PIM: A PRACTICAL MANAGEMENT SYSTEM FOR IMPLEMENTING RURAL DEVELOPMENT PROGRAMMES AND PROJECTS

by

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ABBREVIATIONS

AC	Area Coordinator
ACDO	Assistant Community Development Officer
AFC	Agricultural Finance Corporation
AIE	Authority to Incur Expenditure
APC	Annual Programming Chart
APE	Annual Programming Exercise
APF	Annual Phasing Form
DLO	District Livestock Officer
DO	District Officer
LO	Livestock Officer
MBO	Management by Objectives
MFP	Ministry of Finance and Planning
MOA	Ministry of Agriculture
MMM	Monthly Management Meeting
MMR	Monthly Management Report
PDA	Provincial Director of Agriculture
PIM	Programming and Implementation Management
SRDP	Special Rural Development Programme

"Planners cannot limit themselves to saying what is to be achieved without showing how and by whom it is to be done."

Albert Waterston (1969:11)

1. INTRODUCTION

This paper describes a system for managing the implementation of rural development programmes and projects[1] which has been developed within the framework of the Kenya Government's Special Rural Development Programme (SRDP). It is designed to meet the need for a method of programming, operational control, and evaluation for a wide variety of rural development programmes and projects. The system was devised and introduced between April and August 1971 and at the time of writing (December 1972) is well into its second annual cycle. Modifications have been introduced in the light of experience. Two independent evaluations of the system have suggested that it can be an effective means of sharpening the operation of the government machine in rural areas (Nellis 1972; IDS, 1972).

The set of procedures described in this paper is termed the Programming and Implementation Management (PIM) system. This is one of six component systems of a higher-order system (described in Belshaw and Chambers, 1972) which incorporates management procedures deriving partly from the control system principles of engineering cybernetics (Belshaw, Bjorlo and Shah, 1972). The other five systems respectively cover:

Field Staff Management (FSM)
Local Participation Procedures (LPP)
An Evaluation Review Sequence (ERS)
Rural Research and Development (RRD)
Plan Formulation Procedures (PFP)

We intend to describe these in further papers. The PIM system is the core of the higher-order system and can be introduced independently of the other five systems, although as and when these are added, they have linkages with

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1. For the purposes of this paper, "programme" means an organised government initiative planned for more than one administrative area, and "project" means an organised government initiative in one administrative area. A programme typically consists of a number of projects in different administrative areas. The system can be used for both programmes and projects, although its use so far has been mainly at the project level.

PIM. PIM has three principal components - a programming exercise, periodical management meetings, and a series of management control reports. In the SRDP, these are described respectively as the annual programming exercise, the monthly management meeting, and the monthly management reports. Experience with PIM suggests that it is adaptable to a very wide variety of rural programmes and projects. With suitable minor modifications it should be replicable both within Kenya and in other countries with broadly similar rural administrative institutions.

2. THE GENESIS OF THE SYSTEM

The need for the PIM system was generated by the Kenya Government's Special Rural Development Programme, which also provided an ideal laboratory for testing and modifying it. A brief explanation of the SRDP and of the development of the system will set the context for the description of the system itself.

The history of the SRDP up to the end of 1971 has been recorded more fully elsewhere (Nelli 1972). In brief, following a conference on education, employment and rural development held at Kericho in Kenya in 1966 (for the papers presented at which see Sheffield, ed., 1967), a series of initiatives led in 1968 to the selection and survey of fourteen divisions (sub-districts) which were considered to be representative of smallholder and to a lesser extent pastoral conditions (Heyer, Ireri and Moris, 1971). This was followed by the preparation in 1969 and 1970 of multi-sectoral and to some degree experimental development plans for six of these divisions. Donor support was obtained for five of these areas and implementation began in the first half of 1971. An administrative officer of the Provincial Administration, designated an Area Coordinator, was posted to each area. In summary his terms of reference were:

(i) to help officers at all levels to get the programme started, and in particular to tackle problems as they arose at the different levels, not attempting to dictate to other departments, but acting in a support role.

(ii) to act as a communications link between divisional, district and provincial levels and interministerially between departments, speeding up the communication of information.

(iii) to act as a contact or link man with donor representatives, evaluators and visitors.

(iv) in collaboration with the Provincial Planning Officer, to draw up timetables and work programmes to maintain the momentum of the programme.

To enable the Area Coordinators to carry out these functions, however, more detailed guidelines were required. At this time, attention was drawn to the importance of procedural and organisational detail by a Kenya Government Commission to review the efficiency of the public service (the Ndegwa Commission). The Commission's Report (Kenya Government, 1971) pointed to the connection between past failures in rural planning and poor or non-existent procedures. For example, the difficulties of Development Committees were attributed partly to the lack of definition of the "actual duties and responsibilities of all the members of these Committees, and the routines to be followed in plan-implementation, progress-reporting and plan revision at the District level" (Kenya Government 1971:115). The recognition of the need for procedures for Area Coordinators followed this line of thinking, and provided a timely opportunity to innovate experimentally in a relatively unexplored area between the applied social sciences, public administration and management.

At first the main need perceived for Area Coordinators was a reporting system. In April 1971, a preliminary paper made four sets of points to guide the design of a reporting system (Chambers and Belshaw, 1971):[1]

(i) Report-writing should not be a substitute for other action. Reports take time to write, may be delayed through time-lags in information becoming available, and are sometimes held up in typing, duplicating, and in the post. Urgent issues must always be dealt with immediately, usually by telephone, telegram or word of mouth and not reserved for a report.

(ii) Restraint should be exercised in requests for information. An intellectually perfectionist approach to management control requires the obtaining and communication of a great deal of information, but this has its costs. Lower-level staff find report-writing a great chore, and their time has an opportunity cost. Also, most information in most reports is never used.

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1. This paper followed and benefitted from comments by David Brokensha, J. Mugo Gachuhi (1971) and Peter Moock on the role of the Area Coordinator.

(iii) Care should be exercised not to ask for information which, though desirable, will be misleading.

(iv) Area Coordinators' reports should be designed with the following purposes in mind:

a) developing the Area Coordinators' roles and relationships

b) improving and maintaining staff and programme performance

c) securing necessary action at the various levels of government

d) recording progress for continuing and subsequent evaluation

e) forcing staff into continual self-evaluation and feedback

f) developing and maintaining commitment to the programme

g) developing the planning and replanning process

h) identifying problems and bottlenecks at an early stage and securing action to overcome them

i) improving the government's existing reporting systems.

As this list suggests, consideration of the potential uses of a reporting system drove us into developing backward linkages to programming operations and forward linkages to operational control and evaluation. We found that we were concerned not just with reporting but with the procedural elements of a system of management. Our purposes became first, to work out, test and improve procedures to enable Area Coordinators to develop their roles and carry out their functions; and, second, in accordance with the experimental rationale of the SRDP and the aim of replicability, to develop those procedures into a management system for rural development programmes and projects which might have potential for use much more widely within Kenya and elsewhere.

Some of the dangers of systems for programming and controlling the implementation of rural development programmes and projects were

recognised (Belshaw and Chambers, 1971). Excessive or unnecessary information might be demanded. Unreliable and misleading information might be generated by demanding quantification of achievements upon which reporting staff members thought they were being judged, leading sometimes to tacit connivance between levels of staff so that reported figures would not be checked. Programmes, or the balance between programmes, might be biassed, as happened in the rural development programme in Malaysia, towards construction because construction was easily quantified and inspected (Ness 1967: 124-141). Staff might be demoralised through the setting from above of unattainable targets. Self-help and participation by the people might become forced rather than voluntary if officials were required to achieve self-help targets in their areas. In designing the PIM system the desirability of avoiding these problems and where possible improving on previous practice was borne in mind.

The approach followed in designing PIM was eclectic. Critical path analysis was considered and rejected as too complex for use at the field level. It is excellent for a complicated project such as a major construction works or a new-land settlement scheme (illustrated by Millikan, 1967), especially when there are inexorable deadlines, as Butcher (1971) as shown where a population is being displaced by a lake forming behind a dam; but it is less useful for simpler projects and programmes. The linkages between activities in low-level rural development programmes are normally already well understood by those taking part and necessary adjustments can be made without recourse to a network diagram. Moreover, network analysis is difficult to teach to field staff. However, the first stage of network analysis - identifying the operations which have to be carried out - did seem useful and was accepted. Another point of departure was provided by a bar chart monitoring system employed by the Ministry of Works in Nairobi and updated through a monthly reporting system. Some of the principles of Management by Objectives (MBO) (see, for example, Humble, 1967; Garrett and Walker, 1969; and Reddin, 1971) also seemed applicable, especially the idea that performance targets should be set not from above but by the subordinate in discussion with his supervisor. In addition, the technique of using a blackboard to write up participants' ideas and focus discussion was borrowed from case study teaching methods. The Malaysian operations room and red book system (Ferguson, 196[illegible] Ness 1967; Kulp, 1970: 633-651) was also examined. The complete system was considered too elaborate in some respects and inadequate in others, but the idea of keeping

a central, visible record of progress was adopted.

The system for managing programming and implementation which emerged was discussed with headquarters staff, Provincial Planning Officers, and Area Coordinators, and a number of modifications were made in the light of their suggestions. The pilot system was finally agreed at a meeting at the Kenya Institute of Administration held in July 1971 and was then implemented for the 1971/2 financial year in four of the SRDP areas - Mbere, Migori, Kapenguria, and Vihiga. Further discussions were held with Provincial Planning Officers and Area Coordinators in July 1972 after the system had been operating for a year. Further minor modifications were introduced. In 1972 the programming exercise at the start of annual implementation was carried out without assistance from research staff and the system has continued since then in all six SRDP areas without a further research and development input.

3. THE PROGRAMMING AND IMPLEMENTATION MANAGEMENT SYSTEM

As already indicated, the PIM system has three components. For the SRDP these are called:

- an annual programming exercise (APE)
- a monthly management meeting (MMM)
- a monthly management report (MMR)

These are described as they have been taking place in the SRDP. Replicability in other contexts is discussed in the final section of this paper.

(i) The Annual Programming Exercise (APE) (see also Appendices A, D and E)

A decision is taken as to which projects should be phased. In 1971 this decision was taken in the field according to the priority and state of readiness of the projects. In 1972 the decision was taken jointly between field and Nairobi staff in their own joint planning meeting.

For each project in turn, those staff members directly concerned with implementation are invited to a joint programming meeting. The person or persons responsible for SRDP matters in the ministry headquarters (known as the "linkmen") are invited whenever funding from a ministry is entailed. Sometimes those present are, except for the Area Coordinator, all from the same ministry (as is especially common with Agriculture). Often, however, especially with projects involving production infrastructure or self-help, several ministries are involved. The staff attending may be from divisional,

district or even provincial level, but it is most important that the officer who is directly responsible for implementation of any operation in the project should be present and should feel free to speak his mind and contribute his experience.

Discussion starts with an examination of the objectives of the project. Often these are not clear and sometimes the value of the project may be questioned. In such cases follow-up action may be decided and the meeting adjourned. When there is agreement on objectives, their desirability, and the potential of the project for achieving them, programming can begin.

For detailed programming a blackboard was originally used to focus attention and discussion. Months were marked horizontally, and then the component operations required for the project were listed vertically from the top downwards on the left hand side in rough chronological order. Participants often identified key operations which had been left out and the list was modified until there was general agreement. Any inexorable deadlines (for example connected with crop seasons) were then marked in against the affected operations. Any operations which could not be completed before a certain date (for example a standard lead time was allowed for fund releases) were also marked in. Through informal discussion, bars were then entered on the blackboard to show the period for each operation. Quantifiable targets were written in above the bars where possible. A completion indicator - the event or output which showed the operation to be complete - was agreed and written in on the right hand side. When all the participants had agreed on and were committed to the phasing shown on the board, it was transferred to two forms - the Annual Phasing Form (APF) and the Annual Programming Chart (APC) (for examples of which see appendices D and E . The Annual Programming Chart was identical with the layout on the blackboard but the Annual Phasing Form included the officer responsible for each operation, the resources required for it, and the precise start and finish dates set for the activity. When these had been completed, each participant had his own record of the implementation programme that had been agreed for the following year. Normally, Annual Programming Charts were kept by between 3 and 5 officers while Annual Phasing Forms, which could be typed or even stencilled, were sometimes distributed more widely.

In the second (1972) annual round of joint programming, in order to reduce the dangers of omissions and to save time in the meetings, a

checklist of probable operations for the most typical projects was prepared (Belshaw 1972). The blackboard tended to be abandoned and may indeed have been less necessary for those staff who were familiar with the system. Area Coordinators and others tended to write onto APFs which were used as work sheets and then to transfer programming later onto a fair copy on the APCs. This had the advantage of speed in the meeting but two disadvantages: first, participating staff could not so easily see the connections between different operations; and second, if they were not familiar with the system they could be left behind and might not even have been fully aware of what they were agreeing to. In general, however, the second annual programming exercise went more rapidly and smoothly than the first and it did not require any research and development input.

(ii) The Monthly Management Meeting (MMM) (see also Appendix B)

After programming has taken place, management meetings of those responsible for implementation are held at monthly intervals. The officer responsible for coordination (the Area Coordinator for the SRDP) checks through the APCs and asks about all the operations which should be in hand or which should have been completed. The officers responsible report on progress. The APCs are entered in green for on time or on or above target, and red for behind time or below target. Remedial action is discussed and decided.

The style of the meeting varies with personalities. Meetings may be chaired by the District Commissioner, a District Officer, departmental officers in informal rotation, or the Area Coordinator himself. The meetings all, however, concentrate on practicalities, on who has to do what, how, and by when, and also through collegial control provide an incentive for staff to perform adequately and on time those operations for which they are responsible.

(iii) The Monthly Management Report (MMR) (see also Appendices C and F)

The word "report" is misleading since this is an operational control device for securing action, not a means for communicating routine information. The report follows directly on from the monthly management meeting, the findings of which it records. It is written by the Area Coordinator soon after the meeting and distributed quickly and widely.

The report has two main sections. The first, the "Progress and Action Summary", is a short sharp statement of the position and of action

required: for each project it lists the operations which are or should be active, the target for the month's end, the actual achievement, whether (YES or NO) the operation is on time, the remedial action required if it is not on time, and who should take that action. The persons from whom action is requested have their initials circled in red on the copies they receive so that they focus quickly and do not have to read the whole document. The second section of the report is also brief, but elaborates on what has happened and specifies more exactly what needs to be done and the implications of delay.

The report is unusual in being sent simultaneously to different departments and to four or five different levels in government - ministry headquarters, province, district, division, and sometimes location. The normal lengthy process of feeding upwards through district and province is thus avoided, though those levels are kept informed.

The reports help and encourage recipients to act promptly in support of projects and also enable them to keep their APCs up-to-date. For the Kenya SRDP all the charts are displayed in an operations room in the Ministry of Finance and Economic Planning so that the reported state of implementation of projects can be appreciated at a glance. Each Area Coordinator maintains a similar field operations room for his area with charts and maps.

4. AN EVALUATION AND SOME CAVEATS

The system has been evaluated by a researcher (Nellis, 1972) and by an independent team from the Institute for Development Studies, not including the authors, (I.D.S., 1972); studied and commented on by third year students of the Department of Government of the University of Nairobi (H.H.A. Chabala, D.H. Kiiru and S.W. Mukuna); and reviewed in periodic discussions by the government staff (the Area Coordinators, the Project Advisers, the Provincial Planning Officers, and Ministry Headquarters staff) who have been most closely involved. The points which follow summarise some of the main findings, including our own:

(i) The Annual Programming Exercise

This has generally been effective in:

- providing a procedure which brings together the staff involved in a rural development project jointly to plan a year's implementation. No case is known of staff refusing to attend.

- facilitating cooperation and coordination between departments. The simple fact of a joint meeting has on occasion led to startling discoveries about incompatibilities or complementarities between the proposals or programmes of different departments.

- focussing attention on the practical detail of programming - who should do what, how, when, with what resources - at an operational level which anticipates difficulties and identifies problems that may have to be faced and the measures that may be required to overcome them.

- providing an institutionalised opportunity for a subordinate to explain his difficulties and resource needs to his superior. This therepeutic function of the meeting has been particularly noticeable in Agriculture where there is a common communication block between division and district levels, sometimes associated with authoritarianism on the part of the district-level officers.

- securing staff commitment to responsibility for performing operations according to a mutually agreed timetable and achieving self-set and freely agreed targets.

Its main weaknesses in practice have proved to be:

- the difficulty experienced by some staff who are not familiar with the system in keeping up with the discussion during the programming exercise. This has sometimes led to their not keeping their own copies of the APFs or APCs and even to a failure to understand what they are being committed to. However, this does not appear to have been very common.

- the large amount of time required of ministry headquarters linkmen in travelling to meetings where they may make only a minor contribution. This criticism applies mainly to ministries other than Agriculture and Social Services, both of which typically have several projects to phase in each area. There is also a countervailing benefit in impressing on linkmen the crucial importance of central fund releases in the success of projects and in gaining their agreement to trying to secure such releases according to a timetable. The costs of late fund releases - in lost effectiveness and in loss of staff morale - are so high that this may often be a worthwhile use of their time.

(ii) The Monthly Management Meeting

While the style of these meetings has varied and care has been taken not to standardise routine, in order to gain experience with different approaches, these meetings appear always or almost always to have been effective in:

- concentrating discussion on the hard details of implementation
- making staff aware of the difficulties which other officers and departments experience
- inducing cooperation and the sharing of resources and generating a sense of teamwork
- acting as an incentive to effective and timely performance of activities through the courteous shaming of an officer before his peers when operations for which he is responsible are behind schedule
- establishing the Area Coordinator in his roles, and in particular presenting him as an ally of departmental officers in breaking bottlenecks which the officers themselves are powerless to effect.

The main weaknesses of the monthly management meeting have been:

- the failure of officers to turn up, forcing the Area Coordinator to harry them in order to obtain their reports and weakening the value of the meeting for others. Such failures have occurred most with very busy officers and have not been common.
- failure of officers to come with the data required for the monthly report. This has usually been a teething problem overcome once officers are familiar with the system.
- waste of time while projects which do not concern an officer are being discussed. This has been largely overcome by altering the sequence in which projects are considered, so that those concerned only with only one or a few projects can be dealt with first and then leave.

(iii) The Monthly Management Report

The monthly management report has been generally effective in:

- communicating simultaneously at several levels of government (and especially providing a direct line from division level to the ministry headquarters for sounding alarms about delayed fund releases and their implications in the field).

- showing recipients quickly and easily (through circling their initials in red where their action is requested) what they are expected to do and securing their action.
- for evaluation, identifying bottlenecks and problems at all levels, showing where responsibility for failures lies, and maintaining a record of the year's performance month by month which can be analysed and presented in an Annual Implementation Review with feedback to the following year's programming and implementation.
- enabling recipients, if they wish, to maintain their APCs as a graphical up-to-date picture of the state of implementation.

Its main weaknesses have been:

- the length of time taken in preparation, including the amount of the Area Coordinator's time taken in drafting and checking the report before it is sent out. Various suggestions for speeding up the process have been rejected by Area Coordinators who on their own have sharply improved the speed of production and despatch, with a consequent increase in its effectiveness as a management tool.
- the length of the report. This has been most marked in Mbere, where as an experiment all the projects of all the departments concerned with rural development were programmed. Elsewhere, reports were much shorter. Where report length is a problem, there may be a case either for simplifying the report still further or for being more selective in the projects which are programmed.
- unintelligibility. Recipients new to the system have found the first section difficult to understand. In 1972, however, most recipients, notably all the linkmen, were familiar with the system and this problem no longer arose. With diffusion of the system throughout government, this difficulty would disappear altogether except with new recruits.

(iv) General

On the positive side, the PIM system appears to have contributed to the purposes listed in April 1971 (see page 4 above) under heading (iv) with the sole exception of (i) "improving the government's existing reporting systems", which still continue as before. It has helped to legitimate the Area Coordinator in the eyes of his colleagues in technical

departments and has enabled him to appear less as an arrogant administrator who lords it over technical officers and more as a peer with special means of overcoming problems on their behalf. It has also had an educational effect on many government officers (and some researchers including the writers) in showing them how government procedures do or should operate. Perhaps its most obvious contribution has been demonstrating how damaging late fund releases can be particularly in Agriculture where the seasonal calendar waits for no one.

While the performance and operation of the system have varied, it seems fair to conclude that it is workable in the SRDP context and that its benefits outweigh its costs. It is important to recognise, however, that it has been operating in circumstances of somewhat closer supervision than might be the case if it were more generally adopted. Also it is worth pointing out that there are four particular dangers with a system of this sort which should be guarded against, whether it is used on a small or on a large scale:

(a) Conservatism and Ritualism: Once staff have become accustomed to the details of a system, they are reluctant to change. The Area Coordinators in 1972 rejected a proposal to simplify one part of the system, although the proposal would have reduced their own workload. Similarly, the operation of such a system can always tend towards an empty ritual, although if that occurred with PIM it would quickly become evident since it is so closely linked in with the performance of verifiable activities. The conclusion is that the operation of such a system should be subject to careful supervision, with a readiness to adapt and innovate as necessary.

(b) Falsification of Performance Returns: False reporting of achievement is less likely when, as with PIM, many of the targets are set by the staff themselves, or when, as in Agriculture, many of the targets are vulnerable to factors exogenous to staff performance so that staff cannot and should not be judged by target achievement. False reporting can, however, occur, and is likely to develop if the reporting system is used for disciplinary purposes. A more subtle form of "cooking" is the deliberate setting of low targets so that achievement can look better. The conclusion here is that if reported performance is to be used to evaluate individuals, care should be taken that the evaluation takes place with full discussic between senior and subordinate and that as far as possible evaluation is limited to achievements which are verifiable and unaffected by exogenous factors.

(c) Bias towards the visible and quantifiable: The Malaysian Red Book and Operations Room system was associated with a bias towards capital and construction works which could be inspected. In any system of procedures which sets a value on quantifying achievement, there is a danger that a similar bias towards the visible and more easily quantifiable will creep in. Departments of Community Development, attacked for their lack of visible results, have sometimes veered towards monumental self-help in order to have something to show. It is much harder to demonstrate the beneficial effects of, say, a child-spacing programme, than of a programme of village well-building. The conclusion is that in selecting programmes and in programming itself, a balancing counterbias should be introduced, and non-verifiable, non-visible targets should be permitted, always with the qualification, in accordance with the principles of MBO, that they should be set through discussion with the staff who are to try to achieve them.

(d) A drive towards authoritarian 'self-help' activity: Self-help activity is difficult to programme but where it is an essential element in a project - as with self-help cattle dips in Kenya - other activities depend upon its effective performance. Programming is then liable to mean that Administration and Community Development staff accept targets for the collection of self-help contributions. As and when these fall behind schedule, staff may redouble their efforts and be driven into high-handed and authoritarian methods of collection. Such methods have any way been used by the Administration in Kenya (Nyangira 1970) with harmful effects. Two conclusions can be drawn. First, where possible, leaders of the community should be involved in the annual programming operation. There is no reason why this should not be held in a local classroom, using the blackboard, perhaps with the Community Development Officer taking a leading part. Second, staff should not be held responsible for short falls. There is a dilemma here between "realistic" and "carrot" target-setting (see Devons, 1949, for these issues in aircraft production in Great Britain during the Second World War). If there is a tendency to fall short of any target at whatever level it is set, then more may be achieved by setting a higher, unrealistic, or "carrot" target than a lower more realistic one; but if this unrealistic "carrot" target-setting is used, then there is all the more reason not to judge staff crudely in terms of target achievement.

5. FUTURE DEVELOPMENT AND REPLICATION

Notwithstanding the early conservatism and enthusiasm of those who have operated the PIM system, there is nothing sacrosanct about any part of it. Several modifications can be considered. First, there is a strong case for any simplification which does not involve loss of information used in decision-making or a loss of incentive. The most obvious would be the amalgamation of the APF and APC into one form to avoid duplication and to streamline the annual programming exercise.[1] Second, the principle of management by exception might be applied more strongly to the monthly report by mentioning in the first section only those items which were below target or behind schedule. Area Coordinators would, however, be likely to resist this since it would give a misleading impression of failure. Third, it has been suggested that the monthly meeting should be held every two or three months. Our experience leads us to disagree with this proposal. With most projects the bunching of key operations is such that operational control through a meeting at monthly intervals is barely adequate; on the other hand, meetings at shorter intervals might pose an undue demand on staff time.

Replication of the PIM system, or of an approach like it, raises some interesting questions. It is currently (December 1972) being used only in the SRDP areas in Kenya, although a similar system has been recommended to the Botswana Government for village projects. Replication can be considered first, within Kenya; and second, in other countries.

Replication within Kenya could take several forms:

(i) Use within a Department or Ministry: The annual programming exercise leading to the agreement and preparation of APCs could be adopted by a department or ministry for any programme or project at any level. Such an approach would be least appropriate where the staff involved were subject to unpredictable demands on their time (such as preparing answers to parliamentary questions), or where essential operations had to be carried out by people who cannot for some reason come to meetings (self-help projects have hitherto been a special case in this category). Care would be needed in identifying a monitoring system. A monthly meeting is only one of several approaches. An APC can be used by one person for his own work - for instance for programming the writing of a book or the preparation of a report. In such a case, monitoring is a private and personal matter, though it can be conducted at regular intervals. If the

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1. See Appendix G.

system were used within a ministry or department, monitoring and reporting could be carried out either by one person through a number of person-to-person contacts, or through periodic meetings not necessarily at one month intervals. The system could also be used for an inter-ministerial working party, in which case the perhaps irregular meetings of the working party would provide the occasion for reporting on progress. In such ways, the system could be used or adapted to various needs and situations.

(ii) Replication in Connection with District Planning: The most obvious replication would be for managing district plans when these are prepared, with the new District Development Officers acting in similar roles to the Area Coordinators. If this occurred, two issues would have to be confronted. First, there might be a tendency for divisional staff to be left out of programming. This would be unfortunate and contrary to the principles of MBO. Divisional staff should take part in the annual programming exercise and should then in turn mount similar meetings with their subordinate staff in the divisions. Second, if many districts were involved, provision would have to be made to handle the workload generated at the provincial and ministry levels, particularly the demands for action through the reporting system. Any attempt to cut out the direction communication with Nairobi, unless accompanied by greater financial decentralisation to provincial level, would weaken the system, since fund releases have been shown to be such a crucial bottleneck. The present field administration of the Kenya Government appears just efficient enough to operate an inefficiently overcentralised system well enough to stave off reform. But a wider introduction of PIM at district level would precipitate a need either for financial decentralisation or for additional staff in the ministries in Nairobi.

(iii) Replication in Connection with Rural Development Programmes Generally: The over-attention paid to plan formulation has obscured the potential benefits of improving the implementation of existing programmes. For a small input of high-level staff time, a management system can be introduced in a district in mid-implementation. Planning has been compared to playing a game with considerable stakes in a taxi with the meter running; (quoted, no source, by Chadwick 1971: 366). But in this game plan formulation can only be of use if it affects the moves. If plan formulation takes long to complete, it may be best, in view of the ticking meter, to start by doing whatever is possible to improve the moves which are going to be made anyway.

Thus in any district, in a week, it should be possible for one experienced person to introduce a slightly modified PIM system for those on-going programmes where it appears that it would bring the greatest benefits. These would be those which have the highest priority, or which involve the largest sums of money or numbers of staff, or where coordination between departments is most crucial. The reporting system could be operated by a senior administrative officer or by the senior technical officer in the district, based on meetings chaired by the District Commissioner. If this system were tried experimentally, an immediate improvement in programme performance could be expected for very low cost. Initially, the reporting distribution could be as for the SRDP, with the qualification that replication on a wider scale would raise the problems of information and demand overload at the centre already discussed under (ii) above.

Replicability outside Kenya will depend upon adaptation to the conditions of particular countries. The system appears sufficiently versatile to be usable, with suitable modifications, in most if not all the countries of Eastern Africa. It seems particularly well suited to Tanzania following the decentralisation of budgetary allocations to the regions and given the emphasis now being given to management aspects of rural development. Its introduction into a Tanzanian region on a trial basis would not raise the problems of overload on the centre mentioned above for Kenya, because the necessary decentralisation has already taken place; and there would be no need for reports to go to Dar es Salaam. Moreover, the new structure provides the posts, personnel and institutions to operate such a system, with the District Development Director and the Planning Sub-committee of the District Development Council at the district level, and the Regional Planning Officer and Regional Financial Officer at the regional level. No doubt modifications would be required; but there seems no reason to suppose that PIM would not work well as a component of the new Tanzanian system, and improve the implementation and effectiveness of development programmes in the rural areas. In Tanzania it could also have the advantage of systematising annual plan implementation with joint participation by both functional officers and local political leaders, enabling the political leaders to have a clear idea of the activities to be carried out by the functional officers, and assuring the functional officers of stable support for annually agreed programmes.

Finally, it must be stressed that PIM is by no means a panacea. The evidence so far suggests that it is one way of improving the performance of government staff and programmes in rural areas. It is, however, by no means the only way. It does not touch many of the issues affecting staff morale, nor does it directly confront the crucial issues of policy and programme choice. Its reliance on charts and the visual presentation of progress may not appeal to some, although we believe that this contributes to its effectiveness. Uncritical adoption on a wide scale without careful appraisal of the effects and of the requirements generated could be dysfunctional. Nevertheless, it now appears sufficiently proven in the context of the SRDP in Kenya to justify its being considered for more wide-scale application elsewhere.

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APPENDIX A: INSTRUCTIONS FOR THE ANNUAL PROGRAMMING EXERCISE (APE)

These instructions are for the officer responsible for the APE. In the Kenya SRDP this is the Area Coordinator. It might similarly be the District Development Director in Tanzania, the District Development Officer in Botswana, or elsewhere their equivalent or the District Commissioner or his equivalent. Whoever is responsible for the APE should also be responsible for the Monthly Management Meeting (MMM) and the Monthly Management Report (MMR).

BEFORE THE APE MEETING

1. Decide which projects should be programmed. Almost any project can be programmed using this system. Some examples are crop extension, community development training, water schemes, credit, vegetable marketing, road construction, livestock marketing infrastructure, mobile health teams, a health centre, holding grounds, crop demonstrations, rural industries, and so on. The system can also be used for groups of projects designed for simultaneous implementation.

The decision which projects to programme should be taken normally in consultation with departmental officers, unless some other procedure has been laid down. In general, those projects should be preferred which:

- have larger finance and staff requirements
- involve interdepartmental collaboration
- have high priority either nationally or locally
- would benefit most from programming

Care should be taken to limit the number of projects for programming in order to avoid overloading the MMM and MMR.

2. Arrange the APE meetings. A complex project may take a whole day to programme, while it may be possible to complete four or five simple projects in a day. Programming will become quicker as staff become familiar with the system.

Arrange a timetable

Book a quiet room where the meeting will not be disturbed and with plenty of room for participants to sit comfortably round a table from which they can see the blackboard. A large blackboard with coloured chalks and eraser is recommended.

Invite those staff who are responsible for implementing the project. This means those who are operationally responsible at the field level and who will be responsible for achieving the targets set. It should also include

the officer, often from a higher level, who is responsible for fund releases (Ministry level in Kenya; Regional level in Tanzania, etc.).

Ensure a supply of Annual Phasing Forms (APFs) and Annual Programming Charts (APCs), and any maps or papers which may be necessary.

3. Brief the Participants. Where the system is new to all or some of the participants, explain its purpose and operation to them before the meeting. Explain that it is intended to assist staff and to improve implementation. Explain that in joint programming they will be taking part in deciding the timing and targets for the implementation of which they are responsible, and that they will be able to discuss the resources they will need. Explain briefly the APF and APC.

4. Prepare the Room. If a blackboard is being used, set it up so that all can see it. It is best, however, if the participants sit equally round a table. Prepare the blackboard to look like an APC except for the parallel railway lines. (See appendix E). Disconnect any telephone.

AT THE MEETING

Conduct the meeting largely by asking questions. Do not try to dictate to the departmental officers concerned. You are more of a midwife than a mother, eliciting more than providing information. Your function is to help the participants to produce a realistic implementation programme. You should respect their professional opinions but, through the questions you ask, you can and should raise issues important for implementation.

1. Ask questions about the objectives of the project. Sometimes these will not be clear. Who will benefit? Is the project consistent with national objectives? If the objectives prove unacceptable in discussion, or if the approved objectives will not be achieved by the project, or if it emerges that some other project would achieve them better, arrange for further discussions and adjourn the meeting. If the objectives are accepted and the project is agreed as suitable for achieving them, programming can begin.

2. List the operations required for the project. Either on the left hand side of the blackboard or on APFs, or on both, list the operations from the top downwards. Each participant must take part and know what is going on, preferably through what is shown on the blackboard, but failing that through keeping his own APF as a working sheet. Encourage participants to contribute ideas about what needs to be done. A checklist (Belshaw 1972) can be used but it is valuable for participants to think the project through for themselves. Add and delete operations as necessary. A general checklist of operations is:

Securing approval
Release of funds
Obtaining land
Staff recruitment
Staff training
Housing
Equipment and supplies
Local participation
Operations of implementation (e.g. farm visits, loans issued, etc.)
Evaluation

This is not comprehensive and commonsense will suggest others. Many projects do not include all these operations.

3. List the officers responsible for implementing each operation. Ask participants to name who is responsible for the implementation of each of the operations, and enter their initials next to the operations on the blackboard (or on the APF). (All those responsible should be present at the meeting.)

4. Ask what resources are required for each operation. Finance, land, equipment and supplies are the most common. Include staff time if this is likely to be a constraint. Note these against the operations and quantify whenever possible.

5. Agree the timing and targets for each operation. If using a blackboard, the months of the year should have been marked across the board. Ask what deadlines there are (e.g. crop planting seasons) and enter them against the relevant operations. Ask how long lead operations such as fund releases will take and mark these in. Then by questioning and discussion enter in bars to represent the expected and feasible periods for each operation. Encourage very free discussion since full commitment only follows from full and free participation. It may be necessary frequently to rub out and alter timing estimates. Ask what indicates completion of operations, and enter these completion indicators, quantified whenever possible, at the right hand end of the board. Enter quantified monthly targets for achievement where possible, asking participants to set their own targets.

The discussion which takes place at this very important stage will often throw up unanticipated problems. Sometimes it will be necessary to adjourn, but usually programming can be completed in one session. It cannot be emphasised too strongly that those taking part must freely contribute and must really think through and feel responsible for their parts of the project.

6. Check feasibility and agreement. Allow time for all concerned to consider carefully, following your questions:

- whether any important operations have been left out
- whether there will be conflicts over staff time use or other resource use between this project and others
- whether the different operations are correctly timed in relation to one another
- whether timings and targets are feasible, and whether those responsible for implementation are convinced of this and committed to them
- what is most likely to go wrong, and what can be done to prevent it.

7. Transfer to APFs and APCs (see appendices D, E and G). If APFs have already been used, fair copies can now be made, followed by APCs.

If APFs have not been used, they can now be completed, or (simpler) the information on the blackboard can be transferred direct to the APCs.

To complete an APC:

- transfer the list of operations from the blackboard or APF to the APC, putting one operation in each box on the left hand side of the chart.
- Number the operations.
- For each operation fill in the upper "railway lines" in black for the period the operation is planned to take. Mark the start and finish of the period with a short vertical line. (In cases of uncertainty or where an operation is very intermittent, use a dotted line).
- Where there are quantifiable monthly targets, write in the relevant figures above the black line at the end of the months concerned and also above the completion date.
- Enter the completion indicator (the event which shows the operation to be complete), quantified where possible, in the end box.

Each participant should then leave the meeting with a completed record of what has been agreed.

AFTER THE MEETING

Ensure that those most closely concerned have APFs and/or APCs. If any key person was not at the meeting, follow up personally with a very full briefing. Make sure that you have a full record (as you may have been writing on the board rather than recording on an APF or APC). Send copies to any central monitor (the SRDP in the Ministry of Finance and Planning in Kenya). The distribution of APFs and APCs is a matter for discretion.

Place the APCs for all projects on the wall of your office and keep them up to date so that they provide an instant visual indication of the state of implementation of the projects.

APPENDIX B. INSTRUCTIONS FOR THE MONTHLY MANAGEMENT MEETING

The procedures for MMMs will vary according to circumstances. They should take account of the purpose of the meeting which is very practical - to report on progress and problems and to plan and agree action for the next month - concentrating on who should do what, how and by when. The basis of the meeting is the programming which has already taken place in the APE. Suggested procedures are:

Preparation: Before the meeting fill in the first two columns of the first section of the monthly report.

Find out the status of those operations (e.g. release of funds, supply of equipment) which are being carried out centrally and which participants may not know about.

Alert your secretary or clerk to be ready to type the Monthly Management Report (MMR) soon after the meeting.

Time: The last week of the month. Avoid departmental pay-days.

Place: A board or committee room is best, to ensure an absence of interruptions. Ideally the APCs should be displayed so that they are visible to all at the meeting.

Attendance: All those who are responsible for implementation should be present. While a very large meeting should be avoided, it may sometimes be desirable for staff to attend from more than one hierarchical level. Care should be taken that the attendance is such that the character of the meeting can be practical and concerned with the hard details of action.

Procedure: The Chairman should be chosen with a view to making the meeting as effective as possible. He may be the senior administrator in the area, or yourself, or the senior technical officer, or members of the meeting in rotation. You may be more effective as executive officer of the meeting than as chairman.

An agenda may not be needed. The projects are discussed in order. The sequence can be prearranged so that those staff involved in only a few projects can be dealt with first and then leave the meeting.

Decide the dates of the next two meetings.

Project by project take the APC and by inspection see what operations should have been completed, or should be active or about to start. Ask the officer responsible the current position. Discussion on action required follows almost automatically. Record the situation and action required for the MMR. Mark in the lower railway lines on the APC in green or red:

green: when an operation is on or ahead of time/target

when an operation should have started and has not but is still expected to be completed on time

red: when an operation is behind time or below target

when it is not expected that an operation will be completed on time or achieve its target

When there is a quantified target, record the actual achievement in figures above the lower railway lines on the APC.

Before leaving discussion of any project, ensure that adequate action (by whom, how, by when) has been agreed and that you have the information you need for the MMR.

Other business can be discussed after all projects have been covered, but make sure that the meeting has first dealt with the hard detail of actual implementation. Two common other business items are:

a) Project Preparation: The working up of new projects which have not yet been programmed.

b) Reprogramming:

If (i) there has been three months of red
and (ii) the original programming has become impossible to achieve
and (iii) the project is or is about to be active

reprogramming can be considered. Reprogramming must not be a device just to avoid red if red is still justified. The reprogramming line (being an extension of the original black line) should be blue, or better purple if obtainable, instead of black. Reprogramming one operation may lead to reprogramming others. It may sometimes be necessary to start again with a new chart.

APPENDIX C. INSTRUCTIONS FOR THE MONTHLY MANAGEMENT REPORT (MMR)

For specimen parts of a report see Appendix F.

The report is a management tool for securing action from whoever is responsible. It is not at all like a conventional report about rainfall and visits by VIPs. It should be kept short and to the point and not include more information than is needed to guide those whose action is required.

The sequence of the report is:

Monthly Management Report for (Area) for (Month and Year)

Date and place where meeting was held

Those present

Date for next meeting

1. PROGRESS AND ACTION SUMMARY

This is the most important part of the report.

There are six columns in this section:

Project operation: Write in the project underlined.

Underneath, list the operations which are or should be active. Prefix operations with their serial numbers from the APCs.

Target by end of month: Very briefly write in what was meant to have been achieved. Use terms like:

in hand	=	proceeding satisfactorily
in post	=	appointed and ready to start work
on site	=	delivered and ready to start work
AIE recd	=	AIE received

Where there is a quantified target, give it.

Actual at end of month: Here write in what has been done, again **very** briefly. Where there is a quantified target, express the achievement as a fraction.

On time: This is short for "on time or on target". Enter YES or NO. YES is equivalent to green on the APC; NO is equivalent to red.

Action: What needs to be done. Use words like
expedite
order
NFA (no further action)
see 4c, 5a (referring to other operations which are responsible for a delay)

By: The initials of who should act. This must be a recipient of the report. Underline the initials when an operation is behind time or target. Circle initials in red on the copy sent to the person who should act.

2. PROGRESS AND PROBLEMS

Use this section to describe and explain in more detail, as necessary, what has happened, project by project. In the righthand margin again place the initials of those who are to act, underlining where a programme is behind time or target. You can also use this section to state the implications of delays.

3. PROJECT PREPARATION

Describe briefly progress and problems in preparing new projects. State action required and use the right hand margin to enter the initials of those who should take it.

4. ANY OTHER MATTERS

These may include your work programme, staff movements, visits, and other general information, but should be kept very short.

5. DISTRIBUTION

The distribution list can be kept on the same stencils and used from month to month. The report should go to:

all who attended the meeting
all those from whom action is requested (at whatever level in government or parastatals).

The initials of recipients should be circled in red on their copies to draw their attention at once to the action required. The report should be in the post or delivered as soon as possible after the meeting.

APPENDIX D

ANNUAL PHASING FORM Financial Year 1971/72

Project: DIPS (11 DIPS) Planning Area: Kaguru

	(1) Operation	(2) Officer-(s) resp. for operation	(3) Resources required	(4) Start date	(5) Completion date	(6) Completion indicator (quantify whenever possible)
1.	SECURE APPROVAL FOR PROGRAMME					
a)	By MOA	MOA / AC	MOA	1.9.71	15.9.71	Letter received by PDA
b)	Proposal to MFP	MOA	MOA	16.9.71	30.9.71	Copy received by PDA/AC
c)	Approval by MFP	MFP	MFP	1.10.71	31.10.71	Letter received by MOA
2.	RELEASE OF FUNDS					
a)	To PDA	MOA	£3,300	1.11.71	14.11.71	AIE received by PDA (£3,300)
b)	To IO	AC/PDA	£3,300	15.11.71	21.11.71	AIE received by IO
3.	OBTAIN MATERIALS	IO		21.11.71	4.12.71	Material on site
4.	C.D. 1 DAY PROGRAMME	ACDO	C.D. Staff	1.9.71	30.9.72	11 programmes satisfactorily completed
5.	ORGANIZE SELF-HELP	DO	£3,300	1.7.71	31.12.71	Necessary funds for 11 Dips collected (Sh.6,000/- per dip)
a)	Funds	ACDO				
b)	Materials	ACDO / Dip Committee		1.10.71	30.4.72	Materials for 11 dips on site
c)	Labour	ACDO	C.D. Staff	1.8.71	31.5.72	Labour for 11 dips provided

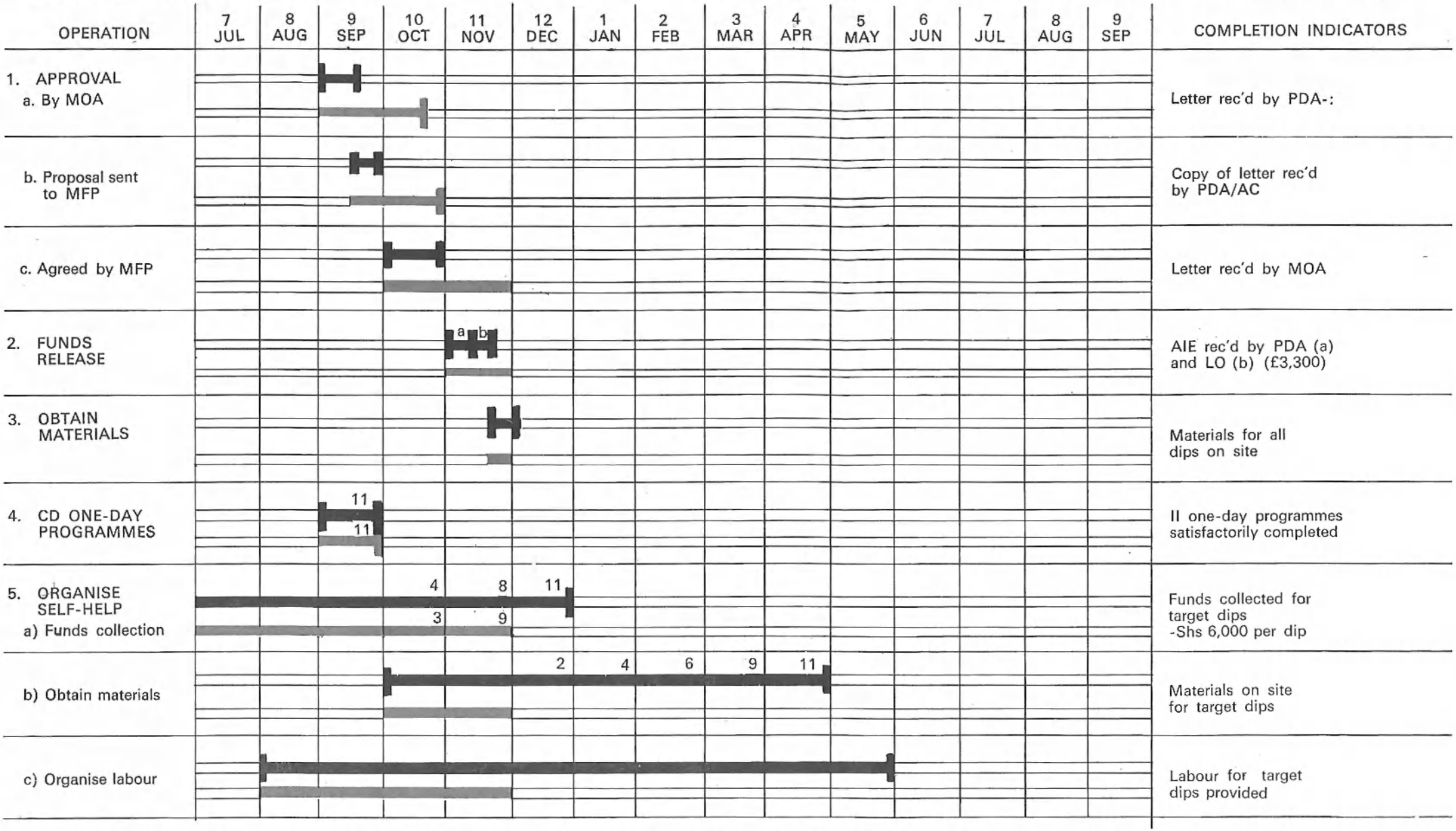
Notes: 1. See Appendix E for Annual Programming Chart for this project showing progress at the end of November 1971 and Appendix F for the Monthly Management Report for November 1971.

2. The actual APF continues on a second sheet.

APPENDIX E

ANNUAL PROGRAMMING CHART

PROJECT **DIPS** PLANNING AREA **KAGURU**



Notes: Black lines = duration planned at Annual Programming Meeting. Figures above black lines = end of month targets
Green = on time or on target Red = behind time or below target.
Chart completed as at end of November 1971. Actual programme continues on a second APC.

ANNUAL PROGRAMMING CHART   PROJECT.................................... PLANNING AREA..

OPERATION	OFF-ICER RESP.	7 JUL	8 AUG	9 SEP	10 OCT	11 NOV	12 DEC	1 JAN	2 FEB	3 MAR	4 APR	5 MAY	6 JUN	7 JUL	8 AUG	COMPLETION [illegible]

F1

APPENDIX F: Specimen parts of a monthly management report for an administrative area which could be a district or sub-district. In this case the staff are those of a sub-district.

MONTHLY MANAGEMENT REPORT FOR KAGURU DIVISION FOR NOVEMBER 1971

Based on the meeting held in the Area Coordinator's Operations Room on Tuesday 30 November 1971.

Present

(Name)	District Officer, Chairman
"	Assistant Agricultural Officer, Kaguru
"	Assistant Community Development Officer
"	Assistant Cooperative Officer
"	District Range Officer
"	Superintendent, Roads
"	Livestock Marketing Officer
"	District Livestock Officer
"	Assistant Livestock Officer
"	Health Inspector
"	Area Coordinator, Secretary

Next Meeting: Wednesday 29th December at 9.00 a.m. in the Area Coordinator's Operations Room.

PROGRESS AND ACTION SUMMARY

PROJECT/ OPERATION	TARGET BY 30.11.71	ACTUAL AT 30.11.71	ON TIME	ACTION REQUIRED	
				ACTION	BY
Dips					
1.c. Agreed by MFP	Lette rec'd by MOA by 31.10	Not yet rec'd	No	Expedite	MFP
2. Funds Release	AIE for £3,300 rec'd by PDA and DLO	Not yet rec'd	No	See 1.c.	MFP/ MOA
5.a. Organise self-help funds collection	Complete for 8 dips	Complete for 9 dips	Yes	Continue	DO ACDO
b. Obtain self-help materials	In hand	In hand	Yes	Continue	ACDO

PROGRESS AND ACTION SUMMARY (continued)

PROJECT/ OPERATION	TARGET BY 30.11.71	ACTUAL AT 30.11.71	ON TIME	ACTION REQUIRED	
				ACTION	BY
c. Organise self-help labour	In hand	In hand	Yes	Continue	ACDO
Maize Credit					
3.c. Approval by AFC of loanees	AFC HQ approv-als for 900 acres rec'd by AFC Branch Manager	Not yet rec'd	No	Expedite	AFC HQ

etc. etc. (additional projects)

PROGRESS AND PROBLEMS

Dips

Self-help contributions have improved. 9 dip committees have completed collection of Shs 6,000 each, one more than the end-of-month target. Obtaining self-help materials is well in hand for all 1_ dips and local enthusiasm is so high that organising labour poses no problems.

Construction due to begin on 1 December is now held up by the release of funds. MOA has approved but MFP approval is still awaited. If funds are not released soon, the entire construction programme will be delayed and the local staff will be demoralised, having promised the dip committees that government would act as soon as their collections were complete. Early action requested.

MFP and then
MOA, PDA, LO

Maize Credit

This project in which a great deal of staff time has been invested and which has roused the hopes of some 450 farmers, many of whom have prepared their land, will have to be abandoned if the AFC HQ approvals are not received by the AFC Branch Manager by 10 December, as the rains and planting will not wait. Even if the authority is received by 10 December, it will be very difficult to get the seeds and fertilizer to the farmers on time.

AFC HQ

etc. etc. (additional projects)

PROJECT PREPARATION

Family Planning

A draft workplan for 1972 is being prepared by the Provincial Medical Officer with the assistance of the Area Officer, Family Planning Association, for the experimental family planning/rural health project. Funds for this project were included in the 1972/73 Draft Estimates proposals. The workplan runs from February 1972 to June 1976. It will be considered at the next MTM on 29 December 1971.

etc. etc. (additional projects)

OTHER MATTERS

DISTRIBUTION

APPENDIX G: AMALGAMATION AND STREAMLINING OF THE ANNUAL PHASING FORM AND THE ANNUAL PROGRAMMING CHART

The attached form presents a proposed simplification of the system, amalgamating the APF and the APC. The information lost through this amalgamation is:

(i) The resources column of the APF: This column has not proved of much use. The most common resource required is staff time. It was originally hoped that this could be quantified allowing consistency checks between alternative staff time uses. This has proved impracticable and staff time conflicts should be resolved through the Field Staff Management systems which will be the subject of a future paper. Other resources entered have typically been "transport" or financial sums. While the latter may be of use, they can usually be entered anyway in the completion indicator column, (e.g. AIE for £3,300 received). In programming, consideration of resource needs is important and this is included in the procedure; but recording what are usually vague statements in a resources column does not seem worthwhile.

(ii) The exact start and completion dates: In using the amalgamated form, start and completion dates could easily be pencilled in against the upper and lower railway lines. But the black lines should indicate to within a week when a start or completion is planned and this should normally be a precise enough date for programming and monitoring purposes.

(iii) The September column of the second year. In practice it has been found that the entries in September of the following year are of little use, and will be covered anyway by the APE for that year.

The benefits of the amalgamation are:

(i) a reduction in paperwork, requiring only one sheet instead of two

(ii) setting the initials of the officer responsible against the bar chart to facilitate discussion in the MMM.

It is a matter of choice in adopting PIM whether to have separate APFs and APCs or whether to amalgamate. Experience in the SRDP has been that APFs are used mainly as working documents in the APE and that APCs are used mainly in the MMMs. An amalgamated form could well be used for both purposes.

ANNUAL PROGRAMMING CHART   PROJECT ....   PLANNING AREA ....   FY 197 ....

OPERATION	OFF-ICER RESP.	7 JUL	8 AUG	9 SEP	10 OCT	11 NOV	12 DEC	1 JAN	2 FEB	3 MAR	4 APR	5 MAY	6 JUN	7 JUL	8 AUG	COMPLETION INDICATORS