### PROJECT ON MANAGEMENT FOR RURAL DEVELOPMENT IN LATIN AMERICA — PROPLAN/A

# A GUIDANCE SYSTEM IMPROVEMENT EFFORT: PROPLAN/A cooperation with the colombian DRI program



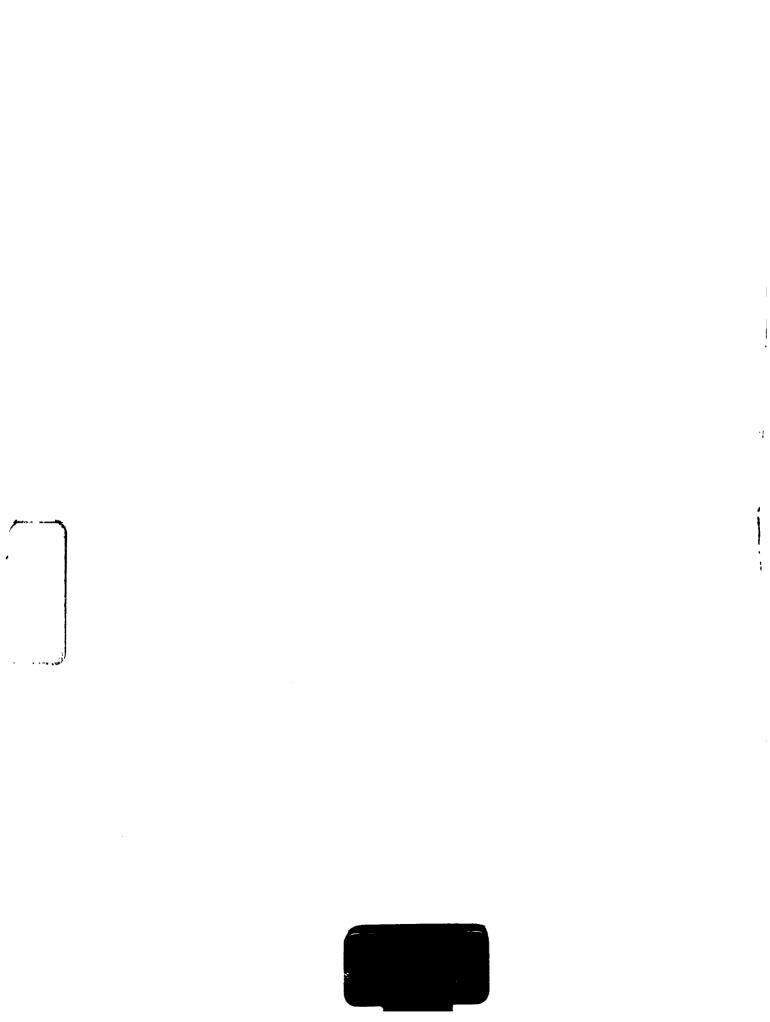


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INTER-AMERICAN INSTITUTE FOR COOPERATION ON AGRICULTURE

PROGRAM ON PLANNING AND MANAGEMENT
FOR AGRICULTURAL DEVELOPMENT AND RURAL WELL-BEING
PROPLAN MULTINATIONAL PROJECTS

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# **Presentation**

In general, the many institutional responses to the problems and possibilities of rural and agricultural development, though varied, are an attempt to find new solutions. These alternative solutions generally focus on the problems of the various combinations of the rural service sectors — infrastructure, marketing, agricultural enterprises, credit, extension, research, agricultural development and production, and the like. These responses frequently become part of new policies, programs and projects, acting as vehicles for development in the sector.

In the past, the major emphasis was on the transfer of financial and technical resources for the purpose of promoting agricultural development and rural well-being. This was not, in many cases, matched by a conscious effort to coordinate resources in accordance with the actual conditions obtaining in their sphere of application, much less to generate technologies appropriate to the specific countries receiving assistance or technical cooperation. Constraints in the guidance of the process of planning and implementing agricultural and rural development can largely be traced to the adoption of approaches which stress the separation between the definition of policy and its implementation.

This paper looks at a new approach which combines the various trends in the continuous evolution of the development planning and management disciplines. The approach has been successfully applied by PROPLAN to development projects and programs in IICA member countries. Presented here is the application of the PROPLAN approach to the Colombian experience through the Project on Management for Rural Development (PROPLAN/A). The main trust was to strengthen the guidance or directive system of Colombia's Integrated Rural Development Program (DRI).

The experience illustrates the integral nature of the planning and implementation process. This includes the development of an environment conducive to the use of techniques for the transfer of know-how developed in collaboration with the institutions, the design of methodologies, and their application to the generation of products, all done in an atmosphere of teamwork with the staff responsible. These are some of the major features of the basic approach of PROPLAN/A to strengthening guidance or directive systems.

These efforts, which combine theory and praxis in a continuing search for valid solutions to the problems and possibilities of specific situations, are thought to offer important prospects for further efforts in Colombia and for the extension of the PROPLAN approach to other countries of Latin America and the Caribbean. This is particularly valid for countries confronting comparable situations of agricultural development and rural well-being.

This paper is the outcome of a study by the PROPLAN/A hemispheric component, and was produced with its operational model. The development of this paper involved technical personnel from the Central Group and the Colombian Group of PROPLAN/A, and received tremendous support from the secretariat staff efficiently provided by the IICA Office in Colombia and the PROPLAN Office in IICA Headquarters.

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# Introduction

The efforts of PROPLAN/A are an important source of information for the work of IICA's Program on Planning and Management for Agricultural Development and Rural Wellbeing and dovetail with the development and refining of conceptual frameworks and their theoretical-methodological orchestration.

This paper attempts to document PROPLAN/A's experiences to strengthen guidance systems in Colombia. The basic intent was to chart the "process" which led to the successful implementation of the approach. In addition, Chapter IV contains certain conceptual aspects which emerged from the continuing evolution of the operational model of the PROPLAN projects. Valuable inputs were provided not only by the Colombian experience but also by the experiences of the hemispheric component and the PROPLAN/A country components in Venezuela and the Dominican Republic.

Chapter I illustrates the basic features of the PROPLAN approach for strengthening guidance systems of agencies having to do with rural and agricultural development. The "object of transformation" is described in Chapter II. It is discussed in terms of the PROPLAN sphere of interest. Action to strengthen guidance mechanisms is worked out in coordination with the recipient technical cooperation agency, in this case the Colombian Government's Integrated Rural Development Program.

Chapter III discusses the application of the PROPLAN approach in Colombia. The experience has been described in light of the various dimensions typical of the development of PROPLAN/A country components, namely:

- 1. Identification and description (definition of constraints and needed adjustments).
- 2. Strengthening guidance systems (action within socially defined needs and constraints).
- 3. Development of mechanisms for self-sustaining reinforcement (sui generis action operating within the limits defined).
- 4. Development of mechanisms for further expansion (new environments undergoing other planning/implementation processes).

This central chapter of the paper also includes a table summarizing the latest results and certain aspects of the development of products.

Chapter IV conceptualizes the PROPLAN/A operational model as the product in hemispheric component studies and country component experience in this case in Colombia, Venezuela and the Dominican Republic. It also states the major conditions facilitating application of the approach to strengthening guidance systems.

The main conclusions are given in the Final Considerations section of Chapter V. Specifically indicated are the importance of working as a group within an action context combining management principles, analysis methodologies and human organizations in the form of guidance system functions and mechanisms.

# Chapter I

# Fundamental characteristics of the PROPLAN approach to strengthening guidance systems in the rural sphere

The underlying approach to PROPLAN actions is basically a reflection of IICA's basic strategy of technical cooperation. This concept is fundamentally different from "technical assistance", which had as its basic mission the provision of certain technical and scientific inputs to developing countries along with institutional models of proven usefulness and benefit to the so-called developed areas of the world. The basic tenets of PROPLAN action to strengthen guidance systems can be summarized as:

- 1. Direct action on the object of transformation.
- 2. Participation/reciprocity.
- Carrying out work in the context of coordinating "components" and "technical groups".
- 4. Directly linking research and study to action and action transfer.
- 5. Use of the interdisciplinary group model for work and the development of human resources.

These features ensure that IICA participation in member country rural and agricultural development through PROPLAN action will not remain at the merely prescriptive or indicative level. Instead it takes the form of a true commitment involving IICA's technical staff in the development process. Coordinated action is defined in this paper as identifying goals or action proposals or intents for the purpose of identifying and dealing with problems and opportunities of interest to Governments, based on an approach compatible with agricultural trends prevailing in Latin America and the Caribbean.

The underlying approach of PROPLAN action to strengthen guidance systems is derived from the following fundamental assumptions, which have been developed to meet the multifaceted challenge of rural and agricultural development in a systematic, effective fashion:

- Redefinition of the processes of planning and implementation as a single, integrated planning/implementation process.
- 2. Redesign of the planning system and decision making systems into a single directive system.
- 3. Adjustment of the relationship between the public and private sectors to enlist the participation of the rural population

- in guiding the planning/implementation process.
- 4. Unification of theory and praxis and decision and action based on the real situation as object of transformation.
- 5. Restating the basic concepts of the planning and management disciplines and the role of planners and managers in the direction of true interdisciplinary integration, stressing the group nature of task performance.

# Chapter II

# The DRI Program of Colombia

The technical cooperation efforts of the Colombia Component of PROPLAN/A Project are based on the agreement signed between the Head Office of the National Planning Department and IICA for purposes of strengthening the guidance system of the Colombian Government's Integrated Rural Development Program (DRI) at all of its spatial levels (national, regional and microregional).

The Integrated Rural Development Program (DRI) was conceived as a basic instrument of the National Food and Nutrition Plan (PAN). It began operations in 1976. When the new administration took office in August 1982, some of the DRI and PAN components were redesigned, and their application adjusted according to the guidelines of the economic and social policy of the new administration. As a result, both instruments were combined into a single program which is now known as the DRI-PAN Program. It focuses on two main areas of action: the rural area and the urban area.<sup>3</sup>

Its general objectives are to "increase the efficiency and productivity of the production and distribution of foods produced by campesino farmers for popular consumption; boost the living standards and incomes of farmers; and improve the nutritional status of low-income urban people."

The general objectives for the rural area are "to increase the capabilities of the campesino production subsector for producing food for popular consumption, to raise the standard of living of rural dwellers, and to improve rural income."

The general objectives for the urban area are:

- . "To improve the marketing systems in favor of low income consumers."
- . "To provide better information on the supply, quality, and prices of food, as well as nutritional education to low income communities in the urban areas."
- . "To encourage community organization and participation as a means to achieve the continuity of social benefits provided by the government through its different programs."
- . "To improve the health status of low income urban people."

The target population in the rural area consists of small-scale producers who farm areas that do not exceed 20 ha, who generate at least 70 percent of their income from agriculture, and whose gross assets de not exceed 2 million Colombian pesos. Total direct beneficiaries will number 115 000 in 1986, covering 252 municipalities in 15 departments out of a national total of 968 municipalities and 23 departments.

The target population in the urban area will include those homes that receive a total income no higher than four minimum wages per month<sup>5</sup> and are located in areas selected for the implementation of the program. A total of 235 000 homes in the country's four principal cities will be served directly between 1983 and 1986.

The program is organized as illustrated in Figure 1. It is led by the Council of Directors, the General Office, and the Regional Offices. Actions are implemented through a number of subprograms under the responsibility of 15 public and private sector institutions. Three mechanisms coordinate and bring together the institutions and the beneficiaries through departamental, district and municipal committees.<sup>6</sup>

The Council has final authority over the Program. Its purpose is to establish policies, guidelines, and strategies to be put into action by the General Office throughout the Regional Offices. This Council is presided over by the

Minister of Agriculture. Its Technical Secretariat is under the General Director of the DRI-PAN. The functions of the General Office are to direct, coordinate and evaluate the program. These functions area carried out in collaboration with a limited number of employees (50 technical specialists) under the General Director.

The Regional Offices are located in the different departments where the Program operates and are under the responsibility of a Regional Director, whose main function is to coordinate the actions of the executor agencies in the department. About fifty technical personnel work at this level.



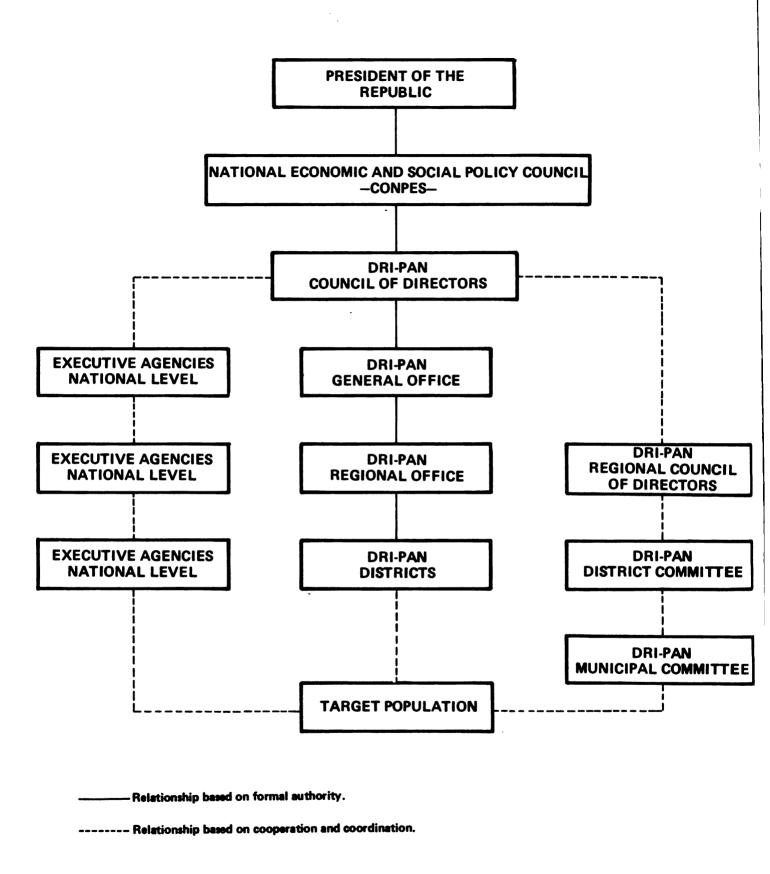


Figure 1: ORGANIZATION OF THE DRI-PAN PROGRAM

# Chapter III

# Actions of the PROPLAN/A Project in Colombia

### A. Cooperation activities

PROPLAN/A's technical cooperation actions to strengthen the guidance system of the DRI Program can be summarized as four groups of activities which, though each has it own particular features, are interdependent. These groups of activities are:

- 1. The identification and definition of the strengthening action, through a dynamic format that makes it possible to conduct an ongoing analysis of the problems and potentials for action, and hence adjust the parameters of that action to changes in the environment.
- 2. The actual strengthening of the guidance system, which includes technical cooperation action within the limits agreed upon with the participating entities.
- 3. The development of mechanisms for the self-sustained strengthening of the guidance system, through action generated by the entities themselves within the limits defined.
- 4. The development of mechanisms for extending the products to other institutions operating outside this sphere.

The groups of activities described above will serve as the main framework for describing PROPLAN/A's technical cooperation actions with the DRI Program.

### 1. Identification and definition of strengthening actions

Before identifying the project which became the PROPLAN/A component in Colombia, IICA carried out a number of technical cooperation actions in the area of rural development planning and management, which later served as a basis for designing that component. An important objective of these actions was to disseminate information on IICA's hemispheric activities in this matter, and to pinpint; the sectoral and institutional problems and then prepare a technical cooperation project to deal with them.

In November 1978, the First National Seminar on Management of Regional Rural Development Projects was held. It was sponsored by IICA with the participation of the Colombian Agriculture Institute (ICA), the Agrarian, Industrial and Mining Credit Bureau (Caja Agraria), the Colombian Agrarian Reform Institute (HIMAT) and the National Institute for Renewable Natural Resources and the Environment (INDRENA). The seminar identified critical areas pertaining to project management at the regional and local levels. It was also found necessary to adjust methodologies and instruments to the activities of the institutions.

The seminar gave rise to a project designed to strengthen management skills for regional rural development actions (V.AC.21 Project). Its general objective was to increase skills in

ICA, INCORA, HIMAT, INDERENA and the Caja Agraria in the management of regional rural development projects.

The project strategy was based on research to identify specific management problems using a two faceted approach. First, and most important, training events focused on theoretical-practical aspects of project management. Secondly, technical consultation helped develop management models and redesign administrative procedures.

When the project was implemented, certain changes were made in its limits and strategy. First, a decision was made to limit the institutional scope during the first stage to the Colombian Agricultural Institute (ICA). IICA technical personnel would work together with ICA staff to formulate a unified operational model and conceptual framework. In the second stage, the instruments developed could be extended to other organizations, offering a unified methodological concept.

Secondly, it was decided that training events should be cut back, and efforts should concentrate on the learning by doing method. The training events that had been the basis of the project thus became a means both for initiating the process of developing instruments through direct technical support activities, and for disseminating their application.

The V.AC.21 project began in 1979 in the districts of Pamplona and Sur Huila with two courses on Project Management. Next, direct technical support activities led to the Second Seminar on Management of Regional Rural Development Projects, which took place in February, 1980.

During the same period, it was decided at IICA that experience gained in project management at the hemispheric and national levels should be collected and integrated with other efforts being made in the field of planning, especially the most recent experiences of IICA's Project on Agricultural Planning and Policy Analysis (PROPLAN/AP).

IICA's Office in Colombia and PROPLAN thus made joint use of these experiences to define the Colombian Component of the Project on Management for Rural Development (PROPLAN/A) being implemented at that time.

This component is broader in scope than the V.AC.21 project because its institutional sphere is the Integrated Rural Development Program (DRI), and its subject area is managing the planning-implementation process of the Program. PROPLAN/A's cooperative actions with the DRI program thus involve inter-institutional and multisectoral coverage and lead to broader and more integrated handling of the problems of rural development in Colombia.

The departments of Santander, Norte de Santander, Surce and Huila were selected as the working area of the PROPLAN/A Colombia Component. Later, in agreement with the DRI General Office, geographic coverage was limited to the departments of Norte de Santander and Huila. The purpose of this modification was to limit the project in Phase II of the Program to those departments in which the methodologies generated by Phase I of the DRI Program had not yet been applied.

The Department of Norte de Santander was selected as the first working front. Integrated rural development actions began in late 1980, coordinated by the DRI-Santander Regional Office. PROPLAN/A's first action was in the DRI-Pamplona District. It is important to note that the project adjusted its schedule to the timetable set by the DRI General Office so that actions could begin as soon as possible.

As a result of the Pamplona achievements, the Program's General Office requested that support actions be extended to the departments of Cesar and to the DRI-Malaga district in the department of Santander for application and improvement of the methodologies.

Although the DRI-Malaga district corresponds to a Phase I area of the DRI Program, support to that area was considered strategic

because it would help determine the viability of carrying out similar actions in other Program areas, that is, other Phase I areas. This was confirmed by the results.

In accordance with PROPLAN/A's general strategy during the first stage, action in Colombia concentrated on the local or microregional level (DRI districts), for later extension to the departamental level (regions) and then to the national level of the Program. The instruments designed are therefore meaningfully integrated at all three levels.

In October, 1982, at the request of the DRI General Office, the geographic coverage of Project actions was expanded to all DRI districts in the country through the extension of the methodology used to formulate district development plans. In addition, early cooperative action at the national level was accelerated through participation in the preparation of the DRI Program's General guidelines (Orienting Framework) and the consolidation of district development plans to provide feedback to national policies.

# 2. Cooperative action to strengthen the guidance system

Cooperative action under the V.AC.12 Project with the Colombian Agricultural Institute dealt with:

- a. Project testing.
- Programming activities and the use of resources.
- c. Organization and inter-institutional coordination.
- d. Follow-up and information.

The main input for these actions was the technical guidelines developed by IICA's Project Management Program. Project V.AC.12 began in August, 1979, with two courses on Project Management in the districts of Pamplona and Sur Huila. They served to introduce participants to the use of the instruments to be applied in direct technical

support activities. The goal of the activities was to adapt and adjust the methodologies recommended by IICA's Project Management Program to the conditions of a technology transfer district so subsequent evaluation, adjustment and a more generalized application would be possible.

In February 1980, the Second Seminar on Management of Regional Rural Development Projects was held. Its objectives were to evaluate the applicability of the project management models designed for the Pamplona Technology Transfer District, evaluate their potential for extension to other districts, and suggest actions for implementing them and ensuring their continuity. In addition, an effort was made to define the extent to which this model complemented the methodologies used by ICA and obtain suggestions for improving it. After this meeting, ICA's national and regional leadership approved the methodologies applied and the administrative organization proposed for the districts. It was also recommended that they be tested for a six-month period, after which an evaluation of ICA-wide applicability would be made. This evaluation was carried out in October. 1980, as a PROPLAN/A Colombia Component Project activity. The evaluation established that the project management system designed was feasible for improving the guidance system at the district level.<sup>7</sup>

PROPLAN/A Colombia also cooperated with ICA in the area of Project Management. In February 1982, a seminar presented the experiences gained in the ICA districts to national, regional and district level authorities of this organization. At that time it was decided that the methodology was viable, especially in the rural development districts and that it was important to apply it at the national level.<sup>8</sup>

Technical cooperation actions of PROPLAN/A's Project in Colombia have sought to analyze and improve the DRI Program's existing instruments, as well as to generate and adapt methodologies in those fields where new guidance instruments were considered necessary. Some of these were the

micro-regional diagnosis, the general guidelines and the district development plan.

The subject areas covered by PROPLAN/A Colombia in this regard have been:

- a. Preparation of micro-regional diagnoses.
- b. Preparation of district development plans.
- c. Preparation of general guidelines.
- d. Preparation of operational programs.
- e. Analysis of existing mechanisms for public participation.

Furthermore, the Project will intensify its action to:

- a. Design and implement coordination mechanisms.
- b. Design and establish a follow-up and evaluation system for work underway.

The work on micro-regional diagnoses was based on the method in use at the DRI for determining the geographic scope of the Program's actions. The main body of the Project's work in this area, however, was the methodology for micro-regional diagnoses, prepared jointly by the Project's Colombia group and its Central Group.

This methodology was initially applied in the district of Pamplona and later adjusted for use in the department of Cesar and the districts of Malaga and Socorro (Santander). Part of this methodology was used for preparing the district development plans.

The general guidelines were prepared on the basis of a methodology designed by the Central Group, which had been applied in Panama. This methodology was adapted with the participation of the Colombia Group for application at the district level in Pamplona. As a result of that experience, and in response to a request by the Program's General Office, consultation was provided for preparing the General Guidelines (Orienting Framework) for implementing the nation-wide DRI Program.

The Colombia group relied on its experiences in cooperating on project management with ICA, to prepare the district development plans. One result was a methodology applied in Pamplona. Later, this methodology was adjusted and used in the district of Malaga for preparing a Milk Production Plan. The DRI General Office then decided to apply the methodology in the 27 DRI districts in that county, thus adopting it as a basic instrument for implementing the strategy defined in the general guidelines. These development plans target production, marketing, infrastructure and social development.

The approach used by the Project's cooperative actions for the preparation of operational programs was to polish the methodology used by the DRI, especially seeking to ensure that the programs reflected decisions on implementation stipulated in the development plans. In this respect, the work in both subject areas is duly integrated so as to maintain consistency with the decisions established in the instruments.

The Project studies the operation and development of mechanisms for public participation in DRI action. Program authorities will receive recommendations on how to improve the operation of these mechanisms.

With regard to institutional coordination, follow-up and evaluation of ongoing activities, the Project has developed a methodology for studying institutional coordination and has presented a preliminary design for a progress reporting system.

Table 1 details the evolution of actions in each subject area, as well as products generated, participants, spatial coverage, and techniques.

3. The development of mechanisms for the self-sustained strengthening of the guidance system.

To achieve self-sustained capabilities for improving guidance mechanisms the Project

TABLE No. 1 CHARACTERISTICS OF THE COOPERATION ACTIVITIES IN EACH SUBJECT AREA

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ANEA OF ATTENTION	A ONI PROGRAM GUIDANCE SYTTEM SCOPE 1 GLOBAL AND PARTIAL DIAGNOSTICS		2 DEFINITION OF MICHORAGE REGIONAL DEVELOPMENT	3. PORMULATION OF DE- VELOPHENT PROGRAME	4. PREPARATION OF OPERA- TIONAL PROGRAMS	B. ORGANIZATION AND PAR- TICHATION OF RURAL POPULATION	B. PROJECT MANAGEMENT SCOPE  1. VALIDATION OF PROJECT AND STRATEGY	2. PLANNING SPECIFIC AATTONS AND RESOURCE USE	3. WITER-AGENCY COORDI- NATION AND ONCANIZA- TION	4. CHOCHING MODIFICATION

has used the learning and transfer by doing formats and has developed cooperative efforts in support of national technical groups. This is done inside national institutions, taking into consideration their current priorities and policies for identifying and solving problems, the need to develop their potential, and the experiences they have gained on other institutional settings.

Project activities have thus been aimed at forming a group of national level technical staff from the DRI Program. They would be responsible for disseminating the instruments developed in the various participating institutions, and leading the training activities required for achieving this goal. Project technical personnel working to train the members of this group would provide direct support as they carried out their activities, and could supply the appropriate conceptual and methodological inputs.

# 4. Developing mechanisms for extension to other organizations

Project activities have a dual focus. One is in-country and includes technical cooperation with other organizations interested in the approach and methodologies developed. The other is multinational and is inherent in the nature of the PROPLAN/A Project. The products achieved by the Colombia component provide input to this focus and at the same time, offer input to the cooperative action taking place in other countries.

Cooperation was thus extended to other Colombian organizations, such as the National Federation of Coffee Growers, the Tunja University for Technology and Education, the National Agricultural Training Program, and the Colombian Agricultural Institute. This cooperation took the form of training activities.

Since no mechanisms have yet been developed for extending the results of efforts to strengthen the guidance systems of institutions not participating in the DRI program, such action has taken place at the request of interested organizations. Experience gained is

thus beginning to extend beyond the Project's institucional limits.

Because the Project is multinational, it contains mechanisms for extending its experiences and findings to other countries. These mechanisms are based on the relationships between the hemispheric component and the country components, and between the central group and the country groups. Members of the Colombia group have thus participated in numerous study, training and direct technical support activities related to the hemispheric component and to other PROPLAN/A components.

The Colombia group has cooperated with the Dominican Republic group by making cooperative efforts with the Secretariat of State for Agriculture on medium-term planning, operational programming, and technical-administrative organization. In Venezuela, it has cooperated with the group working in cooperation with the National Program of Integrated Rural Development Areas (ARDI), for training technical groups of the ARDI-AROA project. Finally, in Costa Rica, it participated in problem identification, which laid the basis for designing the PROPLAN/A-Costa Rica technical cooperation project in 1981.

This direct participation by technical personnel serves to give greater coverage to the methodologies and the documents describing how to use them. Other countries also obtain information through the hemispheric information network which is an essential element of the Project's hemispheric component.

### B. Factors contributing to cooperative action

Many factors contributed to the success of the PROPLAN/A Project in Colombia. The most important are mentioned below. They include human factors and institutional factors, and factors relative to the project strategy and its mode of operation.

### 1. Human factors

Human factors cover both the personal relationships among the technical personnel

of the Colombia group itself, and their relationships with national officer and with technical staff of the Project's Central Group and other country groups. In general, the teamwork format was successful. Another important factor is the professional skills of the personnel working in this process, both at the target institutions and in the cooperating organization. Prominent among these human factors are:

- a. An excellent relationship developed between the professionals on IICA's advisory team (Colombia group), and the excecutives and technical personnel of the institutions receiving technical cooperation at the Project's different geographic levels of action.
- b. Technical and human qualities were highly compatible among the members of the country group, which made possible an effective working nucleus. This contributed to establishing fruitful interdisciplinary and human relationships with the working groups set up in the national institutions.
- c. Great motivation was generated among officers of national institutions to use group and interdisciplinary working concrete action to strengthen their own institutions. The opportunity thus emerged to develop products recognized and adapted as important instruments for dealing with day-to-day problems and potentials.
- d. National technical personnel, especially at the local level, became aware that the experiences acquired provide them a clearer and more concrete view of institutional objectives and goals, and justification of the activities developed to achieve them.

### 2. Factors relative to strategy and working formats

These factors can be found in the Project's strategy of spatial coverage, which emphasizes actions at the local level. They also include the learning and transfer by doing format of

the approach. Some of these factors worth mentioning are:

- a. The adoption of the participatory and reciprocal cooperation format, based on conceptual frameworks, methodologies and instruments consistent with agricultural trends in Latin America and the Caribbean, and aimed at developing permanent national capabilities.
- b. The direct participation of technical personnel from national institutions, especially at the local level, in developing methodologies and instruments for possible subsequent institutionalization.
- c. An approach initiating action at the local level, for later emphasis and expansion to other levels (regional and national) in line with the top-down flow of guidelines from the national level and based on results obtained at the local level.
- e. The recognition of the specific need for direct technical support as a decisive factor in proposed training activities and studies.
- f. The use of a format for developing and transferring information through the concrete application of instruments in the working area of the technical personnel. Application in turn generates a feedback process to modify or reinforce information based on existing conditions.
- g. The complementary nature of the work of the Colombia group and the Project Central Group in developing, applying and extending instruments, which has made it possible to provide an efficient response to the countries' requests for cooperation.
- h. The use of inter-institutional seminars for studying the approach, methodology and instruments developed at the local level as an effective means for submitting them to the consideration of higher-level directive groups and for obtaining

approval and recommendations based on in-depth knowledge and discussion.

- i. The constant contact with national level officers, keeping them informed on progress and achievements at the local and regional levels, so as to deepen their involvement and identification with the Project. This strategy of continuous information and timely negotiation made it possible to give continuity to the Project's work despite changes that took place at higher directive levels of the Program.
- j. Motivational and organizational development techniques have been used for Project Activities, to better integrate national technical personnel and help them improve their attitudes toward teamwork.
- k. Conceptual frameworks, methodologies and instruments of proven effectiveness and applicability in other contexts have been made available. Examples include the Conceptual Framework for the Agricultural Planning Process in Latin America and the Caribbean, and those developed by the former Project Management Program of IICA. This made it possible to respond rapidly to the technical cooperation needs presented by national entities.

### 3. Institutional factors

Described below are the special policies and factors, affecting IICA's institutional scope and that of the organizations receiving technical cooperation action:

- a. IICA's interest in extending countrylevel experience in planning and management for rural development to the hemispheric level.
- b. Action by IICA's Office in Colombia prior to the PROPLAN/A Project on Planning and management for rural development. This action set precedents for national recognition of IICA's technical capabilities in this field.
- c. IICA's adoption of a working format involving multinational projects, implemented by interaction between "components" and "technical groups" ensuring optimum use of resources through the exchange of experience and information.
- d. The decision of national institutions to support IICA and participate in joint activities to develop or adopt new methodological instruments, for later institutionalization.
- e. The positive institutional attitude of the DRI Program's General Office towards extending the scope of Project achievements to the national level and to the other DRI districts.

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# Chapter IV

# Conceptualization of the operational model

#### A. Theoretical Foundations

Technical cooperation activities developed in Colombia through interaction with other PROPLAN/A components helped in the construction of a conceptual framework for the Project operational model, based on its fundamental assumptions. The conceptual framework is therefore the product of the widespread, successful application of techniques and instruments which are continually being expanded and renovated contemporaneously with the action of cooperation.

The theoretical foundations underlying the operational model will be described in terms of the following concepts:

### 1. Direct action on the object of transformation

PROPLAN action revolves around a working model of direct action on the object of transformation. The object of transformation is approached in terms of the PROPLAN sphere of action, defined by the limits of the guidance systems used by the various public agencies whose major objectives are agricultural development and the well-being of rural people.

This working method implies an attitude toward basic know-how and toward the scientific and technical processes used for solving problems or developing potential which aims at turning socieconomic and political forces in a particular direction. The primacy of the object of transformation is expressed as a new approach for identifying the object of action on the basis of socially defined problems or possibilities.

From a cognitive point of view, this leads in turn to the acknowledgement that the chief source of knowledge is the actual process of transforming a concrete reality.

### 2. The decision/action unit

The decision/action unit refers to a dynamic conception of human behaviour in social processes which seeks to bridge the gap between decision and action, a dichotomy based on a denigration of praxis, even though concrete action is really what allows both lines to liaise, integrate and mutually enrich. The decision/action unit becomes possible when reality is redefined as the object of transformation. Decisions are made on the basis of this redefined object, and actions are taken as part of an operation to change it: at the same time, however, action gradually modifies the conceptual framework of those involved in the decision-making. The resulting decision is thus stripped of its abstract dimension while action loses its purely pragmatic dimension and the two elements merge in an integrated fashion.

### 3. The Holistic Dimension

Holistic meaning assumes that the basic significance of any portion or aspect of reality is only meaningful in the context of a larger, more complex and comprehensive reality, which is governed by laws that take on a specific form of expression in this unique part or portion.

In the PROPLAN approach, the holistic dimension focuses on guidance functions for managing the planning and implementation process, to integrate all of the various currents of the disciplines of development management and planning. This is especially true for management principles, analysis methodologies and human organizations.

### 4. The Participatory Dimension

This involves the need to recognize, beyond the realm of theory, that every individual is essentially social. As a result, any effort to transform real situations without including individuals in "decision/action on the object of transforming" must fall short of its goals, or, in the best of cases, produce meaningless results.

Participation is important not only to enhace effectiveness, but also, and most importantly, it is essential from an ethical and humanistic standpoint. At issue is human achievement as a process inseparable from cooperative action in transforming the real situation of the participant.

As a result, the PROPLAN approach implies work performed in a participatory fashion, beginning with the actual design of the methods and instruments. This is done in working parties made up of technical people from the central and country groups and national officers. The relationship between technical groups and national officers, operating in a multinational contexts, enhances the vast potential for the adoption and transfer of experiences and conceptual developments among countries confronting comparable problems and opportunities.

The participatory dimension also implies the need to readjust the relationship between the public and private sectors to make it possible for rural people to participate actively in guiding the planning/implementation process. This is basic to grasping what are the real demands and for generating effective responses to these demands. In this fashion a dynamic relationship is established between all those participating in the attempt to improve rural living conditions.

#### B. Fundamental characteristics.

The former section emphasizes the idea that the keystone of the PROPLAN/A operational model is the development of cooperative action through direct action on the object of transformation. This includes the following four basic aspects: work with national officers; in their institutions, in terms of their prevailing policies and priorities, for the purpose of identifying and solving their problems and developing their current potential. The characteristics features of the conceptual framework of the operational model are listed below.

### 1. Group, interdisciplinary work

The group nature of PROPLAN/A's work stresses two specific dimensions.

These are: the value of establishing work teams, coordinated in such a way that the whole is more than the sum of its parts, tending towards the formation of a reference model based on the concrete task at hand; and, secondly, the attempt to achieve true interdisciplinary integration. The latter averts the unilateral handling of problems and possibilities, which in real life are highly complex and have to be dealt with from a focal point lying beyond the sometimes artificial boundaries of the scientific disciplines.

The orientation of the Project work teams is to use group dynamics so as to gradually work out a real common denominator, or reference model, which makes the work of the various technical staff members jell. Action is in line with broad-spectrum professional group representation. A prevalent feature is the dynamic interacting of the disciplines involved, and the goal is to generate original products. The idea is to achieve products valid in terms of their interdisci-

plinary richness and complexity in addition to their appropriateness to the situation at hand.

# 2. Use of the operational group concept and process of action as integrating elements.

The expression "operational group" can have a number of meanings, depending on the context. The usual concept of operational groups contains the idea of a "product" emerging from group activity. This product typically has a new qualitative dimension, which may emerge from the convergence of varied and different agents. In the contexts of the underlying approach to PROPLAN action, the operational group concept implies bringing together specialists from various disciplines, who work as a team to solve a specific problem.

The concept contains one more element group activity gradually acts to modify the reference models of the individual participants. The group task itself becomes a learning experience which generates new knowledge and habits, helping to overcome unilateral, polarized approaches to problems and problem-solving.

The task to be performed is thus the integrating element of the products of learning in action. Converging around the task are the groups as human organizations with a socially defined purpose, in order to integrate the two remaining elements of the guidance system with which we are concerned: basic management principles and the methodologies for reorganizing analysis and decision-making.

## 3. The direct link between research and action.

The focus of the research and studies produced under PROPLAN/A projects is action-research. This emphasizes the activity of doing research on or studying the behavior of the object of transformation. Here the feedback between study/research and the direct technical activities leads to the development of conceptual and methodological components through a continually evolving process. The study/research activities stem

from country technical cooperation needs, identified by team efforts. These needs in turn give rise to subsequent training activities and direct technical support.

From the link between study/research, and the identification or attempt to find solutions to country problems, emerges a conversion of the products of study/research into components facilitating or precipitating the transfer of the capability to act on the object of transformation.

Although the research/action model is still to some extent limited by its situational nature, it does offer the advantage of being practical and of direct relevance to real-life problems. Research and study activities under PROPLAN/A include the following four tasks: the development of conceptual frameworks, basic methodologies, technical guidelines, and the recording of experiences.

### 4. Learning and transfer by doing.

The transfer of know-how is, according to the approach underlying PROPLAN action, a specific concept having to do with concrete situations, and the implication is that both learning and transfer of know-how will take place in an action context of "learning and transfer by doing". This means participating directly with national technical staff in the context of their own institutions in the task before them, and the goal is to promote the development of permanent national capabilities.

In concrete terms the transfer of know-how under these circumstances requires a knowledge base adapted or adaptable to specific countries in the PROPLAN sphere of action. A further advantage of this continuous adaptation of development/adoption of technical capability is that it makes possible a real increase in capabilities far exceeding the limits of "training" because it is not confined to the mere transmission of knowledge and skills in a purely academic environment.

The "training in action" concept can be described as a process of coordinating

research and development with action to transform a concrete reality. The emphasis is on guiding the process of planning and implementing actions for agricultural development and rural well-being.

To translate "training" into increased capabilities means not just the development of human resources by means of specific teaching/learning exercises; it implies a multifaceted dynamic situation engendering:

- a. Increased institutional capability, through changes in the guidance mechanisms and the adoption and institutionalization of new methodologies and operational models, for the purpose of optimizing the performance of the public sector and providing self-sustained, effective problem-solving capabilities and handling potential.
- b. Increased capabilility vis-a-vis the knowledge base. This involves the reformulation of theoretical approaches and models for interpreting the changing picture of the agricultural sector and selection of the most appropriate policies for agricultural development. It also implies taking a new look at the data; available and needed for decision-making, and a new way of handling it.
- c. Increased instrumental capabilities, through the generation and adaptation of instruments, methods and procedures appropriate to the activities of the guidance system at the different decision-making levels. This simultaneously increases the supply of useful, transferable items in the area of rural development planning and management.
- d. Increased capabilities of human resources, through the production of work teams with the necessary know-how, skills and capacity to solve problems and develop potential within the specific framework of each situation in the countries of the region.

The increase in capabilities referred to above is closely related to the two major

postulates of contemporary educational theory, "learning-by-doing" and "learning-to-learn".

This cooperation work is aimed at developing a self-sustained capacity to cope with changes which arise, and emphasis is on the generation of appropriate technology. Appropriate technology will not be generated unless there is a deliberate, intentional effort to achieve a synthesis between the valid contributions of the people coping with the problems on a day-to-day basis, who see problems and solve them, and the equally important contribution of the methodological tools which attempt to solve the problem from a predominantly conceptual stance.

The achievement of this synthesis requires a participatory, mutual effort on the part of the groups involved to seek solutions using the models for direct action on the object of transformation. This direct action is a specific kind of human and physical activity by means of which a human social situation is transformed, but which also transforms the people engaged in the activity.

The processes and results of transfer and learning by doing always view individuals and groups as the active, benefiting core. Only through human intervention can innovative conceptual, instrumental and institutional baggage become meaningful. In other words, the process works through people who, in a cooperative effort to change the conditions of their lives, learn to solve problems and learn by solving them.

# 5. Coordination of "components" and "technical groups"

The operational model of the PROPLAN/A project typically allows certain resources to be allotted to the design of appropriate technology. This is the province of the hemispheric component. The design is then tested, adapted and improved at the country level by the country component. These country-level activities, in turn, generate data back to the hemispheric component for the improvement or redesign of the technology.

These "components" interact to produce a process of feedback which is a fundamental element of PROPLAN/A operations. The holistic dimension of the products to be obtained is also ensured in this manner. Another plus is the achievement of true teamwork consciously unifying thought and action, theory and praxis, thanks to the special features of the model of operation. It should also be pointed out that the country/ hemispheric group relationship in no way implies a center/periphery sort of relationship; this is rather a fully interdependent relationship which takes its concrete form in terms of the specific requirements of cooperation action.

# C. Basic Conditions for the Application of the Approach

Within this operational model, strengthening action must start with an acceptance of certain basic assumptions. These are: the action of transformation is expressed in an integrated planning and implementation process; conceptual frameworks need to be developed as elements for governing the action of strengthening; the technology generated must be adapted or adaptable to the specific conditions of each country.

If these assumptions are acknowledged by the parties involved in the cooperation effort, certain conditions must be met to ensure that the effort will bear fruit. These are described below:

### 1. The cooperating agency must:

- a. Offer technical cooperation appropriate to the definitions of the country.
- b. Support country actions and problemsolving efforts that take place in the national institutions in such a way that proposals and tasks will —as much as possible— be wholly relevant to those problems and that potential already

- identified by the governments of these countries.
- c. Pledge that the products generated by cooperation to strengthen the guidance system will be appropriate and will be generated and/or adapted to the needs of the country.
- d. Coordinate the identification and description of priority subject areas for focusing strengthening actions.
- e. Base their action on existing technical instruments or successful experiences in comparable areas of the country.
- f. Emphasize "learning by doing" and direct action on the object of transformation within the mutual, participatory technical cooperation model.
- 2. The recipient government benefiting from technical cooperation must:
  - a. Pledge that products of cooperation will be used effectively.
  - b. Be willing to introduce changes in the existing guidance mechanisms.
  - c. Give recognition to the important role played at the regional and local levels in guiding action for development.
  - d. Contribute the needed human and material resources and demand the appropriate products agreed upon with the coperating agency.

Lastly, one essential condition is that both the technical staff of the cooperating agency and the national personnel participating in action to strengthen the guidance system must have, in addition to suitable professional qualifications, the capability to grasp and adapt, to be creative and to hold convictions. All this is needed for developing activities in the terrain where joint action is being carried out.

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# Chapter V

# Conclusions

PROPLAN action to strengthen the guidance systems of the Integrated Rural Development (DRI) Program in Colombia has led to the following conclusions:

- 1. The importance of group, interdisciplinary work in technical cooperation activities based on the model of "direct action on the object of transformation" was clearly demonstrated.
- 2. The great value of appropriate interpersonal relationships among the technical staff of the cooperating agency, and between the latter and the technical people from institutions receiving cooperative action, for making real progress, also clearly emerged.
- 3. Active, timely participation by national and regional officers in micro-regional level actions was shown to be important in supporting the strengthening process in terms of recognizing the work performed by local technical staff.
- 4. Technology for transfer, to be appropriate, must first be adapted and even developed for specific, particular conditions. This is perhaps the most important contribution PROPLAN has to offer. and it is the reason for the usefulness of the products of the Project. In fact, first the concrete situations had to be analyzed, instruments used had to be assessed, and action needed to be encouraged for conceptual methodological development. Then the different methodologies and technial guidelines could be designed on an ad hoc basis. The result of all this has been that the methods and techniques used are basical-

ly easy to apply. This makes them acceptable to the national officers, who acknowledge their usefulness mostly because they have used them in their day-to-day work.

- 5. The task strategy employed made it possible to integrate national and IICA staff directly with the rural population in a field situation. This helped to strengthen the interpersonal relationships of all agents involved in the Program. More importantly, it favored the preparation of more realistic programs and projects, with better prospects for suggesting appropriate responses to the real demands of rural people, at the same time enlisting their commitment to achieving goals they had themselves devised.
- 6. Training activities must not be designed solely for imparting and exchanging information. They must go hand in hand with direct technical support. Training thus evolves from being an end in itself to being a product of the process.
- 7. The use of simple, easily applied techniques makes it easy for institutions to train replacement staff. This averts the usual situation in which staff turnover means a hard-to-recoup loss of knowhow and experience.

Concerning PROPLAN action within the multinational project model, many of the advantages of the Project were clearly traceable to this feature. In this context the following emerge as important:

- 1. The country/hemispheric components as they interacted in studies, training activities and direct technical support led to the development of conceptual frameworks and methodologies which were then applied to the preparation of concrete instruments.
- 2. The link between the hemispheric and country components proved decisive to the participation of headquarters technical staff in country component action. The same was true for the contributions made by technical people in the country components for generating new method-

ologies and conceptual frameworks (in other words, their component).

In sum a great deal remains to be learned and developed. But what has been produced so far clearly shows that there is unquestionable potential for achieving greater efficiency and effectiveness in the guidance systems or programs to promote agricultural development and rural well-being. The international organizations have a great responsibility in this task, which can be successfully performed only on the same terrain as the expected achievements, supplementing national action while at the same time fulfilling a basic function by generating appropriate technology.

# **Footnotes**

- 1. This chapter is based on exerpts from the document "La capacitación como elemento esencial de la cooperación técnica de PROPLAN". IICA, Internal PROPLAN Document, DIP-79. San Jose, Costa Rica. December 1982.
- 2. Entitled the DRI-PAN Program, following its incorporation into the National Food and Nutrition Plan (PAN), which took place in August, 1982.
- 3. National Planning Department (DRI-PAN Program). "El Programa DRI-PAN." Bogota, February, 1983.
- 4. Rate of exchange = 73.5 pesos per dollar on March 17, 1983.
- 5. The equivalent of US\$ 504.00 per month, using the official exchange rate.
- 6. National Planning Department (DRI-PAN Program). "Propuesta para la ejecución del Programa DRI-PAN." Bogota, October, 1982.
- 7. Document ZA/C-3.2 (109). "Análisis del sistema de manejo de proyectos aplicado en el Distrito de Pamplona." Bogota, January, 1981.
- 8. Summary, conclusions and recommendations of the Seminar-Workshop on planning-implementation experiences at the micro-regional level in the ICA Technology Transfer Districts. Cali, February, 1982.
- 9. The DRI-PAN Program of the National Planning Department, DRI-PAN Program, February, 1983.

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