ANNUAL M&E REPORT 2009
DTR PROGRAM, RIMISP

FANNING THE FLAMES OF CHANGE:

CONSOLIDATING AND RESTRATEGIZING FOR IMPACT

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Executive Summary

This Annual M&E Report of Rimisp's DTR Program discusses the program as it approaches its mid-life moment (July 2010). It has two full years of implementation under its belt, a series of attempts at new ways of working, and is gearing itself up for a year of in-depth synthesis and deepening.

The core question that this report seeks to understand is: "*Has the program built a solid basis from which its influence can increasingly be felt?"* The report starts by signaling important contextual changes, which serves as a backdrop to understand progress with planned activities (Annex 1). Short observations are offered on progress with the five main DTR-specific components, and with management and M&E as two crosscutting activities. This is followed by four commentaries on key issues that raise critical questions or present important challenges for the program. The report concludes with a set of recommendations for the Program,

Context

A significant financial burden for the DTR Program was created by last year's international economic crisis. About 13% of the original program budget was lost due to currency exchange rate decreases. In some countries where DTR work is underway, these changes were also significant (e.g. BR, BO) and affected the research and work done by territorial partners. In particular, some anticipated human resources could not be contracted and some activities were resized. Progress with planned work was also affected by political volatility in partner countries, such as a political crisis (HN), presidential elections and administration changes (SV, EC, BO) as well as more localized territorial social conflict (CO, PE). More specifically, data collection activities (e.g. surveys, interviews) that were taking place in the affected territories were delayed or resized, and results and interpretations are likely to have been colored by the events.

Progress with Plans

Overall, progress is relatively even, with work on all components except capacity building showing healthy signs of achievement. Progress within each of these seven areas is discussed in more detail. Annex 1 provides more detailed overview of achievements per component.

Applied research. Progress with planned activities related to this component has gone extremely well. Virtually all planned activities have been accomplished or are on track with some minor delays. One activity was postponed, and several unanticipated activities were undertaken. Research quality has been reviewed very positively, as has, in general, the research process and Rimisp's accompaniment.

Capacity building. The overall picture from 2009 in relation to this work can best be characterized as one of 'considerable underachievement but improving'. The coordinating team for this work is now fully on board, after an understaffed start to the work in 2009, and the component has been extended with a new composition of elements. Territorial

partners have been selected who have written local strategies for engagement. Nevertheless, just over half of the activities are subject to severe delays, only 30% completed, and yet 64% of the budget has been used.

International Networking. Efforts in 2010 focused around four events: the Iber-American Rural Dialogue, RIMISP's organization of the International Conference on Dynamics of Rural Transformation in Emerging Economies (India) the OECD meeting on Rural Territorial Development in Latin America, and an unplanned attendance at the First International Forum on Rural Development Cooperation. Overall, progress with the intended plans has been excellent, with one notable failure (SEGIB) and one effort that did not come to fruition (Canadian provincial premiers).

Postgraduate training. The work in the Andean region and in Central America has seen good progress, with two thirds of activities completed and two fifths of the budget used. Good work was undertaken in the first half of 2009 but after July was not sustained.

Communications. Work on communications has been outstandingly prolific, with 138% of planned work (85% of planned activities, and another 53% due to additional tasks). Notable is that less than 50% of budget was used. Many and diverse communication products on DTR are now available in three languages. The focus has been on production of materials, with less emphasis given on in-country support for focused use of communication within policy influencing.

Governance and management. As a team, Administration has undertaken a significant effort in managing various and new donor and consultant/partner contracts, which demands higher levels of organization and sophisticated administrative and reporting systems. Many international events have been organized to very high quality (e.g. Antigua evaluation report). Financial information flow can still be improved further. Severe under spending across the board was signaled as a pattern throughout the year (rectified by end of 2009), with knock-on effects for RIMISP that is funded by the overhead. In March 2009, the first Annual DTR Program meeting was organized in Antigua, Guatemala. The event was very positively evaluated, particularly networking and enhanced understanding territorial dynamics.

M&E. In this first year of work, much has been undertaken to achieve focus and speed of information flows, both of which improved during the course of the year. Overall, planned activities have been achieved well, with some changes to the strategy to prioritize fewer more substantial topical inquiries above many smaller ones. More work is now needed to become more concise, seek insights at a more aggregate level, and to be more timely.

Achievements in a Nutshell

1. The *network* is now extensive, in 11 countries, 19 territories, 53 partners, 120 collaborators, besides links into the OECD and India, China and South Africa.

2. *Research* is generating an accumulation of novel insights about concrete territories, their distinct processes to feed into the synthesis process. The quality of research is rigorous. The model of trial-error with the scouts/regular projects is promising.

3. *Partners* are generating a specific perspective about the sustainability of the rural domain, and some partners are gaining experience in doing more than only research.

4. *Communication* for diffusion and management is solid, with a high quality team and way of working that links well with research and that has strengthened internal communications.

5. A model for *integrated research/communication/policy influencing* has been generated through the 'Crisis and Rural Poverty' example.

6. Experience with *policy influencing* is growing, with more understanding of how to influence policies at more macro levels

7. Both the *DTR theme and Rimisp is getting increasing attention* through engagement in many, high-level events. Demand for DTR related engagement is growing, notably in Central America and the Andean countries.

Core Issues

Four areas of discussion were highlighted for discussion in this report: creating a vibrant DTR network; developing new theoretical insights; engaging with and influencing opinion leaders and decision makers; and evolving understanding of the program strategy.

Creating a Vibrant Network

The program is based on the notion that a network needs to be generated that will carry the work during the lifetime of the program and beyond. The vision is one of an increasing density of linkages related to the substance of equitable and sustainable rural territorial development, a set of linkages that are not necessarily mediated by RIMISP, and engaging more and diverse actors.

As of June 2009, the DTR network has expanded profusely, comprising about 53 partners and 120 collaborators (despite loss of governors' network). *Partners* (direct contract with Rimisp) include more academic, research, non-profit and international organizations from outside Latin America, while *collaborators* (not directly linked to Rimisp) tend to be more local governmental organizations.

With quantity of linkages is evident, understanding their quality becomes paramount. A focused study (Sanchez, forthcoming) found that the DTR network has been able to create a positive, open and safe environment that has built trust among partners. These links have been created not only by RIMISP as program coordinator but also by partners, and partners working with other collaborators for program purposes. There is also an increasing sense of cohesiveness among partners:

However, understandings differ about program goals. As a whole, 'the' program network consists of a set of weakly linked networks, with the research network strong, and much attention needed for sub-networks (which have either failed, are weak or been aborted).

Significant aspects were detected that can limit the network's consolidation and effectiveness. First, the level of ownership among partners is incipient. There is low participation in the governance and decision-making with involvement focused on implementing project activities. Most partners dedicate only part of their time to DTR program work. Linkages among partners are largely mediated by RIMISP, with activities fragmented and following the logic of program components. Also, there is little knowledge about progress of other partners' work.

The snapshot at this point suggests that there are three issues on the table in order to consolidate the network as a vehicle for such change: governance, identity and synergy.

1. *Governance.* Many elements are in place that point to a solid basis – engagement and commitment, diversity, boundaries (set by contracts and a calendar of events). Where gains may be made is in the facilitation of self-organization of participants.

2. *Synergy.* The program is very compartmentalized into component silos to the detriment of the original idea of a tightly knit, synergistic effect between research capacity development and communication. How can synergies between components be maximized?

3. *Identity.* What is the core purpose of the network and is this shared in ways that enable engagement and synergy?

Generating New Theoretical Insights on 'Territorial Dynamics'

This year has seen *a large quantity* of DTR-related research reports, unexpected products and engagement in research events. Thus far, the *quality of DTR Program expertise, individual (Phase 1) outputs and the dataset* as a whole is being received very favorably, through peer review of various kinds, including a very positive review by Dr. Lanjouw, a leading expert on the SAE methodology used. Research partners comment, in general, on the valuable process that the DTR research is following. Conceptually and methodologically, the research process has been interactive with seven events held since the program inception.

Five issues need to be addressed to strengthen the applied research work: incorporating critical missing dimensions; linking research to policy and synthesis; the synthesis process; clarity about overarching goals; and expectations and roles.

1. Progress with gender and environmental dimensions. Gender and environmental sustainability, two analytical dimensions originally to be incorporated from the onset of the research work, have not become the crosscutting analytical dimensions as originally envisaged. Instead, two focused efforts will take place in 2010 to retrospectively come to an analytical link between gender/sustainability and the notion of RTD.

2. Linking products to policy and practice arenas. The focus in 2009 on products now needs to be balanced with attention to the arenas for policy and practice ('incidencia') where insights are expected to make a difference. Solidly embedding policy/practice influencing in the work requires sharing strategies and providing focused support, neither of which has been prioritized thus far by the Coordination Unit.

3. From excellent outputs to joint learning endeavor and action. Questions, and some concern, exist among researchers, funders and within the Coordination Unit that the applied research must become more than a set of good papers. This requires a rigorous, clear, interactive synthesis process. At the end of December 2009, the Coordination Unit decided to invite a select group of six partners to constitute the synthesis team to become active in 2010. How this will engage other researchers and teams is not yet clear.

4. Shared clarity of long-term program aims. Many partners remain unclear where the program is headed overall and towards what 'agenda for change' their efforts are contributing beyond the immediate issues and benefits at hand. However, a real tension exists between this lack of clarity and the amount of time that most partners have available to engage with the Program (most less than 25%).

5. Expectations and roles. Research partners express concerns about the expectations of the PCU, in relation to policy influencing, communication, and capacity development. All teams said they are providing additional time, resources to do the agreed work. And it is unclear if enough capacity and support exists, not to mention motivation, to meet expectations.

Developing Capacities to Make a Difference

'Capacity development' is a central pillar of the program strategy. To further insights and discussions on this issue, a short study was commissioned in November 2009 that was intended to feed into this Annual M&E Report. The draft report was submitted too late for adequate consideration. The report on capacity development will be discussed separately as soon as it has been processed further.

Engaging with and Influencing Opinion Leaders and Decision Makers

The DTR Program's core proposition is to influence changes in policy and practice, by linking applied research (embedded in Phase 2 research); capacity development; international networking; and communication. Influence is being exerted at different levels – territorial, national, and international, and with targeted organizations, such as the OECD and IFAD. National level work has, thus far, received less attention than territorial and international.

At the territorial level, DTR partners are engaging in public interactions with decision makers by sharing evidence with local communities and inserting their findings into broader processes of policy discussion and institutional changes, thus providing an RTD perspective and direction to discussions. Some of these initiatives are taking place with little program support. Due to the work with Rimisp and in recognition of their knowledge and expertise on territories, some partners have been contracted by other agencies to inform other processes.

Partners' capacities and motivations lead to variation in their involvement with policy influencing. Few partners have extensive experience and expertise in policy influencing activities and are active with political advocacy (high capacity, high interest). Others are more oriented towards a research environment (low interest, high capacity). Some explicitly object to weaving policy influencing into research, as not central to academia, or

not embedded within contracts. Interesting is a third type of partner (high interest, low initial capacity), which is emerging as a more adventurous group. This research-oriented is very active in public engagement activities.

At this point in the program's lifetime, two critical questions exist. First, to what extent do DTR partners have (access to) the range of necessary *capacities* (and resources) - and will they be inclined to wield these in ways that are sustained enough over time to make a difference and are compatible with their organizational identity and culture? Second, *which initiatives and policy arenas* really offer leverage for change? Careful selection of the strategic processes that have a higher chance of adding value to policy/practice changes will be crucial. The program needs to examine if it wishes to proceed with (the originally envisaged) strategies for influencing key stakeholder groups.

Evolving Understanding of Program Strategy and Learning

This year, some 'cracks in the system' have emerged, many of which relate to assumptions in the strategy that were not made explicit and/or assessed in terms of their likely risk and potential consequence.

- *Tension between ambition and financial resources.* The program is ambitious, funding and timing are limited, yet crosscutting issues need more attention. The program needs to rethink how to ensure funding goes towards the essential 'glue' that cuts across the components to generate synergistic effects.

- *Managing risk.* More conscious risk management is now possible via the prioritized assumptions that carry highest risk, i.e. most likely to occur and most severe consequences for the program. This need regular reviewing to determine what is happening to reduce both risk and consequences and can be updated.

- *Integration and synergies.* Collective strategizing and learning are not being prioritized, with the PCU remaining at the centre. The CAP and/or an additional (compensated) advisory group could extend the antennas of the Coordination Unit which might generate a shared understanding of the programmatic vision and capitalize better on partner capacities and networks for policy influencing.

- *Learning about progress.* While the M&E processes have been helpful for strategic reflection, efforts are needed in several areas, notably to 'capture' changes at the aggregate level and help with risk management.

Recommendations

1.   *Clarifying network purpose, identity and synergies.* Questions persist among partners and some Coordination Unit members about the long-term program aims and, by extension, the core purpose(s) of the network that is to carry this. The output orientation of the program can be better balanced with processes that encourage and stimulate a sense of a collective journey that is meaningful beyond individual outputs. Clarifying purpose and identity could help refine expectations, strengthen commitment and motivation beyond a

fulfilling of contracts, improve potential synergies that tap into partners' experiences, and provide greater focus for strategic choices.

2.   *Strategic actor sub-'networks' – dormant, dead, desirable?* The notion of focused, actor specific sub networks was an important strategy in the original conceptualization of the program. This choice is now significantly watered down in practice, with only the research sub-network thriving. More explicit reflection on the idea and experiences with sub-networks, and whether they merit renewed attention (and if so, which ones) will help avoid it becoming a default 'failure'.

3.   *Beyond individual papers to interactive synthesis.* Clarity from the Coordination Unit about the synthesis process in 2010 and shaping it to become a broad dialogue may help shift from a set of excellent individual outputs to a more collaborative learning endeavor and action. This process will be important to achieve the knowledge-focused outcome of the program, that of explaining territorial dynamics. These insights will be crucial for targeted policy-influencing processes.

4.   *Building policy influencing into research, expectations and roles.* The challenge remains of working with researchers and research as an entry point and extending this to include policy influencing and communication. The program needs to invest more in ensuring how to enable research to relate to topical questions or to generate demand for the DTR 'messages'. The Coordination Unit is aware of this and actively seeking to make progress towards a model of research for policy.

5.   *Conscious strategizing around key opportunities to influence policies.* The DTR program does not have an explicit process (criteria, people, timing) for selecting those opportunities that appear to have greatest potential. Opportunistic responses to emerging opportunities is important and necessary, when balanced with a process that assesses which opportunities offer most leverage for change and what follow-up is needed. This is particularly important in Central America, where start-up delays are asking for additional concerted efforts.

6.   *Risk management and learning.* Being a program offers great flexibility and space to innovate and respond to unexpected opportunities. Risk taking is important, as long as the underlying assumptions are explicit and risk minimizing options and fallback strategies have been thought through. The coming year offers an important opportunity to work with the identified critical assumptions, and review them in the light of emerging experiences. An important input for this will come from monitoring the emerging and synergistic effects of partner efforts at different levels and capturing changes at a more aggregate level.

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Acronyms

BO   Bolivia
BR   Brazil
CAP   Program Advisory Group
CH   Chile
CO   Colombia
DTR   Rural Territorial Dynamics
EC   Ecuador
GU   Guatemala
HN   Honduras
JAB   Julio Berdegué, coordinator of the DTR Program
M&E   Monitoring and Evaluation
MX   Mexico
NI   Nicaragua
PE   Peru
PCU   Program Coordination Unit
SV   El Salvador

1   Introduction

This Annual M&E Report of Rimisp's DTR Program discusses the program as it approaches its mid-life moment (July 2010). The image chosen for this annual report – that of flames and fire – echo the intention of the program to affect profound change by igniting the will to change through evidence, guided on-ground processes, professionalization and sharing. It has two full years of implementation under its belt, a series of attempts at new ways of working, and is gearing itself up for a year of in-depth synthesis and deepening.

In this stage of consolidation and deepening, much is at stake. The flames can extinguish or go where not intended. The basis should have been laid by now for ensuring quality of research, the solidity of emerging linkages, the potential to influence widely, the ability to weigh in on international policy forums, and the overall likelihood of contributing substantially and innovatively to a different conversation on rural development.

An interesting analogy for the program evolution is the 'lazy 8' or Panarchy Loop (see Figure 1). This heuristic outlines four stages of development, each with unique dynamics: exploitation, conservation, release and reorganization.

> "_Reorganization_ is an exploration phase which is characterized by trial and error and can appear chaotic and random. Only when ideas crystallize can a more orderly, predictable exploitation phase begin. _Exploitation_ – or an entrepreneurial phase – takes invention and turns it into action. As more is learned about the invention, efficiencies are discovered and the model moves into a mode of maturity, or _conservation_. In realizing the efficiencies, different kinds of capital – such as resources, knowledge, or processes – are committed. Because these efficiencies are bound to a specific context, such as a moment in time, or a particular environment, their appropriateness will eventually shift as things change. There is a need to _release_ some capital so that it can be re-assembled in a way that is more appropriate to the new context. This release is often difficult for those involved as it means that trusted and familiar practices must be abandoned. At the same time, it provides fertile ground for innovation._"

In the first years, the DTR Program was in an innovative state, newly forming a set of activities and collaborations to explore a set of new ideas and questions. It grew rapidly, in activities, partners, outreach, and ambitions. Much was undertaken. Aspects of the work are now maturing – the research insights and the research process, clarity about territorial level interventions, as well as linkages beyond the Latin American stage of work thus far. The program seems to be in a 'release' phase now, with reorientation of some initial core building blocks and assumptions. Innovation lies ahead.
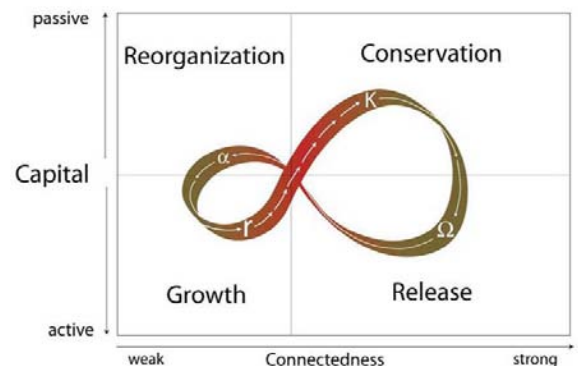

Figure 1. _The adaptive cycle (Holling 1986); temporal changes in a system proceed through phases of growth (r), conservation (k), release (W), and reorganization (a). Source: Cambridge University Press._

First however, this report will look back. *Has the program built a solid basis from which its influence can increasingly be felt?* This core question is the focus of this M&E report. The report starts by signaling important contextual changes, which serves as a backdrop to understand progress with planned activities (Annex 1). Short commentaries are offered on progress with the five main DTR-specific components, and with management and M&E as two crosscutting activities.

This is followed by four commentaries on key issues that raise critical questions or present important challenges for the program. Certain concerns that emerged during 2009 show the need to restrategize around some fundamental questions that will influence the program's ability to be more than a series of good projects. These commentaries touch on:

- creating a vibrant DTR network;
- developing new theoretical insights;
- engaging with and influencing opinion leaders and decision makers; and
- evolving understanding of the program strategy.

The report concludes with a set of recommendations for the Program, in particular the Coordination Unit, to consider.

2   Shifts in the Context and their Influence

Last year's international economic crisis created a significant financial burden for the DTR Program. About 13% of the original program budget was lost due to currency exchange rate decreases with the Canadian dollar, given that most program contracts are based on US dollars. In some countries where DTR work is underway, these changes were also significant (e.g. Brazil, Bolivia) and affected the research and work done by territorial partners. In particular, some anticipated human resources could not be contracted and some activities were resized dimensioned.

Overall, these losses were partially offset by additional fundraising, obtained by the program coordination mainly from SEGIB and the Governments of India, Brazil and South Africa, among other donors. While this funding benefits the international networking efforts, it did not offset the negative consequences for the research and capacity building work.

Progress with planned work was also affected by political volatility in partner countries, such as a political crisis (Honduras), presidential elections and administration changes (El Salvador, Ecuador, Bolivia), as well as more localized territorial social conflict (Colombia, Peru). The DTR program is clearly not intervening in a vacuum or isolated from national and territorial realities. Political shifts have certainly influenced partners' agendas, priorities and the DTR dynamics. More specifically, data collection activities (e.g. surveys, interviews) that were taking place in the affected territories were delayed or resized, and results and interpretations are likely to have been colored by the events. On a positive note, a partner organization representative was nominated as a Minister of the Environment in El

Salvador, which opens an opportunity window for communicating program results and influencing policy to a broader audience.

Besides financial and political turbulence in most partner countries, potential donors' reluctance to take on new initiatives and downsizing operations in particular countries (eg. Nicaragua) also appears of influence. This influence is felt in terms of reducing a climate of trust and social capital for territorial work, in Nicaragua specifically, through the exit of international cooperation, and the likely reluctance to find large grants needed for the plans with post-graduate training improvement (see section 3.4 below). Staff changes in the OECD, part of inevitable personnel shifts in any organization, have influenced opportunities there, although the ultimate effects of this remain to be seen.

Overall, DTR work is embedded in diverse contextual changes with partners coping well, overall, to manage threats to the work by rethinking and adapting their scope, methods and activities.

Finally, the internal context – that of Rimisp – has seen the Program Coordinator, Julio Berdegué (JAB) take on the additional task as interim Executive Director of Rimisp. This meant that from September 2009 onwards, JAB reorganized decision-making within the Program Coordination Unit (PCU), involving a core team of members, to whom several implementation and supervision tasks were delegated. PCU members were also involved in Rimisp-wide activities (notably proposal writing/fund raising, organizational development). Some staff members felt slightly overstretched for the last quarter of 2009 and would have liked to devote more time to Program activities.
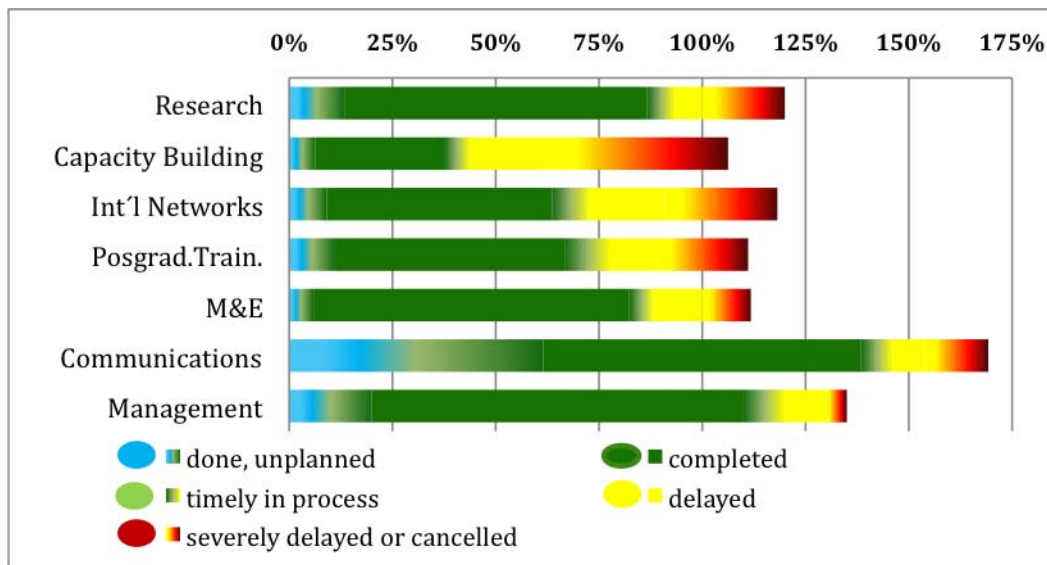
3   Progress across the Board

The DTR Program is built up of five components[1]: applied research; capacity building; post-graduate training; international networking and communication. Governance and management (G&M) and monitoring and evaluation (M&E) are crosscutting supporting functions. Figure 2 provides an overview of progress in relation to each of these areas, with progress defined in relation to the annual plans for 2009.

Progress is relatively even, with work on all components except capacity building showing healthy signs of achievement. The Communications and G&M areas stand out as outperforming in relation to their own annual plans. Progress within each of these seven areas is discussed in more detail below. Annex 1 provides more detailed overview of achievements per component.

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[1] A sixth area of work concerns organisational development activities related to Rimisp across the board, and do not concern DTR activities or partners. They are the focus of a separate study (Bebbington, forthcoming).

Figure 2. Progress of activities Scorecard, per component

3.1 Applied Research: Excellent work

Overall, progress with planned activities related to this component has gone extremely well (see Box 1; Table 1, Annex 1). Virtually all planned activities have been accomplished or are on track with some minor delays. One activity was postponed, and several unanticipated activities were undertaken.

Phase 1 products that comprise local level poverty mapping of 11 countries have been finalized. A database of Phase 1 products is emerging through the efforts by Colombian partner organization[2]. The quality and potential benefit of the material has been reviewed very positively (see section 4.1). Phase 2 products[3] are on track to being finalized, for scout and regular projects. One was rejected and is being rewritten.

> **Box 1. Component statistics 'Applied Research'**
> - **Working papers:** 25
> - **Maps on territorial dynamics:** 11 (BR, BO, CL, CO, EC, SV, GT, HN, NI, MX, PE)
> - **DTR determinant analyses:** 16 (11 countries)
> - **Cultural identity studies:** 3
> - **Crisis and poverty studies:** 12 papers, 12 policy briefs
> - **Presentations made at external conferences/workshops:** 15-20 (China, Canada, Italy, Spain, Guatemala, Brazil, etc.)
> - **Research processes & studies underway:** 16 (including 3 of DTR-IC)

The unanticipated activities are not insignificant. IFAD requested a study on poverty and the financial crisis that was very successful in terms of quality of products, engagement with IFAD[4], follow-up interest generated, and engagement

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[2] Sandra Virgüez, Ana María Ibáñez and Christian Jaramillo
[3] A similar external peer reviewed process will be likely for the Phase 2 products, which constitutes another significant set of research findings.
[4] See Mid-Year M&E Report 2009 for a more detailed commentary.

of the DTR program partners beyond the immediate program activities. The CGIAR requested poverty mapping based on Phase 1 work for their new strategy[5] (see section 4.2).

In general, the process of guidance/support for the research process thus far has been favorably viewed. The research team leaders assessed the peer review process used for the Phase 2 proposals (see Annex 2, Table 2). It was highly rated as a valuable process that facilitated improvements of proposal quality and robustness, while still keeping them under reasonable cost standards. Also, 83% of respondents (43% of team leaders) rated the comments and observations made by reviewers as valuable or highly valuable, whereas less than 2% found them poor or irrelevant.

The most favorable factors of the process were the stimulus to participate, the just and equitable consideration to all teams, as well as a continuous support and orientation. On the other hand, the lack of clarity and consensus on common guidelines, as well as unrealistic deadlines may have hindered coming to more solid and feasible research plans.

Four areas of delay and problems were noted in 2009.

1. The *planned event on rural-urban linkages* was postponed to April 2010 (agreement signed in 2009 and co-funding paid then).

2. Almost *all teams are putting in additional resources* to complete the work they have been contracted to do for the DTR Program. The overall message from the partners is that expectations are on the high side and that it is not always clear what products are expected.

3. *Specific studies in Central America* have not progressed in 2009. These constitute studies of ethnic polarization in Guatemala (and perhaps Honduras) and studies of social inclusion by gender in all four countries.

4. Delays with the embedding of a *gender and environmental dimension* have continued in 2009. Much harder than originally assumed it would be. This is apparent in the varied presence of both dimensions in the Phase 2 research proposals (Ramirez 2009). However, ways forward have been found for both themes that seem promising.

    a. First, Dr. Susan Paulson (Lund University, Sweden) has agreed to lead work with the program on gendered territorial dynamics. She will bring with her a group of MSc/PhD students.
    b. Second, various attempts to strengthen the work on a crosscutting sustainability perspective did not materialize. Only in November 2009, did six country teams commit to deepening this theme within their territorial research (BO, BR, CL, SV, HN, NI). However, expectations must be commensurate with the very limited funding available for the additional work (2,500 USD per country).

More strategic issues in relation to applied research are discussed in section 4.2.

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[5] Towards a Strategy and Results Framework for the CGIAR. Joachim von Braun, Derek Byerlee, Colin Chartres, Tom Lumpkin, Norah Olembo, and Jeff Waage. November 2009.

3.2 *Capacity Development and Policy Influencing: Slowly engaging in the territories*

The overall picture from 2009 in relation to this work can best be characterized as one of 'considerable underachievement but improving' (see Box 2; Table 2, Annex 1). The coordinating team for this work is now fully on board, after an understaffed start to the work in 2009. The component has been extended with a new composition of elements (see Box 3). Territorial partners have been selected who have written local strategies for engagement. Nevertheless, just over half of the activities are subject to severe delays, only 30% completed, and yet 64% of the budget has been used.

After stagnation in 2008, the problems were discussed in depth at the end of 2008, and from April 2009, additional investment was made to recover some of the incurred delays. By June 2009, initial project proposals (of variable quality) were shared in the Quito meeting. A new additional coordinator was taken on board to move this body of work forward at an accelerated pace. Rimisp staff visited Central America to engage more directly with the work, in El Salvador and Guatemala. Partners were drawn into the work, commitment ensured and working strategies developed. Meetings with the six teams involved (SV, NI, CL, PE, HN, GT, EC) were held twice (June and November) where agreements were made on intentions, building blocks and milestones. Strong partners, due either to experience or a proactive engagement, are located in EC, GT, NI, SV, and CL.

> **Box 2. Component statistics 'Building Capacities'**
> - **Selected territories & partners:** 6 (NI, ES, EC, CL, HN, GT)
> - **Capacity development proposals:** 5
> - **Investment plans:** 0
> - **CoP web discussions:** 1
> - **Policy influence & communication strategies:** 4 (draft)
> - **Sub-national governments involved:** 5
> - **Multi-stakeholder platforms involved:** 3
> - **Planning & Coordination workshops:** 2

The first steps are underway in most of the territories: selecting territories, identifying multi-stakeholder platforms to which to link or to create, and initiating the scoping of the development problem and gaps. The intended support structure to connect and provide mutual support across the territories, the Community of Practice platform, is in place and on-line, with some interaction initiated.

Box 3. New composition of territorial level capacity and influencing work

> In April 2009, an 'extended' Component 2 (C2A) was identified as consisting of six elements:
> 1. Develop territorial level capacities, mainly in Mexico and South America – part of original C2 of IDRC-funded program of work.
> 2. Develop territorial level capacities funded by NZAID, in 4 Central American countries – component 1 of NZAID project.
> 3. Territorial and national level influencing strategies in 4 Central American countries – component 2 of NZAID project.
> 4. Territorial and national level influencing strategies, mainly in Mexico and South America) – these activities are diffuse across components 1, 2 and 6 of the IDRC-funded program of work.
> 5. Communities of practice (2009 experimental stage, scaling up in 2010)
> 6. Methodological development, comparative analysis, and synthesis, documentation and communication at regional level.

However, considerable delays and problems persist. First, several territorial teams operating in contexts of severe political upheaval and/or organizational delays: CL, HN, NI. This has led to the territorial work there running far behind plans, particularly in Nicaragua and Honduras. The time squeeze is starting to take on serious dimensions with possible implications for the second programmatic outcome of testing a theoretically-informed vision.

The territorial level capacity building work has the following challenges:

1. Expectations around scope and depth of projects. What can realistically be expected given the 14 months or so that are available and 40,000 USD available per territory?

2. Ongoing lack of clarity about the notion of whose capacities and which capacities for furthering DTR;

3. Weak links and coordination with other DTR components, notably communication and international networking;

4. Insufficient initial support by Rimisp to support policy influencing and communication strategies in the territorial work. Compared to the collaborative process of jointly constructing the research focus and process (C1), less guidance has been given up front in co-constructing understanding and methodology of the territorial level work. Since March 2009, three meetings were held with C2 partners to generate shared understanding and accelerate the work. At this point, several Rimisp staff members are investing in territorial level work (about 2 fte) that relates to influencing policies/practices, but there is virtually no support one-on-one in terms of communication.

5. The research work is informing the territorial level engagement in different ways and to different degrees (Ortiz 2010). In all countries except Nicaragua, the C1 and C2 teams (partially) overlap so continuity of thinking is likely. Nevertheless, basing the CD work on the research results has proven difficult tin some cases, for varying reasons (see Ortiz forthcoming).

Specific Networks

As per Box 3, the actor-specific networks also fall under this body of work. Work on the two specific networks included under this component has not achieved expected results. These are the Rural Media Network (*Red de Prensa Rural*) and the Network of Sub-National Governors (*Red de Gobiernos Subnacionales)*.

One planned initiative – the Governors' Network – seems to have been particularly problematic in terms of not inducing the kind of dialogue that had been envisaged. The Mid-Year M&E Report provides a more detailed account of the network experience. The last governors network meeting (Brazil, March 2009) was attended by four governors (down from 15 for the first meeting), with the remaining participants (16) being middle-rank sub-national government officials.

The DTR coordinator attributes failure to lack of dedication on the part of the contracted coordinators, particularly in contacting and generating timely engagement by the governors. Meanwhile, the former network coordinator referred to a lack of guidance and support from the Coordination Unit as a critical factor.

This experience and that of the Red de Prensa Rural suggests that for particularly strategic and innovative efforts, there is a need to review expectations of potential network members, and to monitor more tightly to spot discrepancies between planned and actual efforts and outputs. Outsourcing particularly strategic efforts may need to be approached with more caution. It has, in any case, triggered discussion in the Program about alternative strategies to engage non-academic players, notably political appointees and high-rank public leaders. Overall, the Program needs to reexamine how it will engage with the key stakeholder groups it considered especially strategic: governors, the media, international agencies, and the private sector, as well as the potentially interesting group of municipal mayors.

3.3   International Networking: Good foundations, mixed results

Component Focus and Strategy

A short word is considered useful to explain the largely implicit strategy behind this component[6]. During the preparation of the original proposal, discussions with the core partners focused on which places harbored interesting processes and which institutions were influential. The efforts in this component are based on two assumptions. First, that key strategies and conceptual frameworks that shape rural development policies in LAC often emanate the international level through key international institutions (see below). Therefore, to contribute to or influence visions and strategies, those processes become critical. There are many qualified Latin America (often hindered though by lack of English) who could be part of such discussions. Second, by engaging in such forums, processes, meetings, establishing links, making relationships, particularly in countries like China or India, the key rural development processes in Latin America can be enriched. By being more informed about what is happening elsewhere, those engaged in rural development in Latin American can become more capable of making decisions, deciding what to research, how to understand development, and so forth.

The coordinator's intention is to seek entry into key institutions between discussions and decisions. Key institutions that were targeted in those early discussions were: the international organizations (World Bank, the InterAmerican Development Bank, IFAD, SEGIB and FAO); OECD and the OECD countries. The Program Coordinator seeks input from an informal reference team (Proctor, Schejtman, Chiriboga, Echeverria, Escobar) to understand where the best entry points are in different OECD countries.

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[6] Based on discussions with JAB, June 4, 2009.

Overview of Progress

Efforts in 2010 focused around four events: the Iber-American Rural Dialogue, RIMISP's organization of the International Conference on Dynamics of Rural Transformation in Emerging Economies (India) the OECD meeting on Rural Territorial Development in Latin America, and an unplanned attendance at the First International Forum on Rural Development Cooperation. Overall, progress with the intended plans has been excellent (see Box 4; Table 3, Annex 1), with one notable failure (SEGIB) and one effort that did not come to fruition (Canadian provincial premiers).

Successful has been the OECD meeting, where Rimisp was invited to convene the only non-OECD pre-conference workshop. DTR lessons were incorporated in the closing summary, evidencing the visibility and value that the program appears to have by the key players. Interest has been generated in follow-up and a link has been established between the OECD event and the upcoming Delhi conference.

> **Box 4. Component Statistics 'International Networking'**
> - **Processes of international dialogue and influence initiated:** 4
> - **International events & meetings attended:** 4
> - **Planning & coordination meetings:** 3
> - **International events carried out**: 1 (OECD workshop)
> - **Additional funding leveraged:** $175.000 (Government of India), $115.000 (Government of Brazil), $35.000 (Other)
> - **Other funding proposals presented to:** IFAD, CIDA, AFD, FAO.

Planning for the April 2010 Conference in Delhi is in its final stages. Planning sessions have been productive with active steering committee members, considerable funding has been raised, and papers and presenters are in place. Communication with the IHD has been challenging at times in terms of clarity regarding and timeliness of implementation. Not only has the event now been organised but very high, Ministerial-level engagement in India and from South Africa and Brazil has been ensured.

The process to build an ongoing space for dialogue on rural development within SEGIB had a setback due to last minute cancellation of the planned Mexico meeting planned for September 2009. This meeting was to have been supported by a series of prior national seminars. Proterritórios, the organization now responsible for the SEGIB initiative, did not receive SEGIB funds on time and inability to provide the required guidance (by their own admission), which led to the late cancellation. Efforts for giving continuity to this space in 2010 are ongoing. So while 2009 did not see the expected events take place, a good basis has been laid. Now there has been a permanent space created for a Rural Dialogue in each summit meeting (or biannually), Proterritórios is formally taking on this ongoing policy influencing process with technical input from Rimisp, and there is interest of the AECID. There was good commitment, financial and at national level, for the required preparations.

An unplanned activity was the attendance of Rimisp at the *First International Forum on Rural Development Cooperation (FICODER)* in June in Spain. This enabled making and reestablishing of linkages and promoting/raising the profile of the DTR Program. The summary of partner regions was a useful communication tool. Three potential entry points for follow-up work were identified: practical/local level partnerships; lesson sharing on

RTD, institutions and policies; and value-adding to existing initiatives.[7] There is keen interest from Scotland, Finland, Spain, and Ireland to connect to territorial level DTR work.

Three main areas could be strengthened in 2010. First, more clarity about the process of *identifying policy-influencing opportunities* can help ensure that resources are used optimally and truly key opportunities are not missed. It is not clear who is involved in identifying opportunities, what criteria are used to select strategic priorities, and therefore what might be needed for essential follow-up. Second, putting in place *follow-up strategies* can help ensure initial efforts pay off and continuity of contacts is ensured, notwithstanding the inevitable budget and time limitations faced. In this context, the absence of clear networks into which linkages can be made (e.g. no sub-national network, no network of mayors to whom others may be connected) merits consideration. Finally, those interested in DTR experiences are likely to take more interest in the institutional architecture of what does and does not work (Phase 2) than the specific map-based statistics of Phase 1 research. Once that material is available (2010), follow-up work can be supported better.

3.4   *Postgraduate training: Good start, medium participation, unclear future*

Overall, the work on strengthening postgraduate training in the Andean region and in Central America has seen good progress, with two thirds of activities completed and two fifths of the budget used (see Box 5; Table 4, Annex 1). Good work was undertaken in the first half of 2009 but after July was not sustained.

The *Network of Territorial Rural Development Postgraduate Programs* was started by seven university programs[8] in Antigua, Guatemala (March 2009), with self-appointed leadership, and an eighth university asking to join (FLACSO CR). It aims to technically support curriculum change processes, undertaken by participating postgraduate programs, by providing input and facilitating dialogue between universities. A funding proposal was written and approved by network members, and to support the post-graduate improvement work, a cooperation agreement was signed between the University of Manchester Brooks World Poverty Institute and RIMISP (April 2009).

> **Box 5. Component Statistics 'Postgraduate training'**
> - **Network established:** 1 (7 universities)
> - **Postgraduate programs in review:** 3
> - **Summer school organized:** 1, 7 postgraduate programs (NI, CR, EC, GT, BO)
> - **Traineeships awarded:** 5 of 9 applications awarded (to Spain, Germany, France)
> - **Seminars organized:** 0
> - **PhD students supported:** 3
> - **Donors contacted:** 0
> - **Additional funding leveraged**: 0

The first network activity was commenting on/agreeing to use a self-assessment guide (Mora 2009). Teacher traineeships and workshops were part of the agreed network activities. The Summer School held in Quito was well attended, with seven postgraduate

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[7] FICODER Trip Report by F. Proctor and M. Chiriboga.
[8] UCA Nicaragua (Maestría en Desarrollo Rural); FLACSO Guatemala (Desarrollo Rural Sostenible); UN Costa Rica (Maestría en Desarrollo Rural); UCA-El Salvador (Maestría en Desarrollo Local); FLACSO-Ecuador (Maestría Desarrollo Local y Territorios); UNAN Nicaragua (Maestría en Economía Pública en Desarrollo); UPIEB (Bolivia)

programs in NI, SV, BO, CR, EC, and GT. This meeting facilitated interchanging program experiences/contents and led to further curriculum revisions and improvements in Costa Rica, Bolivia and Nicaragua.

The encouraging start in 2009 was not sustained subsequently. It is telling that since the mid-year M&E report, almost nothing had changed. Severe delays occurred in 33% of activities. Communication from Rimisp in the first six months was not continued with the regularity that an emerging network might merit. Collective decision making within the network was neither fostered nor taken up sufficiently. As an example, no further funding has been sought despite the proposal being ready and with partners keen to collaborate. The role of Rimisp versus the elected network leadership is unclear. Perhaps the expectations of autonomous action needs adjusting, allowing for more lead-time and counting on more initial guidance by Rimisp or another indicated lead organization. The reality is that all staff of participating universities work part-time, all students are part-time and very few do research-based theses, and the curricula are very diverse.

Suggested areas of attention include the following:
- Decentralize and/or subcontract network management and coordination;
- Consider options for broadening the knowledge and learning base, e.g. by inviting other (southern) Latin American and International postgraduate programs to participate; and
- Encourage more autonomous activity by the network by investing more on the part of Rimisp.

3.5   Communications: DTR gains media attention (inter)nationally

Work on communications has been outstandingly prolific, with 138% of planned work (85% of planned activities, and another 53% due to additional tasks) (see Box 6; Table 5, Annex 1). Notable is that less than 50% of budget was used. Many and diverse communication products on DTR are now available in three languages

The DTR Program can now count on a solid and extensive presence on the web in various social media spaces, and with increasing interest and engagement of visitors. A multitude of products (from research papers to brochures and posters) have been produced to facilitate sharing within the network, for management and

> **Box 6. Component Statistics 'Communications'**
> - **Edited papers, media & policy briefs:** 47
> - **Edited and printed DTR reports:** 4
> - **Equitierra newsletter:** 3 deliveries to over 3.900 registered subscribers; and 570 hits/number; 2.800 visits and 2.400 downloads; 54.800 visits on Wobook by 12.000 users.
> - **Prensarural network:** 47members, 41.500 hits, 7.5 entries/month, 1-2 comments per entry.
> - **DTR Website:** 3.528 visits/month (May-Dec 2009), 2.6 pages/visit from 69 countries, with 6.200 visits in Dec. 2009 (150% annual increase).
> - **Other DTR related visits:** over 75.000 (through Wobook, BlipTV, Flickr, Facebook)
> - **DTR coverage:** 100 notes & articles plus 2 international conferences with news on 35 national and international media, from over 15 countries.
> - **New contacts in database:** 890 (journalists, related students and teachers, etc.)

for general information. Some publications are 100% products of the Communications Team, while in other cases the team has simply facilitated access by e.g. placing information

on the web. The team has coordinated presentation/promotion material and extensive media coverage of international events (the IFAD Workshop, Annual DTR Program meeting in Antigua, OECD meeting, and the upcoming International Conference on Dynamics of Rural Transformation in Emerging Economies), with news generated by over 70 media organizations in more than 11 countries (US, MX, CO, HN, PE, VZ, NI, CL, CA, IT, GT). An intranet communications platform has been implemented, that is also the basis for the Communities of Practice (linked to territorial support process). Importantly, the communication strategy for the program has been written and is place to guide future activities and decisions.

Attention now needs to be put on using the communication strategy to move from this important phase of producing much to targeted results. This includes moving from a vision of communications as an intense stream of outputs towards one of facilitating partners to engage with, learn about and develop own communications work, with an eye to sustainability of efforts. In practice, this implies linking communications more strongly with territorial level work and communicating with non-academic audiences, namely policy makers and opinion leaders. Therefore, the Communications Unit needs to consider how to prioritize support to partner organizations to strengthen their work on communications to influence public action (very little invested in this so far). Also, either the 'Red de Prensa Rural' needs to be reinvigorated or expectations adjusted. Ideas from members of the network include: organizing activities that engage journalists in DTR issues and projects; not expecting too specific/regional issues to get the interest rather sub-national local media; reducing personal emails; and paramount – clarifying the value and membership benefits of the network.

3.6   Management/governance

In 2009, four areas were looked at in relation to Rimisp management and governance: the first annual DTR meeting held in Antigua; financial management; partner perceptions of Rimisp (see section 4.2); and the growth of the network as 'vehicle' for DTR work. The governance questions were addressed, to a considerable extent, in the network topical inquiry written up in section 4.1. Observations related to the first two topics are summarized below.

> **Box 7. Component Statistics 'Administration'**
> - **Contracts signed:** 56 for total value of $1,250,000.
> - **International conferences & meetings organized:** 1 (Ottawa)
> - **DTR meetings organized:** 7 (Quito, Lima, Antigua, San Salvador, Santiago, etc)
> - **Trips arranged:** about 223/year including those of participants traveling to events in Ecuador, Chile, Peru, Guatemala, Canada, China, Brazil, Spain.

In March 2009, the first Annual DTR Program meeting was organized in Antigua, Guatemala. It aimed to improve understanding of rural territorial changes and how societies adjust; enrich the focus and concepts that feed public strategies and actions; identify lessons from innovative experiences; gain insights on methods and tools; and establish new linkages for possible collaboration. The event was thoroughly evaluated (see Table 3, Annex 2), with very good achievement of objectives according to participants. Participants' own expectations were also largely met, particularly networking and enhanced understanding territorial dynamics.
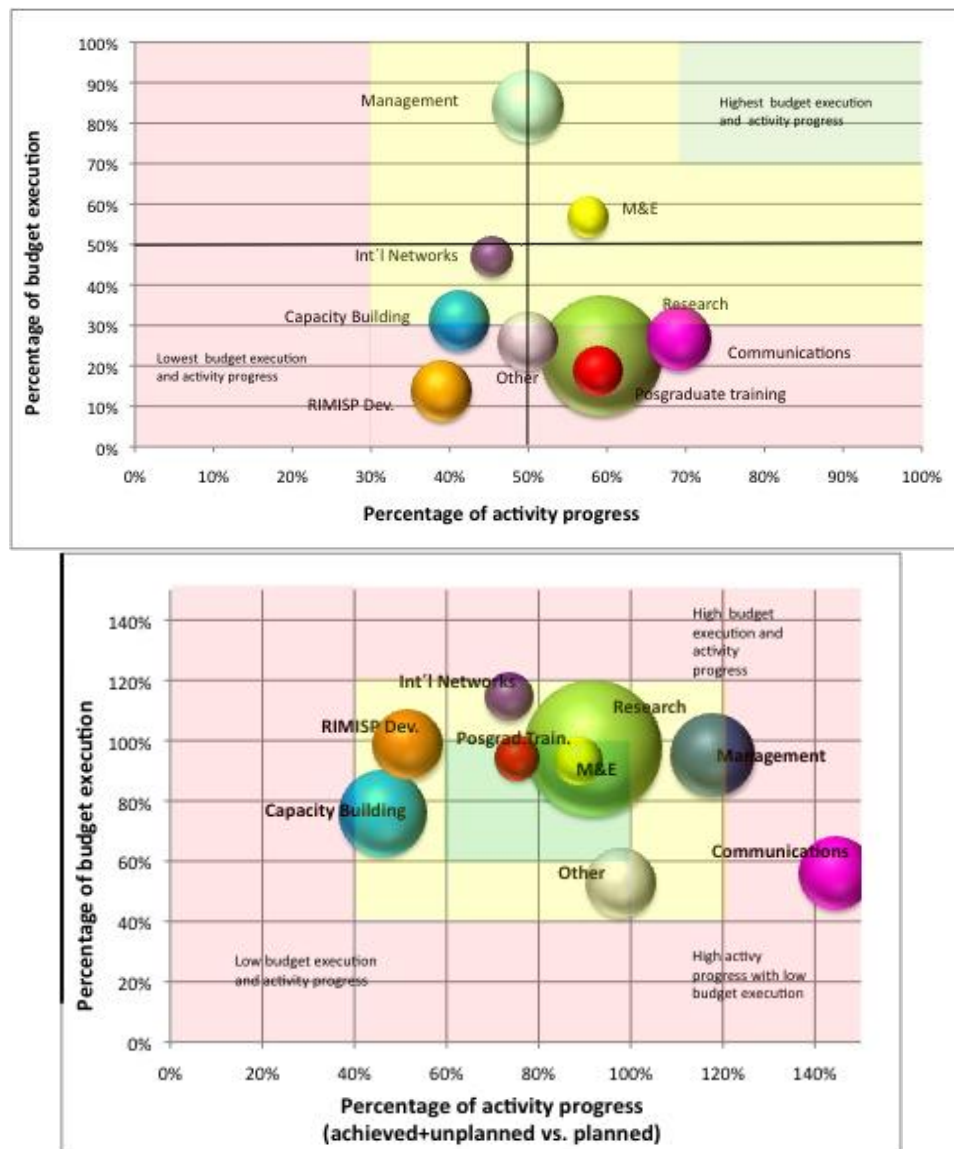
As a team, Administration has undertaken a significant effort in managing various and new donor and consultant/partner contracts (see Box 7), which demands higher levels of organization and sophisticated administrative and reporting systems. Many international events have been organized to very high quality (e.g. Antigua evaluation report). However, flow of financial information has still been perceived by some PCU staff as needing improvement.

In terms of financial management overall, severe under spending across the board was signaled in July 2009 as a serious problem, with knock-on effects for RIMISP that is funded by the overhead. This situation also highlighted that much work is happening with relatively little expenditure, which might require attention as people are already experiencing very high workloads. Figure 3 highlights the evolution of spending that was greatly accelerated in the second half of 2009.

Figure 3. Expenditure per component (above as per May 2009; below as per December 2009)

3.7 M&E: Slow start, gaining speed and focus

In this first year of M&E work, much has been undertaken to achieve focus and speed of information flows, both of which improved during the course of the year. Overall, planned activities have been achieved well, with some changes to the strategy to prioritise fewer more substantial topical inquiries above many smaller ones (see Box 8; Table 6, Annex 1). More work is now needed to become more concise, seek insights at a more aggregate level, and to be more timely.

To remind the reader, the M&E function has three purposes: (1) strengthen *strategic management* of the DTR Program towards achieving programmatic outcomes; (2) support *accountability function* (donors, CAP); and (3) provide *detailed insights* about what IDRC's large-scale, experimental program as an alternative approach to funding development-oriented research. These purposes are to be achieved by capturing and making sense of results from each DTR component; understanding progress towards impacts, related to programmatic outcomes; and regular reviews of management and governance-related issues.

A flow of data collection activities linked to five components (all but C5) has been achieved. The conceptual framework, with an initial indicators/questions matrix has been produced, a mid-year report, draft annual report 2009, annual report 2008, and short inputs for understanding the communications work. Three topical inquiries were organised on critical issues: Phase 1 research products, the DTR network, and capacity development. M&E staff participated in meetings related to research, territorial level work, and postgraduate training, important information collection opportunities.

> **Box 8. Component Statistics 'M&E'**
> - M&E reports: 2
> - Quality reviews: 2
> - Topical inquiries: 2, 1 ongoing
> - Project & field visits: 4
> - External presentations: 1
> - Short articles for program: 3

Main constraints and concerns are:

- Our timing depends on program activities, so delays there have knock-on effects for M&E. There is a tension between the PCU planning calendar (early Dec) and our need to see all activities for 2009 rounded off prior to undertaking a final analysis.

- Financial information flows have been flawed for us, leading to inefficiencies in terms of expenditure decision-making and incorrect estimates. Greater clarify and more timeliness is needed in order to plan for disbursement.

- Information flow from components, though improving, is still slow, partial and passive. Improving this will be a priority for 2010.

- The lack of shared clarity at the outcome level is challenging for enabling an analysis at the aggregate, programmatic outcome level. An experiment with Sensemaker in 2010 may help to overcome this in part.

4 Core Issues

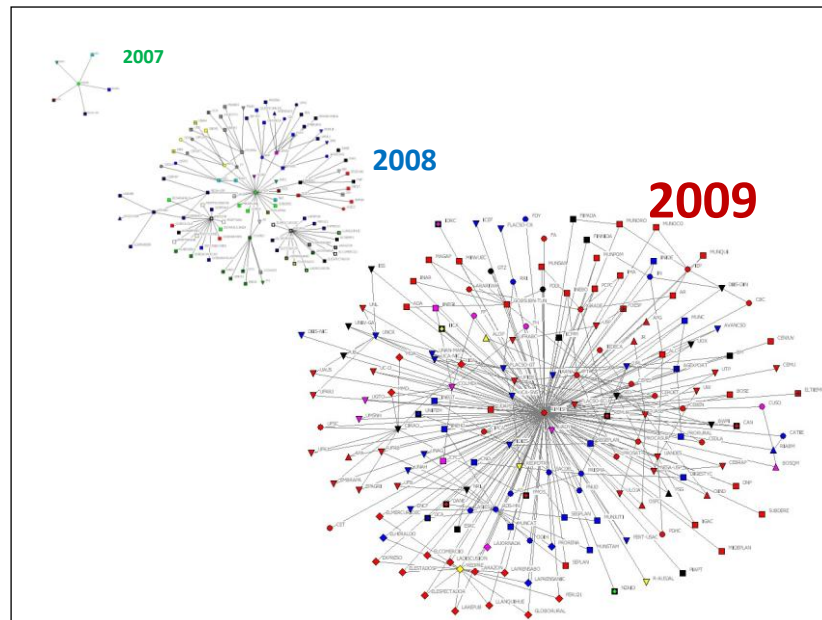## 4.1 Creating a Vibrant Network[9]

The program is based on the notion that a network needs to be generated that will carry the work both during the lifetime of the program and hopefully afterward (see Box 9). The vision is one of an increasing density of linkages related to the substance of equitable and sustainable rural territorial development, a set of linkages that are not necessarily mediated by RIMISP, and engaging more and diverse actors.

As of June 2009, the DTR network has expanded profusely (see Figure 4), comprising about 53 partners and 120 collaborators[10] despite the loss of the linkages from the governors' network. New partners and collaborators have started working on projects (about 139% and 89% increase respectively, compared to 2008) coming from different countries and type of organizations. While *partners* (direct contract with Rimisp) include rather academic, research, non-profit and international organizations from outside Latin America, the *collaborators* (not directly linked to Rimisp) tend to be more local governmental organizations.

> **Box 9. DTR vision of a network (Rimisp, 2007)**
> *"The program is envisioned as a functional network, extremely light in structure but very dense in activities. The network is regional in scope, and it is linked to leading research, policy and development practice centers in other areas of the world"…"In each territory and country, the program supports research, capacity development and communication projects and activities, involving researchers, social organizations and movements including women's organizations, private firms, national and sub national government agencies, NGOs and/or development cooperation organizations…" "in this sense, the support of IDRC catalyzes linkages, collaboration and communication processes that go well beyond the direct participants in the program…"*

Figure 4. Evolution of DTR linkages

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[9] Information sources: Sanchez forthcoming, interviews with partners throughout 2009, Mid-Year M&E report 2009, network analysis, analysis of participation at events, M&E unit observations at program events.
[10] Based on surveys among partners and collaborators March 2008 - March 2009, including some reclassifying of collaborators (e.g. media and governmental organizations) and deletion of the Governors Network in 2009.

With quantity of linkages is evident, understanding their quality becomes paramount. A topical inquiry (Sanchez, forthcoming[11]) conducted in Oct-Nov 2009 with DTR partners and collaborators raises some interesting observations on how DTR network is currently working and what it is attaining.[12] One of the findings is that the DTR network has been able to create a positive, open and safe environment that has built trust among partners. These links have been created not only by RIMISP as program coordinator but also by partners, and partners working with other collaborators for program purposes.

Partners expressed that the added value of the network is as a forum that allows intellectual exchange and collaboration. Collaboration within the network is creating benefits for its members, such as spaces for debate, implementing research, and exchanging information on methods and experiences, all with an interesting regional character. The program also contributes to strengthening a common discourse on territorial development. These aspects indicate that there are bonds among members that go beyond the contractual relationship, so that sharing, innovating and field work have a role in bringing them together and 'gluing' the network.

In the case of sub-networks, benefits are also present. The six members of the postgraduate training sub-network highly value the platform for exchanging organizational experiences on curriculum improvement, in addition to doing teacher traineeships at foreign, well-known universities outside the region. In the journalism sub-network, some members highly valued the studies, analyses and articles that the program offers on territorial rural dynamics, although in some cases they are considered too specific for countries and regions on which the journalists are not focused.

There is also an increasing sense of cohesiveness among partners: 85% of members feel there is a common goal, mainly related to research and less related to development and policy influence. This shared meaning is stronger among RIMISP staff and traditional partners than among the recent ones.

However, looking deeper at the supposed common goal shows that understandings are diverse. Furthermore, as a whole, 'the' program network consists of a set of weakly linked networks, with the research network strong, and much attention needed for the sub-networks such as the C2 Community of practice, and the two networks mentioned here. Other attempts at sub-networks have failed or been aborted (see section 3.2).

Significant aspects were detected that can limit the network's consolidation and effectiveness. First, the level of ownership among partners is incipient. There is low participation in the governance and decision-making with involvement focused on implementing project activities. Interestingly, most partners dedicate only part of their time to DTR program work, i.e. 53% dedicate less than half time to DTR work, and 25% dedicates less than ¼ time. To them, DTR work is relevant but secondary.
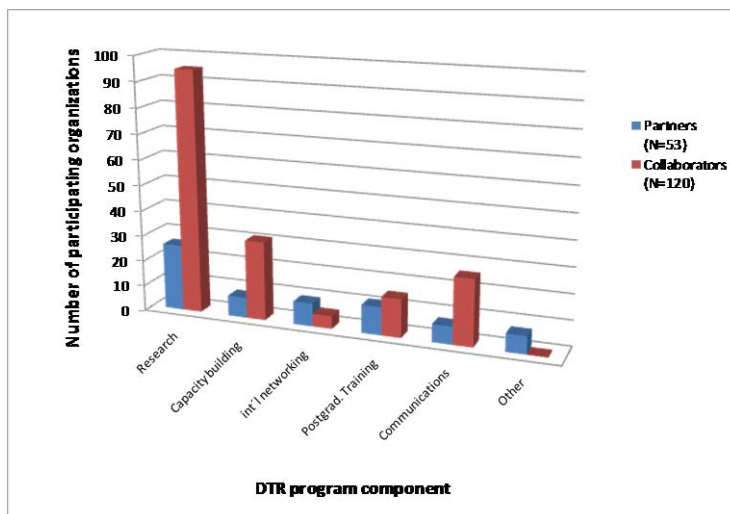
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[11] 19 interviews and survey responses from 35 of 108 who received the survey.
[12] Sánchez, Gabriela. (2009). *Estudio sobre el trabajo en Red.* DTR, RIMISP. México.

Linkages among partners are largely mediated by RIMISP, with activities fragmented and following the logic of program components. Nevertheless there is some more autonomous cooperation and feedback among partners across different program projects and areas: *"...there are linkages, relationships, working meetings but the substantial interaction of comments and opinions on other's works is apparently weak and intermittent"* (Sanchez forthcoming). Also, there is little knowledge about progress of other partners' work: only a third of partners said they knew about the majority of the projects and half about some projects. Sub-network members also mentioned this notion of intermittent and partial contact and communications, with low continuity and follow up of agreements. However, some partners do acknowledge that they do not take advantage of all communication opportunities, mainly due to time constraints and organizational priorities.

As an example of the limited integration of partners across the program projects and activities, it was found that 38% of partners and 55% of collaborators are mostly involved in research activities, being that few of them (19% of partners and 30% of collaborators) are participating in more than one component (see Figures 5 and 6 below).
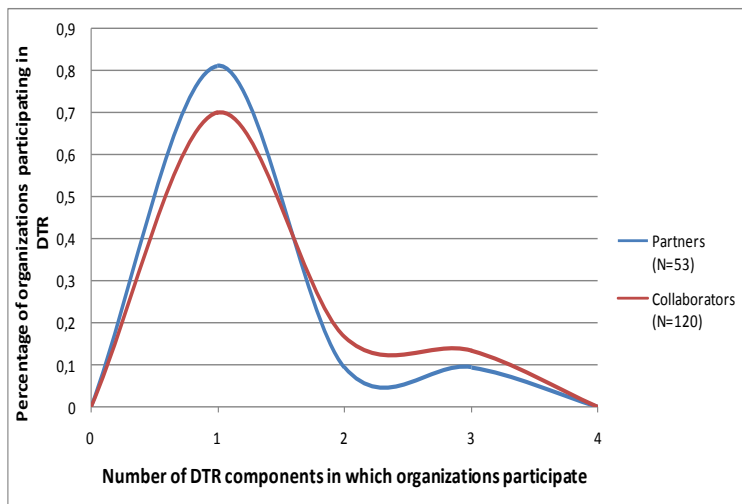
Figure 5. DTR partners and collaborators per program component

Additionally, there is a lack of continuity among the partners that have participated in DTR meetings over this program's initial 2.5 years. An analysis of lists of conference and meeting participants in the region, 90% of participants (346) have attended only 1-2 meetings (out of six held in three years) whereas only four or five people (2%) have been to all of them, which happen to be RIMISP coordinators. This flow of attendance does not need to be problematic – it links a greater number of people to the program. However, for continuity and depth of discussion, this may be detrimental.

The program is conceived as an *emerging network that is generating discourse about a certain direction of change*, which can have a greater multiplication factor of impact than X number of territorial interventions. The snapshot at this point suggests that there are three issues on the table in order to consolidate the network as a vehicle for such change: governance, identity and synergy.

Figure 6. Percentage of partners/collaborators participating in one or more program components

1. Governance. First, is an ongoing challenge for the program is how to balance 'fixation' and 'flexibility' (see Box 10). Many elements are in place that point to a solid basis – engagement and commitment, diversity, boundaries (set by contracts and a calendar of events). Where gains may be made is in the facilitation of self-organization of participants. To date, the DTR program has been a tightly orchestrated process with the Coordination Unit and its ideas, particularly that of the program director, strongly at the central. It is worthwhile to consider the options for opening space in the current governance set-up for participants to have a greater say and connection with the longer-term direction of the program.

2. Synergy. Currently, the program is very compartmentalized into component silos and the original idea of a tightly knit, synergistic effect between research capacity development and communication is sub-optimal. How can synergies between the components be maximized? This challenge relates directly to that of governance and identity.

3. Identity. The final issue is that of identity, with ongoing discussions in the Coordination Unit about whether or not the network is a policy, discourse, advocacy or some other kind of network. What is the core purpose of the network and is this shared in ways that enable engagement and synergy (see below)? Berdegué differentiates between the more instrumental network of the current Coordination Unit and the loosely bounded coalition within which a discourse is emerging around a third way for rural development in Latin America. But this

> **Box 10. Crucial capabilities for collective action in networking**
>
> The performance of networks will… be largely determined by their adaptive capabilities in terms of finding a continuous balance between the flexibility of self-organization of potential partners and fixation of the network as a strong arrangement able to induce societal change. This requires specific management capabilities that we specified in terms of governance related to emotional and transactional aspects and the creation of an enabling environment.… Three capabilities are crucial for collective action in a networking process. All three relate to the problem of fixation versus flexibility:
>
> - The capability to stabilize participants´ orientations, expectations and rules of conduct, while maintaining a dynamic innovative potential;
> - The capability to reduce variety by central rules, while facilitating self-organization of participants; and
> - The capability to induce joint activities in a formalized internal structure, while keeping the interfaces with the outer world open and constructive.
>
> Peter Glasbergen, 2009. Global Action Networks.

leaves the question of the purpose of such a coalition - is it an advocacy network, a learning network, a policy network?

Two, non-mutually options are policy and advocacy coalitions, which are distinct in emphasis, dynamics, intervention strategies and organizational structure. A policy network (Borzel[13]) focuses on dialogue, exchange, linkage construction, debate, lobbying and agreements to achieve its goals, and emphasizes agreements and consensus. An advocacy network (ibid) is more focused on mobilization and representation of interests, alongside moments of agreement and collaboration, thus with more confrontational elements in public debates in defense of its propositions and positions.

Thinking through the issue of identity, Sanchez summarizes her findings: "*Rimisp-DTR is a multi-actor network, with varying degrees of identification and engagement [with the network], that, for now, is focused mainly on research, with a very unequal degree of development between the distinct components and where policy influencing is still very initial, notwithstanding some action in this domain. Furthermore, it is a network that has a clear research agenda but has not constructed an agenda for policy/practice influence that could help define priorities, core content, key actors and processes. This is manifest in the lack of maturity to date of what kind of network it should be (policy, advocacy, or some combination) in order to achieve its aims.*"

One direction is voiced by Chéaz (new coordinator of Rimisp Central America office) who reflects on the quality of DTR linkages: "*Such a diverse network with such capacity and linkages should 'imagine' itself as a Latin American network linked to processes of social change…. The [current] opportunities to develop capacities and participate in international events and use information freely are interesting. … As a knowledge bank or centre of excellence this is okay. But a potentially active role would be lost that via collective action engages with contested change processes, not only for the region but also internationally.*"[14]

4.2   Generating New Theoretical Insights on 'Territorial Dynamics'

A central proposition of the DTR Program is that the generation of new insights on how territories enable win-win-win dynamics of change is critical in order to enable alternative actions at policy and territorial levels.

This year has seen *a large quantity* of DTR-related research reports, unexpected products and engagement in research events. The material is certainly drawing attention and generating requests for input based on some of the initial research findings and products. As summarized in 3.1, many critical outputs have been produced or are happening, which provides an essential basis for new theoretical insights.

Thus far, the *quality of DTR Program expertise, individual (Phase 1) outputs and the dataset* as a whole is being received very favorably. Quality of the material produced can be derived from four sources. First is direct process of peer review that has been required to

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[13] Börzel A. Tanja. *¿Qué tienen de especial los policy networks?,* en http://revista redes.rediris.es/webredes/textos/policynet.pdf (Consultado el 20 de noviembre de 2009).
[14] Email November 17 2009.

participate with panels in LASA and in IAAE, Beijing. Second, quality can be inferred by the demand for material derived from Phase 1 products from global organizations such as CGIAR and IFAD. Related to this is the willingness to associate with the program, which is manifested in formal collaborations with other academic institutions, such as the University of Saskatchewan, Stanford University and CIRAD, and was expressed by many partners in interviews. And a fourth indicator of quality is the litmus test of expert approval. This test was passed with flying colors when Dr. Lanjouw, one of the leading experts on the SAE methodology used, recognized the great potential value of the material (see Box 11).

Research partners comment, in general, on the valuable process that the DTR research is following[15] (see Box 12). Conceptually and methodologically, the research process has been interactive with seven events held since the program inception. During these events, core research partners have engaged with different potentially important conceptual building blocks to come to key questions and research approaches. The concept of 'scout projects', experimenting with and then advising on scaling up each research phase, is widely perceived as valuable by what are called the 'regular' projects. This construction has not only allowed for considerable flexibility to respond to emerging needs and concerns, it has also pooled the collective capacities and experiences of involved researchers and built valuable capacities. Nevertheless, other models of collaborative research that seeks to influence policy exist (in which some of the DTR program researchers are involved), with potentially interesting innovations from which the DTR Program could benefit. Furthermore, while at one level the research process is very much appreciated, at another level concerns and questions exist to which we now turn.

At a more strategic level, five issues need to be addressed to strengthen the applied research work: incorporating critical missing dimensions; linking

Box 12. Researcher's views on role of Rimisp in research

Interviews with over 40 participants (March 2009) about their perceptions of the Program and its added value show that partners highly value the coordination efforts of the DTR program at the national, territorial and research team levels. The most critical contribution that the program is making possible is bringing is a multidisciplinary DTR approach, focused on problems rather than disciplines, that breaks with most traditional previous approaches, myths and practices. Some participants do not know of any other integrated research effort in rural development in Latin America to date that is as large as the Program.

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[15] Interviews have been held at several moments during 2009 by the M&E Unit. The program's research 'model' will be looked at in more detail in 2010 by the M&E Unit.

research to policy and synthesis; the synthesis process; clarity about overarching goals; and expectations and roles.

1. Progress with gender and environmental dimensions. Gender and environmental sustainability, two analytical dimensions originally to be incorporated from the onset of the research work, will now take on a different role in the DTR Program.

Overall, it was clear (Ramirez 2009, p 22), that gender was only prominent either through concrete questions or research activities in four of the 19 research proposals for Phase 2, weakly present in another nine, and totally absent in the remaining six proposals. Environment fared better (ibid), with a clear presence of this perspective in ten of the 19 proposals, weakly present in five proposals, and entirely absent the remaining four. Without explicit attention at the onset, the resulting research products will of course never fulfill this promise of the DTR Program.

Therefore, the *proposed* concerted efforts are essential. In both cases, we are reporting on expected work – perhaps rather oddly in an M&E report. However, this evidence indicates the effort taken to overcome delayed and critical area of work, and the potential of current plans.

Six territories[16] are now taking the environmental dimension forward. Two key questions that will be explored at the territorial level:
- To what extent and how do natural capital and ecosystem services influence rural territorial dynamics?
- To what extent do conflicts over access/use of natural capital determine territorial development dynamics?

The insights gained will enable a synthesis document and a conceptual and methodological framework about the environmental dimension in territorial dynamics. However, caution is needed as only US$2500 is available per territory for this additional analysis, and it is expected to cut across the research as well as capacity building, communication and policy influencing.

The search for gender-related expertise on and interest in DTR has been as arduous as for the environmental dimension. After considerable effort by the Coordination Unit to find relevant and committed expertise, towards the end of November 2009, Dr. Susan Paulson of Lund University, Sweden agreed to take forward the gender theme within the program. She will bring with her several MSc and PhD students so considerable progress on this theme is likely. Teams have been invited to express interest in elaborating a conceptual and methodological framework for understanding gender within rural territorial dynamics.

2. Linking products to policy and practice arenas. The focus in 2009 on products now needs to be balanced with attention to the arenas for policy and practice ('incidencia') where insights are expected to make a difference. In particular, this concerns the upcoming global conference in Delhi (April 2010), the work in the six territories where capacity

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[16] Bolivia – Tarija; Brasil – Valle de Jiquirica, Bahía; Chile – Secano Interior de O'Higgins; El Salvador- Rivera Norte del Humedal Cerrón Grande; Honduras – Olancho; Nicaragua – Macizo Peñas Blancas, La Dalia

development is underway, and the communication for policy influencing work anticipated under C6.

Solidly embedding policy/practice influencing in the work requires sharing strategies and providing focused support, neither of which has been prioritized by the Coordination Unit. It is also weak or absent in a considerable number of Phase 2 proposals. In the proposals for Phase 2, nine of the 19 proposals have a clear presence of a policy influencing agenda. Six have a weak presence, and four have none. This was prior to the November meeting where teams were further stimulated to incorporate, however, minimally a policy influence perspective in the next phase of work.

Juan Chéaz[17] makes an important observation related to the quality of the Lima discussions: *"the link between research efforts and an future processes to build capacities, communication, policy influencing are insufficiently clear. It is quite difficult to imagine [these] future processes if, from the program, there is no core premise about the changes we want to see in the world. Therefore, how does our understanding based on rural territorial dynamics enable us to verify such challenges and propose policy recommendations?"* Section 4.4 elaborates on the policy influencing challenge of the program.

3. From excellent outputs to joint learning endeavor and action. What might need to be done differently to shift from production of reports to a shared and substantive learning interaction? Questions, and some concern, exist among researchers, funders and within the Coordination Unit that the applied research must become more than a set of good papers. This requires a rigorous, clear, interactive synthesis process. As late as end November 2009, many partners were unclear about whether such a synthesis process was on the cards and how it was envisaged. Some expressed concern about the aggregate insights that the program would be able to generate. Not only should the synthesis return to the (adjusted) core questions, but it must also link to the notion of myth busting that the program hopes to enable through the research. At the end of December 2009, the Coordination Unit decided to invite a select group of six partners to constitute the synthesis team to become active in 2010.

Synthesis is not just a process of summarizing or aggregating findings. It has its roots in a research framework that was jointly shaped with the scout project teams in November 2007. These common building blocks are present in the current research projects. Research leaders have met every 6 months since starting, to share and adjust focus and approach. Hence, *convergence* moments have been built into the research process. Synthesis, in terms of aggregate lessons from the research sites, will be coordinated by an invited team of six research leaders, and four PCU members. How this will engage other researchers and teams is not yet clear.

4. Shared clarity of long-term program aims. At the recent Lima meeting participants observed that the meetings are clear in terms of aims but that it is not clear where the program is headed overall. The network analysis (see 4.1 above) also indicates that while there is a shared sense of connection around research questions, at least from the longer

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[17] Email shared 17 November 2009.

term partners, diverse understandings exist as to the Program goals. Towards what is this contributing? Which changes are being promoted? Chéaz (ibid) expresses this as follows: "*the set of hypothesis and research projects needs to be analyzed to see how they are connected to agendas of change. The absence of a 'red thread' related to a possible change agenda does not help networking, learning and exchanging experiences among diverse DTR participants, beyond an exchange around research methods.*" However, a real tension exists between this lack of clarity and the amount of time that most partners have available to engage with the Program (most less than 25%).

5. *Expectations and roles.* Research partners express concerns about the expectations of the Coordination Unit about what the teams are being expected to process. This concern does not relate to the analytical dimensions but to the links to policy influencing, communication, and capacity development. All teams said they are providing additional time, resources to do the agreed work.

Partners were invited to take part in the Program by Rimisp based largely on research capacities. In Phase 2 and in linking the research to territorial level interventions, the teams are dealing with people, institutions and processes - all of which are less controlled. Is Rimisp providing enough guidance on this, along the lines of the very well received support in developing the Phase 2 proposals (see Table 3, Annex 2)?

And is there enough opportunity to learn from within the group (see Table X, Annex 3)? This sentiment was voiced in several interviews with researchers in Lima November 2009 and echoed by Chéaz who speaks of "hidden capacities" not yet explored to link change processes, e.g. in El Salvador and Ecuador".

4.3   Developing Capacities to Make a Difference

'Capacity development' (CD) is formally the heading given by the DTR program to a specific cluster of activities (see Box 3, section 3.2 above), which refers largely to the capacities of territorial level actors. However, CD intentions also exist in the research processes and postgraduate training-related activities. In theory, capacity development should also relate to communication activities but this has not yet been prioritized. Therefore, to do justice to the full contribution of the program to capacity development in the service of territorial dynamics, the net should be cast widely.

At this stage in the program's life, however, the M&E focus[18] is on CD related to the territorial level activities in six countries: Chile, Ecuador, El Salvador, Guatemala, Honduras and Nicaragua. This work is considered critical for enabling a ground-truthing of the research findings, as per the original logic, by generating an on-ground impact through developing capacities. As per the project proposal, the capacities relate more to collective learning rather than policy influencing as such, though these are interlinked, and with an emphasis on organizations of the poor.

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[18] CD within research, postgraduate training, communications will receive more attention by the M&E Unit in 2010.

To further insights and discussions on CD, a short study was commissioned in November 2009 that was intended to feed into this Annual M&E Report. The draft report was submitted too late for adequate consideration. The draft version provoked so much initial discussion that more time was needed to come to conclusions than was available before finalizing this M&E annual report.

Therefore, the draft report on capacity development (Ortiz, forthcoming) will be submitted to the CAP for discussion as a separate document, with a separate CPU response, at a later date. After further discussion, the final report, as with all other M&E-related outputs, will be shared publicly.

No additional comment on CD will be added to this annual report. In 2010, more in-depth studies of capacity development work in the territories will be initiated as part of ongoing learning about these territorial level efforts.

4.4   *Engaging with and Influencing Opinion Leaders and Decision Makers[19]*

The DTR Program's core proposition is to influence changes in policy and practice, for which communication is vital (see Box 13). The range of work within the DTR Program to influence opinion leaders and decision makers cuts across four components of the work: applied research (embedded in Phase 2 research, see 3.1); capacity development (see sections 3.2 and 4.3); international networking (see section 3.3); and communication (see section 3.5).

At the territorial level, DTR partners are engaging in public interactions with decision makers in diverse ways (see Box 14). Research teams are sharing evidence with local communities and inserting their findings into broader processes of policy discussion and institutional changes. These processes are mainly aimed at the design of national and local plans and policies (such as, the Plan of Environmental Management, El Salvador; the Provincial Development Plan, Ecuador; Rural Development Council, Brazil; AMCAP (Mayors),

> **Box 13. Policy and the Program**
> *"…this program is in essence an effort to facilitate communication and learning at multiple scales and between diverse stakeholders. This implies developing basic capacities and skills in different team in the program's network, engaging specialists and experts, adequately resourcing communication activities, and reaching out the local and national media. It also implies that the products of the different activities, particularly including the research projects, need to be tailored to the needs of different users (local communities, decision makers, policy advisors, development practitioners, other researchers.)"*
> DTR project proposal, May 2007.

Brazil, etc). Some have already used results from Phase 1/2A for international work related to an impact evaluation on EU/Andean trade relations and on social policy and mineral exploitation (using work from Bolivia, Peru, Ecuador). Other teams have more modest goals of informing the local community or regional level actors by presenting research results.

Territorial teams are offering additional understandings and frameworks for policy and practice, in terms of identifying driving factors for territorial development (e.g. pro-poor policies, geographic advantage, natural resources management, institutional frameworks,

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[19] Information sources: interviews throughout the year (particularly in Lima November 2009).

local governance, social capital, etc.)[20]. These inputs are being inserted into public arenas to influence resource allocation, and create or reform regulatory institutions (organizations), sub nationally, nationally and regionally (e.g. El Salvador). Despite the variety of intentions with the territorial-level work (based on Phase 2 research proposals[21] and interviews), the greatest emphasis is currently being placed on providing content and direction to policy-related discussions.

> **Box 14. Examples of policy influencing activities and events (undertaken & planned) by DTR partners**
> - The IFAD (Rome) 'Financial Crisis' workshop, based on work coordinated IEP (Peru). It involved a study in 11 countries about the probable effects of the financial crisis on rural poverty. The workshop sought to identify options for IFAD within this new scenario and was attended by more than 50 program managers, regional planners, ambassadors and top-ranked officials.
> - "International seminar on Territorial Development" (Landivar University, Guatemala), Oct 2009, 190 participants from government, research and international organizations. Presenters from Chile, Panamá, El Salvador, Costa Rica, México. Funded by RIMISP, World Bank, Konrad Adenauer Foundation.
> - Conversations of Universidad Landivar with SEGEPLAN (Undersecretary of territorial development) and work on local investment budgets.
> - Participation in the Comité Ambiental de Chalatenango y Plan de ManejoManejo Ambiental (Prisma El Salvador).
> - Foro Territorial y Foro de Descontaminación del Humedal (Prisma, EL Salvador), more than 100 participants, including NGO, national and departamental government representatives.
> - "Foro Regional sobre manejo comunitario de recursos" (Prisma, El Salvador). Scheduled for 2010.
> - University seminars. Nov 09. (Universidad Los Andes, Colombia). 70-100 participants, including national ministries´ representatives, such as Ministry of Finances, Ministry of social protection, and politicians..
> - Short, simple reports on research findings plus presentations made in workshops (COLMEX, Mexico)
> - Presentation made at Territorial Development forum, organized by Flacso-Ecuador and Central University. (UASB, Ecuador)
> - Contacts and presentations made to presidential candidates (RIMISP, Chile).
> - Input into national sustainable development policy formulation (Conselho de Desarrollo Rural), Brazil
> - Longer term engagement on with mayors through AMCAP (Associação dos Municípios do Cariri Paraibano), Brazil
> - Input into Ministerio do Desenvolvimento Agrario 2010 conference, Brazil DTR cases and Rimisp
> - Phase 1 information used in impact evaluation of EU and Andean trade relations (Colombia, Peru, Ecuador, Bolivia)
> - Peru, Ecuador, Bolivia Phase 1 outputs for work on social policy and mineral exploitation via the Brookings World Poverty Institute
> - Findings used for strategic planning process by Nitlapan (Nicaragua)
> - Presentations (Peru): Provincial Environmental Summit, Jauja; 25 year celebration of CEDEPAS;

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[20] Fifteen out of 19 DTR research projects (78%) have a strategy with policy influence/public engagement intentions (of which nine refer to specific activities/goals; six have a weakly formulated intention; four have none) (Ramírez 2009).

[21] As per Ramírez (2009), overarching intentions for policy engagement range from the most modest presentational ones as presenting research findings to academic, students and local authorities, going to intermediate influential as public debates, training and facilitating learning, up to the most influential ones as molding stakeholders' actions and shaping institutional practices.

Partners' capacities and motivations are key in explaining their involvement and arenas for policy influencing. Within the program, while there is great capacity for and interest in methods and concepts, this is less automatically the case for policies and change processes. Few partners[22] have extensive experience and expertise in policy influencing activities and are active with political advocacy (high capacity, high interest, e.g. SV, NI). Others are more oriented towards a research environment (low interest, high capacity, e.g. CO, MX) with limited interest in exploring new scenarios that might be supported by neither organizational leadership nor mandate. Interesting is a third type of partner (high interest, low initial capacity), which is emerging as a more adventurous group. This group (GT; EC) is highly research oriented, yet is getting extremely involved and committed to public engagement activities. Some explicitly object to weaving policy influencing into the research process, albeit for different reasons. It is either not perceived as central to the existing academic role, or contracts are perceived to focus on research and not on policy influencing.

The most frequently mentioned public engagement formats are debates, seminars and workshops (public/invitation only). Two teams have embarked on organizing large national conferences for broader policy maker audiences (GT, SV). The actors participating in these activities vary, ranging from the most local and closely linked-to-the-project ones (e.g. municipalities, local NGOs, churches) to the more public, national bureaucracies (e.g. Ministers, Under-Secretaries, Mayors). The institutions involved include local, federal or national authorities, and government agencies (mostly ministries, undersecretaries, directorships), but also specific related local related projects and allies (e.g. Peru). Sectors and functions where partners are trying to influence are environment, planning, finance, social development, and tourism.

Due to the work with Rimisp and in recognition of their knowledge and expertise on territories, some partners have been contracted by other donors/agencies to participate in and inform other processes. This is the case for Guatemala (Landívar University working with UNIFEM on territorial women entrepreneurship, with the World Bank for a cash-transfer program analysis with indigenous populations, and the Ministry of Planning-SEGEPLAN- to analyze territorial budgets) and El Salvador (collaboration with Ministry of Tourism for developing projects on rural community tourism).

It is noteworthy that some partners' policy influencing initiatives are taking place with little program support. Not only have some activities required additional funding (beyond the available $40,000 for capacity building and $60,000 for research) but additional funding has also been sought and obtained for policy dialogue and public engagement events.

Additional policy engaging activities are taking place at another level with multilateral and governmental organizations. The 'Financial Crisis and Poverty' workshop in Rome, based on the research undertaken by a DTR partner (IEP, Peru) involved the study of the effects of the financial crisis on rural poverty in 11 LAC countries. This event sought to influence IFAD's programs and priorities in the 2009 crisis peak. It was a well-attended event by high

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[22] Based on conversations with partners held in Lima (November 2009).

and middle rank international officials that motivated revision of individual's work[23] plus a set of publications (12 booklets) that gathered large media attention. A follow-up communication campaign is now running. In the first month till mid December, the website (www.rimisp.org/dtr/crisispobrezarural) was visited 1370 times with 457 download of documents, to complement the 500 sets of printed materials distributed.

Another international event, the Conference on Dynamics of Rural Transformation in Emerging Economies, is scheduled for April 2010 in New Delhi. Organized by DTR and high-ranking public authorities and academics from India, Brazil and South Africa, it is drawing very high-level attention even before starting with anticipated ministerial level participation. A pre-implementation success is the high level engagement of South Africa in the conference planning process. The India conference is embedded in the business planning process of the new Rural Strategy. Study tours from South Africa to Brazil have been related spin-offs.

Finally, a country level example of policy/practice influencing[24]is that of FAO, within technical assistance agreement with the Ministry of Agriculture and the Ministry of Public Works in Chile. After seeing the map of DTR initiatives (prepared by consultant Angelica Ropert), FAO commissioned work on this in two regions. It holds interesting potential to guide the work of other in-country DTR teams, with whom Ropert's work will be shared in 2010 but pending release of the documents, overall policy influencing effect is as yet unclear. One assumption underpinning this initiative (Ropert, forthcoming) was that national and sub-national political leaders will be interested in DTR-related findings and results. Current experience suggests that this assumption is not valid and requires a different strategy of generating interest as a first step (see section 4.4 for ongoing efforts by the Coordination Unit to find appropriate policy influencing strategies).

In these engagements, several factors related to DTR program initiatives are positive. First, working with end-users and multi-stakeholder approaches creates new local alliances and networks built around specific policy issues in the territories. Box 14 (above) is evidence, at this stage still anecdotal, of the appreciation by policy and decision makers of the type of research and dialogue promoted by DTR teams, through their growing credibility and contextual knowledge. The novelty of findings and approaches is generating public interest and organizational involvement.

However, several factors are critical for sustained change (see Box 15). First, acknowledging the complexity, i.e. non-linearity, of policy processes at different

> **Box 15. Research and Policy**
> "At best, research is only one element in the fiercely complicated mix of factors and forces behind any significant governmental policy decision. Policies in most governments, most of the time, are the outcomes of all the bargains and compromises, beliefs and aspirations"… "Influence is more process than product, a current of activities and relationships interacting with each other. Influence, moreover, is a means to an end and not an end in itself." Fred Carden (2009) Knowledge to Policy.

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[23] See Mid-year M&E Report 2009 for additional details.

[24] Other examples of policy influencing exist through the many lectures and discussions held by DTR program participants. However, the M&E unit is still in the process of determining how to capture these events and their potential spin-off effects.

stages (e.g. problem definition, agenda setting, institutionalization, evaluation) is crucial for having an impact in such contexts, where power relations determine the scope of influence and how specific policies are ultimately shaped. Also crucial is the generation and promotion public debates and conversations, shaping public stories and narratives about the issue. Although media organizations are participating in DTR policy engagement activities (e.g. event coverage, interviews, crafting and producing news, reaching massive audiences), they are hardly considered as political actors that help or hinder the spreading of messages and stories, beyond findings. Also notably absent in the current proposed and actual policy influencing work are the private sector (e.g. enterprise associations) and powerful non-profit organizations (e.g. churches) who play a role, visibly or behind-the-scenes, in problem definition and agenda setting.

The fact that media, opinion leaders and private sector representatives are absent of these processes, may suggest that partners, in most cases, are considering their policy influencing activities as part of their research work and communication of findings (which reinforces their primary roles as researchers/academicians) rather than part of a greater societal and institutional change project (which would rather define them as political actors).

ODI's research and policy development (RAPID) program has looked extensively at how evidence is taken up in policy development. Its framework[25] suggests four key factors: context (policy makers, institutions, opportunities and resistances, timing); evidence (e.g. theory, narratives, innovations); links; and actors (international vs. national, insiders vs. outsiders). Thus capacities needed for influencing policy are not limited to conducting solid, in-depth analysis and effectively communicating findings. Other critical practices and behaviors play a role; include building and maintaining relationships, negotiating and resolving conflicts, managing critical events, advocacy and lobbying, and fundraising and funding.

At this point in the program's lifetime, two critical questions exist.

First, to what extent do DTR partners have (access to) the range of necessary capacities (and resources) - and will they be inclined to wield such skills in ways that are sustained enough over time to make a difference and that are compatible with their organizational identity and culture? Capacities should not only be expected to come from Rimisp guidance but can be found among the existing network. Some partners have 'hidden capacities' in relation to policy influencing that have not yet been fully explored, for example in El Salvador and Ecuador, and that merit more attention.

Second, which initiatives and policy arenas really offer leverage for change? It is a challenge for the program to initiate and sustain a myriad of initiatives while adding value, building common meanings and creating synergy for effective policy changes. In providing support, not only DTR's Coordination Unit and partners' capacities are critical but also the timeframe, financial resources and that may go beyond what the DTR Program is able to offer. Careful selection of the strategic processes that have a higher chance of adding value

[25] ODI, 2004. Herramientas para el Impacto en las Políticas Públicas: Manual para Investigadores. Daniel Start y Ingie Hovland.

to policy/practice changes will be crucial. Currently, the process by which opportunities for leverage are selected is unclear.

Related to this is the issue of actor specific sub-networks – yes or no? Efforts to date have achieved very little and future work to engage with what were originally considered key stakeholders remains unclear. How will the program, and indeed will, it proceed with focused strategies for influencing key stakeholder groups? And if so, which groups will be prioritized?

4.5   Evolving Understanding of Program Strategy and Learning[26]

The Annual M&E Report 2008 was largely devoted to questioning the underlying program strategy through the notion of a 'theory of change'. It sought to make explicit a wide range of implicit assumptions and scrutinize these for potential risk/consequence, seeking also to make more concrete the programmatic outcomes, as well as the pathway of change from the activities to the outcomes. During 2009, much discussion occurred around this topic. The result was a reformulation of the programmatic outcomes (see Table 1) and a set of prioritized assumptions for risk management (see below).

Table 1. Comparison of programmatic outcomes 2007 and 2009

	May 2007	*December 2009*
Objective	Contribute to the design and implementation of more comprehensive, cross-cutting and effective public policies that will stimulate and support rural territorial dynamics which lead to economic growth, poverty reduction, greater equality and sound environmental governance.	Contribute to rural territorial development dynamics characterized by virtuous cycles of economic growth, reduction of poverty and inequality, and environmental sustainability, through more integrated and effective policies.
Collective Actor	Diverse change agents interact in a broad regional and globally-linked network.	Coalitions that construct and drive a new vision and new strategies for the development of rural territories.
Vision and Strategy	Diverse change agents collectively advance a theoretically-consistent and empirically-tested vision and strategy on how to achieve rural economic growth with poverty reduction, greater equality and sound environmental governance	A vision of the revitalization of rural territories, with social justice and environmental sustainability, and strategies to enable the same.
Public Action	Diverse change agents engage effectively in relevant national, regional and international debates on rural development policies and how they are applied in practice.	Changes in different domains of public action consistent with the vision and the strategies.

While ironing out some glaring and agreed limitations, the outcomes remain sufficiently broad that they are unlikely to help give guidance on actionable purpose (or on M&E). Almost any activity could be justified under their umbrella. And any result could be used to

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[26] Information sources: email exchanges, annual M&E report 2008, July/December Coordination Unit meetings, interviews, progress with annual plans.

evidence success. The gap in the middle, between annually planned activities and broad outcomes, remains uncharted terrain. This, by definition, makes the program 'complex' in the true sense (see Guijt 2008). However, 'complex' endeavors do not necessarily have to remain blank sheets (Rogers 2009). They can still be informed by articulated strategies and assumptions, while being treated as emerging experiments. The ongoing discussions are the arena in which these strategies are being articulated and assumptions identified, a story that will, with hindsight, explain what happened and –perhaps – what resulted.

The Program is continually evolving. Budget cuts, team capacities, local/national politics are shaping what is possible. Annual adjustments are vital to ensuring relevant and feasible work is possible. Strategic reorientation is on the cards and was the focus of discussions in the December 2009 Coordination Unit meeting.

This year, several cracks in the system have emerged as the short essays above indicate. Many of these 'cracks' relate to assumptions in the strategy that were not made explicit and/or assessed in terms of their likely risk and potential consequence. Four overarching concerns are raised here for consideration.

1. Tension between ambition and financial resources. At each meeting of the researchers and Coordination Unit, more questions, activities, policy arenas are identified as crucial. There is a real danger that the program is overstretched, even though the territorial level work is already reduced compared to the original notion, and some additional funding has been generated. Some important aspects of the program appear to be out of the loop. For example, are the transaction costs of sustaining so many linkages sufficiently funded, for Rimisp staff members and the partners? What are the implications of C6 (communications) not having funded direct engagement with partners? What funding is available to enable synergies between the siloed components? The program is in need of clarifying expectations in relation to available resources, and rethinking how to ensure funding goes towards the essential 'glue' of the program that cuts across the components.

2. Managing risk. Risks exist in any endeavor, including the DTR Program. Currently risks are being managed in a diversity of ways. Many risks are managed by the PCU keeping a finger on the pulse and being proactive when problems arise. Some are more proactive through direct engagement with partners and processes such as the peer review of proposals and collective definition of the research process. In other cases, there is less engagement with key actors (e.g. C4 and C6) and/or a much less explicit focus on inherent risks, such as with C2, C3, C4 and C6.

From a long list of over 60 possible assumptions suggested in the Annual M&E Report 2008, the PCU has selected a limited set (see Box 16) as those that carry highest risk, i.e. most likely to occur and most severe consequences for the program. For strategic decision-making, the PCU would need to regularly review what is being done differently in order to reduce both risk and consequences related to the key assumptions. It would also need to update the list of assumptions annually in the light of emerging experiences with program activities.

3. Integration and synergies. As some of the essays indicate, the process of collectively strategizing at the program level is limited to the Coordination Unit. This choice appears to be leading to lack of clarity by partners as to what their efforts are contributing towards and the overall intentions, a tendency towards project orientation per component, possible loss of 'hidden capacities', and potential loss of policy influencing opportunities. Collective strategizing and learning are not being prioritized. It is worth considering how either the CAP and/or an additional (compensated) advisory group can extend the antennas of the Coordination Unit when it comes to programmatic level strategizing.

4. Learning about progress. Program management is not an endeavor that extends beyond the Coordination Unit – it decides, notwithstanding consultations with partners related to specific activities. The M&E discussions in this report have, therefore, focused around triggering discussions with the PCU, not with the partners. The Program Director is positive about how the M&E processes are encouraging him to think strategically. However, requests were made by the PCU for the following changes to the M&E process: more focus and less detail; combining critical perspective with advisory function; upholding ongoing conversations while limiting M&E related interactions with partners to reduce demands on them; methodological innovation to 'capture' changes at the aggregate level; and providing more support on the program's theory of change and risk management.

5   Concluding Comments and Recommendations

In its self-evaluation session in December 2009, the PCU took stock of its own achievements and critical areas for improvement. Achievements that concur with the observations of the M&E Unit are:

1. The *network* is now extensive, in 11 countries, 19 territories, 53 partners, 120 collaborators, besides links into the OECD and India, China and South Africa.

2. *Research* is generating an accumulation of novel insights about concrete territories, their distinct processes to feed into the synthesis process. The quality of research is rigorous. The model of trial-error with the scouts/regular projects is promising.

3. *Partners* are generating a specific perspective about the sustainability of the rural domain, and some partners are gaining experience in doing more than only research.

4. *Communication* for diffusion and management is solid, with a high quality team and way of working that links well with research and that has strengthened internal communications.

5. A model for *integrated research/communication/policy influencing* has been generated through the 'Crisis and Rural Poverty' example.

6. Experience with *policy influencing* is growing, with more understanding of how to influence policies at more macro levels

7. Both the *DTR theme and Rimisp is getting increasing attention* through engagement in many, high-level events. Demand for DTR related engagement is growing, notably in Central America and the Andean countries.

While progress has been solid, the Coordination Unit identified more than a dozen solid challenges, many of which are echoed in this report. In particular, the Coordination Unit noted that progress is insufficient at three key levels: territorial management (six countries); public action at national level (e.g. by making use of the research findings); and internationally through the networks and key policy influencing efforts (SEGIB). For 2010, the Coordination Unit would like to see substantial changes in these areas at least.

The program is experiencing growing tension between ambitions and opportunities on the one hand, and limited financial resources on the other. Some strategic realignment is required to ensure funding goes towards the essential 'glue' of the program that cuts across the components and to the opportunities with greatest potential effect. In this final section, recommendations are offered related to five areas of strategic realignment.

1. *Clarifying network purpose, identity and synergies.* Questions persist among partners and some Coordination Unit members about the long-term program aims and, by extension, the core purpose(s) of the network that is to carry this. Which changes are being promoted? Towards what are the separate elements contributing? To what extent are answers to this shared enough by those linked into the network? The output orientation of the program should be balanced with processes that encourage and stimulate a sense of a collective journey that is meaningful beyond individual outputs.

Clarifying purpose and identity could help refine expectations, strengthen commitment and motivation beyond a fulfilling of contracts, improve potential synergies that tap into partners' experiences, and provide greater focus for strategic choices. Gains could be made by:

- greater precision about what 'the network' (or coalition) is and is not in relation to the first programmatic outcome;
- thinking through and creating more realistic conditions to support the transaction environment that enables self-initiated, integrated action by participants that focus on stimulating expected changes, rather than on activities and products;
- moving away from the currently compartmentalized components of the program to consider strategic opportunities that links research/policy influencing/communication/capacity development, which requires a more

conscious collective process of integrating and cross-feeding the work happening in the different components. For example, communications could be better connected to the needs and aims of partners, and therefore less centralized, and less of a production line of documents, and the post-graduate training network could be linked into the research and territorial CD processes in more creative ways; and

- considering how either the CAP and/or an additional (compensated) advisory group can extend the antennas of the Coordination Unit when it comes to programmatic level strategizing.

2.   *Strategic actor sub-'networks' – dormant, dead, desirable?* The notion of focused, actor specific sub networks was an important strategy in the original conceptualization of the program. This choice is now significantly watered down in practice, with only the research sub-network thriving. More explicit reflection on the idea and experiences with sub-networks, and whether they merit renewed attention (and if so, which ones) will help avoid it becoming a default 'failure'.

3.   *Beyond individual papers to interactive synthesis.* What's next after the individual cases and what does it add up to in terms of aggregate insights that can influence policy? Furthermore, can the quality of discourse in the DTR network be strengthened through the planned synthesis process? Clarity from the Coordination Unit about the synthesis process in 2010 and shaping it to become a broad dialogue may help shift from a set of excellent individual outputs to a more collaborative learning endeavor and action. This process will be important to achieve the knowledge-focused outcome of the program, that of explaining territorial dynamics. These insights will be crucial for targeted policy-influencing processes.

4.   *Building policy influencing into research, expectations and roles.* The challenge remains of working with researchers and research as an entry point and extending this to include policy influencing and communication. The program needs to invest more in ensuring how to enable research to relate to topical questions or to generate demand for the DTR 'messages'. The Coordination Unit is aware of this and actively seeking to make progress towards a model of research for policy.

- Approach policy influencing as a research question across the board (extending beyond the existing Chile-based consultancy on this) within the program, rather than only as a domain of expected outputs. This is particularly important in relation to the hard-to-reach territorial and national level policy makers, as DTR that is not, in itself, necessarily high on their policy agendas.
- Draw on partners' understanding of rural territorial dynamics to identify strategic policy-influencing opportunities and transforming the research into policy recommendations.
- Invest (skills, funding) in moving from extensive documents to accessible information products and messages. It will not happen as an unremunerated add-on.
- Take stock of experiences, skills and needs – and of the willingness to wield skills in ways that are sustained enough over time to make a difference and that are compatible with their organizational identity and culture. Discuss (more)

openly what each partner can and wants to do in terms of linking policy influencing and research, and on the tension between the research and policy influencing roles.

- The Coordination Unit does not need to come up with the answer itself but rather to link with and build on partners' experiences, possibilities, and limitations.

5.   *Conscious strategizing around key opportunities to influence policies.* The DTR program encounters very many opportunities at all levels and faces inevitably limited resources and time. There is no explicit process (criteria, people, timing) for selecting those that appear to have greatest potential. In part, opportunistically following of emerging opportunities is important and necessary. However, some process that assesses which initiatives and policy arenas really offer leverage for change, and what that change is, will then also make it easier to know how to follow-up on the high potential priorities. This is particularly important in Central America, where start-up delays are asking for additional concerted efforts.

6.   *Risk management and learning*. The DTR program is exactly that, a program and not a set of projects. This offers great flexibility and space to innovate and respond to unexpected opportunities. Risk taking is important, as long as the underlying assumptions are explicit and risk minimizing options and fallback strategies have been thought through. The coming year offers an important opportunity to work with the identified critical assumptions, and review them in the light of emerging experiences. An important input for this will come from monitoring the emerging and synergistic effects of partner efforts at different levels and capturing changes at a more aggregate level.

True to the nature of any complex endeavor and this explorative phase, understanding is emergent and continuous. Both results and overall direction must be understood, with ideas and intentions allowed to mature. It is hoped this report contributes to this maturation process.

"Great thoughts reduced to practice become great acts."
William Hazlitt, 18th century writer and humanist

Annex 1. Tables of Progress with Annual Plans 2009

Tabla A1. Investigación Aplicada

Resultados o productos	Actividades	Comentarios S&E
1. Mapas de dinámicas territoriales en siete países e informe de síntesis de 11 países (Enero 08-Dic 09)	• Etapa 1 de proyectos regulares	Mapas de dinámicas[27]: NI (Abr. 09), HO, GT (Abr. 09), SV, CO (Mar. 09), PE, MX (Mar. 09), BR (Mar. 09), BO, EC (Abr. 09), CL (Mar. 09).
2. Metodología para el análisis de dinámicas de cambio medioambiental a escala territorial (Mar-Dic 09) *Cambio el foco para hacer una experiencia en algunos territorios, con asesoría directa de Rimisp*	• Proyecto Análisis de cambios en sustentabilidad ambiental en Nicaragua, U. de British Columbia • Revisión y síntesis de aspectos ambientales de dinámicas territoriales	Se canceló definitivamente el proyecto en Nicaragua, porque la U de Vancouver y sus socios en NI nunca presentaron su propuesta. Propuesta metodológica para abordar la dimensión ambiental de las dinámicas territoriales elaborada por Kronik y Bradford. Proyectos la están utilizando en varias maneras en investigaciones. Contratación de consultora y reunión en Lima (Nov.09) para discutir metodología y cronograma. 6 países interesados en grupo de trabajo (BO, BR, CL, SV, HN, NI)
3. Investigaciones sobre determinantes de dinámicas territoriales en 16 territorios, 11 países (Oct 08-Dic 09)	• Proyectos scout en Chile, Ecuador, Nicaragua y Perú • Proyectos regulares en 11 países	Scouts Etapa 2A: entregada por EC (publicada), NI (documento preliminar de problema, objetivos y hipótesis) y PE; falta CL (dos documentos publicados). Proyectos Regulares: Todos lo entregaron, varios se revisaron, uno se rechazo y se solicito nuevo informe con plazo Marzo 2010. Se cuenta con informes 2A en borrador de HN, MX, CO, BO, PE Jauja, SV, BR1, BR2, CL. NI por entregar informe.
4. Informes de proyectos de investigación sobre "DTR e identidad cultural" en cuatro países (Ene-Dic 09)	• Estudios co-financiados con el proyecto "Desarrollo territorial rural con identidad cultural", auspiciado por la Fundación Ford	De los tres proyectos de investigación se tiene el primer informe de PE, BR, MX. El informe de CL estará disponible a fines de febrero 2010. Cambió el cronograma para priorizar la reflexión y el análisis. De cualquier manera, en principio acabaran antes que los proyectos regulares.
5. Informes nacionales de impactos de la crisis en la pobreza rural en 11 países, e informe de síntesis (Ene-Abr 09)	• Estudios coordinados con el FIDA en 11 países, realizados para el programa por el Instituto de Estudios	Documento Síntesis Crisis y Pobreza Rural en AL presentado en taller de FIDA (Abr.09), con participación de embajadores y organismos multilaterales. Evento y presentaciones evaluadas como muy

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[27] Una nueva actividade para hacer mapas adicionales (CR y Panama) para RUTA no fue hecho porque la universidad no respondio a la invitacion de RUTA.

| ■ Cumplido | ■ En marcha de acuerdo a lo planificado | ■ Ligeramente retrasado con pequeñas dificultades | ■ Severamente retrasado o con graves dificultades | ■ Realizado y no programado | ■ sin información |

	Peruanos • Taller de análisis de conclusiones y recomendaciones en la sede de FIDA, Roma	bueno por participantes. Se tuvo reunión conjunta RIMISP-FIDA.
6. Memoria Seminario Ciudades Rurales y DTR (Ago-Sep 09)	• Seminario Ciudades Rurales y DTR, Universidad Católica de Perú	Evento (programado para Nov 09 en Lima) postergado para Abril 2010. .
7. Informes de puesta en marcha e informes finales de campo de estudios de adaptación a cambio climático y desarrollo territorial en tres países	• Proyecto "DTR y adaptación a cambio climático", co-financiado por el Banco Mundial, en México, Perú y República Dominicana	Fuera de responsabilidades de S&E. Solo se conoce que se ha concluido trabajo de campo y se están elaborando los análisis. Se recibieron los informes a fines de Enero 2010.
8. Informes de investigaciones complementarias (Ene-Dic 09)	• U. Saskatchewan, dinámicas regionales para comunidades dependientes de recursos naturales. Análisis comparativo en Canadá y Chile • Dinámicas basadas en turismo en Nicaragua • Inclusión social según dimensión de género en 4 países de Centro América-NZAID	USask: Primer taller de puesta en marcha la investigación en Chile (May.09) y segundo taller de revisión de resultados preliminares en Canadá (Sept.09). Colaboración incluye estudio comparativo entre territorios de Chile y Canadá, dando especial atención a comunidades con alta concentración de indígenas y mujeres. Posible futuro proyecto de investigación que potencialmente amplíe el alance de la investigación a otros países de América Latina DTR turismo en NI: Finalmente Rimisp cancelo el contrato con el socio y obtuvo la devolución de los fondos, debido a reiterado incumplimiento de los plazos.
9. Artículos en congresos científicos (LASA, IAAE) (Oct 08-Dic 09)	• Panel especial Congreso LASA 2009 • Simposio en Congreso IAAE	Participación en congreso LASA 2009: "Rethinking Inequalities" (Junio 09, Río de Janeiro) con 5 presentaciones derivadas del DTR en 2 paneles; alto nivel de discusión y difusión. Evento tuvo más de 250 paneles y asistieron más de 4000 personas. Participación en el IAAE con un panel. Panel sobre Dinámicas Territoriales rurales en América Latina, con 4 presentaciones derivadas del Programa y la facilitación del Dr. Alain de Janvry (U. de California Berkeley)
10. Memorias de talleres coord. de proyectos de investigación (Oct 09)	• Talleres de coordinadores de investigación marzo 2009 y octubre 2009	Hay minutas del taller de Antigua y minutas del taller en Lima.

Cumplido	En marcha de acuerdo a lo planificado	Ligeramente retrasado con pequeñas dificultades	Severamente retrasado o con graves dificultades	Realizado y no programado	sin información	

		GT, SV, EC, CL, CO están realizando actividades (eg. Foros, conferencias, reuniones con autoridades) con incidencia a nivel local y/o nacional. GT realizó encuentro internacional con más de 190 participantes, incluy. autoridades de gobierno, ONG y centros de investigación; tuvo apoyo de DTR , BM, Fund. Ford.

| | Cumplido | | En marcha de acuerdo a lo planificado | | Ligeramente retrasado con pequeñas dificultades | | Severamente retrasado o con graves dificultades | | Realizado y no programado | | sin información |

Tabla A2. Desarrollo de Capacidades

Resultados o productos	Actividades	Comentarios S&E
1. Procesos de desarrollo territorial en marcha en seis territorios en igual número de países (cuatro en Centro América y dos en el resto de la región) (Mar.09-Abr.10)	• Seleccionar territorios y establecer alianzas principales • Definir programa de fortalecimiento de organizaciones de los pobres para participar en los procesos • Establecer plataformas multiactores • Formular estrategias de desarrollo territorial • Definir perfiles de proyectos de inversión pública y privada	Equipo finalmente conformado (May.09) y marco metodológico de componente revisado (Oct.09). En reunión de Quito (Jun.09) se presentaron y discutieron propuestas nacionales. Se ajustaron estrategias locales incluyendo territorios seleccionados, actores claves y diagnósticos. En Lima (Nov.09) se revisaron avances. Mayores avances e identificación de actores, plataformas y eje para el fortalecimiento. Territorios participantes en EC, GT, CL, SV, NI, HN. Proyecto en NI y HN muy incipientes.
2. Tres comunidades de práctica pilotos implementadas en tres territorios en Chile, Ecuador, y Centroamérica (Ene. 09-Abr.10)	• Documento de trabajo con método y lecciones de otras experiencias de CoP • Contratación de consultor "coach facilitador" en procesos de facilitación y dialogo multi-actores • Documentos y taller de sistematización de las herramientas, métodos, y experiencias reales • Diseño y consolidación de "base de conocimientos" en línea de buenas experiencias y prácticas para DTR	Documento elaborado (pendiente de aprobación y publicación). Consultor contratado. Convenio con Univ. Kansas para plataforma colaborativa. En reunión de Quito (jul 09), se reformuló alcance: CP incorpora a EC, GT, SL, SV, HN. Los socios identificaron equipos y temas de trabajo. Un foro iniciado. Participación en plataforma es incipiente con débil participación de socios por restringido tiempo y acceso a internet. Poca apropiación del sistema y proactividad de socios.
3. Estrategias de comunicación, influencia e incidencia en las políticas públicas subnacionales y/o nacionales, en marcha en cada uno de los países (May.-Dic.)	• Establecer alianzas principales • Identificar entidades y tomadores de decisiones clave • Organizar encuentros con tomadores de decisiones clave en 4 países de Centro América • Diseñar e iniciar implementación de estrategia de comunicación, influencia e incidencia 2009-2012	GT, SV, EC, CL, CO están realizando actividades (eg. Foros, conferencias, reuniones con autoridades) con incidencia a nivel local y/o nacional. GT realizó encuentro internacional con más de 190 participantes, incluyendo autoridades de gobierno, ONG y centros de investigación; tuvo apoyo de DTR , BM, Fund. Ford.

▮ Cumplido	▮ En marcha de acuerdo a lo planificado	▮ Ligeramente retrasado con pequeñas dificultades	▮ Severamente retrasado o con graves dificultades	▮ Realizado y no programado	▮ sin información

		Reunión de trabajo con empresa (*Imaginacción* Jul.09) para identificar elementos centrales de mensajes, actores claves y oportunidades de influencia a candidatos presidenciales en Chile. Contratación de consultora A. Ropert para elaborar mapa de actores e iniciativas de desarrollo territorial rural en Chile. Contratación de coach para el CoP.
4. Dos redes regionales con planes de trabajo en marcha (Gobiernos Subnacionales y Prensa Rural) (Mar.-Abr.)	• II Encuentro de Red de Gobiernos Subnacionales • Definir y apoyar implementación de planes anuales trabajo (2009) de las redes de Gobiernos Subnacionales y Prensa Rural	II Encuentro realizado en Brasil (Mar. 09) con baja participación de gobernadores y territorios. Problemas para coordinar la red y promover la participación de los gobiernos;se canceló contrato con coordinador. (jul. 09) Revisión de estrategia programada para inicios de 2010. (ver red de prensa rural en Componente de comunicación)
5. Memoria de taller de coordinadores de proyectos de desarrollo de capacidades (Oct. 09)	• Talleres de coordinadores de proyectos de desarrollo de capacidades, octubre 2009	Informe Memoria de reunión de Junio entregado. Pendiente informe de reunión de noviembre 2009.

Cumplido	En marcha de acuerdo a lo planificado	Ligeramente retrasado con pequeñas dificultades	Severamente retrasado o con graves dificultades	Realizado y no programado	sin información

Tabla A3. Redes y relaciones internacionales

Resultados	Actividades	Comentarios S&E
1. Programa se establece como interlocutor de la OECD en temas de desarrollo rural en ALC (Ene.-Oct.)	• Participación en conferencia anual de desarrollo rural de la OECD, con un panel organizado por el programa • Seguimiento con visita a OECD HQ para establecer relación de mediano plazo	Evento acordado con OECD tendrá formato diferente a lo inicialmente pensado. Habrá taller DTR pre-conferencia para presentar resultados del C1 en 11 países (mapas y disparidades, y ejemplos de políticas en 3 países). Conferencia anual programada en Quebec (Oct.09).
2. Reunión de trabajo entre gobernadores latinoamericanos y premiers provinciales canadienses (Ene.-Jun.)	• Contactos informales con Conferencia de Premiers • Formalizar invitación y aceptación • Conformar y preparar la participación de la delegación: agenda, ponencias, presentaciones, dossier, etc.	Se realizaron contactos con la Canadian Grain Commision y el Tri-National Agricultural Accord (NAFTA) como puntos de entrada, pero no se han concretado acuerdos ni reuniones. No tenia interese suficiente por parte de los premiers.
3. Se consolida el Diálogo Rural Iberoamericano y la relación del programa con la Secretaría General Iberoamericana (Feb.-Oct.)	• Contacto (visita) con SEGIB y con Ministerio de Agricultura, Desarrollo Rural y Pesca, de Portugal • Segundo Diálogo Rural Iberoamericano	Reunión de SEGIB en España (May.09) para preparar II Diálogo Rural, previa a cumbre iberoamericana. Proterritorios, RIMISP y FAO encargados de organizar la reunión. Evento será en México (Sep.09) con serie de seminarios nacionales en los territorios. Presupuesto para 15 talleres y encuentro en México estimado en $142.000. Proterritorios no recibió a tiempo los fondos de SEGIB y finalmente debió cancelar la actividad en el 2009.
4. Comité Organizador y programa de trabajo para una Conferencia China-Sudáfrica-India-Brasil sobre desarrollo territorial rural a realizarse a fines del 2010 (Ene.-Ago.)	• Establecer y reunir comité organizador • Elaboración de programa de la conferencia y programa de trabajo para su preparación • Búsqueda de co-auspiciadores • Publicación de convocatoria	Se realizó reunión en Sao Paulo (May. 09). Se registraron aportes por $700.000 (RIMISP, Comisión de Planificación de India, Gobiernos de Brasil, Sudáfrica; FIDA; probablemtne de CIDA (Canadá)). Reunión preparatoria hecha en IDRC, Ottawa (Sep.09).
	• Participación en Foro de la cooperación para el desarrollo rural en CE.	Participación de Manuel Chiriboga y Felicity Proctor en reunión en Sevilla (Jun 09) con más de 1300 participantes de CE y otros países. Varios contactos realizados para posibles actividades con territorios de DTR, aún por definir.

Cumplido | En marcha de acuerdo a lo planificado | Ligeramente retrasado con pequeñas dificultades | Severamente retrasado o con graves dificultades | Realizado y no programado | sin información

Tabla A4. Educación de Postgrado

Resultados	Actividades	Comentarios S&E
1. Siete pensum de programas de Maestría revisados y mejorados (Ene.-Dic.)	• Producción de documento guía para la evaluación de la pertinencia de programas de maestría para el DTR • Evaluaciones de los pensum por cada maestría • Escuela de verano para reflexionar colectivamente sobre la pertinencia de los pensum de programas de maestría	Guía de autoevaluación producida. Escuela de Verano realizada en Ecuador (Julio 09) con 7 programas participando (NI, SV, BO, CR, EC, GU) y dos invitados especiales (ILPES y Univ. Compostela) Debe conseguirse financiamiento adicional. Pensum de maestrías presentados y discutidos. En Quito (Jul.09), se discutieron elementos para identificar áreas de mejoras. Se sugirieron pero no se acordaron actividades específicas para resto de año. CR ha iniciado revisión de pensum; NI, EC y BO están estructurando nuevos programas..
2. Cursos esenciales de cada una de siete maestrías mejorados y actualizados en sus contenidos, métodos de enseñanza y vínculos entre investigación y enseñanza (Mzo.-Nov.)	• Siete pasantías de profesores en el extranjero • Siete seminarios cortos de profesores extranjeros	Convocatorias enviadas (Jun.09), 9 postulaciones recibidas (Oct.09) de NI,CR,EC. 5 pasantías y 0 seminarios aprobados. Pasantías en marcha durante en último semestre de 2009 y comienzos 2010.
3. Elaborar y negociar con nuevos donantes el proyecto "Mejoramiento de la Formación de Postgrado para el Desarrollo Territorial" de la Red de Maestrías para el Desarrollo Territorial Rural. (Ene.-Mzo.)	• Formular borrador de propuesta de proyecto • Reunión con maestrías y finalización de la propuesta • Diálogo con posibles donantes	Propuesta elaborada y por circular y acordar con programas. En Quito (Jul.09), se acordó contactar donantes de manera individual y como red. Algunas Universidades tienen contactos propios, otras no ya que se autofinancian. No hay continuidad en actividad.
	• Apoyo a estudiantes de Maestrías y Doctorado en temas relacionados con DTR	Ximena Warnaars (PhD C) presentó informe de avance de investigación en Ecuador sobre conflictos locales en tenencia de la tierra. Pilar Jano (PhD C) realiza entrevistas en territorios de Chile a productores locales sobre barreras de acceso a mercados de uvas de alta calidad. Silvia Matuk inicia investigación de maestría sobre relaciones de poder y redes de mercados en Riobamba, Ecuador. Other PhD students are Ligia Gómez and Eduardo Ramírez

	Cumplido		En marcha de acuerdo a lo planificado		Ligeramente retrasado con pequeñas dificultades		Severamente retrasado o con graves dificultades		Realizado y no programado		sin información

Tabla A5. Comunicaciones

Resultados	Actividades	Comentarios S&E
1. Posicionar los productos y servicios comunicacionales del programa con contenidos de calidad para públicos diversos (Ene.-Dic.)	• Mejoramiento del sitio web del programa tanto en sus contenidos como en el número de usuarios • Producción y difusión la revista electrónica Equitierra (3 al año) y mejorar su espacio en el web. • Coordinación de publicación, edición, traducción y diseño de documentos de trabajo del programa DTR • Productos comunicacionales para decisores de política con base en resultados de los diferentes componentes del programa • Desarrollo de productos comunicacionales audiovisuales que contribuyan a los objetivos de investigación y desarrollo de capacidades	Boletín Equitierra con más de 3.900 inscritos, 3 entregas y 2.900 visitas (720 visitas/entrega) y 142 descargas. Blog Prensarural con más de 34.000 hits del blog con más de 75 entradas, promedio de 7.5 entradas/ mes. Comentarios favorables respecto de su atractivo visual. Noticias del DTR en blogs de medios asociados en Perú, Colombia, Bolivia, Ecuador, Brasil, Chile. Publicación de 47 working papers y 11 policy briefs. 10 videos publicados en BlipTV y 554 fotos en Flickr.
2. Incremento de la calidad y cantidad de los reportajes/artículos/temas de desarrollo rural tratados en los medios de comunicación en la región y en países donantes (Feb.-Nov.)	• Seis reportes/media briefs (al menos dos en Centroamérica) • Base de datos de periodistas y medios de comunicación en Centroamérica; gestionar participación en Red Prensa Rural. • Auspiciar la participación de los miembros de la Red Prensa Rural en las actividades de discusión pública e incidencia política organizadas por el programa • Producción de material en inglés, especialmente para prensa de Canadá y Nueva Zelanda	Convenio con FAO por $40,000. Se produjeron 11 policy briefs para gobiernos locales y 3 media briefs para medios. (en español e inglés) Se actualizó base de datos con 180 contactos en la región Red de prensa no es proactiva, está en revisión. Fondo no se ha utilizado. Red ha servido para difundir publicaciones DTR. Agendas propias de los medios de imponen. Se ha levantado base de datos de medios por país y temas de interés. Más de 70 noticias/reportajes propias generadas por la web DTR. Vínculos realizados por otros sitios a web DTR. Publicaciones en inglés (4 reportes, y 55 paper summaries) y portugués (4 paper summaries)

Cumplido	En marcha de acuerdo a lo planificado	Ligeramente retrasado con pequeñas dificultades	Severamente retrasado o con graves dificultades	Realizado y no programado	sin información

3. Asegurar el flujo regular de información para la gestión del programa entre socios, PCU, CAP y donantes. (Ene.-Oct.)	• Reportes de avances cuatrimestrales • Informe anual 2009 del programa • Intranet para la Unidad de Coordinación • Diseño sistema web 2.0 de colaboración para los socios	Informe 2008 publicado (Inglés y Español) y difundido; Informe 2009 en elaboración. 6 reportes parciales ejecutivos del programa. Convenio con Universidad de Kansas para plataforma colaborativa para PCU y socios; implementación y capacitación de Unidad coordinadora.
	• Implementación de sistema eficiente de estadísticas del sitio web • Campaña de difusión de productos del DTR en espacios abiertos y de colaboración (web 2.0)	Contratación de servicio Google Analytics (May.09) y cuatro informes producidos sobre el sitio web y documentos bajados. Sitios DTR en Facebook, Wobook (entre 1270-2770 visitas a boletines Equitierra), Flick (8.372 visitas) y Bliptv (821 visitas).
	• Coordinación de difusión de mensajes y noticias de taller en FIDA sobre Crisis y pobreza rural en AL (Abr. 09)	Se produjeron 11 policy briefs para gobiernos locales y 3 media briefs para medios relacionados con evento. (en español e inglés) Evento generó noticias en más de 35 medios de más de 7 países: Ej. Colombia (Dinero), Honduras (La Tribuna, El Heraldo), México (El Universal, La Frontera, Mexicano Online), Perú (El Comercio), Venezuela (El Nacional), Nicaragua (La Prensa), EEUU (Houston Cronicle, El Paso Times, The New Herald), entre otros.
	• Participación en conferencia anual de desarrollo rural de la OECD • Organización de Conferencia sobre Desarrollo Territorial rural en New Delhi (Apr. 2010)	Coordinación de la producción de folleto y presentaciones (en inglés) Coordinación de nota conceptual, diseño y contenido de material promocional
Estrategia de comunicación	• Presentación de documento borrador y discusión con miembros de PCU y socios • Aprobación de documento final	Documento producido y discutido con PCU y algunos socios (e.g. El Salvador, Guatemala, Perú, Ecuador)

| Cumplido | En marcha de acuerdo a lo planificado | Ligeramente retrasado con pequeñas dificultades | Severamente retrasado o con graves dificultades | Realizado y no programado | sin información |

Tabla A6. Seguimiento y Evaluación

Resultados	Actividades	Comentarios S&E
1. Instalación de responsable de S&E en Chile	• Contratar y trasladar de Ecuador a Chile	Concluido.
2. Marco analítico de SyE aprobado y revisado periódicamente, incluyendo un conjunto de herramientas de SyE especificadas por componente	• Discutir el marco analítico con la unidad de coordinación, con el Consejo Asesor y con los donantes • Participación en las reuniones de la PCU • Divulgación del marco analítico entre los socios • Divulgación de las herramientas entre los socios	Marco analítico presentado y ajustado de acuerdo a comentarios. Documento divulgado. Herramientas presentadas y discutidas con PCU y donantes. Maybe not sharing of herramientas. But yes on reports.
3. Un flujo constante de información para SyE	• Definir y aplicar un plan de visitas, entrevistas, encuestas, etc y compartirlo con la PCU • Hacer los análisis y formular conclusiones y recomendaciones	Atrasos con el trabajo concreto en los 6 territories (C2) tambien tiene como implicacion en atraso con las visitas para los paises. Inicio una premiera visita para Ecuador. Ver el proceso de investigacion no es considerado necesario. Informes de evaluaciones de reuniones de Antigua, Taller FIDA y Universidad de Saskatchwan, escuela de verano. Reunion en Lima realizados, con conclusiones y recomendaciones. Se realizó una evaluación de proceso de selección de propuestas de investigación. Entrevistas con los miembros de la Red, con los socios (vinculado con resultado No 5 y durante los reuniones del Programa), con la Unidad de Coordinacion estan sendo hecho.
4. Verificaciones de calidad de procesos y productos – tres análisis producidos y divulgadas	• Identificar los temas deseados; contratar consultores; asegurar informes; compartirlos con las personas relevantes • Identificar recomendaciones	Se combinó con resultado No. 5 por una razon de gestion financera. No es util hacer una pequena investigacion (solo 2500 USD) en este momento de la vida del Programa.
5. Tres investigaciones temáticas en profundidad producidas y divulgadas	• Identificar los temas deseados; contratar consultores; asegurar informes; compartirlos	Se identificaron temas con PCU y socios. Consultoría para revisión de investigaciones del C1 terminada. Se realizaron estudios de una

Cumplido	En marcha de acuerdo a lo planificado	Ligeramente retrasado con pequeñas dificultades	Severamente retrasado o con graves dificultades	Realizado y no programado	sin información

Resultados	Actividades	Comentarios S&E
	con las personas relevantes • Identificar recomendaciones	indagnacion sobre 'la red DTR'red', y otro sobre 'desarrollo de capacidades'.
6. Analizar los procesos del programa en cuatro contextos donde hay actividades de campo	• Observación participativa en eventos y actividades de investigación; entrevistas; producir informes	Participación en reunión de Antigua, escuela de verano en Quito, reunion en Lima. Una visita fue hecho para Tungurahua, Ecuador (C2). Atrasos en el trabajo en campo (C2) tambien atraso el input SyE. Se redujo a 3 contextos por recortes presupuestarios.
7. Informe de medio año e informe anual de SyE producidos y divulgados	• Reunir y organizar información • Escribir y compartir el informe; participación en el Encuentro Anual de Programa DTR (marzo 2009)	Informe 2008 presentado y discutido en encuentro anual del DTR en marzo 2009. Divulgado por el sitio web del DTR.
8. Contribuir al Informe Anual de DTR	• Resumen del Informe Anual de SyE	3 artículos realizados.
9. Donantes claros sobre el progreso del Programa	• Comunicación regular con los donantes (IDRC y NZAID)	Productos e informes de evaluación compartidos. Contacto periódico con IDRC y Nzaid. Incorporación de comentarios y observaciones del UdC y de los donantes.
10. Marco analítico revisado	• Participar en encuentro PCU	Marco ajustado con base a observaciones de PCU.

Cumplido | En marcha de acuerdo a lo planificado | Ligeramente retrasado con pequeñas dificultades | Severamente retrasado o con graves dificultades | Realizado y no programado | sin información

Annex 2. Additional Evidence

Table 1. Assessment by regular project teams of review process for Phase 2 research proposals

INDICATOR	PREPARATION AND SELECTION OF RESEARCH PROPOSALS
PLACE AND DATE	Santiago, May-June 09
No. OF PARTICIPANTS	23
TYPE OF PARTICIPANTS	Research Team Leaders
% RESPONSES RECEIVED	43%
OBJECTIVES´ ATTAINMENT OF THE PROCESS (percentage that agreed)	**Quality (100%)**, Robustness (88%), Reasonable costs (88%), Timeliness (75%)
RATING OF COMMENTS/REVIEWS	Exceptionally valuable (25%), **Valuable (58%)**, Little valuable (7%), Poor (2%), Irrelevant (0%)
QUALITY FACTORS OF REVIEWING (MOST POSITIVE)	Increased **robustness of proposals**, dialogue among teams, learning new methods
QUALITY FACTORS OF REVIEWING (MOST NEGATIVE)	**Discrepancies of comments**, **heterogeneous levels among reviewers**, sequence of DTR phases
MAJOR IMPROVEMENTS ON FINAL PROPOSALS (COMPARED TO DRAFTS)	**Followed guidelines (100%), Clarity and structure (100%)**, Robustness and solvency (88%), Innovativeness (75%), Feasibility (75%)
QUALITIVE FACTORS FOR PREPARATION (MOST POSITIVE)	**Stimulus to participation, just and equitable consideration,** continuos orientation, research teams´competencies and resources
QUALITIVE FACTORS FOR PREPARATION (MOST NEGATIVE)	**Clear guide for proposals**, **unrealistic deadlines and timetable**, lack of previous research experience,
FUTURE FORMATS (SUGGESTED)	**Democratic discussion of guidelines**, agility and timeliness of reviews

Table 2. Summary of evaluation of Lima workshop meeting, November 2009

Indicator	Workshop Lima, Perú
Place and date	Lima, November 99-11
Number of participants	44
Type of participants	Rural development researchers and practitioners
Response rate	82%
Clarity about workshop objectives	**Totally agree (86%)**, Partially agree (11%), totally disagree (3%)
Adequate preparation & timing before workshop	**Totally agree (57%), partially agree (31%), partially disagree (6%), totally disagree (3%)**, don't know (3%)
High participation during workshop	**Totally agree (58%)**, partially agree (36%), partially disagree (6%)
High relevance of workshop for fieldwork	**Totally agree (81%), partially disagree (19%)**
Good meeting facilitation	**Totally agree (64%), partially agree (36%)**
Greates benefits of workshop	**Sharing experiences and methods,** reflecting on work for reorientation, knowing project progress and teams, knowing RIMISP
Most attained objectives	**Setting up a 2010 timetable**; lessons learned on 2B stage of scout projects for regular projects; clarifying research methods
Least attained objectives	**Integrated strategy for capacity building, influence and communications; gender and natural capital of DTR**; synthesis of projects; discussing common issues and interests
Positive factors of workshop	Good facilitation of meetings, small group interaction, project presentations and posters, good methodological discussions
Negative factors of workshop	Little time available after meetings, lack of clarity on DTR strategy and vision, too high expectations on communications-policy influencing-capacity building
Recommendations for future workshops	Keep small discussion groups, make it more dynamic and entertained, time for relaxing, include on-site visits, allow time/space for bilateral meetings, discuss teams' interests and expectations, seeking consensus on key DTR issues.
Future collaboration issues (Suggested)	Strong assumption that there is control over more collective and dynamic processes (capacity building, policy influence), lack of clarity on proposed change by the program, weak links between research-capacity building-policy influence, it seems mainly a research project, lack of capacities and resources for additional works
Other observations made by M&E	High diversity among participants (age, expertise); new incoming researchers mix with old – limited continuity of participation; little time allocated for discussing other DTR issues/processes related to outcomes (influence, capacities, communications, networking, management); lack of clarity on overarching direction

Table 3. Antigua Annual Meeting Evaluation Scorecard[28]

INDICATOR	MEETING Antigua Conference
PLACE AND DATE	Antigua, March 9-11
No. OF PARTICIPANTS	98
TYPE OF PARTICIPANTS	**Researchers (64%)**, practitioners (29%)
% RESPONSES RECEIVED	43% of participants; 65%
OVERALL RATING	**Excellent (68%)**, Very Good (22%)
ATTAINMENT OF OBJECTIVES	**Excellent (49%)**, Very good (31%)
MAIN BENEFITS/GAINS	Knowledge on **DTR perspectives and methods,** knowledge on RIMISP´s activities, contacts and networking
KNOWLEDGE IMPACT/USAGE	N/A
QUALITY FACTORS (MOST POSITIVE)	Time management, presenters, organizing team, hotel and accommodation, diverse participants
QUALITY FACTORS (MOST NEGATIVE)	Visual aids, internet access, debate and socializing
FUTURE FORMATS (SUGGESTED)	Time for **discussion**, participatory **facilitation**, organization of fairs/group discussions, time for touring

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[28] The event was evaluated with a participant survey (42 answered; 70% of participants) and 21 direct observation forms for the workshop sessions.
http://www.rimisp.org/FCKeditor/UserFiles/File/documentos/docs/pdf/DTR/Informe-evaluacion-encuentro-latinoamericano2009.pdf