them annually to estimate a total LOP funding of $5.665 million. And, the Project Paper's exhaustive "administrative feasibility analysis" (pp. 45-53) lauded the implementors' past program and management performance, concluding that "established administrative and implementaton arrangements ... are suitable and should be continued." But the project paper provided little substantive detail about S&T/RD's role in managing implementation--other than noting that "past S&T/RD staff shortages had caused delays in joint decision-making."

The Project Paper briefly noted (pp. 33-34) that "each year of the project both NASPAA and DSPMC will negotiate ... a workplan encompassing planned activities, level of effort, and outputs," including, insofar as possible, "projections of TDY activity as well." These annual workplans were not intended to be "blueprints" with precise time schedules or production plans, but rather best estimates of planned resource allocations, staff obligations, activities, and products to facilitate S&T/RD planning, support, and evaluation. The annual workplan, in other words, was conceived not as "a device to constrain contractors; but rather ... as a performance improvement tool."

The preparation of annual workplans, and particularly the negotiation of responsibilities for activities and products associated with it, fit well the collaborative management style envisioned by S&T/RD and became the major mechanism structuring project management. It has also turned out to be a cumbersome and occassionally frustrating mechanism. The very different character of the implementors, their relative independence, and the scope of activities described in the project paper, provided more than enough room for discussion and disagreement. Given the lack of specificity about the content of applied research products, the fast pace and heavy substantive and procedural requirements of field activity, and the need for regional bureau liaison, it also made PMP a very difficult project to manage.

During most of its implementation, PMP has been managed by one S&T/RD project officer. For a time, the project manager was assisted by one or two S&T/RD colleagues, but while this relieved some of the management workload, it also created coordination problems. Eventually, NASPAA assigned a professional to provide nearly full-time liaison with A.I.D. regarding budgets, reporting, dissemination, and TDY's, somewhat easing the administrative burden.

With many responsibilities and limited assistance, the S&T/RD project manager had to selectively choose which aspects of project implementation to manage most carefully. Given the project's applied research focus, and S&T/HR's strong emphasis

during the early 1980's on theory-building and knowledge generation, it is not surprising that the greatest attention was paid to defining and preparing the project's intellectual products--baseline/overview papers, technical papers, country assistance reports, and the like. It is also not surprising, given the breadth of initial plans and the diversity of the implementors, that this also proved more complicated and time consuming than expected.

The preparation of PMP's intellectual products has generally been managed by committees representing all of the cooperators. During 1983 and 1984, S&T/RD, DPMC, and NASPAA staff spent innumerable hours in meetings and discussions defining the baseline/overview papers, developing lists of experts, and selecting authors. Even more time was spent reviewing, revising, and discussing drafts before the baseline/overview papers were finally published in 1987. Country Assistance Reports (CAR's)--originally intended as rather straight-forward reflections on experience--became ever more elaborate, engendering lengthy debates over the meaning of action research and the nature of evidence. Technical papers proved difficult to focus, and a number of topics were rejected or postponed.

Progress was also slowed by A.I.D.'s decision, after two years of Project implementation, requiring a new cooperative agreement with NASPAA (and by S&T/RD's request for a separate contract for related mission-oriented technical assistance). During much of 1984 and 1985, NASPAA faced uncertain funding, functioning with an interim director and a minimal staff. Work on applied research papers was further delayed by the high level of demand for field services, with more than 50 mission buy-ins in the first two years. But there were also significant differences between S&T/RD and PMP implementors. While providing an effective conduit to member faculty, NASPAA initially lacked the staff resources to provide sustained intellectual leadership. DPMC, meanwhile, remained focused primarily on its own "performance management" approach. While producing numerous "working papers" articulating this approach, DPMC found it more difficult to focus on the project's larger research agenda. While S&T/RD increasingly emphasized the need to prepare specific applied research products, both implementors continued extended discussions of research process. And, both became increasingly competitive over the ownership of research products.

From S&T/RD's perspective, project implementation was becoming captive to the parochial interests of project implementors. From the perspective of project implementors, however, "troika management" often meant delayed decisions, unclear decision-making processes, and confused responsibilities. DPMC, in particular, saw S&T/RD as too product oriented. In DPMC's view the Project Paper oversimplified the applied research process, overspecified substantive research topics,

overestimated the level of development management theory, and underestimated the importance of fieldwork. S&T/RD was seen to be giving increasing priority to intellectual products, rigidly holding to the original research agenda, and changing only grudgingly. DPMC, in particular, perceived little support for writings and approaches that were not part of the original project agenda.

Over time, implementation problems have diminished and management processes have improved. S&T/RD comments on workplans more quickly, modifies the research agenda when appropriate, and supports new research topics. NASPAA has gained more stable leadership and expanded its staff. DPMC has successfully marketed its services beyond S&T/RD and, through its cooperative agreement with IDMC, gained access to a university based pool of researchers. Management problems did emerge, and some remain, but they do not appear to be major impediments to project success.

NASPAA

Summary:

Under PMP, NASPAA has effectively implemented a wide ranging program of applied research, field service, and dissemination. While progress was somewhat delayed by difficulties in implementing a new cooperative agreement, NASPAA has generally been quite responsive to S&T/RD's applied research agenda and requests. Field service activities have been well received by missions and demand for NASPAA consultancies remains high. These field service activities do not, however, always have a clear cut relationship to the project's larger purpose of improving management technology or its goal of increasing management effectiveness. Korten's work in Asia, for example, has had a broad impact on mission programming and strategy, but has had less clear cut effects on particular LDC development programs. (However, his work in the Philipines prior to PMP appears to have had substantial program impact.) NASPAA's clearest results have been in strengthening management training institutions, for example, in Southern Africa and Paraguay. Some field service activities, such as the Francophone Management Seminars, while quite popular and apparently useful, are less clearly related to NASPAA's applied research agenda and might be "spun-off" as separate efforts.

NASPAA has also engaged in applied research in areas not envisioned by the PMP project paper. While NASPAA could potentially become too dispersed in pursuing the diverse interests of its members, several topics appear both promising and important, and warrant fuller exploration in PMP's final years and any eventual follow-on. This includes, in particular, NASPAA's work on privatization, the implementation of policy reform, decentralization, and institutional analysis.

Historical Background:

NASPAA was created in 1972 as a university association developing curricula and coordinating programs in the field of public administration. This provided an institutional forum that complemented the existing professional society for faculty and practitioners, the American Society for Public Administration (ASPA). About ten years ago, NASPAA began to play a growing role in conducting peer reviews and developing standards for model curricula. This culminated in NASPAA's recognition in 1985 as the formal accrediting body for programs in public affairs and administration.

Although NASPAA created a Committee on International and Comparative Administration when it was first organized, it had little international involvement until the late 1970's. In 1979, however, the international committee submitted a proposal to A.I.D. that resulted in a cooperative agreement incorporating NASPAA as "co-implementor" of the redesigned Project Management Effectiveness (PME) Project. The agreement aimed at strengthening the capacity of NASPAA and its member institutions in the field of development management and, particularly, at enhancing their role in conducting applied research, providing field services, improving education and training institutions in developing countries, and building networks of management development professionals in the United States and the developing world.

Organizational Development:

During its first year under the PME project, NASPAA began organizing to mobilize the development management resources of its members. NASPAA's international committee became an "international section," a director of international activities was named, a roster of development management experts was created, and procedures for handling field service requests were established. By the second and third years, NASPAA had moved quickly to provide a variety of short-term field consultancies, sending thirty-two teams (eighteen of which were mission or region funded) by April 1982. These activities focused particularly on assessments of training programs and training institutions and assessments of organizational management capacity. During the course of the PME project, NASPAA's staff expanded slowly but steadily: a full-time, field-based professional was added in 1981, a second Washington-based professional was added early in 1982, and a second field-based professional was added later that year.

After the Performance Management Project (PMP) was initiated, NASPAA continued functioning under the cooperative agreement developed during PMEP. In 1984, however, A.I.D.'s Contract Office decided that this cooperative agreement could not be renewed and that some of the field services NASPAA provided to missions would be more appropriately handled through

contracting. S&T/RD began developing a new cooperative agreement covering NASPAA's applied research, networking, and dissemination activities and, after conducting a small study, requested a separate contract covering mission-supervized activities, such as the preparation of project papers. Progress was slow. Regulations covering cooperative agreements were in a state of flux and the decision to award the parallel contract non-competitively aroused substantial controversy. As a result, the new cooperative agreement and contract were not finalized until 1985.

The problems in approving a new cooperative agreement created some confusion and uncertainty at NASPAA. Partly as a result, when NASPAA's International Director resigned to accept a long term position overseas, international activities were managed for nearly two years by an interim director, who lacked development experience, or by NASPAA's senior management advisor, who was deeply involved in field activities. Applied research efforts were delayed and anticipated additions to NASPAA's Washington staff were postponed. Still, field service requests and activities continued at a rapid pace and NASPAA expanded quickly when the new cooperative agreement and contract were finally approved.

Under PMP, NASPAA's role in applied research, its field service activities, its budget, and its staff have all increased substantially--both in absolute terms and relative to DPMC. In 1983, for example, NASPAA received $186,000 in core funding (34% of the fiscal year total for the implementors) for 4 full-time professionals and conducted 14 short term TDY's (with

TABLE 1
NASPAA & DPMC CORE FUNDING

NASPAA:

Year	Authorized Expenditures	Percent of Total Core Funding
83	$186,000	3.27%
84	$426,000	7.49%
85	$456,000	8.01%
86	$549,000	9.65%
87	$565,000	9.93%

DPMC:

Year	Authorized Expenditures	% of Total Core Funding
83	$361,000	6.35%
84	$404,700*	7.12%
85	$339,600*	5.97%
86	$362,000*	6.36%
87	$300,000*	5.27%

(*Including funds for IDMC)

additional support from $333,348 in mission buy-ins). By 1987, NASPAA was receiving $565,000 in core funding (65% of the fiscal year total for the implementors) and conducted more than 20 short-term TDY's (with additional support from $1,397,412 in mission buy-ins). During 1987, NASPAA's staff included a director, a deputy director, a senior management advisor, two senior policy research associates, two long term field advisors, a staff associate, a program associate, a paid intern, a finanical officer, an office assistant, a receptionist, and a project secretary. NASPAA, of course, also utilized a variety of shorter term consultants--approximately 114 individuals from 31 U.S. universities, 23 developing country institutions, and 5 international organizations working in 51 countries through FY 1987--in connection with specific applied research and field service activities.

NASPAA's growth under Performance Management reflects its responsiveness to S&T/RD's applied research agenda, its ability to field experts with a wide range of experience and skills, its cabability in defining new areas of development management theory and practice; and high levels of demand for its field services. This, in turn, reflects NASPAA's role as an association of university programs with a development management network that provides access to a wide range of university faculty. NASPAA's own development management staff consists primarily of university faculty, most of whom will eventually return to academia. NASPAA as an institution is not identified with a particular development management approach or with selling a particular development management service. Without S&T/RD's support, NASPAA's international activities would likely devolve quickly into a much more limited coordination effort. With S&T/RD's support, NASPAA has become an effective vehicle for mobilizing academic resources that extend far beyond the Performance Management Project itself.

Access to intellectual resources does not, however, insure that resources will be focused on the development management issues or applications that are priorities for A.I.D. It is the value of NASPAA's actual applied research, field service, and dissemination that must be assessed.

Applied Research Activities:

Although DPMC provided initial leadership in developing project plans and coordinating applied research activities, NASPAA eventually assumed more of the lead in implementing PMP's applied research agenda. NASPAA's third international program's Director, Louis Picard, organized the publishing of PMP's development management series with Lynn Reinner Publications. NASPAA coordinated the preparation of three of the four baseline/overview papers, is responsible for one technical report, is preparing a final guidance paper, and will be completing three country assistance reports. NASPAA has

also published a number of related "working papers," a periodic Development Management Report (which abstracts new publications and summarizes NASPAA fieldwork), and a variety of curriculum materials. NASPAA staff and consultants have also prepared numerous books, articles, and professional papers related to work supported by the project. (See Annex A for a more detailed analysis and list of NASPAA's development management writings.) The quality, significance, and utility of NASPAA's major applied research products are assessed below:

1) Performance Management Baseline Paper (Rondinelli)

Rondinelli's "Development Administration and U.S. Foreign Aid Policy," seeks to develop a theory of development administration as a tool of foreign policy, but primarily analyzes A.I.D.'s own development management experience. The book's final a plea for "greater participation" by indigenous development managers in development assistance efforts, may be worthy, but is not well supported. At the very least, such participation must be balanced against broader foreign policy interests and goals. For as Fred Riggs notes, "only by recognizing the inextricable relationships between politics and administration...can AID hope to improve its own management and to assist public and private organizations in developing countries to strengthen their administrative capacity" (quoted in Rondinelli, page 180). Rondinelli provides a useful summary that should be widely read by program and project managers, but does not make a significant new contributions to development management theory.

2) Managing Organizational Change Overview Paper (Hage & Finsterbush)

Hage and Finsterbusch's "Organizational Change as a Development Strategy" provides a more detailed assessment of particular management improvement approaches. It focuses on the change strategies and theories embodied in three distinct domestic management literatures: 1) organizational development, 2) organizational sociology, and 3) organizational design. The authors illustrate the applicability of these approaches through case studies of twelve developing country management interventions. In so doing, they consider the appropriateness of different management improvement strategies in different organizational settings, elaborating their "contigency theory" to include new organizational types characteristic of the developing world. Still, Hage and Finsterbusch remain strongly oriented towards Western management practices and styles, arguing that a performance gap is a prerequisite for organizational change, that "elites or other influential groups must perceive that the organization is failing," and that change agents must "raise the influentials' consciousness of performance or

output gaps." (Page 232). This requires substantial agreement between the adviser and his clients on what constitutes "failure." Not surprisingly, Finsterbusch and Hage conclude "that cultural values play a surprisingly small role" in measuring success" (page 233). This will come as a surprise to most development practitioners and scholars--and most host country officials.

3) Management Training Strategies Overview Paper (Kerrigan & Luke)

Kerrigan and Luke's "Management Training Strategies for Developing Countries" summarizes how a wide range of management training technques have been applied in the developing world. The volume's explicit "how-to" orientation, and its strong emphasis on the role of training in organizational change, is particularly relevant to development managers and consultants. The book does not, however, provide any significant new insights for management or training theory.

4) "People-Centered Program Management" Technical Paper (Korten)

This paper is currently being compiled as a collection of David Korten's writings. However, Korten's previous volume on "People-centered Development," while though provoking, appears more oriented towards creating a "social theory" of developmental change than towards providing practical guidance for development managers. Ultimately, Korten's recipe for "empowering" the poor and "reorienting" government bureaucracies remains surprisingly apolitical. Bureaucracies, after all, are first and foremost servants of the state and the political power structure that controls them. The idea that managers and their foreign advisors can subvert this structure by empowering nonelites makes heady reading, but is difficult to implement in the real world of development administration. While such actions may occassionally be tolerated from small PVOs working on the margins, they will rarely be accepted from large bilateral assistance programs trying to make a major difference.

5) Country Assistance Reports

Country Assistance Reports (CARs) were originally intended to be systematic assessments of knowledge gained through long-term development management activities in eight countries. However, PMP mounted only a handful of long-term efforts and none represented rigorous tests of specific development management theories. Despite extensive methodological discussions among the implentors, CARs proved impossible to implement as planned.

By the end of FY 1987, NASPAA had completed two Country Assistance Reports and was planning a third. Instead of focusing on long-term interventions, such as Korten's work on "people-centered management" in Asia, the reports assessed more limited consulting activities. This included reports on an evaluation of a management training project in Ecuador and on management seminars in Djibouti and the Central African Republic.

While the completed reports adequately document selected field activities, they do not fulfill the purpose for CARs envisioned by PMP's designers. (The issue of CAR methodology is discussed in greater detail in the DPMC section.)

6) Public Sector Reform Papers

As part of its field service activity in Honduras, NASPAA prepared two papers on "contracting out," a reform intended to increase program efficiency while enhancing private sector activity. This included an 85 page report to the USAID Mission summarizing experience with "contracting out" in three sectors (housing and urban upgrading, rural primary schools, and rural road construction) and assessing its overall potential and impact; and a 25 page paper presented at the Pacific Regional Science Association meetings summarizing the "contracting out" issues.

While circumstances varied across sectors, and even among projects within sectors, the investigators found that contracting out did not produce all of the benefits commonly predicted by privatization proponents. Contracting out did not, for example, reduce overall construction costs in most cases and may actually have increased costs to the government for the construction of rural primary schools, where community self-help had been part of the government's previous directly administered program. There also appeared to be a significant long term loss of sustainability in order to realize the short-term gain of more rapid school construction. The Honduras study also found that contracting out failed to reduce employment in the public sector.

The major reasons for this disappointing outcome were the lack of competition in the market and the existence of institutional barriers, such as government regulation of contract periods, pricing systems, employee compensation, and specification codes. The investigators drew two important policy conclusions. First, increasing the efficiency of public services through privatization may also require substantial institutional reform in markets and government regulation. Second, policymakers need to carefully consider multiple objectives at the national level, since trade-offs among various political and economic goals always exist.

The study appeared well prepared and included a number of recommendations for the USAID Mission and Host Country. The Mission found the analysis of Rural Primary Education most useful, felt that the analysis of housing and urban upgrading paid insufficient attention to institutional frameworks, and remained unconvinced that rural roads construction had displaced ministry employees or indigenous laborers. In any case, the subject seems ripe for further investigation, so long as privatization remains a major element of A.I.D. policy.

(See Honduras Case Study, Annex B)

7) Other Applied Research

In its annual workplan, NASPAA lists a variety of "other performance management research activities," covering topics ranging from technology transfer to institution building to a "Latin American initiative." Some of these topics represent exploratory studies commissioned by NASPAA--for example, Moses Kiggundu's analysis of the management of LDC organizations. Others reflect broader writings of NASPAA staff and associates, such as Louis Picard's books on rural development, development management, and politics in Botswana and David Korten's recent papers on "third generation" planning for PVO's and NGO's. Other topics, such as technology transfer, sustainability and institution building, and management training institutes suggest possible follow-ups to more focused field service consultancies. Still other topics, such as a proposal for funding field research internships, are simply new mechanisms for research.

NASPAA is undoubtedly correct about the need "to maintain a certain flexibility and responsiveness to changes in development management and A.I.D. environments," but PMP should also remain focused on a relatively small number of important management issues that are not adequately addressed elsewhere. While some changes in emphasis may be appropriate (see Conclusions and Recommendations), great care should be taken before substantial resources are committed to new topics.

Field Service Activities:

While the aim of applied research is primarily to gain new knowledge and the aim of field service is to help missions and LDC organizations design and implement programs and projects, the distinction is in many ways artificial. Field service, after all, provides the means by which the concepts and strategies suggested in applied research are tested and refined. And research is of little use unless it suggests approaches and methods that can improve development management practice. Thus many of the same topics reflected in applied research publications are also reflected in the service activities of consultants in the field.

Major field service activities conducted by NASPAA are described below. Activities that were subjects of evaluation team case studies are assessed in greater detail.

I. Management Training

1) Francophone Management Training Seminars (FDMS)

The development of a capacity to train French-speaking African managers is one of the major field-level accomplishments of the NASPAA cooperative agreement. In the last five years, approximately fifty training events have been organized in Francophone Africa under NASPAA sponsorship, involving sixteen countries and almost 2,000 practicing managers. During that time, the American public administration community contributed significantly to the establishment of operating standards for management development programs in French-speaking Africa. While several different institutions participate in NASPAA-sponsored Francophone African management training (University of Washington, University of California-San Luis Obispo, Texas Tech, and Atlanta University), much of this capacity has been identified with the activities of the University of Pittsburgh.

The basic francophone management seminar provided by the University of Pittsburgh is a well packaged consciousness raising exercise. The seminar is in high demand by missions and host country officials and should be easily available through some kind of routine contracting mechanism, such as an IQC. NASPAA's primary future emphasis, on the other hand, should be on seminar follow-ups aimed at improving the management performance of specific organizations. (See Francophone Management Training Case Study, Annex B)

2) Other Management Training Activities

Nearly all of NASPAA's management improvement interventions (like DPMC's) include some component of direct management training. More specific details on some of these activities are provided in other sections of the report and in the case studies. NASPAA has also assisted in developing the longer term capabilities of indigenous management training institutios, as discussed below.

II. Development of Management Training Institutions

1) SADCC

All of the Southern African countries (Angola, Botswana, Lesotho, Malawi, Mozambique, Swaziland, Tanzania, Zambia and Zimbabwe) are organized under SADCC (The Southern Africa Development Coordination Conference) in an effort to

achieve accelerated economic growth. In 1984, SADCC's Regional Training Council (RTG) sponsored a survey, funded by USAID and conducted by NASPAA, of management training needs of member countries. The survey, utilizing innovative research methods implemented by a team of five Southern Africa and U.S. specialists, yielded an influential report on "Improving Management in Southern Africa." In September 1986, the SADCC Council of Manpower Ministers and the RTC established a Development Resource Center (MADREC), as recommended by the NASPAA study, as a mechanism for providing manpower support. MADREC targetted management as a priority area and conducted a multi-donor workshop to examine management development issues. A.I.D. responded by developing a PID for an eight year project.

NASPAA proposed implementing the first year of such a project (now reduced to a total of three years) and then transfering project responsibilities to a competitively selected contractor. However, signing of the project agreement was delayed past the end of the fiscal year, while the Head of the RTC polled SADCC members, and project funding was lost.

At this point, the A.I.D. regional office could only provide about $400,000 to support some of the activities that would have been undertaken under the management project. Consequently, on February 12, 1987, NASPAA submitted a proposed scope of work, developed in consultation with SADCC officials, for organizing and staffing a Management Resource Unit (MRU) within MADREC. Under this plan, the MRU would carry out three pilot management training and applied research activities during its first year and provide the basis for longer term institutional development to meet management training needs in selected SADCC sectors. In accordance with the workplan, NASPAA agreed to:

-- examine the demand for management training support activities in the SADCC region through a series of pilot, networking, and workshop activities;

-- develop a series of strategies relating these activities to a plan for strengthening the organizational capacity of the MRU;

-- develop an MRU management system to meet the crucial need for coordination of donor support for management training activities, and

-- help selected management training institutions plan, develop, implement, and assess three pilot management training activities in three different SADCC identified areas of common need.

In March of 1987, the RTC asked NASPAA to recruit a senior management advisor for the MRU. Dr. Rukudzo Murapa of the University of Zimbabwe was appointed to the position on April 1, and immediately began planning activities for the pilot projects. In cooperation with SADCC's Trade Sector in Dar Es Salaam and the Chairman of the RTC, Dr. Muraba organized a seminar on "Management Training for Productivity, Marketing and Intra-regional Trade" at the Botswana Institute of Development Management (IDM), employing research, planning, and training teams from the U.S. and a number of regional institutions. A variety of other management training support activities are now being implemented. (See SADCC Case Study, Annex B)

2) Assistance to Other Management Training Institutions

NASPAA provided recurrent, short-term consultancies to assist the development of other management training institutions in Paraguay, the Domincan Republic, Barbados, Costa Rica, India, and elsewhere. The Paraguay case, in particular, was an innovative and intensive effort by NASPAA, INCAE, and Kansas State University to reorient a local business school curriculum towards management needs, develop a new Masters degree program, and increase involvement and awareness of the local private sector business community.

III. Community and People-Centered Management

From 1980 through 1987, David Korten served as A.I.D.'s Development Management Advisor in Asia under the auspices of the Performance Management Project and its PMEP predecessor. In this role, Korten sought to increase the influence and participation of poor beneficiaries by designing development programs around "social learning approaches" that avoided "blueprint," bricks and mortar project planning; by empowering community participants and increasing their control over development resources; and by reorienting development bureaucracies to serve community interests and needs. Korten sought to restructure A.I.D., other donor, and LDC development programs towards these ends through a wide and ambitious range of activities, including (1) extensive research, prolific writing, numerous presentations and meetings, and intensive networking to articulate and publicize "social learning," "community management," "people-centered development," and "third generation strategic planning" approaches; (2) assistance to A.I.D. missions, other donors, LDC agencies, and PGOs/NGOs in planning development programs adopting these approaches; (3) assistance to A.I.D. missions in designing and managing projects to implement these approaches; and (4) assistance to management institutions incorporating these approaches in education, training, and management support activities. PMEP and PMP provided all

of Korten's funding during his first year with the project, but his core funding declined to one-half and then one-quarter in subsequent years, and was eliminated in FY 1987. PMP funding resulted in several significant intellectual products (in particular, Korten's books on PEOPLE CENTERED DEVELOPMENT (1984) and COMMUNITY MANAGEMENT (1987)), and also provided a convenient contracting mechanism for the Mission and Regional Bureau buy-ins which supported the bulk of Korten's work.

Although Korten's ideas and writings have had a major influence on development management theory and practice, and on development planning and strategizing more generally, his specific contributions to A.I.D. are more ambiguous. Korten's work in planning development strategies, mobilizing bureaucarcies, and building change coalitions has generally been well received, but his influence on particular A.I.D. projects appears less substantial. The sustainable impact of his work on donor bureaucracies and management training institutions is also unclear. Indeed, Korten's own recent shift towards an emphasis on PVOs and NGOs reflects growing frustration over what can be accomplished through public agencies. At the same time, even Korten's severest critics in A.I.D. concede that the benefits from his efforts outweighed their costs. (See Asia Case Study, Annex B)

IV. Public Policy Analysis

NASPAA staff and associates have written and consulted on a variety of policy issues, particularly during the past two years. This includes Moore's work on privatization in Honduras and Panama; Moore and Schaeffer's work on policy reform in Costa Rica and Guatemala; and Connerly's writings on decentralization and institutional analysis.

Dissemination and Networking Activities:

PMP's dissemination and networking activities "serve two distinct but interrelated functions," developing and maintaining links among individuals and institutions and communicating the substantive results of research for application. In fulfilling these functions, PMP must also reach diverse audiences: LDC program managers and decision makers, A.I.D. personnel seeking to improve program management, and development management professionals and students both in LDC's and the United States.

NASPAA in particular--as an association of university programs with university faculty its major clientele--takes this dissemination and networking role quite seriously. It has evolved an extensive program of publication and dissemination, workshops, conferences, site visits, and referals.

1. Publication and Dissemination

Under PMP, NASPAA has published and distributed a wide range of materials. NASPAA coordinated publication of PMP's Development Management Series (through Lynn Reinner Publications) and is directly disseminating the papers written by NASPAA consultants. NASPAA separately publishes a series of Development Management Working Papers (currently numbering more than 15) and its periodic Development Management Report. NASPAA has also disseminated a number of related papers and books, including copies of People-Centered Development (edited by David Korten & Rudi Klauss), case studies on community management, and an analysis of development administration course syllabi. These dissemination activities are facilitated through NASPAA's maintenance and updating of its "development management network" mailing lists and roster of field consultants, and the use of NASPAA's CARINET computer network and various electronic bulletin boards.

2. Workshops and Conferences

In addition to playing a key role in planning and conducting what are now semi-annual "Development Management Workshops," NASPAA has conducted a number of small scale workshops related to specific field activities and applied research products. NASPAA staff and associates have also participated in regular professional meetings, including presentations of development management papers and sessions at the annual conference of the American Society of Public Administration. International activities have also been highlighted, materials disseminated, and mutual interests explored at NASPAA's annual conference of member institutions and at the annual meetings of the International Association of Schools and Institutes of Administration (IASIA), whose current President is a NASPAA staff member. NASPAA has also participated in IBRD organized conferences of management training institutions.

3. Site Visits

NASPAA has sought to communicate project findings, identify opportunities for management interventions, and identify and mobilize management development resources through periodic site visits. This includes meetings with faculty, students, and administrators during site visits to member institutions in the United States; visits to LDC management training institutions; and visits in connection with field service activities for A.I.D. missions.

DPMC

Summary:

Like NASPAA, DPMC has implemented an intensive program of applied research, field service, and dissemination. To a greater extent than NASPAA, DPMC and IDMC core staff have been directly involved in field service consultancies which have remained more clearly focused on a particular "performance management/action training" methodology. These field service activities have been generally been well received and, in a number of cases, appear to have yielded discernable improvements in host country program management (for example, in Thailand, India, Pakistan, the Sahel, etc.). Demand for DPMC and IDMC services remains high, both within A.I.D. and from other international donors, foundations, and host country organizations.

At the same time, DPMC and IDMC have proved less willing than NASPAA to address aspects of S&T/RD's applied research agenda extending beyond their core interests. In part, this appears to reflect the tighter focus of DPMC and IDMC's field activities and their committment to refining the "performance management/action training" methodology through action research. In part, it also appears to reflect DPMC's and IDMC's emphasis on field service, the level of involvement of core staff in field activities, and, at least in the past, somewhat looser management of the report preparation and publication process. DPMC and IDMC did, however, take the lead in developing and refining the CAR methodology and played a vigorous role, along with NASPAA, in jointly managing and critiquing major project publications.

After five years of PMP implementation, DPMC's "performance management/action training" approach is well understood and established as a means of improving the performance of organizational units within formal bureaucratic structures. While the approach should be made available to and used by A.I.D. missions and other development donors and organizations, the basic methodology may no longer need to be a core component of PMP's applied research agenda. In this context, DPMC's recent emphasis on marketing "action training" and "team planning" to a wider clientele appears healthy.

Other aspects of DPMC and IDMC's work might, however, benefit from further refinement through applied research. In this regard, the relationship between organizational process interventions (goal setting, team building, problem definition, and problem solution) and organizational systems and technologies appears particularly relevant. One aspect involves adapting "performance management" techniques to the problems, technologies, and systems of particular development sectors, as reflected in IDMC's promising work on managing agricultural research, agricultural services, and irrigation.

More generally, DPMC and IDMC might better clarify and package specific improvements in management technology that "action training" could transfer (as outlined, for example, in a recent TechnoServe article emphasizing critical inadequacies in LDC management systems and technologies). This focus might also include a broader institutional reform perspective, analyzing the capabilities, needs, constraints, and alternatives embodied in larger bureaucratic systems (as recommended, for example, in a recent article by Connerly and Nicholson).

Historical Background:

The Development Project Management Center (DPMC), part of the USDA's Office of International Cooperation and Development (OICD), was created in 1976 specifically to provide applied research and field services for A.I.D.'s Project Management Effectiveness (PME) project. Unlike NASPAA, DPMC quickly became identified with a particular management improvement intervention strategy. This "performance management" approach recognized that all effective organizations needed (1) "clearly stated and shared objectives;" (2) "a consensus on strategies for carrying out objectives;" (3) "a consensus on roles and responsibilities;" (4) "realistic implementation planning and support systems;" and (5) "operational guidance and adaptive mechanisms for policy and program modification and redesign."

DPMC emphasized that these "generic management functions" had to be filled in very different organizational settings and that improving management performance required "process interventions" to bring about a better fit between management functions and available "management technologies." This involved "multi-level interventions," changes in "informal and formal structure," "group and individual change," "accelerated learning," and a focus on participation and "process" as well as "output." DPMC saw "action training" as the key; a process in which consultants helped participants identify needs and develop new skills while addressing actual management problems in real organizational settings.

DPMC's organizational change approach reflected a number of implicit assumptions. It focused on formal, bureaucratic units and on performance in the bureaucracy's terms. It took the availability of improved management technologies as a given--although much of DPMC's field work developed and implemented specific technical improvements. It emphasized organizational development, with consultants working intensively to improve human relations processes while identifying problems and imparting skills. In practice, DPMC's "performance management" was less a theory of management improvement than a strategy for management consulting. While in many cases a very effective strategy, the continuing tension between management theory and practical management improvement became increasingly paramount as the Performance Management Project unfolded.

Organizational Development:

Although S&T provided all of DPMC's initial funding, the organization quickly developed a strong field orientation. Missions valued "performance management" assistance and DPMC fielded more than 50 technical assistance teams through 1982. By PMEP's end, DPMC was receiving approximately four fifths of its operating budget from mission buy-ins.

DPMC's staff grew only slowly, however, from two professionals in 1976 to four professionals in 1981. As a result, the provision of field services increasingly depended on the use of external management consultants. To better meet field service demands, the final PMEP evaluation strongly recommended that DPMC facilities be improved, its status at the USDA be clarified, and its staff expanded.

Under the Performance Management Project, DPMC changed its name to the Development Program Management Center. DPMC also solidified its status within the USDA, moved to more commodious quarters, and added a fifth professional to its core staff (in 1985). DPMC's primary means of expanding its capabilities, however, was through cooperative agreements with Viriginia Polytechnic Institute and State University (VPI) and the University of Maryland.

DPMC's cooperative agreement with VPI focused on improving financial management by countries in the African Sahel. DPMC first became involved in Sahel financial management under the PME project, conducting initial needs assessments, orientations, training workshops, and consultations at the Africa Bureau's request. However, DPMC could not itself staff the long-term technical assistance required and turned to VPI for help. While this work was separately funded through the Sahel Regional Financial Management Project (SRFMP) beginning in FY 1983, DPMC cited nearly $2 million of technical assistance for financial management (primarily from VPI) in its PMP workplan and buy-in reports. Unfortunately, DPMC's relationship with VPI deteriorated, primarily over differences in management improvement approach, and the cooperative agreement did not result in a continuing, mutually beneficial relationship.

In contrast, DPMC's cooperative agreement with the International Development Management Center (IDMC) at the University of Maryland has developed into such a relationship. The agreement has provided DPMC with easier access to a larger pool of professional staff and to wider university and consulting resources. Over time, IDMC has participated in a variety of management improvement interventions, developed its own areas of expertise in agriculture and rural development, and matured into a full partner in performance management activities. IDMC's own organizational development is briefly described in the following section.

The Performance Management Project continued to place substantial emphasis on field services and mission buy-ins, and DPMC continued performing admirably in this regard. From FY 1983 through FY 1987, for example, DPMC conducted more than 100 technical assistance TDY's for A.I.D. bureaus and missions, including more than 50 TDY's administered directly through PMP. But, the changes from PME involved more than expanding DPMC's staff and increasing its capabilities to respond to mission needs. PMP was clearly intended as an applied research endeavor. In addition to providing field services, DPMC staff were expected to play a central role in generating, testing, and disseminating knowledge about how development management could be improved.

Under PMP, DPMC was expected to take the lead in preparing a number of baseline/overview papers, technical papers, country assistance reports, and guidance documents. However, while DPMC made important intellectual contributions to these products, its applied research role was somewhat different than anticipated. DPMC devoted enormous energy in a largely unsuccessful attempt to develop and refine the Project's field research methodology. However, DPMC staff were not only field oriented, they were committed to a particular "action training" approach, which represented a relatively narrow slice of development management theory and practice. As a result, much of DPMC's writing focused on intellectually legitimizing DPMC's own intervention strategy.

During the course of PMP, S&T/RD relied increasingly on NASPAA rather than DPMC in preparing intellectual products and supporting central project activities. Between FY 1983 and FY 1987, for example, the the proportion of PMP core funding going to DPMC decreased from a peak of 7.2% (in FY 84) to 5.27% (in FY 87), while the proportion of core funding going to NASPAA increased from 3.37% to 9.93%. In absolute terms, PMP funding for DPMC declined only slightly, from a peak of $404,000 in FY 1984 to approximately 300,000 in 1987, but this included funding that DPMC passed on to IDMC and represented a large decrease in PMP's share of DPMC's budget. By FY 1987 PMP core funding had declined to approximately 25% of total DPMC expenses, from a peak of nearly 100% in the early years of PMEP.

When a new DPMC Coordinator was appointed in 1986, she initiated a broad review of the Center's activities and capabilities. She concluded that while DPMC provided valuable services to the field, both its "action training" orientation and its client base needed to be expanded. She moved quickly and successfully to regularize DPMC's status within USDA/OICD, to cement working relationships with IDMC, to develop new products, and to provide services to a broader range of clients, including international agencies and the USDA, as well as A.I.D. As a result, DPMC appears to be moving towards a solider base of institutional sustainability while still serving as a useful resource for A.I.D. missions.

IDMC:

The International Development Management Center (IDMC) was established at the University of Maryland in late 1982 through a formal memorandum of understanding between USDA/OICD and the University. While IDMC was specifically created to support DPMC's development management activities, the Center has a broader committment to reducing the "management gap," particularly for agriculture and rural development programs. More specifically, IDMC seeks "to improve the management of development programs and institutions by pursuing an integrated process of research and development, technical assistance, and action-training."

Through its cooperative agreement with DPMC, IDMC has participated in numerous Performance Management activities, ranging from the preparation of applied research papers to the fielding of long-term advisors and short-term technical assistance teams. IDMC has helped to develop DPMC's overall "performance management" methodology and participated in management improvement interventions in Portugal, Peru, Mali, Haiti, the Sahel, Thailand, Indonesia, and elsewhere. While regular IDMC staff have made important contributions to these efforts, the Center has also served as an effective vehicle for acquiring services from outside experts and consultants.

Over time, five major emphases have emerged that appear to represent the future direction of IDMC's efforts:

1. Development Management Research. IDMC seeks to develop, document, and test improved management technologies as part of all of its technical assistance and training efforts. Products produced in collaboration with DPMC under PMP include an overview paper on development management theory; a technical paper on improving implementation management; working papers on Country Assistance Report (CAR) methodology; and reports on field activities in the Eastern Carribean (with CARDI), Mali, Thailand, Indonesia, Belize, and Haiti. IDMC has also produced a number of related development management working papers, a handbook on monitoring and evaluation for PPC, a reference on "Team Planning Meetings," a book on performance management in Haiti, and a published manual (in French) on monitoring and evaluation methods.

2. Agricultural Research Management. IDMC has assumed primary responsibility for the management improvement component of the USAID-funded farming systems research project being implemented by the Caribbean Agricultural Research and Development Institute (CARDI), has provided development management training for the Center for Agricultural Management Development in Egypt, and is heading the management component of the follow-on National Agricultural Research Project in Egypt.

3. Irrigation Management. IDMC has helped implement management improvements for irrigation projects in Pakistan and India, and expects to provide similar support for new irrigation management activities in Africa and Latin America.

4. Microcomputers in Development Management. Microcomputer applications have been a major component of IDMC's development management efforts in Portugal, the Eastern Caribbean, the Sahel, Egypt, and Thailand. This has also resulted in several PMP related publications, including "Acquiring and Using Microcomputers in Agricultural Development: A Manager's Guide," "Microcomputers in Development" and "Introducing Microcomputers in Developing Countries."

5. Development Management Training. Most of IDMC's technical assistance activities have included at least some element of management training for host country personnel and consultants. IDMC has also organized or participated in a number of substantive workshops on development management theory, microcomputers in development, managing agricultural research, and so on. In addition, IDMC conducted two BIFAD-sponsored workshops on development project management for university personnel and provided extensive networking with Title XII institutions.

(More detailed assessments of particular IDMC and DPMC products and activities are provided in the following sections.)

While IDMC's "special relationship" with DPMC is noted in the Center's charter, IDMC has also sought to develop a broader clientele. While non-DPMC sources accounted for only 7% of IDMC's funding for FY 1983 and 1984, they accounted for 31% in FY 1985. While the percentage of non-DPMC funding declined in FY 1986, the actual level of funding increased slightly from $147,740 to $153,175. Moreover, a recent "External Review of the International Development Management Center" recommended that the University of Maryland assume direct responsibility for a significant portion of IDMC's core funding and increase the staff from five to seven or eight professionals.

Applied Research Activities:

Although the Project Paper did not assign specific applied research tasks to DPMC and NASPAA, the two implementors were viewed as equal partners in refining and implementing PMP's applied research agenda. As implementation proceeded, however, S&T/RD found that DPMC was more concerned with improving management intervention approaches (particularly, its own) and developing improved applied research methodologies. NASPAA was viewed as being more responsive to S&T/RD's research priorities and was given a greater role in preparing applied research products.

DPMC coordinated the preparation of only one of four published baseline/overview papers, has published one technical paper (a book on microcomputers originally prepared under PMEP), has completed three country assistance reports, and is working jointly with NASPAA to prepare a final guidance paper. Drafts of two technical papers, on implementation methods and financial management, proved unacceptable to S&T/RD. A portion of the implementation manuscript has been disseminated as a separate paper and the financial management book is still being revised for publication. DPMC has also prepared numerous working papers (particularly on "performance management," action training, financial management, country assistance report methodologies, and action research strategies), as well as journal articles and professional presentations. (See Annex A for a more detailed analysis and list of DPMC's development management writings.) The quality, significance, and utility of DPMC's major applied research products are assessed below:

1) Development Management Overview Paper (White)

White's "Creating Opportunities for Change: Approaches to Managing Development Programs" offers a useful and successful review of management improvement approaches, and comes as close as any PMP product to suggesting "middle-range" development management "theory." White begins by focusing on sustainability as a key to long term development achievements and proceeds by considering several approaches to improving the sustainability of ongoing host country institutions. (Page 1-2). Her review provides comprehensive and theoretically grounded coverage of the various techniques consultants use to induce change and includes a well-reasoned critique of the advantages and shortcomings of each. While White's ultimate prescription--to pragmatically combine elements from each approach--has some utility for practitioners, she does not fully succeed in the more difficult task of identifying how key variables affect sustainability in various situations. Like Rondinelli and Korten, White is more concerned with promoting change and improving development management practice than with testing a specific development management theory.

2) Microcomputers Technical Paper (Ingle)

Ingle's volume on "Microcomputers in Development" was prepared prior to the PMP's initiation and was published independently by Kumarian Press in 1983. However, the book was reissued and widely disseminated through the project, and has provided the basis for a variety of workshops and consultancies on microcomputers in development management. It is generally recognized as one of the most useful available resources on microcomputer applications for program and project managers.

3) Implementation Approaches Technical Paper (Creshkoff)

This paper was intended to describe and assess a range of implementation approaches relevant to managing development programs. Instead, the lengthy draft manuscript primarily focused on helping outside contractors implement DPMC's "performance management"/"action training" approach. While parts of the paper appear quite useful and have been disseminated, S&T/RD decided not to publish the manuscript, given its narrow emphasis on DPMC's methods. DPMC has since classified the paper as an "internal working document."

4) Financial Management Technical Paper

DPMC has produced numerous shorter papers on financial management in connection with its work in the Sahel, which have provided useful guidance for field consultants seeking to improve financial accountability. In S&T/RD's view, however, DPMC's draft technical paper on financial management was too lengthy and disorganized. S&T/RD judged that the paper would require extensive revision before publication.

5) Country Assistance Reports

Action research--learning through experience with actual organizational interventions--has always been central to DPMC's (and PMP's) management improvement strategy. DPMC therefore placed substantial emphasis on developing and refining a methodology for Country Assistance Reports (CARs) that would provide systematic assessments of PMP's long-term development management efforts in eight countries. However, few of PMP's actual field service activities represented long-term or repeated interventions that provided rigorous tests of specific management theories. Moreover, despite extensive discussions and the preparation of numerous background papers, S&T/RD found the CAR's methodology too elaborate and costly. S&T/RD ultimately funded only three DPMC/IDMC Country Assistance Reports: on Mali Livestock, agriculture in the Eastern Caribbean (with CARDI), and the Haitian Ministry of Plan. While none of these reports provide major new insights for development management theory, they do--particularly the Haiti case--provide useful practical information for improving the effectiveness of management interventions. (See Haiti Case Study, Annex B)

6. Sustainability Report

At S&T/RD's request, DPMC prepared a paper reviewing A.I.D.'s experience in planning and implementing sustainable programs and projects. This paper was an outgrowth of A.I.D. Administrator McPherson's "sustainability initiative" and built on an earlier CDIE

analysis of FY 1984, 1985, and 1986 project evaluations. The draft DPMC report served as input to a series of "sustainability workshops," has been revised by S&T/RD for further dissemination, and provided the basis for a set of action recommendations to the A.I.D. Administrator.

7. Development Management Guidance Paper

During FY 1987, DPMC and IDMC staff began working jointly with NASPAA to prepare a guidance paper summarizing the practical lessons learned about improving development management from PMP field expereience. This guidance paper should be completed in FY 1988.

8) Other Applied Research

DPMC and IDMC staff have prepared numerous other papers, publications, and presentations on action training, team planning meetings, management intervention strategies, agricultural research, and various field service experiences. (Annex A provides a complete list of DPMC/IDMC papers and publications.) Some of these products were funded directly by PMP, others reflect PMP field work, and still others derive from related, but non-PMP funded, development management activities.

During 1987, the new DPMC coordinator and the IDMC Director reviewed the status of all of the unpublished documents, drafts, and papers that had been produced under PMP. They found that "while there is important substantive information and ideas contained in a number of these documents, many of them lack clarity of presentation, provide insufficient country context, are poorly grounded in the literature, and are badly edited and presented. Too many of the documents refer to DPMC appraoches as though they were innovations completely separate from a large body of literature available..." However, the DPMC Coordinator and IDMC Director also concluded that "there are a number of documents in draft or nearly complete form that could be highly useful to development management professionals, consultants and trainers, and developing country program managers if improved, re-written, theoretically grounded, and edited." During 1987 and 1988, therefore, DPMC and IDMC are "moving forward with corrective strategies" to insure that the most valuable parts of this work are made available in an appropriate form to the development management community.

Field Service Activities:

Both DPMC and IDMC pursue an "action research" strategy which emphasizes learning by doing and the importance of hands on experience with actual management improvement interventions. Both organizations therefore place a high priority on technical

assistance and consulting in the field, and both have strong field service records. According to DPMC's FY 1986 Work Plan, "DPMC and IDMC worked with 37 specialists to carry out 125 TDY's in 17 countries" during FY 1985 alone. Indeed, from 1982 to 1985 "DPMC has provided 245 TDY's, exceeding the number of TDY's called for in the Project Paper: 120."

While these numbers appear to include non-PMP as well as PMP funded activities, S&T/RD records indicate that DPMC and IDMC continue to provide extensive field support, conducting at least a dozen TDY's per year between 1985 and 1987. Some of the most significant of these field activities are described below.

1. Sahel Regional Financial Management

Through an Africa Bureau buy-in under the PME project, DPMC conducted initial financial management needs assessments, developed training materials, conducted preliminary workshops, and consulted with missions in eight Sahelian countries. However, the Africa Bureau required long term technical assistance to train indigeneous financial managers and establish more effective financial management systems. With only four professional staff and little in-house technical expertise in financial management, DPMC sought help through a cooperative agreement with Virginia Polytechnic Institute (VPI). From FY 1983 through FY 1985, nearly $5 million was provided for DPMC and VPI's work through the separate Sahel Regional Financial Management Project (SRFMP). During the course of SRFMP differences developed between the cooperators, with DPMC placing more emphasis on action training and the need to build on indigeneous financial management systems, while VPI focused more on technical accounting improvements.

SRFMP's final evaluation concluded that the project had made a significant contribution to improving financial management systems in five Sahelian countries, in enhancing accountability in the use of A.I.D. funds, and in training indigeous financial managers. DPMC's important role in this success was made possible by initial PMEP and PMP support.

2. Managing Agricultural Research

IDMC's work with Ministry of Agriculture and the National Agricultural Research and Extension Training Center in Egypt (initially PMP funded, now non-PMP)

IDMC's implementation of the management component of an A.I.D.-funded agricultural research and extension project implemented by CARDI in the Eastern Caribbean.

3. Managing Irrigation Systems

IDMC's work on irrigation planning and maintenance in Pakistan and India

4. Managing Agricultural Services

DPMC's work with the Ministry of Agriculture in Malawi (initially PMP, now non-PMP funded)

DPMC's work on livestock management in Mali (initially PMP, now non-PMP funded)

5. Improving Planning and Evaluation

DPMC's work in Portugal
IDMC's long term advisor in Haiti (see Annex B Case Study)
DPMC in Thailand
DPMC/IDMC in Indonesia and Kenya (microcomputers)
DPMC Evaluation Team Planning in Yemen

6. Other Field Services

Related A.I.D. services, not PMP funded:

Nutrition Training
Management Training in Tanzania
Policy Dialogue Training
Management of numerous workshops & conferences (e.g., Agricultural Technology Conference, Agriculutral and Rural Development Officers Conference, BIFAD Workshops, etc.)

Related non-A.I.D. services:

Regional Rangeland Management in Syria, Jordan, & Iraq (UNDP)
Adult Education (Kellogg Foundation)
Communication in Development Research in India (OICD)
Management and Team Planning Workshops (OICD)
Short Course on Project Implementation (OICD)
Other Development Management Conferences and Workshops

Dissemination and Networking Activities:

DPMC and IDMC have been quite active in disseminating performance management ideas and experiences and in developing and mobilizing development management networks. This has involved the preparation and distribution of papers, formal sponsorship for topically focused workshops, and participation in professional meetings and activities by individual staff members.

1. Publication and Dissemination

Under PMP, DPMC and IDMC have produced a long list of project-sponsored and project-related papers (see Annex A) While many of these papers are internal working documents, most have been distributed to other development professionals either directly by the authors, informally by the Centers, or through formal publication. Through 1985, DPMC estimated that it had distributed 4,200 project-related publications, compared to the 20,000 publications envisioned by the Project Paper for both implementors over the project's life. Although precise numbers were unavailable, thousands of additional papers and reports have been distributed in the interim. These figures do not appear to include sales and distribution of project-related books (by White, Ingle, and Brinkerhoff) or journal articles.

While DPMC's primary audience has traditionally been host country project staff, the Center realizes that Ministry officials and A.I.D. and other donor personnel have a major influence on development program management. To better reach this broader audience, DPMC has recently developed more innovative strategies for disseminating development management information. For instance, DPMC has begun preparing and distributing short issues papers as well as two to four page abstracts of longer works. These shorter papers include tear off response sheets for comments and inquiries by readers.

2. Workshops, Conferences, and Networking

DPMC and IDMC interact extensively with numerous organizations, programs, and individuals involved in development management. This has involved formal and informal links with U.S., international, and host country agencies, such as A.I.D.'s Bureau for Program and Policy Coordination, the World Bank's Economic Development Institute, the ILO, the UNDP, and the FAO; relationships with major foundations, such as Ford and Kellogg; contacts with private firms, such as Management Systems International and the International Science and Technology Institute; and participation in professional associations, such as the International and Comparative Administration Section of the American Society for Public Administration. Like NASPAA, DPMC and IDMC have been actively involved in planning and conducting semi-annual "Development Management Workshops." DPMC and IDMC also maintain rosters of university and private sector consultants with development management experience. IDMC, in particular, has conducted workshops and provided extensive networking with Title XII agricultural institutions.

DPMC and IDMC have also conducted more topically-focused workshops to disseminate applied research findings and the lessons learned through field service experiences. Through FY 1987, this has included workshops on:

"Microcomputers and Agricultural Management,"
"Management Development in Agriculture,"
"Experimental Financial Management Workshop,"
"Evolving Technologies for Project Management," and
"Microcomputer Workshop for A.I.D. staff."

Other PMP-funded and PMP-related workshops have been conducted as part of the specific field service activities described previously. DPMC has proven particularly effective in involving personnel from regional bureaus and other S&T/RD offies in planning meetings and debriefings for field activities.

Individual DPMC and IDMC staff and associates have presented papers and organized sessions at numerous professional meetings, such as the annual conference of the American Society of Public Administration, the Project Management Institute, and the Society for International Development. Center staff have also participated in related workshops and conferences organized by A.I.D., the USDA, the World Bank, the UNDP, and other international development donors.

CONCLUSIONS

Like its predecessor, the Performance Management Project provides a broad, "thematic framework" for improving the program management, rather than a specific package of inputs and outputs. Within this broad framework, PMP has a number of laudable achievements. It has clarified diverse threads of development management theory and tested specific approaches for management improvement. It has mobilized human resources and improved capabilities for management improvement both in the United States and developing countries. It has provided management training, developed training materials, and strengthened management training institutions. It has provided field services that have enabled A.I.D. missions to better address difficult development management issues in their programs and projects. And, it has supported direct management interventions that have improved the performance of host country development programs.

Yet development management has also proven to be a broader and less coherent field than PMP's designers envisioned, characterized by diverse and competing theories and alternative models, rather than a single, unified approach. It is a field that encompasses a wide range of management problems, which raise different theoretical issues and require different intervention approaches. It is also a field in which consultants must creatively cope with the unexpected exigencies of development management in practice. In retrospect, PMP's intitial specification of applied research products proved over-precise. Some topics bore fruit, others did not, and entirely new issues emerged, reflecting the changing priorities and experience of A.I.D. in the 1980's.

Nearly every A.I.D. activity has a development management dimension and management improvement implications. As such, nearly every A.I.D. activity is also a potential market for the knowledge and experience that PMP is accumulating. Given the complexity of development management problem, the importance of management to program sustainability, and the scarceness of management improvement expertise, there is a continuing high level of demand, and a lack of alternative sources, for much of the technical support PMP provides.

PMP is also fundementally a learning endeavor. Many questions about development management remain unanswered and PMP represents A.I.D.'s only effort to tackle these questions systematically. As in any research and development endeavor, each line of investigation has not paid-off equally, but PMP has gained substantial new knowledge about how development management can be improved and how management improvements can be transferred. Several of PMP's field activities have resulted in management changes that appear to be enhancing the performance of development programs. Few of these management improvements would have been developed or tested without PMP's involvement.

The Performance Management Project has evolved, and should learn from its experience. PMP plays a unique role in A.I.D. as a source of development management ideas and practices, and should continue exploring new issues and applications. At the same time, the project's major emphasis should remain on adapting, refining, and routinizing relatively well understood management technologies, not on achieving theoretical breakthroughs. Successful interventions, once tested and proven, could then be made more routinely available through mechanisms and sources outside the project.

More specifically:

o PMP's major publications successfully synthesized a wide variety of materials on development, organizational behavior, management, and training which had previously remained disparate. PMP made sense of a variety of competing paridigms, theories, and empirical data and focused on their relevance to development management practice. PMP did not, however, develop major new theoretical insights or breakthroughs.

o Other PMP publications provided more detailed explications of particular management intervention approaches (particularly "performance mangement" and "people-centered and community development").

o Several PMP papers identified important emerging issues and important new areas for management improvement (particularly, the management of policy implementation, privatization, decentralization, and institutional analysis).

o PMP supported applied research that tested and advanced the practice of management improvement (particularly, through "performance management" and "community development" approaches.)

o PMP provided an easily accessible/fast response mechanism providing development management leadership, support, and assistance to missions. PMP successfully met a continuing high level of demand from the field, provided services of clear utility to missions and LDC organizations, and effectively demonstrated development management interventions combining a variety of management technologies.

o PMP provided extensive direct management training services (particular through management training seminars in francophone Africa).

o PMP strengthened indigenous management education and training institutions (particularly in Southern Africa, Asia, Paraguay, and the Dominican Republic). While PMP helped to build new programs, improve linkages, and strengthen curricula, the long-term impacts of this institutional development are not yet clear.

o PMP enhanced the capabilities of NASPAA, DPMC, IDMC, and associated faculty and consultants to provide management improvement services and increased professional interest, activity, and thinking in the development management field through a variety of networking, dissemination, workshop, and conference activities.

BROADER IMPLICATIONS

While this evaluation has focused on PMP's immediate outcomes, senior administrators should also consider the Project's broader implications for A.I.D.'s leadership in the development management field. Until recently, most applied research in development management was sponsored by A.I.D. and other bilateral and multilateral donors consistently looked to the Agency for guidance. Now, however, A.I.D. appears to be relinquishing much of its leadership in development management to the World Bank. The Bank has become more concerned with management and institutional development, particularly in Africa, and has established several new organizational units focused specifically on institutional and management concerns. The Bank has also begun shifting its attention from project-level management to sectoral and national program issues and problems of benefit sustainability. The Bank is currently devoting much greater resources than A.I.D to development management, both in terms of the amount of research being sponsored and the number of direct hire staff with development management competencies.

The Bank's Development Management efforts have relied heavily on previous A.I.D. and PMP experience, particularly DPMC's performance management, action training, and team planning meeting approaches. Several of the people now working on development management and institutional issues at the Bank were previously involved in PMP's applied research and field support activities. Just within the past 18 months, for example, the Bank has conducted 24 project design and implementation interventons in East Africa using management technologies, materials, and expertise developed by DPMC and IDMC. Other knowledge and expertise developed through S&T/RD sponsored research are being utilized in the Bank's efforts to incorporate institutional concerns in sectoral and structural adjustment lending.

Meanwhile, A.I.D.'s own resources allocated to development management have diminished. Only one central project deals with broad development management issues, while a second project, "Decentralized Finance and Management," focuses more narrowly on cost recovery and infrastructure maintenance. Only a handful of current Agency employees have formal training in Management, Organizational Behavior, or Public Administration.

AID should consider the effects of progressively withdrawing from development management leadership. Should A.I.D. abandon an area in which it has a clear comparative advantage and in which the bulk of human resources are American either by training or nationality? Should A.I.D. cede leadership to an organization that is primarily concerned with the performance of governmental and quasi-governmental organizations? How will A.I.D. meet the growing demand for management assistance from developing countries that increasingly look to the Agency for support?

Senior A.I.D. managers may also want to consider the linkages between continued support for development management and A.I.D.'s internal efforts to improve management performance. After a history of seminal work in development management, while largely neglecting its own management needs, it is ironic that A.I.D. is attending to the latter, while de-emphasizing the former.

Allocations under conditions of scarcity are never easy. A.I.D. must certainly invest its resources in areas that make the most difference. While there are no development management "silver bullets," ten years of progress demonstrate that past development management investments have paid off. Management has been a critical issue during the 1980's and will remain so in the 1990's. A.I.D. has done much to enhance the climate for management improvement in the developing world, but must still respond to the needs this improving climate has evoked.

RECOMMENDATIONS

During PMP's final 18 months, major emphasis should be placed on clarifying the lessons learned through PMP's experience, translating these lessons into operationally useful forms for A.I.D. missions and LDC agencies, and transfering the greatest possible management improvement cabability to continuing U.S. and LDC institutions. In this regard, PMP's planned technical and guidance papers are crucial. They should clearly delineate "tried and true" management interventions: what works, how it works, and how it can be best applied in the field.

More generally, and particularly for any eventual follow-on:

1. PMP's primary focus should be on refining, validating, and adapting relatively proven management improvement approaches, and on applying these approaches to actual management problems, rather than on achieving theoretical "breakthroughs." Promising topics for new or more focused research include "performance management" as it relates to specific technical fields (e.g., irrigation, agricultural research, forestry, marketing, etc.) and the role of PVO's/NGO's in "community development."

2. PMP's intellectual products should emphasize operationally-based guidance that clearly relates development management theory and practice through field experience. This rarely involves basic research or rigorous proof, but must clearly link management interventions and performance improvements.

3. PMP should continue exploring a relatively small number of new applied research topics that have high potential for application and high priority for A.I.D. Emerging topics warranting particular attention include institutional assessments, policy analysis, and management support for A.I.D.'s privatization, decentralization, and program sustainability initiatives.

4. PMP should continue expanding management assistance resources, by:

   a. Encouraging project implementors to seek diversified funding for management improvement efforts from other donors, LDC agencies, and A.I.D. offices and missions directly, where appropriate;

   b. "Spinning off" proven management intervention approaches (such as "team planning meetings," "management training seminars," and "performance management" elements) and making them routinely available (for example, through an IQC);

c. continuing to disseminate improvements in development management theory and practice through publication, conferencing, and networking activities; and

d. encouraging and assisting selected institutions to improve their development management capabilities (as, was done, for example, by involving more universities in management training initiatives)

5. PMP should be more selective in meeting requests for field services from missions. Field services should either advance PMP's knowledge about management improvement or provide development management assistance that is unavailable elsewhere. Where other sources of assistance exist, PMP might play a useful brokering role.

6. PMP should continue efforts to strengthen LDC management education and training institutions, but should clarify its strategy and objectives. This should include more clearly delineated links between training improvements and program management interventions, including follow-ups to management training seminars.

7. While PMP should remain flexible in addressing emerging development management issues, S&T/RD managers should be more assertive in clarifying priorities, responsibilities, and expected products for implementors.

8. PMP should continue addressing the long term sustainability of NASPAA, DPMC, IDMC and indigenous management institutions by encouraging broader support for their development management activities and, particularly, by emphasizing the use of local expertise and local training capacity, whenever possible.

ANNEX 1

INTELLECTUAL PRODUCTS

Although the PMP Project Paper outlined an ambitious agenda of "state of the art" publications on development management, it provided little substantive clarification about what these intellectual products should contain. As a result, S&T/RD and its collaborators spent innumerable hours discussing the appropriate focus and objectives for development management publications. Particularly during PMP's early years, this reflected a continuing tension between an emphasis on theory building and intellectual breakthroughs (spurred by S&T management) and an emphasis on field relevance and practical utility. Ultimately PMP resolved the apparent conflict by focusing on "middle-range" theory, synthesizing existing management knowledge from diverse disciplines and demonstrating its applicability to actual development management problems. Given PMP's multiple aims, three distinct dimensions for evaluating PMP's publications can be distinguished: their intellectual contribution, practical utility, and breadth of dissemination.

Intellectual Contribution:

Major intellectual contributions in the social sciences generally involve additive refinements to existing theory based on empirical evidence: testing what we think we know in actual situations and evolving new theoretical constructs that enhance our predictive powers. Judged against this admittedly high standard, PMP's products have made only a limited contribution. None has yielded a theoretical "breakthrough."

However, much social science research has more limited goals. In a newly emerging field such as development mangement, clarifying and synthesizing existing knowledge is an essential first step. In this regard, PMP's publications have been much more effective. They have successfully woven diverse strands from anthropology, sociology, psychology, education, political science, and public administration to create the theoretical underpinnings for development management practice.

Rondinelli's "Development Administration and U.S. Foreign Aid Policy," for example, seeks to develop a theory of development administration as a tool of foreign policy, but primarily analyzes A.I.D.'s own development management experience. The book's final a plea for "greater participation" by indigenous development managers in development assistance efforts, may be worthy, but is not well supported. At the very least, such participation must be balanced against broader foreign policy interests and goals. For as Fred Riggs notes, "only by recognizing the inextricable relationships between politics and

administration...can AID hope to improve its own management and to assist public and private organizations in developing countries to strengthen their administrative capacity" (quoted in Rondinelli, page 180). Rondinelli provides a useful summary that should be widely read by program and project managers, but does not make a significant new contributions to development management theory.

Korten's "People-centered Development," on the other hand, is more oriented towards creating a "social theory" of developmental change than towards providing practical guidance for development managers. Korten's aim is to increase the influence and participation of poor beneficiaries by designing development programs around "social learning approaches" that avoid "blueprint," bricks and mortar project planning; by empowering community participants and increasing their control over development resources; and by reorienting development bureaucracies to serve community interests and needs. Although Korten's ideas and writings have had a major influence on development management theory, and on development planning and strategizing more generally, his specific contributions to development practice are more ambiguous. In the end, Korten's recipe for "empowering" the poor and "reorienting" government bureaucracies remains surprisingly apolitical. Bureaucracies, after all, are first and foremost servants of the state and the political power structure that controls them. The idea that managers and their foreign advisors should subvert this structure by empowering nonelites makes heady reading, but is difficult to implement in the real world of development administration. Such actions may occassionally be tolerated from small PVOs working on the margins, but will rarely be accepted from large bilateral assistance programs trying to make a major difference.

White's "Creating Opportunities for Change: Approaches to Managing Development Programs" offers a useful and successful review of management improvement approaches, and comes as close as any PMP product to suggesting "middle-range" development management "theory." White begins by focusing on sustainability as a key to long term development achievements and proceeds by considering several approaches to improving the sustainability of ongoing host country institutions. (Page 1-2). Her review provides comprehensive and theoretically grounded coverage of the various techniques consultants use to induce change and includes a well-reasoned critique of the advantages and shortcomings of each. While White's ultimate prescription--to pragmatically combine elements from each approach--has some utility for practitioners, she does not fully succeed in the more difficult task of identifying how key variables affect sustainability in various situations. Like Rondinelli and Korten, White is more concerned with promoting change and improving development management practice than with testing a specific development management theory.

Hage and Finsterbusch's "Organizational Change as a Development Strategy" provides a more detailed assessment of particular management improvement approaches. It focuses on the change strategies and theories embodied in three distinct domestic management literatures: 1) organizational development, 2) organizational sociology, and 3) organizational design. The authors illustrate the applicability of these approaches through case studies of twelve developing country management interventions. In so doing, they consider the appropriateness of different management improvement strategies in different organizational settings, elaborating their "contigency theory" to include new organizational types characteristic of the developing world. Still, Hage and Finsterbusch remain strongly oriented towards Western management practices and styles, arguing that a performance gap is a prerequisite for organizational change, that "elites or other influential groups must perceive that the organization is failing," and that change agents must "raise the influentials' consciousness of performance or output gaps." (Page 232). This requires substantial agreement between the adviser and his clients on what constitutes "failure." Not surprisingly, Finsterbusch and Hage conclude "that cultural values play a surprisingly small role" in measuring success" (page 233). This will come as news to most development practitioners and scholars--and most host country officials.

Kerrigan and Luke's "Management Training Strategies for Developing Countries" summarizes how a wide range of management training technques have been applied in the developing world. The volume's explicit "how-to" orientation, and its strong emphasis on the role of training in organizational change, is particularly relevant to development managers and consultants. The book does not, however, provide any significant new insights for management or training theory.

Brinkerhoff's "Management Capacity-Building in Haiti's Planning Ministry: A Country Assistance Report" reflects a more applied research component of PMP's intellectual output. While the report does not really provide "a major data base linking development management theory to practice," (Page 1) it does offer a more limited case study with a few theoretical trappings. For example, while the report describes the use of the "critical event" method for technical consulting, it never clearly delineates the criteria for determining what is a "critical event," and simply recognizes such events post factum. Nor do Brinkerhoff's summary propositions greatly sharpen our understanding; e.g., "successful interventions requires a minimum level of stability and continuity in the target organization." (Page 34) Most deer hunters already know that it is easier to hit a standing than a moving target; what we need to know is how to hit the deer when its running through the woods.

Another applied research paper, on "contracting out" development services to the private sector, was prepared by NASPAA consultants for USAID/Honduras. While circumstances varied across sectors, and even among projects within sectors, the investigators found that contracting out did not produce all of the benefits commonly predicted by privatization proponents. The major reasons for this disappointing outcome were a lack of market competition and the existence of institutional barriers, such as government regulation of contract periods, pricing systems, employee compensation, and specification codes. The investigators drew two important policy conclusions. First, that increasing the efficiency of public services through privatization may also require substantial institutional reform in markets and government regulation. Second, that policymakers need to carefully consider multiple objectives at the national level, since trade-offs among various political and economic outcomes always exist. The study was well prepared and included useful recommendations for the USAID Mission and Host Country. The topic, moreover, seems ripe for further investigation, so long as privatization remains a major element of A.I.D. policy.

Although Ingle's volume on "Microcomputers in Development" was prepared prior to the PMP's initiation and was published independently by Kumarian Press in 1983, the book was revised, reissued, and widely disseminated through PMP, and has provided the basis for a variety of workshops and consultancies on microcomputers in development management. It is generally recognized as one of the most useful available resources on microcomputer applications for program and project managers.

In summary, PMP's intellectual products did not yield any new development management theories or substantial refinements to existing theories. PMP's writings did more clearly delineate development management's theoretical underpinnings, successfully synthesized literatures from a wide range of disciplines, and effectively summarized management intervention alternatives. Overall, the writings were less oriented towards academic scholarship than towards producing a body of directives for practitioners.

Practical Utility:

PMP's writings appear far more useful to development practitioners than to the academic social science community. While few of the products (with the exception of the Kerrigan and Luke volume) have an explicit "how-to" orientation, the strong emphasis on organizational change is particularly relevant to development managers and consultants. Taken together, the writings make a convincing case that greater local involvement in designing and implementing management interventions is an essential basis for greater sustainability.

Rondinelli's review of the history (and failure) of AID's technical assistance in development administration, for example, should be read by all program designers and project managers.

White's volume could be a core assignment in middle- and senior management training programs in any developing country. Hage and Finsterbusch provide useful insights from organizational theory for development consultants. Even Kerrigan and Luke's work, despite its narrow focus, provides a useful "cookbook" for development trainers.

Country Assistance Reports, however, may need some rethinking. While useful as case studies, most appear too site-specific for broader application and lack the unifying framework that would enable them to generate middle-range hypotheses for testing.. On the other hand, Korten's work, while thought provoking, tells us too little about the affect of specific variables on management performance and too much about social theories of community development.

Dissemination:

Based on volume alone, the project gets high marks: the bibliography of intellectual products extends to several pages and hundreds of entries. A closer look, however, reveals that most items are working papers that have not been submitted for peer review, that there is much duplication of material under different titles, and that many writings were prepared prior to project initiation or outside of actual project assignments. While the list of papers remains substantial, it is also swollen.

Most of the papers produced through the project are only available to those with access to A.I.D.'s library or to the implementors' own distribution systems. While A.I.D.'s library is widely accessible, and while the implementors have disseminated key papers to thousands of practitioners worldwide, this places a definite limit on their availability and influence. Several articles have been published. While a few have appeared in major journals, and should be widely available, most have appeared in more obscure sources (such as the "Canadian Journal of Development Studies" or the "Pakistan Management Review") and are much less accessible to management professionals, particularly in the developing world. However, a number of PMP contributors (in particular, Korten, Rondinelli, Brinkerhoff, and Ingle) have actively disseminated their material through professional conferences, panels, and workshops.

Four major volumes have been published by a small American company, Lynn Reinner Press. S&T/RD and the project implementors have directly distributed several hundred copies of these books, but the publisher's ability to disseminate these materials more widely remains unclear. Although early sales appear promising, broader dissemination will also be greatly inflenced by the appearance and character of reviews in professional journals. While a favorable review of White's volume will be appearing shortly in the American Political Science Review, most reviews will not appear until a year or more after publication.

CALENDAR OF LEAVE FOR IDM FOR 1988

	TDY, Training, Annual	Dates
FOSTER, Therese		
FRENCH, Jerome T.	TDY - East Lansing (MSU)	5/15 - 5/18
LINCH, Peggy Anne	Annual	4/25 - 4/29,
	Annual	5/26 - 5/27
	Training	6/9
	Training	6/27 - 6/28
	Annual	10/6 - 10/7
	Annual	11/25
	Annual	12/30
KORNHER, Kenneth L.	Training	6/6,
	TDY (Tentative)	6/21 - 7/12
	Annual (Tentative)	7/31 - 7/29
MEHEN, Thomas J.	Training	6/20
	Training	6/29- 6/30
	Training	7/14
	Training	7/20
	Training	7/21, 22
NORTH, Jeanne F.	Training	5/24 - 5/25
	Annual	6/6 - 6/15
	Annual	8/30 - 9/9
	Annual	11/25
	Annual	12/23
	Annual	12/26

S&T/RD/IDM:PALinch:pal:4/20/88:5808p
Rev: S&T/RD/IDM:PALinch:pal:5/13/88:5808p

02/23/88

DEVELOPMENT PROGRAM MANAGEMENT CENTER
Publications produced under the DPMC/A.I.D. PASA

LEGEND: J = DPMC reports in Jeanne's office
S = DPMC reports on a shelf in the cabinet
E = DPMC reports in an envelope. Last copy not to be given away.

DPMC was founded as part of the U.S. Department of Agriculture in 1976 with funding from A.I.D. The Center provides consultant services and technical materials in management to developing country institutions. DPMC is particularly known for its action training approach to improving management effectiveness.

Adams, David. (Nov. 1985) Project #521-0167 Mid-Term Evaluations: Technical Consultants--Training Project--Min of Plan & Evaluations Haiti.

J Berge, Noel and Edwin Connerley (May 1983). Report on March 1983 Consultancy and PROCALFER 1983 Microcomputer Training Plan. PD-AAN -542

Berge, Noel, Marcus Ingle, and Marcia Hamilton (1986). Microcomputers in Development: A Managers Guide. West Hartford, CT: Kumarian Press, 157 pp.

Brinkerhoff, Derick W. (June 1984). La Planification de L'Execution de Project (Module A.1), pp. 17.

This module is part of a larger set of materials being developed for the Ministry of Plan of Haiti on "Management and Analysis Tools for Development Project." It introduces a six step method for implementation planning.

---------- (August 1984). L'Evaluation (Module A.2), pp. 59.

This manual introduces the basic concepts and theoretical underpinnings of evaluation, along with techniques and tools which can be useful in carrying out evaluation of development projects.

---------- (1984). L'Arbre d'Objectif, pp. 6.

This module introduces the objective tree and demonstrates its uses for project implementation, monitoring and evaluation.

61

----------. La Ventilation des Activities, pp. 5.

This module introduces the work breakdown structure and illustrates how this is a useful tool for implementing, managing, monitoring, and evaluating projects.

Brinkerhoff, Derick. Policy Reform, Program Mgmt -- Bureaucratic Politics: Haiti -- PL-480 Title III.

---------- Nov. 1987. Management Capacity -- Building in Haiti's Planning Ministry: A Country Assistance Report.

J S1 ---------- (March 1985). The Evolution of Current Perspectives on Institutional Development: An Organizational Focus (Draft). (limited distribution).

J ---------- (November 1985) La Formation Pratique (Module A.3), 32 pp. (very limited distribution).

---------- (October 1986) System d'Execution de Projects: Modules Techniques sur les Methodes et Outils de Gestion de Projects. (under the guidance of)

Brinkerhoff, Derick and Jean-Calude Garcia-Azmor. Politics, Projects, and People: Institutional Development in Haiti. Praeger (1986, 271 pp.

J S6 Brodman, Janice (April 1985). Microcomputer Adoption in Developing Countries: Old Management Styles and New Information Systems. (limited distribution).

J S8 ---------- (April 1986). Microcomputers in Developing Countries: Opportunities and Obstacles. A Summary of the Final Report on Microcomputer Adoption. 46 pp.

J ---------- (1986). Using Microcomputers to Improve Decision-Making in Third World Governments. 24 pp.

J S1 Callier, Sandra S. (Dec. 1985). Interim Country Assistance Report for the Mali Livestock Sector Project. (Draft, for DI when finalized). 46 pp.

62

Callier et al (April 1986). Strengthening the Development Potential of Food for Work: Final Report on the Food for Work Workshop December 3-6, 1985.

Clyma, Wayne. Plans for Mgmt Training and Planning (MTP) Program for Command Water Mgmt Project in Pakistan (March 2, 1986).

J S5 DPMC (Revised June 1979, English and French). Elements of Project Management, 114 pp. PN-AAE-449. (to be revised).

J DPMC (January 1981). International Workshop Proceedings: Evolving Technologies for Project Management Improvement. PN-AAK-497.

J S1 DPMC (Feb. 1982, English, French, and Portuguese). Introduction to the Financial Management Improvement Effort in the Sahel. (to be revised).

J S1 ---------- (May 1983). The Sahel Financial Management Improvement Effort, 1981-82.

J S6 ---------- (Feb. 1985). Brochure. (to be revised).

J ---------- (Oct. 1985). Building a Design and Appraisal Capability in a Developing Country: A Proposal.

J Finsterbusch, Kurt (Nov 1985). An Annotated Bibliography of Works Relevant to Agricultural Research Management and Training in Egypt. 30 pp.

*Grunig, Larissa Schneider and James E. (June 1986). Strategies for Communicating about Management Techniques with Receptive Individuals in Development Organizations. (Draft).

J Harrison-Burns, Bettye (Dec. 1984). DPMC and IDMC: Mutual Assessment Process (MAP).

J S6 E Herr, J. Robert (1982). Project Analysis: Towards an Integrated Methodology.

Hage, Jerald & Kurt Finsterbusch (1985) Organizational Change & Development: Strategies of Institution Building.

J
J S16 E Ingle, Marcus and Noel Berge (June 1982). Microcomputers and Agriculture Management In Developing Countries: Proceedings from Practitioner Workshop, June 3-4, 1982.

This workshop focused on common characteristics of microcomputer applications and suggested several strategies for further use of microcomputer technology. The paper reviews benefits and costs of microcomputer use, and constraining and facilitating factors.

Ingle, Marcus D., Noel Berge, and Marcia Hamilton (1983). Microcomputers in Development: A Manager's Guide. West Hartford, CT: Kumarian Press, 138 pp.

J Ingle, Marcus and Derick Brinkerhoff (August 1982). Kitui Rural Health: Implementation Planning Workshop Materials.

J Ingle, Marcus D., Noel Berge, and Marcia Tiesan (April 1983). Acquiring and Using Microcomputers in Agriculture Development: A Manager's Guide. (to be revised).

J S8 Ingle, Marcus D., Wilfred Owen, Jr., and Donald Spears (June 1983). Management Development In Agriculture: Program Review and Workshop.

*Ingle, Marcus D., Thyra Riley and Claire Wheatley. Improving Performance of the Tanzania Rural Development Bank: Training of Trainers in Management.

*----------Institutional Development: An Approach to Development.

*Ingle, Marcus D. and Dennis Rondinelli. Improving the Implementation of Development Programs: Beyond Administration Reform.

Ingle, Marcus & Kenneth Smith (Dec. 1983) Microcomputers & Agriculture Organizations in Mgmt Applications in Developing Countries: IICA Seminar Costa Rica.

J Ingle, Marcus D. Evolving Technologies for Project Management Improvement (PCI). (Workshop Proceedings) PN-AAK-497

*----------. Implementation Start-Up Consultancy in Kitui.

J ---------- (1978). Program Implementation Policies. (limited distribution).

J E ---------- (1981). Appropriate Management Technology: A Development Administration Perspective. PN-AAL-200.

J E ---------- (1981). Organization and Conceptual Approach of the Development Project Management Center (DPMC), Presentation to the IICA-PROPLAN/USDA-DPMC Seminar in Turrialba, Costa Rica.

J *---------- (1981). Presentation notes - Organization and Approach of the Development Project Management (DPMC), Presentation to the IICA-PROPLAN/USDA-DPMC Seminar in Turrialba, Costa Rica. 18 pp.

J ---------- (April 1983). Evaluating the Appropriateness of Microcomputers for Management Applications in Developing Countries.

J ---------- (May 1983). PROCALFER Implementation System: Regional Workshop and Training Preparations. PN-AAP-739.

Ingle, M.D. and K.A. Smith (December 1983). Microcomputers and agricultural organizations: Management applicions in developing countries. San Jose, Costa Rica: Inter-American Institute for Cooperation on Agriculture. Proplan Document 42. (25 pp.)

---------- (1983). A Team Approach to Improving Implementation: Experience in a Kenyan Agriculture Project.

Ingle, Marcus. Applicaciones de las Microcomputadoras en la Conduccion de Instituciones y Programas alel Sector Publico Agropecuario.

---------- (March 1986). Integrating Management and Production: Improving Performance in Portugal's Ministry of Agriculture.

---------- (October 1986). Irrigation Management Support and Research Project. (Memorandum on meeting).

J ---------- (February 1987). "From Indictment to Improvement," Development International.

J Jones, Andrea, Marcus Ingle, Claudia Liebler, Reginald Petty and George Wilcoson (October 1985). An Overview of the Approach, Activities, Accomplishments, and Suggested Next Steps of a Consultancy to the Center for Agricultural Management Development, Min. of Ag., The Arab Republic of Egypt.

J Jones, Andrea, Wayne Clyma (October 1986). Improving the Management of Irrigated Agriculture: The Management Training and Planning Program for Command Water Management, Pakistan. 38 pp.

----------(May 1986). Management Plan for Command Water Management , WARSAK Lift Canal Subproject Area, Northwest Frontier Province

----------(May 1987). Framework for the Management Plan, Niazbeg Subproject Area. WMS Project Report 54.

----------(June 1987). Framework for the Management Plan, Sehra Irrigation Project. WMS Project Report 55.

----------(June 1987). Revised Management Plan for the Warsak Lift Canal, Command Water Management Project, Northwest Frontier Province, Pakistan. WMS Project Report 65.

J E Kante, M., P. Perkins, J. Raleigh, C. Ritzert, and N. Robinson. (Virginia Tech and USDA/OICD). SRFMP--A Practical Manual for a Simplified Accounting System. PN-AAN-841

Kettering, Merlyn and Levine, David (February 1986) International Training and Human Resources Development Practices and Their Effectiveness.

J Kettering, Merlyn H., Mark Matthews, Thomas Murray, William Naylor, and Judy Shampain (May 1981). Improving Financial Accountability and Financial Management in the Sahel. PN-AAJ-906

* Kettering, Merlyn and Terry Schmidt (Sept. 1984). Guide to Action-Training for Project Management Implementation Systems. 90 pp.

This guide, targeted for donor and host country personnel development organizations, emphasizes basic principles and processes of DPMC's implementation methodology, e.g., building consensus, transferring ownership and responsibility, congruence with existing systems. It also describes basic principles for planning and conducting action-training interventions and workshops, including methodologies for pre-training steps, e.g., processes for identifying needs, motivating key actors, preparing alternative designs, norms, selecting work groups.

J S37 ---------- (Feb. 1984). Making Technical Assistance Teams More Effective, the TPM (Team Planning Meeting) Advantage. PN-AAP-637

This pamphlet briefly outlines the problems faced by multi-disciplinary, multi-agency technical assistance (TA) teams in both long- and short-term engagements. It then presents the Team Planning Meeting approach for overcoming most of these problems.

J ---------- (March 1985). Action-Planning Workshops: Guidelines for Program/Project Officers. (Draft, limited distribution).

J Kettering, Merlyn H. Implementation Planning Workshops: Starting Up Projects on the Right Foot.

J S20 E ----------(March 1982, English and Portuguese). Improving Financial and Program Management. (To be revised.)

A financial management improvement team was sent to the Sahel in early 1981 to recommend strategies and implementation steps to overcome deficiencies in accounting for A.I.D.-sponsored local currency funds in both bilateral and regional institutional support projects. This paper outlines the experience of the effort to date and draws some central conclusions about the appropriateness and effectiveness of the strategy.

67

---------- (May 1981) Promising Approaches to Project Management Improvement.

*---------- (1982) Some Lessons Learned About Use of Short-Term Technical Assistance.

*---------- (May 1984) Project Management Systems Improvement - Agreement between the Malawi Ministry of Finance, U.S. Agency for International Development/Malawi - Consultancy Report, (and annexes). (limited distribution)

J ---------- (March 1985) Accountability and Institutional Development: Improving Financial Management in the Sahel. (Draft 25 pp. + App.)

J ---------- (June 1985) Action-Training for Development Management: Learning to Do and Doing to Learn for Stronger Development Programs.

---------(1986)- Action- Planning Workshops for Development Management: Guidelines .

Kettering, and Bart Sensenig (Nov.1986). Improving Development Project and Program Implementation: A Decade of Learning Experience

J Levine, David B., Vernon Razak, Merlyn Kettering, and Terry Schmidt (April 1985). How to Recruit, Assess, Select and Prepare Effective Technical Assistance Teams. Revised Working Paper. (To be revised.)

Presents a systematic approach used by DPMC for carrying out the recruitment, assessment, selection and preparation of candidates for technical assistance assignments. Beginning with identification of operational definitions f the comprehensive set of skills required, DPMC recommends the use of careful screening, intensive questionnaires, interviews and finally assessment centers.

J S1 Levine, David, Merlyn Kettering, Robert Johnson, and Gloria Steele (November 1985). Interim Report: Pre-Implementation Planning for Malawi's Agricultural Research, Extension and Planning Support Projects.

Murrell, Kenneth (April, 1980) Training and Development for Developing Countries.

18

Murrell, Kenneth (and) Valsan, E. H., IDMC, DPMC. A Team Building Workshop in Egypt: A Management and Organization Development Activity.

Murrell, Kenneth. (1981) OD in Egypt: A Discussion of the Diagnostic Activity.

J S13 E *Poley, Janet (Feb. 1985). Some Lessons from the Tanzania Training for Rural Development Project (TRD).

Roomasset, James. (1987) The Organization & Performance of Marketing Systems: An Inductive Approach.

Schmidt, Terry D. and Merlyn H. Kettering (September 1984) Planning for Successful Project Implementation. (Limited distribution.)

J S9 E Schmidt, Terry (May 1982). Applying Project Implementation Monitoring and Accelerated Learning Systems Concepts to Improve the On-Farm Water Management Program: A Discussion Paper for USAID/Pakistan.

J ---------- (Dec. 1983). Management Methods for Project Success: Team Guidelines for Project Start-Up or Restart, Draft. (Will be revised.)

This reference handbook is oriented to multi-disciplinary technical assistance teams carrying out development projects which have institutionalization objectives. It is based upon the DPMC experience and approaches, emphasizing laying the management foundations through fulfillment of the generic management principles, management systems, collaborative mechanisms and phased start-up activities.

J ---------- (Sept. 1985). Creating a Project Management Systems Training Capacity in Badan Diklat, Department Dalam Negri, Government of Indonesia. Case Study and Lessons Learned. 11 pp. (Limited distribution.)

J ---------- (Dec. 1985). Choosing the Most Effective Technical Assistance Team Approach for Successful Project Development (Draft, 22 pp.)

J Smith, Kenneth A. and Craig Tenney (April 1985). Considerations for Microcomputer Use in Development Management: A Review of Selected Articles. (Limited distribution.)

Smith, Kenneth A. and Barton Sensenig (Nov 1986). Microcomputers in Development Management: Lessons from Research and Experience. 12 pp.

---------- (August 1986) Microcomputers in Development Lessons from Research and Experience.

J Solomon, Morris and Anthony Flaccavento (Revised, April 1985). Using a Microcomputer for Systematic Iterative Improvement in Design and Appraisal, Working Paper #2.

Describes a microcomputer program for designing and appraising an agricultural project based on relevant stakeholder interests.

J S3 E Solomon, Morris, Merlyn Kettering, Pierette Countryman, and Marcus Ingle (May 1981, English and French). Promising Approaches to Project Management Improvement. PN-AAQ-455 (to be revised). Identifies 6 features and explains why each is important. Includes case study material on successful projects in Jamaica, Tanzania, and Indonesia. The methods to improve project management in LDC's are, in and of themselves, limited; the measures must be combined and adapted in the real organizational context to achieve performance results. The findings of these case studies specifically focus on approaches to management training which integrate training with the actual work on development projects.

Solomon, Morris J., Merlyn Kettering, Pierette Countryman, and Marcus Ingle (May 1981). Promising Approaches to Project Management Improvement. 6 pp. (French).

J S12 Solomon, Morris and Lawrence Sespaniak (June 1973). Chapter 10 - Agricultural Projects. (To be revised.)

---------- (May 1985) Une Strategy de Changement d'organization pour les pays en development.

J Solomon, Morris J. Analyse de Project. (To be revised.)

70

J ----------. Requirements for Action-Training Trainers. (To be revised.)

J S8 E ---------- (April 1983). An Overall Human Resources Development Strategy for the Agricultural Sector in Peru.

---------- (June, 1984). An Organizational Change Strategy for Developing Countries.

J ---------- (May 1985 English and French). An Organizational Change Strategy for Developing Countries. 14 pp.

J ---------- (Revised June 1985). How Various Considerations from Different Disciplines Can Be Integrated in Programs and Projects in Developing Countries (Working Paper #1). 19 pp.

Describes how DPMC activates participative working teams in projects and programs and the limitations of this approach. Outlines a "slice" approach in which participative working teams at all levels can be helped to reshape the organization to meet its goals more effectively. Also describes a human development and utilization sub-strategy that complements the "slice" approach.

J ---------- (Sept. 85) Building a Design and Appraisal Capability in the Dominican Republic. A proposal.

*Tuthill, J. (Sept. 1984) Practical Guidelines for Assessing and Explaining Development Management Performance. 29 pp. (limited distribution)

This working paper was developed to provide field evaluation teams involved in development management assessment the operational guidelines and tools to use in evaluating management performance on development projects within the LDC program context. The guidelines emphasize analysis of projects within their institutional setting and in relation to beneficiaries. The framework is based upon the presence and/or application of characteristics of successful project management and upon assessment of certain facilitative conditions which have been found to affect development management, including openness to innovation, self-reliance, continuity, multi-level commitment and participation. Two sets of tools related to strategy identification for the projects/programs and to management characteristics are articulated with exercises for test applications and refinements.

White, Louise G. (March 1984). Lessons in Development Project Management. (Draft).

J White, Louise G. (January 1987). Managing Development Programs Creating Opportunities for Change. 31 pp.

*Historical and not for dissemination

J ----------. DPMC Update. 4 pp.

----------. (June 1979). Elements de Gestion de Project. 126 pp.

----------. (1976-1979). La Formation Par L'Action dans la Planification et le Gestion des Projects. 25 pp.

----------. (1976-1979). La Capacitacion Mediante la Accion en la Planification y Gestion de Proyectos. 23 pp.

J E ---------- (September 1982). A Suggested Framework for Training in Developing Countries - Accelerated Learning Systems, (Draft, Discussion only).

This paper outlines what is meant by an accelerated learning system and shows how the practice of the system might help LDC's better utilize their human resources in project implementation.

J ---------- (Jan. 1982, French and Portuguese). User's Manual for Basic Accounting System. Draft, 75pp. PN-AAL-689. Superseded by Manual by Virginia Tech.

J E DPMC/PROPLAN/IDMC (April 1983). Guidance System Improvement: An Emerging Approach for Managing Agricultural and Rural Development (Internal Working Draft).

DPMC (February 1984). Making Technical Assistance Teams more Effective, the TPM (Team Planning Meeting) Advantage. 8 pp.

J DPMC (1985). The Performance Improvement Approach: An Innovative Framework for Strengthening Agricultural and Rural Development Institutions. 24 pp.

DPMC (October 1985). Building a Design and Appraisal Capability in a Developing Country. (A Proposal). 16 pp.

Eckert, R. and M. Kettering. Development Project Start-Up: A Reference Handbook on Project Implementation for Technical Assistance Teams. 110 pp.

The purpose of this handbook is to help technical assistance teams successfully initiate and execute project implementation. Team members play a wide variety of critical roles, including that of manager. This handbook presents an approach for giving careful attention to management problems that can be anticipated and prevented. It identifies generic management functions, information requirements, management practices and implementation planning steps which systematically address basic development management nees for effective agreements, plans, processes and procedures.

Harbeson, John W. (May 1985). A New Programmatic Focus in Development Management: Toward a Synthesis of Structure, Strategy and Tactics. 38pp.

J Harrison-Burns, Bettye A. (August 1984). CARDI Team Planning Meeting Documentation.

J S1 Ingle, Marcus D. (1979). Implementing Development Programs: A State-of-the-Art Review. PN-AAJ-065

J ----------. Implementing Development Programs: A State-of-the-Art Review: Executive Summary. PN-AAJ-066.

---------- (July 1981). PROCALFER Management and Implementation Manual: Workshop Materials.

J S1 E ---------- (1982). Evaluation of the Kenya Agriculture Systems Support Project (ASSP), Final Report. PD-BAH-356.

J S1 E ---------- (March 1982). Reaching the Poor through Development Assistance: An Overview of Strategies and Techniques.

J ---------- (Oct. 1984). CARDI Farming Systems Research and Development (FSR/D) Project: Initial Institutional Strengthening Consultancy Report.

J ---------- (May 1985). CARDI Farming Systems Research and Development (FSR/D) Project: Third Institutional Strengthening Consultancy Report. (Working Paper)

J ---------- (November 1985). CARDI Farming Systems Research and Development (FSR/D) Project: Fourth Institutional Strengthening Consultancy Report. 12 pp.

J ---------- (October 1985). Management Systems Research and Development: Integrating Agricultural Management Training, Research and Technical Cooperation in the Caribbean.

J Isman, Pat (May 1984). CARDI Farming Systems Research and Development (FSR/D) Project: Project Management Implementation Consultancy Report.

J S2 Kettering, Merlyn and Frank Lusby (Sept. 1984). An Approach to the Evaluation of Financial Management Performance and Improvement of Host Country Institutions on AID Financed Development Projects.

J S3 E Kettering, Merlyn H. and Terry Schmidt (Dec. 1981). Improving Project Monitoring and Implementation Systems: A Strategy and Implementation Plan for a Project Management Information System (PMIS) for USAID/Thailand.

J Kettering, Merlyn H. Overview of the Development and Uses of Project Planning & Management Series of the Ministry of Finance & Planning, Government of Jamaica, Kingston Jamaica.

J S18 E ---------- (April 1980, English, French & Spanish). Action Training in Project Planning and Management: A Review of the Experience of the National Planning Project, USAID/Government of Jamaica, 1976-1979. 37 pp. PN-AAJ-607

Reports on use of the action training strategy in the Jamaica National Planning Project.

Levine, David B. (May 1984). An Approach to Research Methodology Leading to Country Assistance Reports (CAR's). 50 pp.

Provides an overview of the proposed action-research methodology, identifies some of the key assumptions behind it, and explains some major operational elements. It also proposes an action plan which could lead to the full articulation and use of the methodology to yield country assistance reports that lead to continuing learning from a wide range of field interventions.

J Mandell, Marvin B. and Barry Bozeman (May 1983). Toward Guidelines for Conducting R&D on the Guidance-System Improvement Approach.

J S1 Mandell, Marvin B. (Dec. 1983). Monitoring and Evaluating New Managerial Technologies.

Owen, Wilfred. Training Technology in Mobile Management Improvement Efforts: The ERDM Project- Ghana 1977-1982.

---------- (July 1982). Training of Trainers in Management: A Review of a Staff Development Process in Ghana, 1977-1981.

J Rizzo, Edward E. (October 1982). Commentary on the Evaluation of the USAID/CARDI Small Farm Systems Research Project of August 1982.

J ----------. Notes on the Performance Approach to Farm Systems Research.

Schmidt, Terry (Jan. 1984). Implementing Project Management Information Systems in USAID Missions: Case Study of the Thailand Experience. 50 pp.

DPMC designed and supported the development of project management information systems for USAID-sponsored projects in Thailand in 1982-83. This country assignment report covers the design of the effort and the long-term resident assignment. The development of project implementation technologies and applications to specific projects are discussed with a summary of the lessons learned that may be relevant for other development projects and USAID programs.

J S5 ---------- (September 1984). The Action-Training Approach to Project Improvement: Guidelines for the Trainer.

J ---------- (October 1985). The Performance Improvement Diagnostic Tool: A Mechanism for Reviewing the Project Guidance Function.

J Shively, Dick (Nov. 1982). Consultancy Report (Microcomputers), Philippines.

Smith, Kenneth A. (1981). Project Monitoring and Implementation Systems.

J ---------- (August 1982). DPMC and Contract Personnel Management.

J S3 E Solomon, Morris J., Flemming Heegard, and Kenneth Kornher (1977). An Action-Training Strategy for Project Management, 21 pp. PN-AAJ-686

This paper is an early description of DPMC's evolving strategy for achieving project management capability in developing countries. The authors discuss the concept of project management, the strategy of developing an indigenous training and consulting team, and the lessons which have emerged from experience with the strategy.

Solomon, Morris J. Education and Human Resources Development--Working Paper for Office of Central Africa - Draft.

----------. Technologies in the Improvement of Third World Management, Presentation at GSPIA.

---------- (1981). A Model for Applied Research for Agriculture, Rough Draft.

---------- (1985). Trip Report to Rome, October 14-17, 1985, 7 pp. and App.

---------- (June 1985). A Proposed Microcomputer System for Managing Development Projects and Programs. 18 pp. (Working Paper # 1, DPMC).

02/25/88

NASPAA DOCUMENTS

(Produced under the NASPAA/AID Cooperative Agreement)

LEGEND: J = indicates copy is in Jeanne North's office.
S = number of copies on the shelf in the cabinet.
E = indicates enveloped "last copy" in cabinet.

J A.I.M. The Family Planning and Rural Development Associates(FPA). 7 pp.

Baltazar, Ramon G. (1984). Rubber Industry Smallholders Development Authority (RISDA). An Asian Institute of Management case. 50 pp.

J S2 Boatler, Robert and Wendell G. Schaeffer (March 1982). Management Training Project for the Dominican Republic. (Bound) PN-AAP-644

Blair, Harry. Decentralization of Development in Bangladesh. Trip Report on a Visit to USAID Mission.

J Brinkerhoff, Derick W. and Rudi Klauss (April 1983). "Managerial Roles for Social Development Management," Public Administration and Development 5(2):145-156.

J S1 Brinkerhoff, Derick W. (May 1981). Review of Recent and Planned Field Projects with a Development Management Focus or Component in the AID Bureau for Africa. PN-AAP-731.

———— & Klauss: Managerial Roles for Social Dev. Managt. (April 1983). Public Admin. and Development.

J Bryant, Coralie, Louise G. White, Elisabeth Shields, and Therese Borden (May 1983). Research in Development Management: Learning About Effectiveness of Management Interventions, 78 pp.

J Canto, Buena venture F.- AIM (1984). The Cigaru Project. 26pp.

J S1 E Carner, George and David C. Korten (June 1982). People Centered Planning: The USAID/Philippines Experience (NASPAA Working Paper #2), 26 pp. PN-AAL-139

The authors point out that conventional planning methodologies tend to focus attention on the expansion of modern sector economic activity

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and on measures to address the basic needs of the poor, and then describe the efforts of USAID/Philippines to contribute to alternative intervention approaches. Analysis of household survival strategies within the traditional sector are used to highlight needs, constraints, and opportunities for more productive self-help action.

J S2 Cohn, Rebecca W. (April 1985). Beyond Family Planning: Case Study of the Village Planning/Mother Child Welfare Project. PN-AAU-841

J Curtis, Willie (1983). Management Development Training: Some Observations on the Relative Effectiveness of Teaching Methods and Cross-Cultural Application, 32 pp.

This paper reviews empirical research on training methods, with special reference to management training and transferability across cultures. The general conclusion is that little research has been done on assessing effectiveness of various methods in changing work behavior and improving implementation.

Fehnel, Richard (Jan 1986). The Manpower and Training Needs of the Senior Civil Service in Pakistan: A Proposal for Applied Research and Program Development.

J S1 Gable, Richard W., Robert LaPorte, Jr., Abdul Hameed Khan Acharzai (March 1982). Abstract of the Report of the Management Constraint Team.

J S9 Gellar, Sheldon (June 1985). Public Sector Reform and Private Sector Expansion in Mali: The Institutional Context.

J S2 Gould, David. Mpenga Kabundi, Claude M. Sooprayen, N'tungamulonga M. Tshibanda (September 1980). Public Administration Training Institutions in Francophone Africa: An Inventory. (Bound) PN-AAP-640

J Gould, David J. (October 1986). Management Training in Francophone Africa: Factors Contributing to Success or to Failure. 16 pp.

Gould, David (Oct. 1986). Seminar on Development Project - Mgmt for Professional Staff & Member - State Cadres of the Organization for Management & Development of Kegara River Basin. (RWANDA).

————(September) 1987. Improving the Managerial Capacity of Burkina. Institutions: Temporary Assignment in Ouagadouga, Burkina Faso.

Graham, Lawrence S. (June 1986). Country Assistance Report: Training for Development Project, Ecuador.

J S1 E Gran, Guy (September 1983). Learning from Development Success: Some Lessons from Contemporary Case Histories (NASPAA Working Paper #9), 61 pp. PN-AAP-376.

Gran looks at 18 small, locally controlled, self-sustaining activities which have been successful in 4 areas: management effectiveness, resources and services, distribution and equity, and capacity-building. Each case is briefly described and assessed in terms of the four categories. Twelve common characteristics are discussed.

J Hage, Jerald and Kurt Finsterbush (1985). Organizational Change and Development: Strategies of Institution-Building.

This study examines theories of organizational changes and attempts to identify ways in which organizational theory can contribute to development administration efforts.

J S5 E Joy, Leonard (1983). Report on Responses to a Workbook on Social Development Management (NASPAA Working Paper #10), 59pp. PN-AAQ-628

This analysis of responses to a workbook of questions circulated among people known to be interested in people-centered management (social development management) found several important divergences among the group.

J Jumper, Roy (August 1985). Improving Human Resource Management for Egyptian Local Development: Report on the Sakkara Training Center.

J *Katuala, Jacques (Sept. 1985). Finances Publiques et Compatability Publique en Republique de Djibouti: Characteristiques en Base.

J Kerrigan, John and Jeff Luke (1987). Management Training Strategies for Developing Countries Lynne Rienner. 240 pp.

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J S3 Kerrigan, John and Jeff Luke (1985). Management Training Strategies and Development Administration in Lesser Developed Countries.

Kerrigan and Luke examine various management training strategies as they relate to development efforts and discuss the strengths and weaknesses of such strategies in development management.

J Kerrigan, John E. and Ian Mayo-Smith (January 1981). The Sri Lanka Institute of Development Administration. (Bound) PN-AAK-393.

Kerrigan, John (August 1982). Planning Proposals for the Sri Lanka Institute for Development Administration. (Bound)

J Korten, David C. and Felipe Alfonso, editors (1982). Bureaucracy and the Poor: Closing the Gap. West Hartford, CT: Kumarian Press, 258 pp. (orig. McGraw-Hill, 1981). Paper, $9.95.

The editors have collected articles that focus on the management components of development projects aimed at helping the poor. The articles are based on the field experience of the authors and point out that bureaucracies need not be obstacles in the development process. (A review is at the end of the working papers binder.)

J S35 Korten, David C. and George Carner (June 1982). "Reorienting Bureaucracies to Serve People: Two Experiences from the Philippines," Canadian Journal of Development Studies.

The authors argue that effective people-centered development will require use of new planning frameworks and a reorientation of the structures, management systems, and institutional cultures of most development agencies. They present two cases from the Philippines which illustrate promising approaches. One involves the formulation by the USAID Mission of a development assistance strategy based on

analysis of the survival strategies of poor households. The other analyzes the use by the National Irrigation Administration of a central level working group to help define and instutionalize a reorientation in its approach to assisting farmer owned and operated irrigation systems.

J Korten, David C. and Stanislaus Dundon. Learning to Aid the Poor: A Curriculum Proposal. 40 pp.

J Korten, David C. and Rudi Klauss (1984). People Centered Development: Contributions Toward Theory and Planning Frameworks. West Hartford, CT: Kumarian Press, 333 pp. Cloth, $32.50; paper, $16.50. PN-AAR-213

The premise of the volume is that the world is in a fundamental transition to post-industrial society, which will require new forms of organization, planning, and behavior. The editors' aim is to present selections which suggest an alternative and more appropriate theory on which to base development action. Thirty articles address topics such as the global environment, resource competition, social learning, equity and self-reliance, and governance. The final essay, written by David Korten for this volume, develops action themes implied by the collection.

J S35 E Korten, David C. and Norman T. Uphoff (November 1981). Bureaucratic Reorientation for Participatory Rural Development (NASPAA Working Paper #1), 24 pp. PN-AAL-221

Little emphasis has been given in past development programs to the interaction between the requirements of poverty-oriented rural development programs and the bureaucratic structures through which such action is taken. In this paper, Korten and Uphoff discuss the characteristics of bureaucracies and the ways to make necessary changes in structures, attitudes, and procedures in government agencies to assist participatory development.

Characteristics of bureaucracies reoriented for effective development include: 1) widespread agency understanding of and commitment to participation; 2) more internal participation; 3) strong support from the top for participatory strategies; 4) simple, flexible planning and budgeting procedures; 5) personnel systems which reward employees for building self-reliance among beneficiaries; and 6) specialized units and services to meet the needs of different client groups. To achieve bureaucratic reform, the authors emphasize the importance of a learning process approach to reorientation.

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J S5 E Korten, David C. (1977). "Management for Social Development: Experience from the Field of Population," from Laurence D. Stifel, Joseph E. Black, and James S. Coleman (Eds.) Education and Training for Public Sector Management in Developing Countries, Working Papers. The Rockefeller Foundation, N.Y.

J S42 Korten, David C. (Sept./Oct. 1980). "Community Organization and Rural Development: A Learning Process Approach," Public Administration Review 40: 480-511.

Allocating funds to projects targeting the poor is not sufficient to stimulate rural development because external and internal climates of donor agencies tend to favor blueprinted, capital-intensive projects. Successful peasant movements and social development projects have emerged from grass-roots experience that are based on local needs, have strong, usually charismatic leaders, and may involve conflict among different groups in rural communities. These successes typically include three overlapping stages: learning to be effective, learning to be efficient, and learning to expand.

J ———— (1980). Management Institutes Working Group on Social Development: Background Info and Work Plans. AIM-RDMP Paper No. 1.

J ———— (April 1980). Social Development: Putting People First.

J E ———— (1981). "The Management of Social Transformation," Public Administration Review 41: 609-618.

Korten's view of social transformation is based on the visions of those who see an emerging world order based on decentralization, sustainability, and participation. Related to development in this context, social learning involves formation of "learning clusters" of development agencies and local knowledge resource institutions. Networks of these clusters facilitate exchange of information. Foremost among the topics which need attention are 1) mutual self-help approaches, 2)community level natural resource management, 3) bureaucratic reorientation, and 4) planning for closed system economies.

J S3 E ———— (March 1981). Management of Social Transformation at National and Sub-National Levels (Discussion Draft).

J ———— (Winter 1981) "Rural Development Programming: The Learning Process Approach," Participation Review. 8pp.

J ———— (July 1981). "Building National Capacity to Develop Water Users' Associations: Experience from the Philippines". (Paper).

J S1 ———— (1982). Rural Developement Management Program: Status Report and Plans for 1980-1982. AIM-RDMP Paper No. 2.

J S2 E2 Korten, David C. (June 1982). The Working Group as a Mechanism for Managing Bureaucratic Reorientation: Experience from the Philippines (NASPAA Working Paper #4), 33 pp. PN-AAK-996

This paper analyzes the experience of the Philippine National Irrigation Administration (NIA) in the use of a working group mechanism to facilitate the adoption of a participatory approach by helping farmers organize themselves into farmer owned and operated irrigation systems associations.

The working group is defined by Korten as a mechanism for legitimizing and supporting an informal coalition committed to the change objectives. It is comprised of: 1) key people within the action agency concerned about how well the agency serves the needs of its intended beneficiaries; 2) a number of talented individuals external to the agency who are unfettered by the usual bureaucratic constraints; and 3) a donor which provides an independent source of flexible financial resources and assistance in forming and helping the members of the coalition work together. Korten argues that, in combination, these elements serve to relieve a number of the common constraints to change faced within the typical bureaucracy, such as institutional norms, procedures, staffing, and organization.

J S1 ———— (1983). Central Rainfed Farming Systems Project, AIM.

J ———— (January 1983) Reorienting Donor Bureaucracies for People-centered Development. (Draft) 11 pp.

J S5 E Korten, David C. (February 1983). Learning from USAID Field Experience: Institutional Development and the Dynamics of the Project Process (NASPAA Working Paper #7), 23 pp. PN-AAP-767

Several AID projects in the Philippines and Thailand are examples of new thinking about institutional development. Korten argues that the object of institutional development is to develop institutions suitable for, and shaped by, their contexts rather than to transfer institutional forms from elsewhere. The projects described have both operational and learning components. Projects with learning components are best supported by donors which do not require blueprint planning documents.

J S3 ———— (February 1983). Social Development Management: Thoughts on a Strategy for Capacity Building, 16 pp.

———— (March 1983). Bureaucratic Reorientation of The National Irrigation Administration: A Philippine case study, 16 pp.

J ———— (May 1983). People Centered Development: Reflections on Development Theory and Method. 46 pp.

J S2 Korten, David C. (Jan. 1984). "De-Bureaucratizing Development: The New Development Management," Prepared for Publication by UN Development Forum.

———— (March 1984). "The Bureaucrats Can't Do It Alone," UN Development Forum.

J S2 ———— (March 1984). Strategic Management for People-centered Development. PN-AAQ-821

J ———— (July/August 1984). "Strategic Organization for People Centered Development," Public Administration Review, July/August 1984: 341-352.

Korten argues that strategic organization will be the base model for management in the coming post-industrial era just as bureaucratic organizations have been in the industrial era. Strategic organization, described in this article, creates opportunities rather than merely responding to them when they arise in the environment. The organizational cultural consensus supports commitment to quality and service, but managers also appreciate and foster departure from accepted ideas as a source of change. Recent studies of successful public programs suggest that strategic organization can increase performance in both public and private organizations.

J ---------- (October 1984). "External Evaluation and the Learning Process: Reflections on the DDMP Experience."

J S16 ---------- (August 1985). Private Voluntary Development: Toward the Third Generation. 7 pp.

J S10 ---------- (1986). Micro Policy Reform: The Role of Private Voluntary Development Agencies (NASPAA Working Paper #12), 16 pp.

J ---------- (1986). Community Management: Asian Experience and Perspectives. West Hartford, CT: Kumarian Press. 326pp.

J ----------. (February 1987). CARE Indonesia: In Search of a Third Generation Strategy. 20pp.

J Lamb, Gene and Arquimides Armando Orellana (1980). Technology with a Human Touch Vocational Skills Training for Disadvantaged Youth. (Bound)

J Lim, Gill-Chin and Richard Moore. (July 1987) Privatization in Developing Countries: Ideal and Reality. 28pp.

J Lovell, Catherine, Jeffrey A. Raffel, and Richard Ryan (May 1985). International Students in NASPAA Programs: Identification, Needs, and Program Response (NASPAA Working Paper #11), 61 pp. PN-AAT-685

J Makharita, Ragaa (October 1981). An Evaluation of Selected Films for Management Training in the Arab World. (Bound) PN-AAP-639

J S5 Mayfield, James B. The Role of Public Administration and Management in Sudanese National Development: The Need for Decentralization, Reform and Training.

J S5 McCullough, James (February 1987). Integration of Private Sector Management Approaches Into General Management Programs in Africa. 16pp.

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J ———— (1987). Management Training for Marketing and Intra-Regional Trade, Gabarone Botswana, 8/3-14 1987. "Module 1: SADCC Environmental Analysis." "Module 2: Elements of Marketing" (with Patriya Tansuhaj).

J *Montgomery, John. (March 1985). The African Manager (Draft).

J ———— (1985). Bureaucratic Politics in Southern Africa, (Draft), 21 pp.

J ———— (Dec. 1985). How African Managers Serve Developmental Goals (Draft)

J ———— (1985). Life at the Apex: The Functions of Permanent Secretaries in Nine Southern African Countries (Draft) 11 pp.

———— (July 1985). Improving Management in Southern Africa, Final Report to the RTC of SADCC.
The NASPAA study of management training needs in Southern Africa used an innovative research approach involving management events analyses and management diaries to collect data on managerial roles. Interviews and questionnaires supplemented the data. The research team then compared the findings on managerial activities with existing management training to determine the areas in which training is not currently provided.

J ———— (November 1986). Probing Managerial Behaviour: Image and Reality in Southern Africa. 29 pp.

J ———— (March 1986). Levels of Managerial Leadership in Southern Africa (Draft).

J Moore, Richard (Nov 1986). Note on Evaluation Research Design for Contracting Out Study in Honduras. 14 pp.

———— (May 1987) Policy Reform, Conditionality and the International Debt Crisis: Implications for Public Administration in the 1980s and Beyond.

J ———— (May 1987). Contracting Out: A Study of the Honduran Experience. 99 pp.

----------Urban Squatters as Private Developers and Architects: Community Involvement in the Suburbia of Guayaquil, Ecuador (June, 1987)

Moore, Richard (January, 1987), Field Trip Report: Redesign of HIRD Project in Zambia.

----------Final Report & Observations on Seminars on Strategy and Structure for MICI Restructuring Project (August, 1986).

J S2 Morfit, Michael and Mark Poffenberger (1985). Community Participation and Irrigation Development: A Case Study from Indonesia. PN-AAU-840

J Morgan, E. Philip and Jean Marie Duffau (September 1986). Institutional Management Improvement: The Francophone Development Management Seminars in the Central African Republic. 43 pp.

J S4 Morgan, E. Phillip (May 1980). Personnel Improvement in the Kingdom of Swaziland. (Bound) PN-AAK-394

J Morrison, J. Stephen (1986). Perspectives on Privatization: Contracting Out. 8 pp.

Morrison, J. Stephen and Moore J. Richard: Policy Reform: A Bibliography (August, 1987).

Morrison, J. Stephen and Moore J. Richard. Policy Reform: A Bibliography (August, 1987).

J ---------- (1986). Perspectives on Privatization: Contracting Out. 15 pp.

J Morrison, J. Stephen (May 1986). Public/Private Transitions: A Concept Paper (NASPAA Working Paper #13), 22 pp.

J S1 Murapa, Rukudzo and Elisabeth Shields (Feb. 1986). Country Assistance Report: Djibouti, Central African Republic.

J NASPAA (April 1980). Mid-Term Evaluation of Regional Rural Development Training (PAID), (Bound) PD-AAL-328.

J S2 ---------- (July 1982). Social Development Management In the Context of International Development: A Workbook to Initiate an Inquiry. PN-AAL-222

J S1 E ---------- (September 1982). Social Development Management Workshop Proceedings, Feb. 4-5, 1982. (NASPAA Working Paper #6).

This paper recapitulates the first workshop in social development management. Summaries of the discussion and case study material from different organizations working in Upper Volta, Jamaica, and Sri Lanka are included.

J S16 ---------- (April 1983). Social Development Management Workshop Report, April 14-16, 1983 Also includes attendance lists separately.

J E ---------- (Winter 82/83). Development Management Report.

---------- (Autumn 1983). Development Management Report.

J ---------- (Summer 1985). Development Management Report.

---------- (Dec. 1986). Development Management Report.

J ---------- (January 1987). NASPAA Workplan - 1987. 104 pp.

J S2 E Nellis, John and Herman Berkman (July 1981). An Evaluation of the Area Development Sub-Project: Central Tunisia Development Project. (Bound) PD-AAJ-615.

J Nickell, Thomas H. (February 1986). Experience with Public Management Training Programs in LDC's. 8 pp.

J Picard, Louis and Raphael Zarinsky, Eds. (March 1986) Sub-National Politics in the 1980's: Organization, Reorganization and Economic Development (portions).

J S3 Pyle, David F. (June 1982). From Project to Program: Structural Constraints Associated with Expansion (NASPAA Working Paper #3), 9 pp. PN-AAK-999.

Small-scale development projects, particularly those involving the delivery of services at the community level, often have an impressive impact on a modified scale but fail when expanded into large-scale programs.

Based on his experience with nutrition projects in India, Pyle suggests that the difficulties of expanding pilot projects into larger programs are often owing to neglect of organizational and political factors that allowed the pilot project to succeed but become obstacles in the event of expansion.

J Roberts, Richard S., Jr. and Morris Solomon (March 1980). Centre Africain de Formation et de Recherche Administrative pour le Developpement (CAFRAD). (Bound).

J Roberts, Richard S. (May 1983). Direction de la Formation des Cadres. Training of Trainers.

J S6 Rondinelli, Dennis (1984). Development Management in AID: A Baseline Review of Project and Program Management Assistance in the U.S. Agency for International Development. PN-AAP-959.

Rondinelli traces the history of USAID development management strategies from the 1950s to the 1980s.

J S5 Rondinelli, Dennis A. (1985). "Development Administration and American Foreign Policy: An Assessment of Theory and Practice in AID," Canadian Journal of Development Studies, 6(2) 1985: 211-240.

J Rondinelli, Dennis A. (1987) Development Administration and U.S. Foreign Aid Policy. Lynne Rienner Publishers, Boulder CO. 188 pp. [Published with DPMC]

J S2 Ryan, Richard W. (June 1985). Teaching Comparative-Development Administration at U.S. Universities: An Analysis of Course Syllabi.

J S1 Ryan, Richard W. (1986). Teaching Comparative - Development Administration at U.S. Universities: A Collection and Analysis of Syllabi. West Hartford, CT: Kumarian Press, 174 pp.

J Schaeffer, Wendell G. (June 1980). Regional Management Education Institutions in Central America and Mexico. (Bound) PN-AAK-373

J S6 E Schaeffer, Wendell (July 1984). The Formation of Managers for Developing Countries: The Need for a Research Agenda," 18 pp.

Recent empirical research, such as that of Mintzberg, has identified major interpersonal, informational, and decisional roles which characterize management from the lowest to the highest levels. Informational and interpersonal roles have received little attention in management education and training, which typically prepare students for staff and analytic functions only. While donor agencies have sponsored some project-related research, little of this has been undertaken by local institutions in ways that would strengthen indigenous research capacity. Schaeffer argues that innovative methods and use of action research which is "owned" by organizations may help to avoid some of the problems associated with doing research in developing countries.

J ———— (Dec. 1986). Evaluation Report on Paraguay Project INCAE/NASPAA and the Catholic University Faculty of Accounting and Administrative Sciences. 6pp.

———— and Bingman (Nov. 1987). A Management Study of the Ministry of Planning: Hashemite Kingdom of Jordan.

J S2 E Shields, Elisabeth (July 1982). Social Development Management: an Annotated Bibliography (NASPAA Working Paper #5), 62 pp. PN-AAL-223

This bibliography summarizes some 80 basic references related to social learning and transformation, management of social change and political aspects of democratic social change.

J Shields, Elisabeth (April 1984). Report of a Workshop on Development Management. 17 pp.

J S2 Smith, Cal. Action Research. (Case study attached, "Bureaucratic Reorientation Through Action" - Research by Edilberto de Jesus Jr.).

J S6 E Thomas, Ted (July 1983). Reorienting Bureaucratic Performance: A Social Learning Approach to Development Action (NASPAA Working Paper #8), 23 pp. PN-AAP-768

In this context, social learning is an interactive, value-based process of developing social knowledge through collaboration between governments and beneficiaries of public programs. People-centered development is based on social learning and encompasses two intervention strategies: 1) communities are empowered to control and develop their own resources, and 2) bureaucracies are reoriented toward serving the needs of empowered, self-managing communities.

J S2 Thompson, R. Moses (February 1981). Implementation Planning: Higher Education in Cameroon. (Bound) PN-AAP-645

J Tshibanda, Ray N'Tungamulo (March 1982). Draft Report on Interest, Availability and Appropriateness of Individuals, Groups, Companies and Institutions to Contribute Teachers, Training Materials, Physical Facilities and Consulting Services for Financial Management Systems Design and/or Installation in the Sahel 49pp.

J E ---------- (June 1982). Financial and Program Management in the Sahel: Assessing the Potential for Local Resources Involvement. PN-AAL-610.

J S6 E ---------- (August 1982). Improving Management at the Djibouti Fisheries Cooperative Association: A Fiscal Management System. (Bound)

J S1 Vengroff, Richard (August 1980). Local Level Development Administration and Training Needs in Zaire. PN-AAP-638

J Vengroff, Richard (1986). Management Training for Rural Development in Africa: Some Key Issues. 15pp.

J S1 ---------- (June 1983). Training Mission Report: Direction De La Formation Des Cadres Ministry of Morocco.

J ---------- (August 1985). Consultancy Mission Report/Proposed Training Program in Management. Chad.

J S1 ---------- (1986). Training Mission Report: Core Course in Project Management, N'Djamena, Chad, 17-27 March 1986.

J ----------. Training Mission Report: Core Course in Project Management, N'Djamena, Chad, June 16-26, 1986.

et al (1987). Country Training Plan, Central African Republic.

J Whelden, Richard W. (1982). Public Management Training in Developing Countries: A Historical Study of Patterns in A.I.D. Sponsored Projects.

J White, Louise G. (1987). Creating Opportunities for Change: Approaches to Managing Development Programs. Lynne Rienner Publishers, Boulder CO. 283 pp.[Published with DPMC]

Management Training Materials for Francophone Africa

The NASPAA/AID Cooperative Agreement has been supporting work of a group of University of Pittsburgh specialists developing French language management training materials for Francophone Africa. Dr. David Gould heads the effort. The materials have evolved through interaction with African management training institutions and consist of four modules of ten days each: an introduction to project management; human resource management; management of information; and financial management.

Programme-Type d'Enseignement Intensify en Management du Developpement Dossiers Pedagogiques (Version Provisoire), August 1981).

Module 1, Le Management de L'Information, (1983).

Module 2, Le Management des Ressources Humaines, (1983).

Module 3, Planification et Management des Projects, (1983).

Module 4, Le Management des Ressources Financieres, (983).

Benin: Module 2, Planification et Management des Projects, (May 1984).

CAR: Programme du Seminaire, (March 1985).
Examples D'Application des Outils de Preparation des Projects de Developpement (March 1985).
Module 1, Planification, Projects et Developpement, (March 1985).
Module 2, Identification et Preparation des Projects de Developpement, (March 1985).
Module 3, Analyse des Couts, Benefices et Advantages des Projects de Developpement (Analyse Economique et Financiere). (March 1985).
Module 4, Execution, Suivi et Evaluation des Projects de Developpement, (March 1985).

Togo: Module 1, Management des Ressources Humaines, (May 1984).
Module 3, Management De L'Information, (May 1984)
Module 4, Management des Ressources Financieres, (May 1984).

ARTICLES published under the Performance Management Project

Brinkerhoff, Derick W. and Rudi Klauss, "Managerial Roles for Social Development Management," Public Administration and Development 5(2), pp. 145-156 (April 1983).

Korten, David C. and George Carner, "Reorienting Bureaucracies to Serve People: Two Experiences from the Philippines, "Canadian Journal of Development Studies,(June 1982).

Korten, David C., "Community Organization and Rural Development: A Learning Process Approach," Public Administration Review, 40, pp. 480-511 (Sept./Oct. 1980).

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Korten, David C., "De-Bureaucratizing Development: The New Development Management," Prepared for Publication by UN Development Forum (Jan. 1984).

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----------, "Strategic Organization for People Centered Development", Public Administration Review, pp. 341-352 (July/August 1984).

Montgomery, John. "Bureaucratic Politics in Southern Africa" Public Administration Review, # 5, October 1985.

----------, "The African Manager", Pakistan Management Review (March 1986).

----------, "Probing Managerial Behavior", World Development (January 1986).

Rondinelli, Dennis A., "Development Administration and American Foreign Policy: An Assessment of Theory and Practice in AID," Canadian Journal of Development Studies, 6(2), pp. 211-240 (1985).

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published by DPMC and NASPAA

Hage, Jerald and Kurt Finsterbusch (1987). Organizational Change as a Development Strategy: Models and Tactics for Improving Third World Organizations. Lynne Rienner Publishers, Boulder CO, 293 pp.

Kerrigan, John E. and Jeff S. Luke. (1987). Management Training Strategies for Developing Countries. Lynne Reinner Publishers, Boulder CO. 240 pp.

Rondinelli, Dennis A. (1987) Development Administration and U.S. Foreign Aid Policy. Lynne Rienner Publishers, Boulder CO. 188 pp.

White, Louise G. (1987). Creating Opportunities for Change: Approaches to Managing Development Programs. Lynne Rienner Publishers, Boulder CO. 283 pp.

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ANNEX 2

CASE STUDIES

PAKISTAN FIELD ACTIVITY CASE STUDY
Performance Management Project Evaluation

SUMMARY

This activity, referred to as the Pakistan Management Training and Planning Program (MTP), was one of several management interventions undertaken by IDMC (through its cooperative agreement with DPMC) in fulfillment of the field support provisions of the Performance Management Project. It involved application of the "Team Planning Meeting" and "Action Training" Methodologies. A unique feature was the interdisciplinary interaction between social and physical scientists and the interrelating of management and irrigation technologies. The activity appears to have been highly successful in terms of meeting mission/host country needs to get critical host country actors launched in implementing a new country project. The long term impact of the intervention is more problematic since responsibility for continuing technical support lies with a different contractor who may not follow up on and reinforce the management methodologies introduced by IDMC. There also appears to be no plan to relate this activity to the Performance Management Project's research component.

DESCRIPTION OF THE FIELD ACTIVITY

This activity was part of a broader program to provide training assistance to Pakistanis responsible for implementing the multi-million dollar Command Water Management Project (CWM) jointly funded by the Pakistan Government, the World Bank, and USAID. Initiated in 1984, the CWM Project is designed to improve the planning, coordination, and integration of the activities of important irrigation and agriculture-related organizations at the command level of the irrigation systems. The focus is on improving management from the farmer level to the government policy level in defined pilot project areas in four provinces. The first step was training assistance from the S&T Bureau funded Water Management Synthesis II Project (WMSII) to assist in the preparation of diagnostic analyses of the CWM Project areas. The subsequent IDMC work, undertaken jointly with WMSII staff, was designed to assist the CWM Project in building on completed diagnostic studies and other project work in developing plans for project implementation. The object was to assist relevant provincial organizations and leaders in developing management plans which defined the activities necessary for achieving project objectives and addressed the problem solving, planning, coordination, and monitoring requirements of the project.

Field activities were carried out over two years by a joint team from Colorado State University (CSU), representing WMSII, and IDMC, representing the Performance Management Project. The team combined the experience and concepts of the CSU model for improving farm water management with the "performance improvement" and "team planning" approaches used by IDMC. Field work consisted of four one month training programs (one in each province). Each program included three sequential phases: entry, management training and planning, and consolidation. The entry and consolidation phases involved a series of meetings and presentations, and the middle phase contained two separate workshops. A follow-up program was conducted in one Province a year later using much the same structure as the initial effort, but with greater emphasis on monitoring aspects of the implementation process.

RESULTS OF THE FIELD ACTIVITY

In addition to training a diverse range of Pakistani officials and others, the field service activities resulted in a set of implementation plans, including the delineation of a series of time phased activities and specification of who was responsible for their accomplishment, to guide the host country individuals and organizations involved in the CWM Project.

Unique results of the activity included the successful involvement, cooperatively and with a sense of joint ownership in the product, of representatives of diverse organizations whose activities are key to successful project implementation, but who in the normal course of events would have had little contact and interaction of the sort facilitated by the IDMC intervention. The MTP also successfully brought upper management and policy makers in contact with field level staff in ways which rarely occur in the bureacratic culture of Pakistan.

Farmers were also involved in the MTP program, in that several representatives of farmers' organizations actively participated in the sessions. In addition, farmers' viewpoints were represented in the the DA studies, which rely in part on in-depth farmer interviews and which were used as a focal point for the planning workshops.

PERCEPTIONS OF THE FIELD ACTIVITY

The USAID's perception, (as reflected by a representative present at the time of the intervention) is that MTP activities effectively met the need to get the CWM Project off to a good start. USAID Pakistan was very satisfied with the result of the joint WMSII/IDMC intervention. Word of this has spread, and a similar effort that is just getting underway by USAID India.

IDMC and WMSII feel that MTP activities gave key people and organizations in Pakistan the opportunity to engage in and learn from a systematic process of collaborative problem-solving and planning. They believe that the series of workshops and meetings enabled the Pakistani participants to:

-- review and agree on the overall context of the CWM Project, its goals and objectives, the organizational roles, and the current status of implementation;

-- articulate a set of goals and objectives, based on an in-depth review of problems, factors involved, and resources and strategies available to address the problems; and

-- develop a management and implementation plan linking specific activities, roles, responsibilities, and monitoring requirements to achievement of agreed-upon objectives.

Absent the opportunity to interview Pakistanis who participated in the MTP, it is impossible to establish their perceptions first hand.

BROADER SIGNIFICANCE

Based on data available, the MTP activity offers a positive illustration of the Performance Management Project's ability to rapidly deliver improved management techniques into host country environments, at minimal cost, and with good initial results. According to WMSII and IDMC, the following outcomes can be attributed to the management improvement activity:

- development of a local problem solving and planning capacity, tied to in-depth knowledge of the command area;

- identification of improvement programs, tested through discussion with all parties involved and planned within the context of existing resource and organizational limits;

- creation of a sense of joint ownership by representatives of the diverse organizations involved for the plan they helped create, including increased commitment by senior managers and policy makers who were substantively involved in the process and strengthened linkages among organizations and individuals; and

- identification of and planning for a number of innovative approaches to water system management, including a coordinated monitoring system employing milestones to schedule activities and plans to reschedule use of existing tubewells to better meet peak crop water requirements.

The CWM Project is a large and involved undertaking. While the plans developed through the Performance Management Project intervention provide tools to continually guide the activities of the organizations involved, it remains to be seen how realistic and well thought out they are and whether the sense of responsibility, cooperation, goodwill and enthusiasm fostered by the MTP activity will be carried over into the implementation process on a continuing basis. There is evidence from other similar undertakings that one-time interventions of this sort seldom produce lasting behavioral change unless consistently reinforced, particularly by changes in the operating norms and procedures of the organizations involved. The extent to which the Pakistan government, the two donors (AID and the World Bank), or the long term TA contractor are sensitive to this need is not clear. In any case, it seems unfortunate that no provision has been made for follow-up involvement by either WSMII or IDMC to help reinforce continued utilization of the new managerial techniques introduced.

The broader significance of the intervention may also be reduced by its lack of incorporation into the research element of the PMP. While the activity was limited in nature and involves the application of known technologies, the inter-disciplinary interation between physical and social scientists and the linkage of diagnostic analysis directly into programatic interventions is relatively rare and could have provided the opportunity for a useful "country assistance report". However, there is no apparent provision for relating this activity, or the similar intervention being launched in India, to PMP's research agenda. In fact, the principal DPMC staff member involved in this field service activity stated that she had no knowledge how PMP's larger research agenda was handled, suggesting that there may be a significant communication gap in this area within the project.

HONDURAS "CONTRACTING OUT" STUDY
Performance Management Project Evaluation

SUMMARY

This field support activity represents the most recently established of NASPAA's three priority development management needs, "improved policy/implementation linkages." It was funded by USAID Honduras to examine experiences of the USAID and Government of Honduras in contracting out of construction activities in three sectors: housing and urban upgrading, rural primary schools, and rural road construction. The study sought to document the performance of "contracting out" as a means of increasing private sector initiatives in Honduras. Summarizing sector-specific findings, the investigators concluded that "contracting out" had not achieved all of its expected benefits. More generally, they concluded that policy decisions about contracting out, and about privatization more broadly, needed to be made in relation to national policy objectives, but that the knowledge base to help policy makers deal with these issues was severely limited. Further investigations were recommended in three areas, but have not thus far been implemented, due to an apparent lack of regional bureau and country mission interest. The study appears well prepared and includes useful recommendations for the USAID Mission and Host Country. The subject seems ripe for further investigation, so long as privatization remains a major element of A.I.D. policy.

DESCRIPTION OF THE FIELD ACTIVITY

The Honduras "contracting out" study was accomplished by a six person multi-disciplinary team in Oct-Dec. 1986. The study sought to answer the following central question: To what extent have any changes in institutional arrangements--specifically, the shift to a system encouraging private sector delivery of publically-financed goods and services--succeeded in stimulating private sector activity, improving quality and speed of delivery, and reducing costs of the public sector?

The study attempted to systematically compare the delivery of goods and services under the different institutional arrangements in each of the three sectors examined: housing, primary schools, and roads. For specific projects, the advantages, disadvantages and problems associated with contracting-out were analyzed in terms of three sets of issues: 1) insitutional, 2) technical and engineering, and 3) economic. Each sector was studied separately, and individual findings were presented for each sector in addition to overall conclusions and recommendations.

Information was obtained from various documents available in Honduras, as well as from interviews with USAID officials,

public sector officials, and representatives of the private sector. Field trips were made to housing construction, rural school construction, and rural road sites. The study represented 150 workdays of effort by NASPAA; including 15 workdays of planning in Washington, 130 field workdays in Honduras, and 5 workdays report editing in Washington.

RESULTS OF THE FIELD ACTIVITY

The field activity resulted in a six chapter, 85 page report to the A.I.D. Mission and a 25 page paper, prepared by two of the team members, that was presented at the Pacific Regional Science Association Meeting in Pusan, Korea in July of 1987.

While circumstances varied across sectors, and even among projects within sectors, the overall conclusion of the analysis was that contracting out did not produce all of the benefits commonly predicted by privatization proponents. Contracting out did not, for example, reduce overall construction costs in most cases and actually increased direct costs to the government for the construction of rural primary schools, where community self-help in construction and maintenance had been part of the government's previous directly administered program. In constructing rural primary schools there also appeared to be a significant long term loss in terms of sustainability of results in order to realize a short-term gain of more rapid school construction. In general, while private contractors appeared to be a bit faster and to produce a slightly higher quality product than the public sector, the differences were rather insignificant.

The major reasons for this disappointing outcome were the lack of competition in the market and the existence of institutional barriers, such as government regulation of contract periods, pricing systems, employee compensation, and specification codes. In addition to increasing the direct cost to government in some projects, the Honduras study also found that contracting out failed to reduce employment in the public sector, contradicting another common privatization thesis.

The investigators drew two important policy conclusions. First, if policy makers are indeed interested in increasing the efficiency of public services through privatization, then substantial institutional reform in markets and government regulation may be necessary. Second, policymakers need to carefully consider multiple objectives at the national level, since trade-offs among various political and economic objectives always exist.

The authors proposed three areas of additional work: 1) conducting similar studies in other sectors and other countries; 2) investigating how different national policy objectives are served by privatization of public service delivery; and 3) preparing an implementation manual for privatization that could

be readily used by developing country officials and that, in the authors' view, could facilitate policy reform and greatly improve the policy dialogue process.

PERCEPTION OF THE FIELD ACTIVITY

USAID Honduras' had mixed feelings about the value of the "contracting out" study. The component dealing with Rural Primary Education was viewed as having provided valuable information and as having confirmed the "force account" system as the most appropriate approach to be taken in designing a new primary education project. The results of the NASPAA analysis were also used in forming the "lessons learned" portion of the Mission's final evaluation of the earlier rural education project.

The portion of the study dealing with housing and urban upgrading was viewed as accurate but not particularly useful. In the USAID's view, the study should have paid more attention to "an examination of the strengths and weaknesses of different components of the institutional framework and presented for the users' consideration a variety of alternatives for transforming the use of contracting out to produce more positive results. This would have made the study more useful to A.I.D. and host country program development efforts."

The USAID took issue with the findings of the Rural Roads component, stating that "contrary to statements in the report, Ministry employees were not displaced by contracting out and local involvement, particularly of laborers, is high during periods of construction.

The USAID's comments concerning the housing and rural roads components of the NASPAA report suggest that there may have been some confusion or even disagreement concerning either the purposes of the original contracting out activities or the NASPAA study or both. At the very least, there should have been further dialogue between the NASPAA team, the Mission, and perhaps the Honduran government to clarify the issues involved.

In its review of the report, the LAC Bureau cited the study's value in identifying some of the pitfalls associated with moving contracting out in developing coutnries... However, the Bureau has not as yet shown interest in pursuing similar analyses in other LAC countries.

Perceptions by at least some NASPAA and S&T/RD staff are that this activity represents an area of considerable significance that should be expanded and given high priority. This is reflected in the 1987 NASPAA workplan which allocates nearly 16% of S&T/RD funding and almost 28% of the applied research budget to research on public sector reform. It is also apparent in comments of NASPAA core staff who feel that an emphasis on improving "policy/implementation linkages" offers relief from

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the "sterility and boredom" of development management in and of itself. If this view is mirrored at NASPAA's constituent universities, replicating the "contracting out" study could offer a way of increasing member participation in the Cooperative Agreement.

A.I.D., for its part, continues to put major emphasis on policy reform and privatization. While little objective data exists on the impact of policy reforms to date, it is becoming increasingly clear that decreeing reforms or policy changes is not the same as implementing them. Senior managers, both in A.I.D./W and in the field, can be expected to seek information similar to that obtained by NASPAA in Honduras to inform future program decisions. They should be very receptive to having the S&T Bureau and its cooperators develop technical resources to carry out such analyses and to increase the capacities of key host country individuals and organizations to implement them.

BROADER SIGNIFICANCE

As reflected above, the broader significance of NASPAA's work on policy/implementation linkages is, at this point, more apparent than real--limited to one particular reform (contracting out) in one country (Honduras). In this particular instance, researchers found that the results obtained from policy reform were not entirely those anticipated, and that obtaining desired results would require institutional as well as policy shifts. The analysis was performed using conventional methods, and could have been accomplished without NASPAA or Performance Management Project involvement. Indeed, there is evidence that the USAID already had an inkling of what the study's findings would be. Nonetheless NASPAA's involvement offers the opportunity, yet to be realized, for results from this and similar studies to be aggregated into a broader body of knowledge that can serve both A.I.D. and developing country needs in the broader context of privatization and other policy reform undertakings.

SADCC FIELD ACTIVITY CASE STUDY
Performance Management Project Evaluation

Historical Background

All of the Southern African countries (Angola, Botswana, Lesotho, Malawi, Mozambique, Swaziland, Tanzania, Zambia and Zimbabwe) are organized under SADCC (The Southern Africa Development Coordination Conference) in an effort to achieve accelerated economic growth. Although SADCC has no legal institutional form or authority, individual member countries have assumed responsibility for providing leadership in conducting research and designing regional projects within specific sectors. Swaziland has assumed the lead for manpower development. In 1981, the Government of Swaziland established the Regional Training Council (RTC) to assist SADCC in developing trained and experienced manpower--universally recognized as a critical need cutting across all sectors in Southern Africa.

In 1984, the Regional Training Council sponsored a survey, funded by USAID and conducted by NASPAA, of management training needs in the nine SADCC member countries. The survey, utilizing innovative research methods implemented by a team of five Southern Africa and U.S. specialists, yielded an influential report on "Improving Management in Southern Africa" which identified managerial training deficiencies at the macro and micro levels in both the public and private sectors. In September 1986, the SADCC Council of Manpower Ministers and the RTC established a Development Resource Center (MADREC), as recommended by the NASPAA study, as a mechanism for providing manpower support. MADREC targetted management as a priority area and conducted a multi-donor workshop to examine management development issues. A.I.D. responded by developing a PID for an eight year project.

NASPAA that it implement the first year of such a project (now reduced to a total of three years) and then transfer project responsibilities to a competitively selected contractor. However, the signing of the project agreement was delayed beyond the end of the fiscal year, while the RTC Head polled SADCC members, and project funding was lost.

At this point, the A.I.D. regional office could only provide about $400,000 to support some of the activities proposed under the management project. Consequently, on February 12, 1987, NASPAA submitted a proposed scope of work, developed in consultation with SADCC officials, for organizing and staffing a Management Resource Unit (MRU) within MADREC. Under this plan, the MRU would carry out three pilot management training and applied research activities during its first year and provide the basis for longer term institutional development to meet management training needs in selected SADCC sectors. In accordance with the workplan, NASPAA agreed to:

-- examine the demand for management training support activities in the SADCC region through a series of pilot, networking, and workshop activities;

-- develop a series of strategies relating these activities to a plan for strengthening the organizational capacity of the MRU;

-- develop an MRU management system to meet the crucial need for coordination of donor support for management training activities, and

-- help selected management training institutions plan, develop, implement, and assess three pilot management training activities in three different SADCC identified areas of common need.

The pilot activities were to be designed to (1) provide a basis for long term institutional development of management training activities in the SADCC region and (2) address specific management training needs in selected SADCC sectors. The sectors selected for initial emphasis included marketing and trade management, transport management, and agricultural management.

The first pilot activity focused on private sector and decentralized financial management, more specifically on private sector marketing needs and developing the program capacity of a regional or sub-regional training institution. The primary objective was to link the regional training institute with user organizations by encouraging communication among tintra-regional trader, managers, and planners. In March of 1987, the RTC with A.I.D. support asked NASPAA to recruit a senior management advisor for the MRU. Dr. Rukudzo Murapa of the University of Zimbabwe was appointed to the position on April 1, and immediately began pre-planning activities for the pilot project. Cooperating with SADCC's Trade Sector in Dar Es Salaam and the Chairman of the RTC, Dr. Muraba organized a seminar at the Botswana Institute of Development Management (IDM) on "Management Training for Productivity, Marketing and Intra-regional Trade in SADCC". A planning team was established by MRU and IDM.

An assessment of the pilot activity, including participation by local specialists to ensure relevance, was built into the project design as an integral part of the implementation process.

Relationship of SADCC Activities to PMP Purposes

The SADCC management training activity, supported in part through the NSAPAA cooperative agreement, serves as a good example of PMP's multi purpose intent. While the political setting in Southern Africa has added to the complexity of the exercise, this has been offset to a considerable extent by the members' strong sense of common purpose with respect to economic development.

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Several areas of special concern to NASPAA and the PMP are also specifically applicable to the SADCC activity, including an emphasis on action research, assistance to LDC management support organizations, involvement of LDC expertise, technical assistance, and networking. Wendell Schaeffer of NASPAA further clarified these areas of special concern in commenting on the PMP evaluation team's own SOW. He emphasized that NASPAA's intent, particularly as reflected in the SADCC activity, was to (1) involve LDC individuals, (2) promote organization development approaches in strengthening LDC institutions and (3) use LDC institutional resources for training and/or consulting services, thus providing opportunities for increasing their experience with new or improved technologies and methods.

Clearly, the SADCC management training activities have furthered several of PMP's management training objectives. However, most of these activities are still being developed and the final results--their ultimate success in improving management performance---cannot yet be determined.

Still, SADCC's initial PMP-supported institution building is already a significant achievement. The MRU, which emerged after months of negotiation, is itself a triumph, and a focal point for continued SADCC cooperation on manpower development. Similarly, substantial PMP-funded research has been carried out, notably a series of papers by John D. Montgomery based in part on analysis of the findings of the RTC survey on "Improving Management in Southern Africa." Specific papers on topics, such as "Levels of Managerial Leadership in Southern Africa," "The African Manager," and "How African Managers Serve Development Goals" provide practical guidelines for future action and training.

The PMP provided technical assistance in varying degrees throughout the gestation period of the MRU. Despite sometimes trying circumstances, PMP consultants successfully served as catalysts in helping to develop a framework for the SADCC manpower development activity. PMP, furthermore, provided a mechanism for greater LDC involvement by retaining Dr. Rukudzo Murapa of the University of Zimbabwe as Senior Management Advisor for the MRU. Dr. Maurapa played a key role in planning the Seminar on "Management Training for Productivity, Marketing and Intra-Regional Trade," held in Gabarone, August 3-14, 1987. The Seminar training team also noted that the excellent logistical and administrative support provided by the IDM in Botswana--another example of efforts to utilize and strengthen local capabilities.

The final assessment noted that the Seminar "raised the profile of the MRU as both a point of initiation of regionally focused marketing management training, as well as one for contacting as an ongoing resource of ideas, material resources, e.g., research and training materials, a network a contacts in member countries, including libraries and documentation centers". The Seminar effectively alerted particpants to the importance of networking and has set in motion plans for further seminars on related subjects.

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IV. Recommendations

While findings are based on in-house sources and lack the full dimension of field appraisal, the SADCC management training activity, particularly as reflected in the MRU, appears to be clearly realizing a number of PMP objectives. While it is too early to tell which MRU initiatives will be most successful or what changes may be required, current plans are sufficiently flexible to accomodate moderate shifts in emphasis as required. A future field-based evaluation of SADCC's management training efforts might therefore serve a useful role by providing formative feedback for further refinement.

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"COMMUNITY MANAGEMENT" AND "PEOPLE-CENTERED DEVELOPMENT" IN ASIA
Performance Management Project Evaluation

SUMMARY:

From 1980 through 1987, David Korten served as A.I.D.'s Development Management Advisor in Asia under the auspices of the Performance Management Project and its PMEP predecessor. In this role, Korten sought to increase the influence and participation of poor beneficiaries by designing development programs around "social learning approaches" that avoided "blueprint," bricks and mortar project planning; by empowering community participants and increasing their control over development resources; and by reorienting development bureaucracies to serve community interests and needs. Korten sought to restructure A.I.D., other donor, and LDC development programs towards these ends through a wide and ambitious range of activities, including (1) extensive research, prolific writing, numerous presentations and meetings, and intensive networking to articulate and publicize "social learning," "community management," "people-centered development," and "third generation strategic planning" approaches; (2) assistance to A.I.D. missions, other donors, LDC agencies, and PGOs/NGOs in planning development programs adopting these approaches; (3) assistance to A.I.D. missions in designing and managing projects to implement these approaches; and (4) assistance to management institutions incorporating these approaches in education, training, and management support activities. While PMEP and PMP provided all of Korten's funding during his first year with the project, core funding declined to one-half and then one-quarter in subsequent years, and was eliminated in FY 1987. PMP support yielded several significant intellectual products (in particular, Korten's books on PEOPLE CENTERED DEVELOPMENT (1984) and COMMUNITY MANAGEMENT (1987)), and also provided a convenient contracting mechanism for the Mission and Regional Bureau buy-ins which supported the bulk of Korten's work.

Although Korten's ideas and writings have had a major influence on development management theory and practice, and on development planning and strategizing more generally, his specific contributions to A.I.D. are somewhat more ambiguous. While Korten's work in planning development strategies, mobilizing bureaucarcies, and building change coalitions has generally been very well received, his influence on particular A.I.D. projects appears less substantial. The sustainable impact of his work on donor bureaucracies and management training institutions is also unclear. Indeed, Korten's own recent shift towards an emphasis on PVOs and NGOs reflects growing frustration over what can be accomplished through public agencies. At the same time, even Korten's severest critics in A.I.D. concede that the benefits from his efforts outweighed their costs.

DESCRIPTION OF THE FIELD ACTIVITY

As Asian Development Management Advisor, David Korten filled a diversity of roles and performed a variety of tasks, linked primarily by their common emphasis on "social learning" and "people centered" development. While the following summary captures the highlights, it is by no means a complete description of Korten's activities during nearly ten years in the field.

David Korten began his residency in Asia in 1978, when he and his wife began working for the Ford Foundation in the Phillipines. Here, Korten completed the book he had begun at Harvard on "Bureaucracy and the Poor" and began looking more broadly at the basis for successful rural development efforts. With his wife, he also became involved with the Phillipine National Irrigation Organization, seeking to increase community participation in irrigation planning and management. This work provided the impetus for Korten's seminal papers on "Community Organization and Rural Development" and the "Learning Process Approach."

In 1980 Korten's writings came to the attention of S&T/RD, and arrangements were made to acquire his services for A.I.D. on a more regular basis as Asian Development Management Advisor under PMEP's cooperative agreement with NASPAA. From Korten's point of view, this provided partial support and a convenient funding mechanism to continue the kind of research and action he had already initiated.

Korten's first major task for A.I.D. was helping the Phillipine Mission develop a new CDSS. In preparing the CDSS, Korten emphasized the needs and problems of the poor: who and where the poor were; why they were poor; the constraints they faced in gaining access to resources and controlling assets; and how these constraints could be relieved. Korten subsequently sought to apply this strategy through his work on the Local Resources Management and Rainfed Resources Development projects. The former project, in particular, also sought to refocus local bureaucracies on the needs and problems of the poor and to link them to community development work by PVOs and NGOs. At about the same time, Korten also began similar work in Thailand in connection with the Northeast Rainfed Agricultural Development Project and a Tambul Planning/Decentralization effort.

Just as Korten was finishing his work on the Philippine's CDSS, however, Mission management was shuffled and the Mission Director was reassigned. Korten quickly discovered the importance of having a well placed "champion" who was committed to his work and to its success. Although local government agencies and PVO's continued pursuing his lead, in Korten's view no one was left in the Mission who was interested in what he was doing or in following it through.

In 1983, at the invitation of a new Mission Director who was familiar with and supportive of his work, Korten moved to Indonesia. During the next several years in Indonesia, Korten filled a growing number of local, regional, and international roles. He continued his intellectual productivity, writing and publishing numerous articles and books, making speechs, meeting and networking, and serving as a useful gadfly and stimulus. He served as a personal advisor to the USAID Mission Director, contributing to strategic planning, designing new project initiatives, troubleshooting existing projects, promoting new thinking, and eliminating complacency. At the request of Senior Bureau Management, he established and chaired the Asia Community Management Committee, assessed village level implications of decentralization and private sector policies, conducted workshops, and consulted and supported indigeneous management institutions. As in the Philipines, Korten continued providing program and project assistance to at least three or four other Asian missions each year, at their request.

One aspect of Korten's work in Indonesia was to mobilize PVOs and NGOs as more effective development intermediaries. Korten worked intensively with selected PVOs to improve their management capabilities, agendas, and definition of issues. Over time, he became increasingly convinced that PVOs and NGOs could play a critical role in linking development bureaucracies to community participants, if they could develop an appropriate "strategic" orientation. One result was Korten's recent, widely read paper on "micro-policy reform" and "third generation strategic planning." Another result was Korten's decision in 1987 to leave the Performance Management Project and work full time with the PVO/NGO community.

RESULTS OF THE FIELD ACTIVITY

The specific results of Korten's work in terms of improved management performance or increased program benefits are difficult to assess. Projects on which he worked under PMEP and PMP do not appear to have been particularly successful either in their own terms or in relation to community empowerment goals. At the same time, the most successful efforts associated with Korten's approach--irrigation projects in the Phillipines and Sri Lanka--were not part of the Performance Management initiative.

Most of Korten's PMP activities did not involve specific programs or projects so much as new approaches to development thinking, strategic planning, and community participation. While Korten's development management writings have certainly been influential, "social learning" and "community management" have thus far been only partially and occasssionally tested in practice. Korten himself, as evidenced by his work with PVOs and NGOs, is still devising strategies to assure their broader dissemination. Korten's ideas have certainly been influential and are being applied in an increasing number of settings. Whether they will prove politically feasible, and whether they

will result in long term development processes that benefit and empower the poor, remains to be seen.

PERCEPTIONS OF THE FIELD ACTIVITY

David Korten's ideas, and his style of presenting them, have drawn particular strong reactions--both positive and negative--from recipients of field assistance. In Indonesia, for example, A.I.D.'s former Mission Director gave him exceedingly high marks for his intellectual contributions, his work with the PVO/NGO community, and his assistance in designing programs and projects. He also thought that Korten's work with the Asian Management Committee had been quite valuable, though constrained by limited funding. He noted that Korten had served as a catalyst in preparing one PVO's "best ever" strategic planning document, that he was "very useful" as a "needed gadfly and intellectual stimulus for the A.I.D. staff," that he successfully incorporated "rolling designs" in a number of projects, and that he did a "first class" job of representing A.I.D." to host government agencies and the donor community.

The former Indonesian Mission Director also recognized that Korten was not universally appreciated, that he "stepped on some staff toes," that he was uninterested in the nitty gritty of project management, and that he was not particularly effective working on project implementation in the field. These views were echoed even more strongly by the former Mission Director in Thailand, who felt that Korten "marched to his own drummer," committed to a particular "community management" viewpoint, but little concerned with achieving practical project results. The former Mission Director felt "rolling designs" were fine in theory, but unworkable in practice and that Korten himself was ineffective in the field and irrelevant to local project implementors. The Mission Director first narrowed and ultimately banned Korten's activities in country.

At the same time, the former Thailand Mission Director also found Korten "a real professional." He felt that Korten was articulate, hard working, knowledgable, and intelligent, and that he got people thinking in new ways about program and project planning. Despite his misgivings about Korten's project contributions, the Mission Director concluded that the benefits to A.I.D. from Korten's work outweighed the costs.

BROADER SIGNIFICANCE

David Korten has become one of the world's better known development theorists. Even those who disagree with him, often begin by reacting to Korten's positions. Korten's writings have had, and continue to have, a substantial influence on A.I.D.'s development practice. While his ideas greatly widen the scope of development management, representing broad ideological themes rather specific management technologies, there is no question that they have had a large influence on the field.

HAITI PLANNING MINISTRY CASE STUDY
Performance Management Project Evaluation

SUMMARY:

For more than four years, from October of 1983 to November of 1987, IDMC staff member Derek Brinkerhoff served as a long term resident advisor to Haiti's Commissariat for National Promotion and Public Administration (formerly the Ministry of Planning). As resident advisor, Brinkerhoff worked primarily with the Commissariat's Monitoring and Evaluation Office (DSE), seeking to improve its performance in supporting Haiti's development efforts. His work was supported through USAID/Haiti's Technical Consultants and Training Project (TCTP), which received 10% of its funding from Performance Management.

Brinkerhoff sought to improve DSE's monitoring and evaluation capabilities and enhance its contributions to project implementation through "performance improvement" oriented organizational development. Brinkerhoff worked collaboratively with DSE staff, analyzing DSE's situation, identifying performance gaps, devising strategies to adress them, and (with the help of short-term IDMC and DPMC consultants) designing and delivering action-oriented training to provide the skills needed to carry out tasks more effectively. His objective was to work with, rather than for the DSE, by helping staff members accomplish what they wanted and needed to do.

Despite the resident advisor's intensive efforts, results were disappointing. Brinkerhoff temporarily reoriented the DSE from rule enforcement towards technical collaboration with implementing agencies, but limited and uncertain funding, bureaucratic competition, and political upheaval produced major staff changes, drastic personnel cuts, and dramatic reorganizations. Although the DSE was able to identify, implement, and codify more effective project monitoring and support activities, by the time assistance ended late in 1987 the project's only lasting result was a computerized project management information system. The DSE no longer existed, its staff were dispersed to new agencies, and bureaucratic performance was again being oriented towards reactive rule enforcement.

DESCRIPTION OF FIELD ACTIVITY:

Although USAID/Haiti restructured its program in the early 1980's to emphasize direct assistance to the rural poor through PVOs, the Mission Director, a public administration specialist, continued exploring opportunities to selectively strengthen the management capabilities of host government ministries. The Director developed close relationships with senior officials at the Ministry of Planning (now CCNAP), and responded positively

to the Minister's request for assistance in developing a more effective project monitoring and evaluation system.

Early in 1983, Derek Brinkerhoff traveled to Haiti to help design the DSE (then DEC) component of the TCTP project. Although initially envisioned as a series of training seminars, Brinkerhoff expanded the scope of the activitity to focus more broadly on "performance management" and organizational capacity building. In early fall, Brinkerhoff returned to Haiti as the project's resident advisor.

The Minister of Planning expected the DSE to quickly improve its performance and complete more than 60 evaluations within a year. However, implementing the kind of collaborative process that the resident advisor envisioned required time to reorient staff and develop consensus. When the pace of change failed to match senior managers' high expectations, there were mass firings of DSE staff, and only slow rehirings. The resident advisor became involved in helping to restructure DSE and to prepare its initial workplan.

By January of 1984, the resident advisor, assisted by short term consultants, conducted a "start-up workshop" for senior managers and a larger seminar for the entire office. Through these activities the staff became actively involved in examining DSE's functions and how performance could be improved. The staff developed an analytical framework for DSE monitoring and evaluation, identified new skill needs, reoriented their activities to emphasize assistance to implementing agencies rather than rule enforcement, and decided to develop a technical manual. By Spring, work on the technical manual was well underway and DSE staff had collaborated on a UN project evaluation--the first of several cooperative efforts.

During the summer of 1984, USAID funding limitations eliminated the short-term technical assistance planned for the second year and reduced the momentum for management change. A portion of the resident advisor's time was also refocused on assisting the MOP's PL-480, Title III management office and providing other short-term assistance to the USAID. Progress was further slowed when the DSE Director was replaced in February of 1985. Although DSE staff had successfully conducted two implementation planning workshops for other GOH agencies during 1984, they adopted a "wait-and-see" attitude unitl the new Director endorsed management improvement activities. Meanwhile, the resident advisor continued working independently on technical modules for the Operations Manual.

In March of 1985 the resident advisor conducted a "refresher training workshop" for old and new DSE staff, reinforcing skills and motivation and producing a new surge of DSE activities. Between April and June, DSE staff conducted "monitoring field visits" of 53 development projects. Although efforts to secure the help of a local contractor in developing a computerized DSE

management information system were vetoed by the Minister, progress continued in other areas. A "training of trainers" workshop in September of 1985, for example, helped DSE staff acquire skills needed to offer short workshops for planners and managers in other agencies. The resident advisor, meanwhile, also conducted a start-up workshop for the MOP's Title III Program Management Office.

During the winter of 1985-86, however, extreme political unrest culminated in the fall of the Duvalier regime, and progress halted. New senior managers were appointed, staff were justifiably concerned about their future, and everyone was preoccupied with the immediate crisis. By September of 1986, the MOP had been restructured and renamed, DSE got a new director, forty per cent of the staff were cut, and the project's "best counterparts" were lost. The resident advisor had to begin again.

Some activities did continue during 1986. In the spring, a DSE staff member received microcomputer training in Washington and upon his return began working collaboratively with the OAS to develop a computerized project tracking system. During the summer, DSE staff designed and conducted an evaluation of a World Bank Project. In the fall, the resident advisor and DSE Assistant Director completed DSE's new technical manual. By winter, an outside consultant was helping the DSE specialist develop and implement a computerized, internal management information system. By the summer of 1987, the system had become operational and was being adopted by other CPNAP units.

But continued management changes and bureaucratic reshuffling again undercut most of DSE's progress. In April of 1987, CPNAP decision-making was centralized in the Commissaire-General's office. The morale of DSE staff declined, productivity fell, and the pace of activities slowed. Eventually, the Commissaire-General himself left and DSE again began conducting training activities for implementing agencies. However, just prior to the resident advisor's November 1987 departure, an even broader reorganization was implemented. DSE was eliminated as a separate unit, its functions were merged into a comprehensive Public Investment Office, and its staff were dispersed among sectoral units within this much larger agency. Although DSE's computerized management information system was adopted for all of CPNAP's development offices, improvements in monitoring and evaluation performance were effectively disapated.

RESULTS OF THE FIELD ACTIVITY:

The resident advisor successfully stimulated a number of short-term improvements in DSE's management performance. What had been essentially an inactive, reactive, accountability oriented enforcer, became a more proactive, progressive, field-oriented management improver. DSE did implement better

internal management systems and procedures. DSE did develop a collaborative, technical assistance-oriented relationship with implementing agencies. DSE did improve its monitoring and evaluation capabilities. In fact, and unfortunately, DSE improved its performance more than once, and, in the end, little improvement remained. Other then the broad exposure of DSE staff to performance management approaches, the only enduring result of management improvement efforts appears to be the computerized management information system now being implemented by CPNAP's development offices.

PERCEPTIONS OF THE FIELD ACTIVITY:

A.I.D.'s former Mission Director in Haiti reiterated the short-term successes and long-term failures of Brinkerhof's management improvement activities. The Mission Director felt, that little more could have been expected, given the Haiti's turbulent politics during the mid-1980's. However, he felt that Brinkerhof's work with the PL-480, Title III Management Office was having a continuing impact. For the Mission Director, the most important aspects of Brinkerhof's role were his relationships with Ministry officials, which provided an alternative source and conduit of information that proved extremely useful during a period of turmoil.

BROADER SIGNIFICANCE:

The Haitian experience clearly indicates that bureaucratic performance can be improved through performance management techniques. It also indicates that such improvements may be difficult to sustain and difficult to translate into improved development results. Given the extreme turmoil in Haiti, it is difficult to generalize, but Brinkerhof is doubtlessly correct that improved performance requires real and continuing senior management committment. Even with such committment however, it is not clear that improvements in the performance of particular narrowly defined bureaucratic offices will yield lasting and significant development benefits.

FRANCOPHONE MANAGEMENT DEVELOPMENT CASE STUDY
Performance Management Project Evaluation

Summary

The development of a capacity to train French-speaking African managers is one of the major field-level accomplishments of the NASPAA cooperative agreement. In the last five years, approximately fifty training events have been organized in Francophone Africa under NASPAA sponsorship, including sixteen countries and almost 2,000 practicing managers. During that time, the American public administration community contributed significantly to the establishment of operating standards for management development programs in French-speaking Africa. While several different institutions participate in NASPAA-sponsored Francophone African management training (University of Washington, University of California-San Luis Obispo, Texas Tech, and Atlanta University), much of this capacity has been identified with the activities of the University of Pittsburgh.

The basic francophone management seminar provided by the University of Pittsburgh is a well packaged consciousness raising exercise. The seminar is in high demand by missions and host country officials and should be easily available through some kind of routine contracting mechanism, such as an IQC. NASPAA's primary emphasis, on the other hand, should be on seminar follow-ups aimed at improving the management performance of specific organizations.

Description of Field Activities and Impact

NASPAA's management training activities in francophone Africa fall into three main areas: 1) dissemination of French-language management development materials in Africa, 2) the organization of introductory management development courses in Africa, and 3) the organization of training and development activities for selected organizations.

NASPAA provided initial support to the University of Pittsburgh through the Project Management Effectiveness Project, which terminated in 1981. Under this project, NASPAA financed the development of a series of French-language management training modules derived from Pittsburgh's eight-week summer management development program (inaugurated in 1979). Although the modules, which represented one of the first management texts developed specifically for Francophone Africa, resulted from pre-PMP investments, they provided the basis for the country-specific modules used in most of the forty-seven in-country seminars organized by the University of Pittsburgh under PMP. In Francophone Africa today, management literature adapted to the socio-cultural context of the region is closely identified with the University of Pittsburgh. As an example of

the esteem in which these materials are held, USAID/Niger ordered fifty sets of the five-volume module series and distributed them to key GON counterparts.

In addition to disseminating these materials, the University of Pittsburgh has directly contributed to the skill development through management seminars conducted in sixteen Francophone African countries. These seminars, financed exclusively under the NASPAA Cooperative Agreement, have been one of the most heavily demanded services during PMP's first four years. More than two thousand mid-level and senior managers have participated in such seminars, which typically last for two weeks. In many cases, the University of Pittsburgh has conducted seminars using all-African training teams, composed of graduates or senior instructors from their summer program in the United States. In a recent seminar in Madagascar, for example, instructors from the Madagascar Institute of Planning developed fifty percent of the teaching materials and taught three-quarters of the sessions. Such associations with trainers from local institutions helps to assure congruence with job-specific conditions while developing local training capacity. These seminars have been uniformly appreciated by client countries and by the Missions financing them, as documented in Mission cable traffic. The seminars have also been evaluated by external consultants and have received high marks (Morgan 1986; Morgan 1987).

In a number of cases, NASPAA has successfully followed-up these broad management seminars with more focused activities to improve the performance of specific development organizations. This includes efforts by the University of Pittsburgh, other cooperating institutions, and NASPAA itself in Rwanda, Chad, Guinea, and Madagascar. One of the most interesting activities has been NASPAA's work with the Ministry of Rural Development in Guinea using combined resources from the University of Pittsburgh, Washington State University, and Indiana University. This two year effort interspersed formal training with consultation and assessment in assisting program planning and implementation by top leaders in a new Ministry. Another intervention now under consideration in Niger would directly assist the Prime Minister's Office in improving the performance of rural development projects nationwide.

Still, most of the University of Pittsburgh's country-level management training activities have been one-shot, "consciousness raising" efforts. The success of more focused follow-ups aimed at improving the performance of specific organizations suggests that such activities should be a major emphasis in future NASPAA interventions. Indeed, while basic management training workshops are clearly in high demand and should be routinely available, a mechanism, such as an IQC, may be more appropriate.

Through the efforts of NASPAA and collaborating universities, American-style management concepts have permeated Francophone Africa in the last four years. Senior officials in Francophone African countries now refer to the need for "le management americain" rather than the french concept of "gestion." Increasing demand both for introductory management courses and tailored management improvement interventions demonstrates the success of this involvement. In the future, NSAPAA institutions will need to refine a range of responses to this expanding market for develop management services. It is anticipated that institutional participation in providing these services will continue to broaden beyond the near monopoly which the University of Pittsburgh once enjoyed.