



*“a decade of development”*

**PLAN FOR  
RESEARCH AND PUBLICATIONS  
IN PUBLIC ADMINISTRATION**

by **Richard W. Gable**

Prepared for

**AGENCY FOR INTERNATIONAL DEVELOPMENT**

Washington 25, D.C.



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LETTER OF TRANSMITTAL

TO: George W. Lawson, Jr., Chief, Public Administration Division, International Cooperation Administration

FROM: Richard W. Gable, School of Public Administration, University of Southern California

Under contract ICAC-2147, dated 27 June 1961, I am to prepare, among other things, a "plan for a publication and research series of twenty (20) studies of technical assistance in public administration." Article I, Scope of Work, paragraph A provides:

"This series of studies together with those undertaken by the Public Administration Division . . . in the past two years shall cover the spectrum of public administration technical assistance activities as outlined in ICA Manual, Chapter 2600. The Contractor shall arrange the series of studies in order of priority. Definitions of these studies shall be sufficient to clearly become the basis for development of a study and shall contain as a minimum: title of the study, description and scope of proposed study, duration, character of work required to perform the study, sources of material and information, and an estimate of cost including a brief description of such costs."

In beginning work on a research and publication program I found it necessary to interpret the contract objectives broadly and to go beyond its literal meaning. Effective public administration is essential in the process of social and economic development. Effective administration is also necessary in development assistance if it is to achieve its objective of stimulating,

aiding, and accelerating the process of development. Any research in the field of public administration assistance must recognize this all-pervasive role of administration. A plan for a research and publication program, therefore, must encompass the full range of development, development assistance, and development administration activities and not be confined only to those activities which have been the responsibility of the Public Administration Division in the past.

This broader mission is realistic in the light of the enactment of the Act for International Development of 1961 between the time this contract was drafted and the submission of this report. This Act restates U. S. foreign aid objectives in a new and somewhat different framework, specifies certain aid criteria, and authorizes the use of funds to carry out programs of research. Furthermore, the reorganization of ICA which will result from the implementation of this law will abolish the Public Administration Division for which this report was prepared.

Under the new legislation and organization administrative improvement will be viewed as an inherent and integral part of national development and public administration assistance will be fitted into that framework. If I were to interpret "technical assistance in public administration" narrowly or if I were to identify only twenty studies I would deny the significance of the new approach and I would fail to meet my responsibility.

By assuming this broader obligation I am leaving myself open to serious criticism. It is impossible for one person, in the two months available for this project, to prepare a comprehensive, systematic, and integrated plan for research in social and economic development into which public administration is to be fitted as a crucial and integral part.

Thus, although the limitations of time and ability prevent the construction of an architectonic design for research, the awareness of the breadth and depth of the research needs in development and development assistance does permeate this report. The precise

recommendations which are made do recognize, directly or implicitly, the total range of research needs, of which these are an integral part. Tolerance is humbly requested for a report which attempts to steer a course between doing too little very well and attempting to do too much very poorly.

This study was prepared under contract with the author.  
The views expressed and the recommendations made do not  
necessarily represent those of the Agency for Inter-  
national Development.

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## SUMMARY AND RECOMMENDATIONS

### I. THE DECADE OF DEVELOPMENT: A FRAME OF REFERENCE

The United States enters this decade of development under a new charge from Congress. For the first time in our foreign aid program Congress has authorized a research program. Before presenting a statement of research needs in public administration it is desirable to explore the meaning of a number of concepts which are central to this problem, such as development, the development process, development planning, development administration, development assistance, public administration, and research.

Each of these terms are defined and discussed at length to set a frame of reference. The striking aspect of the entire development process and of development assistance is the all-pervasive and all-important role of public administration. Effective public administration is essential in the development process, and it is also essential in the conduct of development assistance.

The purposes of research in public administration are to:

(1) Improve understanding of development goals, the development process, development assistance, and development administration;

(2) Improve operations in development, development assistance, and development administration;

(3) Promote better communications between advisor and recipient in the development assistance process;

(4) Educate and train recipients of development assistance;

(5) Demonstrate by example the value and method of conducting research; and

(6) Stimulate a wider awareness of the problems of underdeveloped countries in the research communities of the United States and the host countries, and thereby increase the available research talent which will address itself to these problems.

To meet the needs in the field of public administration it is proposed that research and related activities be started immediately in the following areas:

(1) Compilation, collation, reproduction, and distribution of useful resources and materials already in existence;

(2) Preparation and publication of operational materials which are needed for more effective performance of development assistance in public administration; and

(3) Basic research which will accomplish the six purposes listed above.

## II. A PROSPECTUS FOR A RESEARCH AND PUBLICATION PROGRAM IN PUBLIC ADMINISTRATION

### A. Resources and Materials Preparation and Distribution

#### 1. Country Collections

For every country in which AID is providing public administration assistance, a book of readings should be compiled of the best and most useful articles on the government, administration, and culture of the country.

## 2. Library Service

A Public Administration Library Service should be established to identify and channel to host countries and USOMs such books and periodicals as the program requires for educational, training, and research purposes.

## 3. U.S. Book Exchange Service

Public administration advisors and technicians should be encouraged to take greater advantage of the facilities of the U.S. Book Exchange Service.

## 4. Resources Service

A Resource Service should be established which compiles and distributes, on a bi-monthly basis, in loose-leaf form, the following: useful materials prepared by other advisors; articles selected from 30 journals which are regularly screened; clippings from six selected newspapers; and excerpts from important, new books.

## 5. Digest and Bibliography Service

A Digest and Bibliography Service should be established which abstracts useful articles and distributes them, along with annotated bibliographies.

## 6. Film Service

A Film Service should be established which provides films selected from an annotated catalogue.

## B. Preparation of Operational Materials

### 1. Orientation Kit

An Orientation Kit should be prepared which includes:

a. Country Collection for the appropriate country.

b. Manual on Development Assistance in Public Administration, the outline of which is suggested.

c. Readings in Development and Administration, which this writer is now compiling.

d. Manual on Resources and Materials Services, describing the services listed above.

e. Manual on Public Administration Library Service, describing the service in detail and how to use it.

f. Manual on U.S. Book Exchange Service, describing USBE and how to use it.

g. Manual on Film Service, describing it and how to use it.

h. Annotated Film Catalogue.

### 2. Technical Guides and Manuals

A series of twenty-six guides and manuals are proposed which should be written on the procedures and practices of public administration as they apply to developing countries.

3. Administrative Improvement in Developing Countries:  
Theory and Practice

This monograph should be written which consolidates and reviews theories, speculations, and practices in achieving administrative improvement in the developing countries.

4. Capture and Record Procedure

A procedure should be instituted by which each advisor can report or record significant insights or experience, at his own initiative or as requested of him, continuously throughout his tour of duty.

5. Manual of Indigenous Resources:  
Their Preparation and Use

A bibliography should be prepared of all U. S. materials which have been translated into any foreign language and the quality of these translations evaluated. Research should be done on the ways indigenous materials have been and can be stimulated and produced.

6. Manual on Library Development

A manual on library development should be prepared with a bibliography of 5000 items in public administration and related social sciences, in English, French, Spanish, and Arabic. It should include instructions on acquiring books, classification and cataloguing, physical care of the collection, its administration, and standards of service.

7. Glossary of Public Administration Terms

## 8. Yearbook of Public Administration Assistance

A Yearbook should be issued containing a descriptive account of the year's activities, outstanding reports prepared by advisors, significant research papers, and articles commissioned by AID.

### C. Basic Research

Clusters of research problems in four areas are identified:

1. The Characteristics of Underdeveloped Countries.
2. The Development Process.
3. Development Assistance.
4. Soviet Bloc Development Assistance.

## III. IMPLEMENTATION OF THE RESEARCH AND PUBLICATION PROGRAM

### A. Enunciation of Policy

It is desirable that the President of the United States enunciate a national policy declaring the high priority which should be assigned to research in AID and expressing full support for a research program. The Director of AID should implement this declaration and the Act for International Development by specifying the details of an operational policy and allocate sufficient funds to inaugurate the research program at once.

B. Organization and Procedure for  
Research and Resources Preparation  
in Public Administration

1. In the Office of Development Research  
and Assistance

A Public Administration Research and Resources Unit should be created in ODRA with a sufficient number of qualified persons to conduct the proposed resources preparation and research and/or stimulate and support the appropriate resources preparation and research in academic and other institutions. It is proposed that a large part of the activities of this Unit be carried on by means of grants to, or contracts with, other institutions.

This Unit should be assisted by an eight-man Editorial Board which recommends overall research policy, advises in the implementation of the program, and evaluates its progress.

Certain other activities which will stimulate and contribute to the research program are suggested for the Public Administration Unit in ODRA.

2. In the USOMs

The responsibility for research which should rest with the USOMs is proposed.

3. By Host Countries

Advisors should stimulate and assist research on the part of host-country persons.

4. By AID Contractors

Special obligations on AID contractors to do research are proposed.

5. Liaison with Other Agencies and Institutions

The conduct of this program should be coordinated with other agencies and institutions and materials exchanged with them.

C. Priority of Production

A schedule of production for the next ten years is proposed.

D. Cost

AID should budget \$1 million a year for research and resources preparation in the field of public administration.

## I. THE DECADE OF DEVELOPMENT: A FRAME OF REFERENCE

### A. Introduction

The decade of development has begun. It will be a brief span in the chronicle of man, yet, in terms of its effects on the spirit and will of men, in terms of the numbers of people whose level and way of life can be affected, and in terms of the consequences these changes can hold for the future of mankind, it should be a decade without parallel.

The United States enters this decade under a new charge from Congress. The Statement of Policy in the Act for International Development proclaims:

"It is the sense of the Congress that peace depends on wider recognition of the dignity and interdependence of men, and survival of free institutions in the United States can best be assured in a worldwide atmosphere of freedom.

"To this end, the United States has in the past provided assistance to help strengthen the forces of freedom by aiding peoples of less developed friendly countries of the world to realize their aspirations for justice, education, dignity, and respect as individual beings, and to establish responsible governments.

"The Congress declares it to be a primary necessity, opportunity, and responsibility of the United States, and consistent with its traditions and ideals, to renew the spirit which lay behind these past efforts, and to help make a historic demonstration that economic growth and political democracy can go hand in hand to the end that an enlarged community

of free, stable, and self-reliant countries can reduce world tensions and insecurity.

.....  
 "Accordingly, the Congress hereby affirms it to be the policy of the United States to make assistance available, upon request, . . . in scope and on a basis of long-range continuity essential to the creation of an environment in which the energies of the peoples of the world can be devoted to constructive purposes, free of pressure and erosion by the adversaries of freedom."<sup>1</sup>

This is the policy which John Lear has dramatically and aptly termed, "Exporting the American Revolution."<sup>2</sup> The spirit of the American Revolution was change -- conscious, purposeful, directed -- toward clearly identified goals. The United States has now dedicated itself to assist social and economic development -- which is guided social change -- wherever free people request assistance.

The American Revolution was an experiment in social change. Its significance lies in the courage and willingness of the people to experiment to accomplish their objectives. The act of experimenting is itself a search for meaningful change. Such experimentation was a kind of research.

If the United States is to achieve its purpose of assisting the development of free nations it must renew its faith in experimentation and research. This Congress has done in the new development act when, for the first time in our foreign aid program, it authorized a research program.

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<sup>1</sup>Public Law 87-195, 87th Cong., 1st sess.

<sup>2</sup>Saturday Review, October 7, 1961, p. 49.

"The President is authorized to use funds made available for this part [The Act for International Development, as distinguished from the International Peace and Security Act] to carry out programs of research into, and evaluation of, the process of economic development in less developed friendly countries and areas, into the factors affecting the relative success and costs of development activities, and into the means, techniques, and such other aspects of development assistance as he may determine, in order to render such assistance of increasing value and benefit."<sup>1</sup>

The research that Congress authorized is part of a foreign aid program which has undergone significant evolution in its objectives, nature, and organization.<sup>2</sup> A brief recital of these changes gives perspective to the present focus on development.

#### B. The Objectives of U.S. Aid

The objective set forth in the Act for International Development of 1950, which authorized the so-called Point IV program, was "to aid the efforts of the peoples of economically underdeveloped areas to develop their resources and improve their working and living conditions by encouraging the exchange of technical knowledge and skills and the flow of investment capital to countries which provide conditions under which such technical assistance and capital can effectively and

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<sup>1</sup>Ch. 2, Title V.

<sup>2</sup>For a pioneering theoretical analysis of the politics of foreign aid and how it fits into the overall purposes of American foreign policy, see George Liska, The New Statecraft: Foreign Aid in American Policy (Chicago: The University of Chicago Press, 1960).

constructively contribute to raising standards of living, create new sources of wealth, increasing productivity and expanding purchasing power.<sup>1</sup> The vagueness of this definition is understandable when one recalls the startling newness of this concept. What is most significant is that Congress declared that "the peoples of the United States and other nations have a common interest in the freedom and in the economic and social progress of all peoples."

At that time the United States was already providing military and economic reconstruction assistance to friendly nations. Large scale economic aid was being made available under the Marshall Plan and grants of "military hardware" were going to nations allied in the North Atlantic Treaty Organization. Point 4 was clearly a kind of foreign aid. Technical assistance operations were also a part of the aid the Economic Cooperation Administration was offering to Europe and Asia. Therefore, under the influence of what Philip Glick has called the "at-night-all-cats-are-grey argument"<sup>2</sup> Point 4 was lumped together with economic and military assistance. In the Mutual Security Act of 1951,<sup>3</sup> the emphasis was shifted from raising standards of living to strengthening the security of the United States. No technical assistance would be supplied to any nation unless the President found that supplying such assistance would strengthen the security of the United States and promote world peace.

For complicated reasons involving organizational difficulties, confusion over objectives, etc., the Mutual Security Act of 1954<sup>4</sup> was passed to attempt to bring order

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<sup>1</sup>Public Law 535, 81st Cong., 2nd sess.

<sup>2</sup>The Administration of Technical Assistance  
(Chicago: The University of Chicago Press, 1957), p.43.

<sup>3</sup>Public Law 165, 82nd Cong., 1st sess.

<sup>4</sup>Public Law 665, 83rd Cong., 1st sess.

into the foreign aid program. By this time the program was based on seventeen different statutes and their various amendments. The Mutual Security Act of 1954 repealed all seventeen statutes and re-enacted the substance of most of them in a single law which became the basis for the entire foreign aid program. The worthy objective of the Act for International Development of 1950 was thus re-established as the basis for the technical assistance program, but the title of the law was lost and technical assistance was conducted under the legal title of "mutual security," a less happy term for a highly humane program.

Although technical cooperation was no longer administered by the same agency that operated the military-assistance program, under the terms of the 1954 law the authority and money for technical assistance was provided each year in the same act which authorized the money and authority for the military- and economic-aid programs. A new authorization had to be approved by Congress each year.

When the Mutual Security Act of 1956<sup>1</sup> was passed technical assistance was incorporated under the same statement of policy that was announced for military and economic aid to the effect that assistance to free nations would be available as long as the Communist danger to the peace of the world and to the security of the United States persists. Thus, the original willingness to improve working and living conditions had to be conditioned by a threat of Communism.

In proffering technical assistance the United States appeared, like the proverbial horseman, to have jumped on its steed and ridden off in all directions. In a summary presentation of the 1959 mutual security

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<sup>1</sup>Public Law 726, 84th Cong., 2nd sess.

programs the Department of State described the programs in this way:

They serve both the basic interests of the cooperating countries, and in varying degrees, the primary foreign policy interests of the United States: Our moral interest in helping less fortunate people to improve their lot; our economic interest in having prosperous and progressive nations as sources of raw materials and markets for our goods; our political interest in having stable, friendly, and democratically inclined neighbors in the world community; and our strategic interest in having the nations of the free world strong and determined to resist aggression.<sup>1</sup>

The new legislation of 1961 is significant for a number of reasons, in addition to authorizing research. It separates the economic aid and technical assistance activities from the peace and security (military assistance) program. Congress renews its devotion to certain previously expressed objectives but now declares its objective to be "assisting peoples of the world in their efforts toward economic development." Certain requirements, or criteria, are set forth as a basis for providing assistance. And, the program is to be a continuing one, with loan funds that can be committed on a five-year basis.

In focusing on the objective of development, Congress repeatedly emphasizes economic development. Reference is to "economic development" in Title I (Development Loan Fund), Title II (development grants and technical cooperation), and Title V (development research) of Chapter 2. The emphasis is similarly on "economic" in Title III of Chapter 2 (investment guaranties),

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<sup>1</sup>The Mutual Security Program, Fiscal Year 1959, A Summary Presentation, February 1958, pp. 44-45.

where the objective is the "development of the economic resources and productive capacities of the less developed friendly countries and areas," and Chapter 4 (supporting assistance), where the policy is "to support or promote economic or political stability." The latter provision is the only statement of objective in the substantive portion of the law which specifically avows something more than economic development. In this case, where the goal is not development but stability, political stability is linked with economic stability.

The research title authorizes research into "the process of economic development" and "into factors affecting the relative success and costs of development activities." In the latter instance, development activities are not qualified as economic.

By contrast with these substantive provisions of the Act for International Development, the President's presentation to Congress was entirely in terms of development. In his message to Congress of March 22, 1961, the President called for, not a decade of economic development, but a "decade of development". The summary presentation talks entirely of "development process," "development plans," "development research," and so on. Whenever the word "economic" is used, the full phrase is "economic and social development."<sup>1</sup>

Although the substantive provisions of the law do not appear to follow the broader concept of development contained in the Presidential presentation (except in the two provisions noted), the Statement of Policy in Chapter I of the Act does. Congress here re-affirms its previous declarations of aiding peoples of less-developed friendly countries not only to improve their living standards but

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<sup>1</sup>An Act for International Development, A Summary Presentation, Department of State Publication 7205, General Foreign Policy Series 169 (Washington, D.C.: Government Printing Office, 1961).

also "to realize their aspirations for justice, education, dignity, and respect as individual human beings, and to establish responsible governments." Congress intends to make "a historic demonstration that economic growth and political democracy can go hand in hand."

Of great importance is the statement of assistance requirements, or criteria. The Statement of Policy provides that assistance "shall be based upon sound plans and programs." The phrase does not include "economic." And, assistance "shall be directed toward the social as well as the economic aspects of economic development." In the Title II, having to do with development grants and technical cooperation, the President is authorized to take into account whether "the activity gives reasonable promise of contributing to the development of educational or other institutions and programs directed toward social progress", the "consistency of the activity with, and its relationship to, other development activities being undertaken or planned, and its contribution to realizable long-range development objectives" here the economic qualification is omitted, and "the extent to which the recipient country is showing a responsiveness to the vital economic, political, and social concerns of its people."

Thus, although constrained in the substantive portions of the law to express an objective which is qualified as "economic", the policy of Congress appears to be directed toward development in all its diversity.

An identification of the research needs and the preparation of a research program in public administration assistance is dependent on the role of administration in the processes of development and development assistance. Therefore, to provide a frame of reference for this presentation it will be helpful first to review certain key concepts, such as: development, the development process, development planning, development administration, and development assistance. Then, the role of administration in the processes of development and development assistance will be discussed and, finally, the importance of research in this field will be explained.

### C. Development

Development is a movement toward new and constantly rising goals. It is the process by which a people change their goals of the past, devise new and appropriate programs to achieve them, and adjust their way of life in a variety of personal and group aspects to carry out these programs. Development is something which is never fully accomplished and is therefore always in process. As preliminary, and then intermediate, goals are accomplished, still other goals are identified.<sup>1</sup> The purpose of the development process is to satisfy these ever-rising expectations.

Basically, development is social change, as distinguished from growth or reconstruction. Growth implies an expansion or further implementation of existing programs to achieve present and past goals. Reconstruction is a process of rebuilding what had been before. The key to development is change -- a reorientation of national goals and the means of accomplishing them. It is different in character, degree and direction from growth and reconstruction.

However, there is a reciprocal relation between growth and development. Neither process is likely to continue for long or go very far without the other. Qualitative transformations must occur concurrently with quantitative increases. Hence, development means change plus growth.<sup>2</sup>

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<sup>1</sup>For a discussion of the concept of circular and cumulative causation, see Gunnar Myrdal, Rich Lands and Poor: The Road to World Prosperity (New York: Harper & Brothers, 1957).

<sup>2</sup>See Gerhard Colm and Theodore Geiger, "Country Programming as a Guide to Development" in Research Needs for Development Assistance Programs (Washington, D.C.: The Brookings Institution, 1961), p. GC-2. Mimeographed.

The process of development is of infinite variety. The change may be a movement along a continuum from a subsistence to an interdependent or market economy. The change may be from agriculture to industry or from a rural to an urban way of life. The change may involve a repudiation of some or many traditional values with concomitant effects on various facets of personal and community life. Religious values and their influence on social and political life may change. Political systems may change. Birth rates may change.

### 1. Development Is More Than Economic

Commonly development is thought of in economic terms. Goals, in economic terms, are easier to state; their achievement is easier to discern; and the requirements for economic development are better understood. While there is no universally accepted and agreed-upon theory of economic development, there are theories of economic development which provide foci for research and experimentation, for planning and programming, and for evaluating achievement. In simplest terms, the goal of economic development is achievement of a self-sustaining rise in the total and per capita output and income. This requires capital formation and sound use of the capital.

However, it is obvious that the process of development requires much more than economic development. For there to be a discernible and lasting economic rise there must also be psychological, social, political, and cultural development. This truism is expressed in various ways, depending on the development expert's theory or bias.

### 2. Approaches to Development

The "prerequisites-of-economic-development" approach identifies a number of changes which must occur before economic development can take place. John K. Galbraith, for example, asserts that economic development

will not begin, and hence foreign aid is useless, until there are: (1) "a substantial degree of literacy" and "educated elite of substantial size"; (2) a "substantial measure of social justice"; (3) "a reliable apparatus of government and public administration"; and (4) "a clear and purposeful view of what development involves."<sup>1</sup> Others push the search for first causes back to beliefs, attitudes, values and propensities which must be changed for development to begin. Still others look for minorities and deviant behavior in the formation of entrepreneurial groups which must first be present, and still others maintain that development and entrepreneurial activity depend on "achievement motivation", rooted in the psyche of people.

Another general approach looks for the benefits of economic development to be diffused throughout the society as a result of economic development. The rise in national product and income will result in better health and nutrition, education, housing, and government services in general. The social, political and cultural changes which are essential to assure the diffusion of the benefits of economic development are the same, or similar, to the pre-requisites, except possibly in the timing of their occurrence. The difference between the two approaches assumes great importance if the availability of development assistance is made dependent upon the existence of certain prerequisites. As explanations of how development takes place in given societies, neither is completely correct.

Albert Hirschman comments on the Galbraith prerequisites: "In no advanced industrial country were these four conditions realized prior to industrialization."<sup>2</sup>

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<sup>1</sup>"A Positive Approach to Economic Aid," Foreign Affairs, 39:444-457, April, 1961.

<sup>2</sup>"Comments on 'A General Framework for Analyzing Economic Growth' by Everett E. Hagen," in Research Needs for Development Assistance Programs, op. cit., p. H-35.

He demolishes the entire prerequisite, or pre-condition, position by contending that "whenever any theory was propounded that considered a given value system a pre-requisite of development, it could usually be effectively contradicted on empirical grounds: development had actually taken place somewhere without the benefit of the 'pre-requisite.'"<sup>1</sup>

The socio-political diffusion approach depends upon other changes taking place simultaneously with, or in some later stage of, economic development. However, there is no necessary linkage which assures that social and political changes will flow from economic development. To be self-sustaining economic development is dependent upon these other changes taking place in society. The diffusion which presumably will take place is actually essential for economic development to be sustained.

Whenever systemic adjustment<sup>2</sup> takes place, and whatever its nature, there must be, in each instance of economic development, a series of other changes which occur to make possible or to sustain the development. Hirschman points out that "we now find that these resources and circumstances are not so scarce or difficult to realize, provided, however, that economic development itself first raises its head."<sup>3</sup>

By recognizing this fact, Hirschman continues, we can "focus on a characteristic of the process of economic development that is fundamental for both analysis and strategy: development depends not so much on finding optimal combinations for given resources and factors of production as on calling forth and enlisting for development purposes resources and abilities that are

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<sup>1</sup>The Strategy of Economic Development (New Haven: Yale University Press, 1958), p. 4.

<sup>2</sup>A term suggested by Abraham M. Hirsch, "'Systemic Adjustment': Economic Development Plus," The American Behavioral Scientist, 4:22-23, December, 1960.

<sup>3</sup>The Strategy of Economic Development, op.cit., p.5.

hidden, scattered, or badly utilized."<sup>1</sup>

Such an approach properly broadens our concern beyond economic development, defined in terms of rising output and income, to include development in other essential aspects of personal and social life. Viewed in this light, development requires a massive program in human education and social readjustment. Development is something that happens in men's minds, in their habits, and in their willingness to organize and work together. The focus on economic development provides one tangible and manageable approach toward initiating development, or social change.

#### D. Development Planning

Since development itself is a process, the planning of development should be thought of as a process. It refers to "deliberate, rational, continuous efforts by governments to accelerate the process of development and to channel it into desired directions by means of the comprehensive and detailed choice of objectives and the determination and allocation of the resources necessary for their achievement."<sup>2</sup>

The planning process consists of (1) identifying the development goals, or purposes, for which development is undertaken; (2) determining the resources actually or potentially available for achieving the specific goals; (3) formulating the policies necessary to achieve those goals; and (4) implementing the policy through the process of development administration. Planning is a particular approach to national problems and involves virtually every aspect of the governmental process.

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<sup>1</sup>Ibid.

<sup>2</sup>Colm and Geiger, op. cit., pp. GC-1 - GC-2.

Planning is a continuous activity. It is a misconception to think of planning as resulting in a "plan"--an accomplished fact, a set of goals that is fixed and immutable. The basic decisions about goals and means to achieve them are not made at a fixed time in history, setting the course of development from that point onward. They should be made continuously during the planning process as knowledge expands, as human and material resources increase, and as circumstances change. Furthermore, the main task of development is not accomplished with the identification of goals. The "plans" must be executed. The heart of planning is administration --the never-ending process of achieving goals.

Put in its simplest terms by Eugene R. Black, planning is the process by which "the political leader is faced with an awareness of the consequences of his decisions before he makes them instead of afterwards. Taking the definition one step further, it should be the means by which the lines of communication are kept open between those who make decisions, those who 'illuminate' them, and those who carry them out."<sup>1</sup>

The terms "plans," "programs," and "projects" refer to three levels or degrees of specificity in the planning process. A plan relates to the economy or society as a whole, divided into sectors and perhaps regions within a country. Programs are more detailed determinations of the specific objectives to be achieved within each sector and region in accordance with the specified time schedules. Projects are the individual components of programs.<sup>2</sup> Although the three terms are useful ways to refer to levels of specificity in the abstract, the levels may not be easily distinguishable

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<sup>1</sup>The Diplomacy of Economic Development (Cambridge: Harvard University Press, 1960), p. 32.

<sup>2</sup>Colm and Geiger, op. cit., p. GS-2.

in a particular case, or the line between each may not be drawn at the same level of specificity in every case.

#### E. Development Administration

Development planning and development administration are overlapping aspects of the development process. The process of planning is an administrative activity and depends on the effectiveness of the organization, management, and staffing of government to engage in planning. Development planning depends upon administration because, in its broadest sense, as defined above, it includes both the formulation of goals and the implementation of them. Some authorities prefer to use the term planning only to refer to the identification of goals. The difficulty with this definition is that the planning process becomes confused with a "plan" as a finished and accomplished fact and does not give proper attention to the continuous, developmental character of planning.

Development administration is the process of formulating policies necessary to achieve development goals and the mobilizing, organizing, and managing all necessary and available resources to implement these policies. Policy and administration are indistinguishable aspects of a continuum. Both are development administration.

The policies must state clearly and precisely the specific programs which are consciously directed toward national development goals. The resources to be mobilized in implementing any administrative program are usually thought of as money, materiel, and personnel. However, in the case of development administration, personnel assume special importance.

Theodore W. Schultz explains that economic development is fostered by increasing the quantity of reproducible goods, improving the quality of people as

productive agents, and raising the level of the productive arts. The first of these represents additions to the stock of particular tangible resources and the second and third add to the stock of particular intangible resources.<sup>1</sup> The development of human resources is the most important requirement of development administration, because human resources make possible raising the level of the productive arts and in turn the quantity of reproducible goods. Yet, it is the most difficult development to accomplish. Consequently, human resource development is a major objective of development assistance.

Development administration also involves the formulation of policy in regard to, and the organization and management of, foreign development assistance. In the total development process foreign development assistance can play only a small role, but it may be a significant role in particular countries because it can provide the stimulus which helps initiate development or the extra push which assures continued development.

#### F. Development Assistance

Development assistance refers to the various kinds of aid which international or regional organizations, foreign governments, or private organizations, such as foundations, universities, voluntary groups, or churches, may provide to a developing country. Development assistance, classified according to source, may be public or private. Public development assistance includes the bi-lateral assistance of one government aiding another government and multi-lateral assistance, such as is provided by the United Nations, and its specialized agencies, the Organization of American States, or the

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<sup>1</sup>"The Role of Government in Promoting Economic Growth," in Leonard D. White (ed.), The State of the Social Sciences (Chicago: University of Chicago Press, 1956), p. 372.

Colombo Plan. Some assistance is mixed, when a public agency in one country works with a private agency in another, or when a private organization assumes the responsibility, under a contract with a government, to assist another country.

The development assistance that has been and is being provided to developing countries by the United States is but one aspect of our "foreign aid program." Robert E. Asher points out that the term persists, although no cluster of governmental activities is formally designated as the foreign aid program. The term has been employed loosely to encompass a variety of economic, military, technical, and humanitarian activities. The mixture has changed as the international environment, or the American appraisal of it, has changed. Foreign aid has included at least three totally different major undertakings: "rehabilitating and reconstructing the economies of war-devastated nations, strengthening and subsidizing the military defenses of the free world, and promoting economic growth and political stability in underdeveloped areas."<sup>1</sup> In addition, aid programs have served, and still serve, to provide famine and disaster relief, to help eradicate malaria and other widely prevalent diseases, to provide budget and balance-of-payments support for friendly governments, and to perform a variety of other services considered to be in the interests of United States foreign policy.

Not strictly a part of our foreign aid programs, but related to them and contributing to their ultimate objectives are still other programs of United States foreign policy. These programs seek improvement of mutual international understanding and good will and attempt to promote educational, cultural, and scientific cooperation. The Department of State, the United States Information

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<sup>1</sup>Grants, Loans, and Local Currencies: Their Role in Foreign Aid (Washington, D. C.: The Brookings Institution, 1961), p. 3.

Agency and more than a dozen other federal agencies and several score nongovernmental organizations carry on these programs.<sup>1</sup>

Our **concern** here is strictly with development and development assistance. The reconstruction and rehabilitation programs of the Marshall Plan were not directed at development although inevitably some development occurred. Reliance on that experience has been misleading because we have tended to confuse reconstruction with development. To restore is much simpler than to accomplish the very difficult and complicated objective of innovation and development.

Military assistance and related programs directed at strengthening and subsidizing the military defenses of the free world involve a transfer of technical skill and know-how which contributes to development. The industrial build-up, and the assistance provided for such a build-up, stimulates the economy of developing countries as well. However, the significant aspect of military assistance programs is that they are more likely to work contrary to the objectives of national development by constituting a major drain on the economy and by possibly postponing the development of the social infrastructure of the nation.

The education, culture, science, and information activities of government in the international field are intimately related to the objectives of development assistance but will not be elaborated upon here.

Development assistance consists of three inter-related kinds of assistance: capital assistance, commodity assistance, and technical assistance. This classification

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<sup>1</sup>See Walter H. C. Laves, Toward a National Effort in International Educational and Cultural Affairs, Department of State Publication 7238, International Information and Cultural Series 73 (Washington, D. C.: Government Printing Office, 1961).

over-simplifies the nature and character of development assistance, but it does provide a focus for easy reference and discussion.

### 1. Capital Assistance

It is not necessary to review here the various theories or justifications of the need for capital, the amounts required, and the means and timing for providing it. There is agreement that large amounts of capital are required in every developing country, amounts which are larger than can be mobilized within the country. Therefore, foreign assistance becomes necessary in the form of governmental grants and loans, governmental guarantees of private investment, private investment, or private grants or loans.

### 2. Commodity Assistance

Commodity assistance is a means by which certain commodities, goods or foodstuff are made available to developing countries on a loan or, more likely, a grant basis. This form of assistance is similar in many ways to the grants and loans which may be provided for capital or technical assistance except that, instead of making money, or credit, available for the purchase of commodities or foodstuff, the commodities themselves are provided. Such assistance contributes to national development by relieving the pressure on short capital, providing goods and equipment which are useful for demonstration purposes in technical assistance programs, and in the case of foodstuff, upgrading the human resources of a country by increasing levels of nutrition.

### 3. Technical Assistance

A great variety of terms, some colorful, some prosaic, have been used to refer to the process of technical assistance. As a result of its place in President

Truman's list in his Inaugural Address it came to be widely known, especially outside of the United States, as "Point IV." For reasons of tact, it has been referred to as "mutual assistance" or "technical cooperation." It has also been known as "helping people help themselves," "partnership for progress," "sowing the seeds of progress," "people-to-people diplomacy," and "shirt-sleeve diplomacy," or "dungaree diplomacy" (as opposed to "grey-flannel diplomacy").

Whatever the term used, technical assistance is usually defined as the sharing of scientific and technical knowledge and skills among people of different nations. However, to be effective, the donor must assume a share of the cost and effort, not only of imparting the skill and knowledge, but also of seeing that it is adapted, applied, and utilized. As an aspect of the total process of development, technical assistance cannot achieve its objective if it is viewed as simply sharing technical knowledge and skills. This objective is too limited. Moreover, the use of the word "technical" in the term misdirects attention from the real and most important needs and conveys the mistaken impression that the donors should be primarily "technicians."

To achieve development--social, political, cultural, and economic--there must be human resource development. The process is one of identifying the range of human resources needed to accomplish development objectives, determining the various barriers which are obstructing the development of appropriate human resources, and educating and training the necessary people in a way that they are willing and able to apply themselves to the development problems of their country.

If the assistance process is viewed as human resource development rather than technical assistance, somewhat different persons may be needed than the traditional technical experts and advisors. They will

need technical knowledge, but they will have to be able to analyze a given development milieu to determine what barriers must be transcended. If there are innovating groups in various societies, as Everett Hagen suggests, they should be able to analyze personality traits to be able to identify the innovators. They must be able to transfer useful knowledge to these innovators, but possibly more important, they must be "motivation engineers"--persons who can instill the desire and the will to find ways to apply new knowledge, new ideas, new ways.

Initially, technical assistance was seen as a form of communication, that is, communicating through education and training to the peoples of the less developed countries the methods, procedures, skills, and techniques which they could use to help them develop their resources, improve their productive arts, and attain a better level and condition of life. Skilled persons were used for communicating technical knowledge, but the responsibility for large-scale application of the knowledge transmitted rested almost exclusively on the country receiving the aid.

Problems in this approach soon became apparent. The cross-cultural communication of knowledge and skill was found to be more difficult than was first anticipated. Moreover, the tendency to adopt techniques and procedures rather than adapting them to the needs and requirements of the society sometimes spelled failure. A still larger problem was the fact that the real barriers to development were not simply the lack of knowledge and skill but the values, beliefs and attitudes in individuals and societies which prevented the adaptation of new ideas and methods to the needs of economy and society.

To put it another way, education and training are aspects of guided social change, but the kind of technical education and change which technical experts and technical advisors were communicating was often not directed at the kind of social change which was most necessary.

Furthermore, most technical assistance projects were discrete projects, not well integrated with each

other, and not fitted into an over-all development plan or program. Technical assistance has now come to be viewed as part of larger development process which includes not only a diffusion of technical knowledge but also human resource development, economic assistance in the form of grants and loans, and in some cases military aid.

Another aspect of technical assistance is establishing and developing appropriate institutions which are able to carry forward the programs which achieve the development goals of the country. These institutions provide instruments and channels for the utilization of the persons who have been educated and trained as well as educating and training still other persons. The institutionalization of human resource development assures that the development process will be sustained.

#### G. The Importance of Development Administration

Thus far, the purpose has been to sketch briefly the goals of national development, identify some of the elements of the development process, and describe foreign development assistance as one means by which development may be stimulated, encouraged, aided, and accelerated. The striking aspect of the entire development process and of development assistance is the all-pervasive and all-important role of administration. Effective administration is essential in the development process, so that it becomes a fundamental area of development assistance, and it is also essential in the conduct of development assistance.

##### 1. In the Development Process

The accumulating experience with social and economic development reveals that its success depends as much, perhaps more, on the effectiveness of its administration. The worth-whileness of the objectives, the

amount of money spent, the nature of the assistance, if there is any, and the zeal of the citizens may be of little consequence if the administration, in both public and private sectors, is faulty.

The critical importance of administration is related to the serious shortage of the resources needed to accomplish long-run social and economic development. Money, materiel, and qualified personnel are never abundant; they are particularly scarce in less developed countries. Effective administration, then, is vital because of the pressing need to make the most of resources and opportunities which are in short supply.

Planning, programming, formulation of policy, and policy implementation are all administrative activities requiring the organization and management of scarce human and material resources to achieve development goals. This is development administration. It is government in action. It is the means by which a people achieve their consciously recognized and agreed-upon development goals. Since social, economic and political change is the goal, administration is the vehicle of change.

Stefan Robock emphasized the importance of development administration in Brazil when he wrote: ". . . the administrative situation largely controls the amount of economic programming work that can be done and its effectiveness. Given the objective of creating a planning staff operated by Brazilians, it was even more important to make sure that the administrative environment permitted the substantive work to be completed, and that the substantive work would be implemented effectively by the operating departments of the agency to which the planning staff was attached." He went on to point out that the Joint-United States Economic Development Commission recognized the problem when it concluded that "shortcomings in public administration are not only responsible for throttling the growth of certain sections of the economy (railroads,

ports, coastwise shipping, water supply) but constitute a most serious obstacle to the sound economic growth of Brazil."<sup>1</sup>

Don Wilhelm called attention to the shortcomings in Burmese public administration which made the implementation of governmental industrialization plans most difficult.<sup>2</sup> And so it is true in many development countries. Fred Riggs made an excellent analysis of how in many countries defective public administration hampers and even presents the attainment of development goals.<sup>3</sup>

It is clear that self-sustaining development can not occur in most countries until public administration organization and management has been improved, the caliber of the public service is heightened, and government employees are motivated to serve the public interest with greater dedication. The Bell Mission to the Philippines in 1950 reported:

"A special effort must now be made to improve public administration in order to give the people confidence in the Government. It is particularly important at this time because the economic development program will of necessity place even greater responsibility on public administration. The success of the development program may depend more on the efficiency and honesty of the public service than

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<sup>1</sup>Economic Development in North-East Brazil, Report No. TAA/BRA/3 (New York: Technical Assistance Programme, United Nations, 1957).

<sup>2</sup>"The Place of Public Administration in Overseas Technical Assistance Programs," in Public Policy (Cambridge: Harvard University, Graduate School of Public Administration, 1955).

<sup>3</sup>"Public Administration: A Neglected Factor in Economic Development," The Annals of the American Academy of Political and Social Science, 305:70-80, May, 1956.

on any other single factor."<sup>1</sup>

This statement applies to almost every country in the world which is undertaking social and economic development.

In light of the strong need for effective public administration in the developing countries, development assistance to develop both human resources and institutions in the field of public administration is most essential.

"Sound plans" and "self-help" are two of the requirements enunciated in the Statement of Policy in the 1961 Act for International Development for providing development assistance. The law specifies that "assistance shall be based upon sound plans and programs" and that it should "be responsive to the efforts of the recipient countries to mobilize their own resources and help themselves." Both depend upon improved public administration.

As has already been noted, our attempts to stimulate development in the past have suffered from the piecemeal approach. While responsibility for this weakness has been primarily that of the receiving countries, this weakness has been condoned if not fostered by our own project-by-project approach to foreign assistance. We have neither persuaded the recipient countries themselves to undertake development planning, nor provided assistance to them in performing such planning.

Henceforth, a basis for assistance on a substantial and sustained scale will be preparation of workable plans. The United States can assist recipient countries to formulate programs for development which are adapted to their objectives and resources. This is public

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<sup>1</sup>"Report to the President of the United States by the Economic Survey Mission to the Philippines" (Washington, D.C., October 9, 1950).

administration assistance and includes assistance in:

"... assembling the basic economic, financial, technological, and education information on which programming depends; surveying the needs and requirements over time of broad sectors of the economy, such as transport, agriculture, communication, industry, and power; designing the financial mechanisms of the economy in ways that will promote growth without inflation; and administrative practices which will make possible the more effective review and implementation of programs once established."<sup>1</sup>

The self-help requirement is based on a recognition of the fact that the main thrust for development must come from the less developed countries themselves. Foreign aid can only be marginal, although the margin, as in the case of the Marshall Plan, can be decisive. Foreign aid can be effective only if it is a complement to self-help. Hereafter, U. S. assistance will be designed to provide incentives for countries to take the steps that only they themselves can take.

The encouragement which we will be extending to development planning and programming is one way of stimulating self-help. Other self-help measures which will greatly enhance a nation's development potential are classic examples of administrative reform and improvement: establishing tax policies and procedures designed to raise equitably resources for investment; fiscal and monetary policies and procedures designed to prevent serious inflation; regulatory policies and procedures aimed to attract foreign investment and to prevent excessive luxury consumption by a few; personnel policies and procedures which raise the standards of selection,

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<sup>1</sup>An Act for International Development: A Summary Presentation, p. 12.

improve conditions of employment, provide for training, and promote professionalism; policies and procedures for a comprehensive, regularized budget system, and a uniform system of accounts; policies and procedures for organization and methods improvement, better records and archives management, and the like.

There is no more important evidence of self-help for the purpose of accomplishing social and economic development than the establishment of a sound, rational system of public administration. It must be emphasized that improved public administration is not viewed as an end in itself nor are the standards of improved public administration the standards applied in the United States. Public administration is a goal-achieving process. Therefore, the improvement which is necessary must be improvement in the administration of substantive programs, in such fields as agriculture, education, public health, communications, transportation, economic regulation, and so on. Budgeting, personnel, O & M and other reforms should be integrated into the administration of line programs. Therefore, U.S. standards of public administration are not applicable, because administration in developing countries must serve the needs of those countries.

## 2. In Development Assistance

Effective public administration is also essential in the conduct of development assistance. The success of a development assistance program depends as much on the effectiveness of its administration as on the caliber of the personnel, the character of the technical assistance, or the amount of money or commodities granted or loaned. Almost everything used in development assistance is in short supply and, therefore, El Bock points out, it is of critical importance that the scarce resources available be deployed and administered with the utmost

efficiency and effect.<sup>1</sup> The image created by the administration of an assistance program is also crucial. If a development program is not effectively, democratically, and humanely administered, it can hardly stimulate and encourage an improvement in the administration of a recipient country's development programs.

#### H. Research: Its Nature and Importance

When the history of the decade of development is written the highlight of that era could well be the programs of research which were launched under the authorization provided in the Act for International Development of 1961. Clearly, the most significant failure of the past decade has been the failure to provide for research. "In what other field of endeavor has the United States engaged in so difficult and complex a task as that of assisting sixty nations in their economic, social, and governmental development -- without creating a research and education foundation to guide intelligent action!"<sup>2</sup> Up until now, one might argue not entirely facetiously, there might have been a greater prospect for research if the U.S. were engaged in programs of development assistance in outer space than for research related to programs in the Far East, South Asia, the Middle East, and Africa. "No sane person would attempt to put a space ship in orbit without elaborate supporting educational and research activities."<sup>3</sup>

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<sup>1</sup>Fifty Years of Technical Assistance: Some Administrative Experiences of U.S. Voluntary Agencies (Chicago Public Administration Clearing House, 1954), p. x.

<sup>2</sup>Donald C. Stone, "Foreward," in Milton J. Esman, Needed: An Education and Research Base to Support America's Expanded Commitments Overseas (Pittsburgh: University of Pittsburgh Press, 1961), p. vii.

<sup>3</sup>Ibid., p. 8.

## 1. Background

In spite of the fact that the United States has been engaged in technical assistance since 1939 and in various kinds of foreign aid programs since World War II, no effort was made to study or evaluate the programs and the means by which they were being implemented. Security regulations, the nature of the record keeping in the various aid agencies, and a defensive posture on the part of many officials who had been burned by hostile investigators discouraged research by outsiders. During this period there were a number of persons, both inside and outside of the agency, who gave strong verbal support to the idea although nothing could be done.

In 1959 a Technical Assistance Study Group was organized in ICA under John Ohly for the purpose of preparing a draft outline for the study of technical assistance to less-developed countries. In early 1960 a monumental outline was duplicated and distributed.<sup>1</sup> This working draft had no official status but it could have served as a masterful guide to the study of the technical assistance segment of the development process if funds and encouragement were provided. They were not. At this time it is one of the most useful points of departure for a research program, once the purposes for research are clarified and an instrumentality for doing the research is created. This outline tends to place greater stress on the study of technical assistance as a discrete process and somewhat less attention to the development process within the recipient country, especially the total development process beyond that aided by technical assistance. Any effort to implement this study outline, as should be done, must recognize this fact.

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<sup>1</sup>A Proposed Outline for the Study of Technical Assistance to Less Developed Countries (Washington, D.C.: International Cooperation Administration, 1960). Mimeo-graphed.

In 1960 Mr. Ohly prepared a memorandum to James Grant, Deputy Director for Program and Planning, on "Research and Development in the Field of Foreign Economic and Technical Assistance." Mr. Ohly wrote:

". . . we (and I refer to the developed countries as a whole) are now trying to do one of the most difficult and highly specialized jobs that man has ever undertaken and we are gravely lacking in the knowledge and professional competence required to perform it. This is particularly true in, but by no means limited to, the area of human and institutional resource problems, an area wherein the developed nations do not now have, and can only acquire through the processes of painstaking research, the wisdom and information to devise adequate solutions; nor do they now possess, and here again research and development are critical, the trained manpower and institutional resources of their own that are necessary to carry out such solutions."<sup>1</sup>

In his recommendations, among other things, Ohly proposed that a national policy decision be made to conduct research in this area, an Office of Research and Development be established under an ICA Deputy Director for Research and Development, the immediate reservation of \$5,000,000 of FY 1961 funds for this purpose, and the inclusion in the FY 1962 budget request of a minimum of \$30 million for research. Again nothing happened.

The election occurred and a new administration came into office. President Kennedy, in his special message on foreign aid of March 22, 1961, asked that there be initiated ". . . a program of research, development and scientific evaluation to increase the effectiveness of our aid effort."

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<sup>1</sup>Reproduced and distributed as Secretariat Note 3, July 22, 1960 (Washington, D.C.: Executive Secretariat, International Cooperation Administration).

A Development Assistance Panel assembled by the President's Science Advisory Committee under the chairmanship of Dr. Walsh McDermott, of Cornell University, issued a report on "Research and Development in the New Development Assistance Program" on May 24, 1961. This Panel also proposed the creation of a Research and Development Unit to serve the new AID agency and stated that

" . . . the director of the R & D Unit should be granted the greatest possible flexibility in the management of the funds placed at his disposal, and should be encouraged to cast his net over every human resource, national or international, that may serve the objectives of the development assistance program."<sup>1</sup>

The Panel concluded that an adequate R & D budget would call for the expenditure of some \$95 million in the third or fourth year of operation, but that \$50 million would be appropriate for the first year of operation.

Immediately after his foreign aid message, on March 31, the President established a Task Force on Foreign Economic Assistance to work out the program, legislation, and organization best adapted to the new concepts which were set forth in his message to Congress. Professor Max Millikan chaired one panel of private consultants to work on the research program. Professor Millikan had been a member of the Development Assistance Panel. In June the summary presentation of the Act for International Development stated that "The proposal now being made follows in its major outlines the recommendations of the Panel." However, an appropriation of only \$20 million was requested.

The summary presentation to Congress called for the creation of an Office of Development Research and Assistance and identified four broad categories of research:

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<sup>1</sup>P. 17 of a mimeographed report.

"(1) The identification and modification of the factors in a society that determine the success or failure of economic, social or technological innovation;

"(2) The collection or development of scientific information that has been by-passed or fallen into disuse in our own society, but is needed to advance modernization elsewhere;

"(3) The simplification and adaptation of technologies to fit conditions in the less developed countries; and

"(4) The selective support of basic research."<sup>1</sup>

The presentation to Congress pointed out that the \$20 million requested for research was only .7 per cent of the total budget requested for AID for FY 1962 and that that figure compared with the 14 per cent of the Defense Department funds which go to research, the 9 per cent of the Department of Health, Education, and Welfare, and the 8 per cent of the Department of Interior. Almost 10 per cent of the total federal budget is devoted to research.

When Congress considered the new foreign assistance legislation, Professors Millikan and McDermott made the presentation for a research program before the Senate Committee on Foreign Relations and the House Committee on Foreign Affairs. Professor Millikan stressed that the much larger development activities of the recipient nations which the new assistance program is designed to support are "experimental in a very fundamental sense." While the underdeveloped countries have the enormous advantage in their development efforts that they can draw upon the knowledge, experience, and technology which the Western World has accumulated over the past two or three centuries, the adaptation of that knowledge

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<sup>1</sup>Op. cit., p. 95.

to their own circumstances is very much more complicated and difficult than either we or they realized a decade ago. The vast body of basic knowledge must be "imaginately adapted to local conditions."<sup>1</sup>

As the Congressional debate progressed it became apparent that the research program was endangered. The \$20 million was successively slashed to \$12 million, then \$6 million. Even the basic authorization for research was threatened. The compromise was to omit all reference to the amount of money which could be spent on research but to include in the legislation broad authorization for the President to use the funds made available for international development for research. The decision as to what research and how much should be spent on it was thus passed on to the policy makers in AID.

At this writing the new AID agency has not implemented this authorization. Several other developments which are somewhat apart from this stream but which contribute to the research effort in this field should be reported. In May of 1961 The Brookings Institutions held a conference on research needs for development assistance programs. The conference was sponsored by ICA and the Ford Foundation. A collection of eight essays were prepared by authorities from various disciplines as basis for a discussion involving some seventy-five specialists from universities, government agencies, foundations and research institutions.<sup>2</sup> A book will eventually emerge from this conference.

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<sup>1</sup>U.S. Congress, House of Representatives, Committee on Foreign Affairs, Hearings on H.R. 7372 and H.R. 8400, 87th Cong., 1st sess. (Washington, D.C.: Government Printing Office, 1961), p. 894.

<sup>2</sup>Research Needs for Development Assistance Programs, op. cit.

McGraw-Hill Book Company sponsored a conference also in May on "Books and International Development." Although the purpose for holding the conference was admittedly commercial, participants from a wide range of backgrounds and disciplines were convened to discuss the development process and identify the kinds of research and publications which are needed at the present time.<sup>1</sup>

In mid-1961 Milton J. Esman published an effective statement of the need for research and education for the United States to meet our commitments overseas. He proposed that a research office be organized within government with a minimum of \$50 million a year allocated for this purpose. The three major areas for education and research are seen to be: (1) the environment of pre-industrial societies; (2) the processes of induced social change; (3) the techniques of cross-cultural operations.<sup>2</sup>

## 2. The Importance and Purpose of Research

There are many reasons why research has not been launched in this field -- and why it is not begun in other areas. Research is more difficult than action or production. The results are often too distant or may not be apparent. The process is usually slow and the achievements may be difficult to relate to immediate needs.

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<sup>1</sup>Books and International Development, A Conference Sponsored by the McGraw-Hill Book Company, May 23, 1961. Mimeographed.

<sup>2</sup>Needed: An Education and Research Base to Support America's Expanded Commitments Overseas (Pittsburgh: Graduate School of Public and International Affairs, University of Pittsburgh, 1961).

Yet, it should be obvious that no effective action or production can take place without careful study of what is to be achieved and how best to achieve it. When the objectives are new and different, the means to achieve them complex, and the persons who will execute the projects untrained, then the need for research is all the greater. Unless research is begun the results will always seem distant and the process cannot be accelerated until research methodology is improved by the process of doing research.

"Our basic knowledge of a vast array of foreign societies, of international relations, and of economic growth and social change is gravely deficient."<sup>1</sup> We are accumulating an increasing amount of intensive on-the-spot studies of underdeveloped countries, but we lack a synthesis of theories of underdevelopment and possible solutions. We cannot yet identify critical relationships in underdevelopment, alternative strategies. Yet, we endeavor to assist the development process and make loans and grants for capital which are used for personnel, buildings, and equipment. Capital for research has been lacking.

Thus, the most obvious reason for research is to learn more about development goals, how to achieve them and how to provide development assistance. There are other equally important reasons.

Our objective is to stimulate self-sustaining social and economic development. Part of the process of assistance involves setting an example for the recipient -- demonstrating how something may be done. We agree, in our governmental and economic activity in this country, that research is essential. Both private industry and government are spending substantial amounts for research. If we are to accomplish our assistance objectives we must do research, to set an example and

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<sup>1</sup>Committee on the University and World Affairs, The University and World Affairs (New York: The Ford Foundation, 1960), p. 27.

to demonstrate graphically its value and how it can be performed. If we were to refrain from or actually discourage research we would be setting a poor example for those countries which we are encouraging. We would also be denying our own history in which all the major breakthroughs were accomplished and sustained as a result of research.

Research has great operational value. It not only contributes to understanding but also improves communication and assists education and training. In order to achieve their development goals the people of the developing countries must break out of patterns and traditions which obstruct development. Foreign advisors and experts arrive with great understanding of their own skills and techniques, but with little knowledge of how to communicate them to recipients or how to help them adapt these skills to local needs. The experience of the recipient and advisor engaging in empirical, field research together, of engaging in a systematic examination of local conditions, and of searching for locally valid improved practices may be one of the easiest ways of establishing meaningful communication between them. Since, in many cases, local attitudes, customs, and taboos seem to stand in the way of development, perhaps joint, objective examination of the impact of these on specific steps toward social and economic development would be a more effective way to modify them than verbal discussion of the respective merits of the attitudes of different cultures and of different historical developments.<sup>1</sup>

The process of doing research is one of the most effective ways of educating or training the participants. By its nature, research cannot be passive, but education and training can be, in fact, often are. It is strategic to tie research into action programs.

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<sup>1</sup>Arthur T. Mosher, "Research Needed to Improve Developmental Assistance with Respect to Rural Problems," in Research Needs for Development Assistance Programs, op. cit., p. M-40.

In this way, research contributes to understanding, improves communication, and serves as an instrument of education in achieving action goals. These advantages accrue both to the recipients as well as to those extending advice and assistance.

Finally, research in this area is an important means by which wider awareness of the problems of underdeveloped countries may be stimulated in the research community of the United States. By encouraging, stimulating and assisting necessary research AID can marshall the mutual efforts of a broad spectrum of the academic and intellectual groups in the United States making it possible for them to cooperate with AID and the peoples and governments of the developing countries in the achievement of development goals. In this way, the above discussed objectives are more assuredly accomplished and larger reservoirs of talent, able and interest in participating in development assistance are generated.

### 3. Dangers in Research

There are certain dangers in doing research, none of which should discourage or prevent research. Since the "dangers" actually are rooted in a misunderstanding of the purpose and nature of research, a recitation of these dangers should serve as a warning against the misunderstandings and misconceptions.

Research is not a panacea. Because it was lacking in the past, there is no assurance that the conduct of research in the future will eliminate all problems of the past. Although the process of research can be accelerated as methodologies improve and the caliber of research personnel improves, the process is essentially a slow process. The more basic is the nature of the research, the more fundamental the knowledge which results but slower still is the process.

Not all research results in usable knowledge. The research is still useful, because what is not the correct explanation is helpful, but that knowledge may not have immediate and practical use. In medical research, hundreds of experiments yielding negative results may have to be conducted before the one correct and useful cure is found.

The first results of research are not necessarily the most useful. The process of acquiring knowledge and improving operations is necessarily cumulative. Elemental knowledge must be acquired before the solutions to complex problems can be had. Tentative first solutions have to be put to the test of further research to verify that information and achieve more sophisticated knowledge.

#### 4. The Meaning of Research

Research is defined in different ways depending upon the purpose to which the results may be put. For the purpose of this report, research is being defined in the broadest possible way because of the lack of research in the past and because of the broad range of intellectual and operational needs which face those engaged in the development or development assistance process. For this purpose research is defined as the total activity of fact-gathering and analysis. It may include the collation of existing data, reports, articles, books and other materials -- published or unpublished; the systematic compilation of facts for later analysis; the conduct of descriptive surveys; the abstracting and/or indexing of existing knowledge for ready reference; careful, systematic description within a specified frame of reference; a rigorous formulation of a non-experimental research design which endeavors to test hypotheses; or controlled experimentation using the most highly perfected methods and techniques of the behavioral sciences.

By such a definition, nothing which will contribute to greater knowledge and understanding or to more effective operation is excluded. The better term to apply to the full range of these activities is "research, resource and materials preparation, and publication." Since it is more awkward, the single word "research" will be used. Many of these activities involve more REsearch than reSEARCH. The term "basic research" will be used to apply to those activities which are directed at the construction of new or better theories, the testing of research hypotheses, and the expansion of present knowledge. Since the effort to distinguish between "pure" and "applied" research is futile and sterile, this distinction will not be drawn.

The broadness of the definition excludes very little. It becomes necessary to limit this statement of research needs in the field of public administration, which has also been broadly defined, by the application of two criteria: (1) the urgency of the research needs, and (2) the feasibility of accomplishing the research objective.

These criteria are difficult to apply and may defeat the ultimate objective of a comprehensive research and publication program. In a sense, when little research has been done all research is urgent. Therefore, there is a tendency to rely on feasibility as a criterion, and "feasibility" is soon interpreted as "easy".

Another possibility is that urgency is interpreted in terms of utility. Utility has been specifically excluded as a criterion because of the danger of its becoming the sole criterion, especially when the research is sponsored by an operating agency with operational problems to solve. When "utility" becomes merged with "easy", the resulting research may become simple problem-solving of day-to-day work problems. In an agency where there has been reluctance, for a variety of reasons, to initiate research the result may be a retreat to no basic research, and then to no research.

There is an urgency to begin the "hard" research -- the kind which asks the difficult questions and seeks answers to them -- the kind which has not yet been done. To the extent that it is possible to know in advance, the research should be feasible. However, the prospects for success when the research is on the frontiers of knowledge are not always apparent in advance. Yet, in the long run, this may be the most useful research.

It is strategic to begin with projects that are likely to succeed as a stimulus for further research. But, at the same time the effort must be made to push far beyond the present frontiers of knowledge in areas where the prospects for success are not clear.

The research needs in general as well as in the field of public administration are so great that they can not be met by AID or any one agency alone. For the reasons discussed here and elsewhere AID has the responsibility to begin at once a massive research program. At the same time, private enterprise, the foundations, other agencies of the Executive Branch of the federal government (with the support and encouragement of Congress), and the universities must assist in this effort, cooperatively and independently. If this is actually to be a "decade of development" the proof will be in the support and encouragement given in all these institutions and agencies to the most essential, but until now missing, ingredient in our development assistance program -- research.

## II. A PROSPECTUS FOR A RESEARCH AND PUBLICATION PROGRAM IN PUBLIC ADMINISTRATION

### A. Existing Materials

For a variety of reasons the International Cooperation Administration and its predecessor agencies have done no research and produced few useful materials, especially the field of public administration. This deplorable situation has resulted principally from a lack of policy support for research and materials development and from insufficient funds, time, and personnel.

At the same time, there have been many persons in the Public Administration Division who have recognized the serious consequences of this deficiency and who have done what was in their power to encourage research and to prepare useful resources and materials. Their unrelenting devotion to the cause of research against overwhelming obstacles is commendable. The efforts of the limited staff of the Resources Branch to seek out and acquire useful books, journals and fugitive materials; to prepare bibliographies; to call to the attention of public administration technicians and advisors useful materials; and to distribute these materials to advisors, participants in the public administration training program, and recipient country officials is also noteworthy.

Those materials which have been produced to date as a part of a modest resource and materials development effort should be noted. However, no effort will be made to attempt to identify all materials which have been produced and/or distributed by the Public Administration Division.

## 1. Monographs

The monographs produced by or under the auspices of the Public Administration Division include:

a. Prints and Reprints Series. A useful series which reproduces, covers, and distributes pertinent journal articles, speeches by ICA officials, and other relevant documents.

b. PAD Memos. A cover letter which identifies and briefly describes any useful document, occasional paper, or article which is there attached and distributed.

c. Education for Social Change: Establishing Institutes of Public and Business Administration Abroad (1961). A report by Mary E. Robinson, based on a conference conducted by The Brookings Institution, for the Public Administration Division.

d. Modernizing Government Revenue Administration (1961). A study of the application of technical cooperation in improving revenue administration in the governments of developing countries, prepared by Wendell Schaeffer of Public Administration Service for Public Administration Division.

e. Reflections on Successful Technical Assistance Abroad (1957). A transcription of a series of interviews, conducted by Louis Kroeger, with persons who had overseas experience, prepared by Public Management Research Institute for Public Administration Division.

f. A Working Guide for Elementary Training in Records Management (no date). Prepared by John Lawton, a public administration advisor in the field, for use in the field.

g. Review of Mutual Cooperation in Public Administration (1957, 1958, 1959). Annual reports of the Public Administration Division reviewing projects in operation, number of personnel overseas, etc. Interrupted after 1959.

h. "Improving Public Administration in the Newly Developing Areas of the World," Orientation Papers for Public Administration Advisors and Technicians, No. 1 (March, 1961). For use of U.S. Nationals only.

i. "Local Government and Decentralization," Orientation Papers for Public Administration Advisors and Technicians, No. 2 (March, 1961). For use of U.S. Nationals only.

## 2. Monographs in Process

Other monographs are in preparation:

a. An Orientation Paper for Public Administration Advisors and Technicians on organization for economic planning, being prepared by Russell Drake.

b. A monograph on in-service training, being prepared under contract by Professor Lynton K. Caldwell, Indiana University.

c. A monograph on budgeting, being prepared under contract by Public Administration Service.

## 3. Bibliographies

The Resources Branch has prepared a number of useful bibliographies, including:

a. "Selected Bibliography for Public Administration Representatives" (1953).

b. "Bibliography of Reports Prepared by Public Administration Technicians" (1958). A listing of reports on file in the Technical Resources Branch.

c. PAD Bibliographic Series: A series of over thirty-five bibliographies on such topics as: "General material," "Reports published by the International Institute of Administrative Sciences," "Budgeting and Accounting," "Conference leadership," "Personnel," "Organization and Management," "Glossaries of public administration terms," "Report writing," "Supply management," "Economic development," "Selected references on materials in Spanish," materials on Pakistan, Spain, India, etc.

#### 4. Other Materials

The PAD has required that each technician and advisor prepare an end-of-tour report after an overseas assignment. From time to time, the technician attaches occasional papers, research reports, and other pertinent documents which he prepared during his overseas tour of duty.

The debriefing sessions of returning technicians and advisors are usually taped. These tapes and the end-of-tour report are kept on file in PAD offices and contain some useful material if analyzed, edited, and reproduced.

#### B. Research and Publication Needs in Public Administration

The needs for research in the administration of the development process and of development assistance are broad and unlimited. They are broad because of the all-pervasive role of public administration in development and development assistance. They are unlimited because so little research has been done to date.

As has already been discussed, the purpose of research in this field are to:

(1) Improve understanding of development goals, the development process, development assistance, and

development administration;

(2) Improve operations in development, development assistance, and development administration;

(3) Promote better communications between advisor and recipient in the development assistance process;

(4) Educate and train recipients of development assistance;

(5) Demonstrate by example the value and method of conducting research; and

(6) Stimulate a wider awareness of the problems of underdeveloped countries in the research communities of the United States and the host countries, and thereby increase the available research talent which will address itself to these problems.

Since the ultimate objective is to stimulate and assist self-sustaining social, political, and economic development, the needed research must involve or be conducted wholly by the peoples of the developing countries. It is essential that every advisor and technician be required to stimulate and assist research by the recipients of development assistance. At the same time, because the United States is engaged in a massive program of development assistance, AID must expand and accelerate its research efforts.

From the standpoint of AID, therefore, the needs are:

(1) A policy, clearly stated and vigorous implemented, requiring:

(a) each advisor and technician to stimulate and assist research by recipients within their sphere of activity, and

(b) each advisor and technician to stimulate and assist in establishing institutions, mechanisms, or procedures which will continually assess research needs and conduct the necessary research in the host countries;

(2) A policy, clearly stated and vigorously implemented, requiring a mechanism and procedure to:

(a) assess continually the research needs of AID,

(b) plan, or have planned, the needed research,

(c) conduct, or have conducted, this research,

(d) keep abreast of other relevant research,

(e) maintain liaison with relevant research organizations and institutions, and

(f) distribute appropriate findings and other materials to all who should receive them.

To the extent possible, the research listed under (2) should also be conducted by or in collaboration with the recipients of development assistance.

To meet the needs in the field of public administration, it is proposed that research and related activities be started immediately in the following areas:

(1) Compilation, collation, reproduction, and distribution of useful resources and materials already in existence;

(2) Preparation and publication of operational materials which are needed for more effective performance of development assistance in public administration;

(3) Basic research which will accomplish the six purposes listed above.

C. Resources and Materials  
Preparation and Distribution

1. Country Collections

For every country in which AID is providing public administration assistance, a book of readings should be compiled of the best and most useful articles, reports, commentaries, etc. which describe and analyze the government, administration, and characteristics of the culture which have meaning for public administration improvement. These collections should be prepared in sufficient quantity so that every advisor and technician has his own copy.

The format of reproduction should be standardized and the style should be loose-leaf so that additions can be made from time to time. These collections should systematically be kept up to date.

Each country collection should also include a comprehensive bibliography of all relevant books, articles, and documents on the country in English, the language of the country, and where appropriate, French and Spanish. These bibliographies should also be kept up to date.

Counterparts and other persons in the host country should be requested to assist in compiling such bibliographies and identifying useful readings. They should also be encouraged to prepare articles which will help orient U. S. advisors.

## 2. Library Service

A Public Administration Library Service should be established to identify and channel to host countries and USOMS such books and periodicals as the program requires for educational, training, and research purposes. The collections should be for reference use by public administration advisors and technicians, their host-country counterparts and other host-government officials, educators and such other persons as are interested and involved in the basic process of development and development assistance. The collections will necessarily have to be somewhat limited in size and therefore great selectivity must be exercised in building them.

Three kinds different collections are proposed:

a. General Collection. Basic books in U. S. government and history; social, political, and economic development; culture, social and technical change; research methods and techniques, etc.

b. Public Administration and Social Science Collection. Basic books and periodicals in each of the fields of public administration, as well as in economics, sociology, social psychology, psychology, and anthropology which have relevance for public administration and administrative improvement.

c. Country Collection. Different for each country, consisting of the basic books about that country's history, culture, geography, government, politics, etc.

The utility of the third collection is obvious. The second collection is essential because no technician

can carry in his head all the information he needs to operate effectively. The first collection is useful because no technician operates only in the area of his speciality. Inevitably he will be called upon and should be prepared to function in areas which transcend his technical area. This collection will help him. (See Exhibit I--Industrial Technical Libraries of Paperback Books: "Little Libraries"--which lists the books provided Missions by the Technical Aids Branch, Office of Industrial Resources, ICA.)

d. Acquisition Service. Public administration advisors and their counterparts should be encouraged to order other book and periodical materials as necessary. All posts should have certain key documents as guides to books in print, such as Publisher's Trade List Annual, Publishers' Weekly, and American Book Publishing Record. Annotated bibliographies, which are proposed below, will also provide a basis for ordering additional books.

### 3. U. S. Book Exchange Service

Public administration advisors and technicians should be encouraged to take greater advantage of the facilities of the U. S. Book Exchange Service. Whereas the proposed Library Service will build up the literature required for direct program use, this ICA-sponsored service enables host-country libraries to be established or expanded. Host-country libraries can receive on an exchange basis books, reports, and periodicals necessary to build and maintain effective and rounded libraries.

USBE, which operates on a world-wide basis, ships surplus domestic publications in exchange for needed publications of other countries. In the long run, items received and items forwarded should balance, but this is not necessary on a short-term basis. Libraries of host countries may become participants in the program, at no cost to the library for items that are provided by the USBE, with the approval of the ICA Mission. (See Exhibit II for a description of this service.)

#### 4. Resources Service

The Library Service provides basic books and periodicals. A Resource Service should be established which compiles and distributes, on a bi-monthly basis, the following: useful materials prepared by other public administration technicians and advisors; the best and most useful articles from about 30 journals and periodicals which are regularly screened; relevant and useful clippings from about six selected newspapers; and excerpts from new and important books.

This distribution should consist of two parts: the first part which is sent to every USOM and the second part which contains only those resources and materials which are appropriate for the particular country or region. These materials should range beyond the basic subject-matter specialty of public administration to include significant materials about the United States and other countries in the fields of politics, religion, art, music, etc.

The Resource Service materials should also be provided in loose-leaf form, with a suggested classification for each item. A series of loose-leaf binders should be provided covering the major subject-matter areas in the classification. This service should be provided in sufficient number so that a copy is available to every public administration advisor and technician. In addition, he should make these materials available to his counterpart and other host-country officials and assist them to use the Service.

#### 5. Digest and Bibliography Service

Not all the relevant and useful articles which are published can be reproduced in the Resources Service. A Digest and Bibliography Service should be established. On a monthly basis it should issue one- to two-page abstracts of important and useful articles drawn from the journals, periodicals, newspapers, books, and reports of

AID advisors which are screened for the preparation of the Resources Service.

With a little imagination, the Digest and Bibliography Service can provide more than digests of a series of discrete articles. Some or all of the articles selected for being abstracted each month may be clustered around topics of current interest. The pattern of the "Developments in Public Administration" section of the Public Administration Review may serve as a helpful guide.

This Service should continue the preparation of bibliographies now done by the Resources Branch. However, all bibliographies should be annotated. This Service should prepare bibliographies upon request from advisors as well as in areas determined by the Service.

The Digest and Bibliography Service should also be made available to host-government personnel and they should be assisted and encouraged to use it as well as the other services. (See Exhibit III--Technical Digest Service --for an example of this kind of material, prepared by the Technical Aids Branch, Office of Industrial Resources, ICA.)

## 6. Film Service

An annotated catalogue should be prepared, and kept current, of all available films which might possibly be used by public administration advisors and technicians. They should be instructed and assisted in the proper use of films for training and demonstration purposes. In turn, advisors should instruct their counterparts in the effective use of film. Films may be loaned to advisors. If the film is going to be frequently used, the language of the country may be dubbed by use of magnetic stripping. In this case a special projector must be used.

## D. Preparation of Operational Materials

### 1. Orientation Kit

At the present time every technician and advisor in public administration going into the field is provided with an Orientation Kit. This Kit should be expanded by the preparation and inclusion of the following:

a. Country Collection. For the country to which the advisor is assigned.

b. Manual on Development Assistance in Public Administration. This Manual should cover the following:

What is the role of administration in the development process? What is development? How can it be assisted and encouraged? What is the role of administrative improvement in assisting and encouraging development? What is the total governmental process, of which administration is a phase, through which development is stimulated and aided? What is the appropriate perspective for viewing administration in this process--in preliminary surveys, in development planning, in formulating policies and programs, in implementing development plans? How can administrative improvement be integrated with other development projects? What is the policy of the United States in regard to assisting development abroad? Case studies of development which illustrate the role of administration and assistance to improve administration.

How is an assistance project in public administration planned and formulated? How, when, by whom are the needs for a public administration project surveyed? What guidelines may be followed in surveying needs? What, if any, prerequisites for a project are there and how can they be assessed? How can the feasibility of a project be assessed? How, to what extent, and in what manner should host-government officials participate in the survey? When should projects be national? When regional? When local?

What are the elements of a public administration project? What are the objectives? How are means to achieve them formulated? What is the appropriate kind and degree of participation by the host government in the conduct of the project? How is the project integrated with other development activities? How is it coordinated with other development projects of the United Nations, regional organizations, foundations, etc.? Cases which illustrate this process.

What is the role of the advisor or technician in public administration? How does he prepare himself to undertake his assignment? How does he orient himself, familiarize himself with the culture, government, power centers, etc.? How does he establish rapport with the people with whom he must work? How does he operate: as advisor, innovator, doer, catalyst, etc.? Why do some technicians or advisors fail? What are the characteristics and methods of operation of the effective technician or advisor? Cases which illustrate the role and activities of an effective advisor.

What is the role of the counterpart? What are the characteristics of a good counterpart? How is one selected? How should he be used? How should he be motivated, trained, supervised, etc.? What are some of the problems which may arise in working with a counterpart? How can they be overcome? Cases which illustrate the use and development of a counterpart.

What is participant training and how does it operate? What are the objectives of participant training: in the country, third-country training, in the United States? How does it operate? How are good participants selected, oriented, trained, and assisted in their work upon re-entry to their job?

What are standards for the conduct of a public administration project? Is it possible to set standards for the performance of the host government and its officials? Is it desirable that standards be set? If possible and desirable, what are appropriate standards? How are they set? By whom? How are they constantly reviewed and

modified where necessary? How are they enforced? What sanctions are appropriate? What are examples of standards of performance in public administration? Drawn out of U. S. experience in federal-state relations and others? Drawn out of technical assistance experience?

What are the barriers, cultural and others, to administrative improvement? What are examples of these barriers and their impact on administrative improvement? How can they be overcome? Cases which illustrate.

How can an advisor or technician build support for the project he is assisting? What are the dangers? How can they be avoided? Cases which illustrate effective and ineffective support-building.

How can the effectiveness of a project be evaluated? What are appropriate standards and criteria? How can data be collected? Illustrations of the evaluation process.

c. Readings in Development and Administration. Selected articles and excerpts from books being compiled by this writer and covering: U. S. foreign aid programs, development and development assistance, the role of administration in national development, cases illustrating management improvement.

d. Manual on Resources and Materials Services. This Manual should describe in detail the various services which have been proposed: Library Service, U. S. Book Exchange Service, Digest and Bibliography Service, and Film Service. Advisors and technicians should be familiarized with these services and instructed how to use them. (See Exhibit IV--Industrial Technical Aids Services--for an illustration of this kind of manual prepared by the Technical Aids Branch, Office of Industrial Resources, ICA.)

This general introduction to the backstopping provided public administration advisors overseas should be supplemented by the following:

e. Manual on Public Administration Library Service. This manual should describe the Library Service in detail, how it can be put to best use, and how other books should be ordered. It should include specific instructions for ordering, including a sample order form properly filled out. (See Exhibit V--Technical Literature Service--for an example of this kind of manual prepared by the Technical Aids Branch, Office of Industrial Resources, ICA.)

f. Manual on U. S. Book Exchange Service. This manual should describe in detail the USBE, how it can be used, and how books can be ordered. Sample forms, properly filled out, should be included. (See Exhibit II--U. S. Book Exchange Service--for an example of this kind of manual prepared by the Technical Aids Branch, Office of Industrial Resources, ICA.)

g. Manual on Film Service. This manual should describe the film service, suggest how films can be used, illustrate how they have been used, describe technical aspects of film usage, and set forth the procedure for ordering films. A sample order form, properly filled out, should be included. (See Exhibit VI--Technical Film Service--for an example of this kind of manual prepared by the Technical Aids Branch, Office of Industrial Resources, ICA.)

h. Annotated Film Catalogue. (See Exhibit VII--Films--for an example of this kind of Manual, prepared by the Technical Aids Branch, Office of Industrial Resources, ICA.)

These eight books and manuals should supplement the present materials provided each outgoing advisor in the Orientation Kit.

## 2. Technical Guides and Manuals

A series of technical guides and manuals should be written on the procedures and practices of public administration as they apply to developing countries. These

monographs should be action-oriented and be based on the administrative experience of a variety of countries, not just the United States. They should be written in cooperation with host-government officials. To the extent possible every monograph should be co-authored by an American and a foreign scholar or administrator. The monographs should be based on information written or solicited in writing from a number of different countries as well as empirical research in several countries. (See Appendix II).

These monographs should extend the series begun with Modernizing Government Revenue Administration and the two on budgeting and in-service training now in process.

The following guides and manuals are proposed:

- a. Organization for Development Planning.
- b. Statistical Services for Government.
- c. Ministry Administration.
- d. Personnel Administration.
- e. Local Government and Administration.
- f. Accounting and Fiscal Procedures.
- g. O & M Analysis.
- h. Public Enterprises.
- i. Human Relations.
- j. Supervision of Personnel.
- k. Development and Utilization of Human Resources.
- l. Records and Archives Management.

- m. Purchasing, Inventory, and Warehouse Management.
- n. Administration of Judicial Affairs.
- o. Administration of Legislative Affairs.
- p. Administration of Foreign Affairs.
- q. Public Relations and External Reporting.
- r. Building and Physical Facilities Planning and Utilization.
- s. Management Planning and Control.
- t. Utilization of Modern Technology in Public Administration (Machine Technology for Data Processing, Communications, Policy Analysis, Materials Handling, etc.)
- u. Administration of Agricultural Programs.
- v. Administration of Public Health Programs.
- w. Administration of Education.
- x. Conservation and Natural Resources Administration.
- y. Administration of Post, Telephone and Telegraph.
- z. Public Works and Roads Administration.

aa. Technical Guides and Manuals in Public Administration.

An annotated list of the above twenty-seven manuals and suggestions for their most effective use.

3. Administrative Improvement in Developing Countries: Theory and Practice

The Manual on Development Assistance in Public Administration outlined at length in the section on the Orientation Kit is an operational handbook for technicians and advisors. It should be a thoughtful compilation of past experiences with guidelines for present-day operations. That manual should be supplemented by a thoroughly and carefully researched book which consolidates and reviews theories, speculations, and practices in achieving administrative improvement in the developing countries. There is not an agreed-upon theory of administrative improvement in general; there may never be. There is certainly none for the developing countries. There should be prepared in one book, however, a summary and analysis of the various theories propounded or implicit in various policies, programs, and projects, past and present, directed at administrative improvement. This book should contain an extended annotated bibliography.

4. Capture and Record Procedure

Much useful information and insight into the processes of development and development administration exists in the minds of the participants but is lost because it is not systematically captured and recorded. A policy should be enunciated and procedure instituted to systematically capture and record the experience and insight of both host-country and U. S. participants in public administration improvement.

Neither the end-of-tour report nor the debriefing session serve the purpose of systematically adding to the store of knowledge or the improvement of operations, with occasional exceptions. If their purposes are these, they should be discontinued as now constituted. They are based on the fallacious assumption that the most valuable insights in a tour, which usually extends for two years, can be captured and distilled at the end of the tour and at a time when the advisor is not psychologically prepared to deliver a useful report. The reports are much too brief, the atmosphere surrounding their preparation or delivery are highly artificial, and the reporter is at a stage in his career when he may be concerned about performance evaluation, another assignment, return to the United States, or some other matter.

In their place should be substituted an arrangement by which each advisor or technician can report or record significant insights or experiences, at his own initiative or as requested of him, continuously throughout his tour of duty. Preferably, the person who captures and records these data should not be a direct-hire person. In Missions where university contractors are present, the contracts should be written so that the part time of one professor is devoted to collecting and editing these data. His presence should be made known to all public administration advisors. The purpose of the capture and record procedure should be explained to them. When they have experiences they want to report, they should seek out this person and report to him. In addition, the designated person should periodically, that is, at least every three months, seek out each advisor and conduct extended interviews with him about his experience. A loosely-structured guide for these interviews should be constructed and suggested to each interviewer. However, the interviews should be encouraged to go beyond the guide as the situation requires.

Where a university contractor is not available for this work, a contract should be written with one or several American universities under which a researcher is periodically sent to each Mission to conduct these interviews. Or,

the Professor-in-Residence in AID, who will be discussed below, can be used for this task. If necessary, one person within the Mission can be delegated this responsibility.

The same interview procedure should be followed to elicit information, experience and insight from host-government officials and observers of national development and administrative improvement.

The material collected through this procedure should be carefully edited, classified according to the classification proposed for the Resources Service, and distributed bi-monthly as a part of the loose-leaf Resources Service.

#### 5. Manual of Indigenous Resources: Their Preparation and Use

A self-sustaining program of administrative improvement depends on the continuing development of indigenous resources and materials. The initial way to begin the preparation of an indigenous literature is to translate U. S. materials into the local language. A bibliography should be prepared for the manual of all U. S. materials which have been translated into any foreign language. This will eliminate duplication of translation effort. The bibliography should also be periodically updated.

Also for this manual, a careful study should be made of the quality of these translations and of their usefulness. A spot check, on a random sample basis, should be made of these books by translating back into English about five percent of each. This technique of translating back into English has been found useful to reveal serious translation errors. Or, qualified host-government officials should be asked to review them. In this way the books in the bibliography can be evaluated.

Even when translations are good, the materials may not be useful because they are inappropriate to the country. A study should be made of how, how frequently, and with what

effectiveness translated materials are used.

The second part of this manual should report on research on the various ways indigenous materials have been and can be stimulated and produced. Can the advisor write the outline and the counterpart fill in using local materials? Can qualified scholars and practitioners be identified and paid to write the needed materials? What other rewards or encouragement can be given? How can the usefulness of these materials be evaluated?

## 6. Manual on Library Development

Many persons engaged in public administration assistance, especially university contractors, have the responsibility of building libraries in host-government agencies, universities or other educational institutions. Often much time is lost and effort duplicated in preparing bibliographies of basic books.

A useful manual for this purpose would be an updated and appropriately adapted version of the manual published by the Public Administration Service in 1948, Public Administration Libraries: A Manual of Practice. This new manual should contain a bibliography of about 5,000 items in public administration and the related social sciences. Classified by topics, the items should be starred in a way which suggests, the first 1,000 most useful books, the second 1,000, and so on. The bibliography should be selected with an eye to its use in the developing country. The bibliography should contain works, not only in English, but also in French, Spanish, and Arabic, all languages which are used in many different countries.

This manual, like the PAS manual, should include instructions on acquiring books, classification and cataloging, physical care of the collection, its administration, and standards of service.

(See Exhibit VIII--A Technical Library in Co-operative Programs--for an example of a similar manual prepared by the Technical Aids Branch, Office of Industrial Resources, ICA.)

#### 7. Glossary of Public Administration Terms

The Resources Branch of the Public Administration Division has prepared a bibliography, No. 16, of glossaries of public administration terms. Most of these glossaries contain terms in specialized areas. No single, comprehensive glossary has been prepared. Such a comprehensive glossary would be useful in many situations and should be prepared. It is recognized that, in given countries, not all of the terms would have meaning so that glossary would have to be used selectively in practice.

#### 8. Yearbook of Public Administration Assistance

The annual Mutual Cooperation in Public Administration were useful records of the year's experience. They should be resumed and expanded.

In the future, they should contain not only descriptive accounts of the year's activities but also: outstanding reports prepared by public administration advisors; significant research papers produced in the basic research program; and articles commissioned by AID which analyze the year's achievements and which reflect on future needs and programs.

#### E. Basic Research

The purposes of research which have been discussed above can be achieved primarily through basic research. Moreover, in the conduct of basic research the opportunity is

much greater for the research to be done by or to involve host-government personnel.

Basic research is of such a nature, and the needs for it are so diverse and numerous, that it is impossible to list neatly a series of projects or to suggest simply the titles for a number of books, monographs, or articles which should be written. There is need for theoretical research and empirical research. The research needs to be done in many countries on a country-wide basis and on a functional basis in a variety of countries. The purpose of this section, therefore, will be to outline briefly constellations of research problems.

### 1. The Characteristics of Underdeveloped Countries

Portraits of underdeveloped countries have been painted primarily in economic terms. The levels of gross national product and per capita income have been catalogued, the prevalence of agriculture has been documented, and the amount of industry tabulated. Similar portraits must be painted of government in all of its processes, political, administrative, and so forth. Fred Riggs has made a significant contribution with his model constructions. This effort and the comparable work of other scholars must be continued and expanded. At the same time, model construction should be made to reflect dynamic conditions in the developing countries and the models must be made operational, that is, useful in stimulating and assisting the development process. Such models must be put to empirical tests in a great variety of developing countries.

Models are one method of measuring variations from an identifiable base point. Other methods of measuring variations between and within developing countries need to be produced. We need to know, country by country, what the precise characteristics of underdevelopment are, why it persists, what the obstacles are, and what forces are preparing the way for development? Why did development begin in some countries and not in others? How did it start? Under what circumstances? What were the forces, who were the people and the groups, which initiated change? What has

been the history of development, not only of Western Europe and the United States, but also in the U.S.S.R., Japan, Turkey, and China? What forces impeded development in those cases? What and who stimulated change? What can be learned from these experiences that is helpful in the less-developed countries today?

What has been the role of administration in perpetuating underdevelopment and in preventing change in specific developed and underdeveloped countries? What has been the role of administration in promoting and assisting development in these countries?

• What is the concept of administration and management in various underdeveloped countries--as seen by the power centers in the country, as seen by top management, as seen by the rank and file of the civil service, as seen by the people of the country? How is the government organized? What procedures are followed? Why are organization and management practiced in this manner? What are the political, economic, social, and other aspects of the culture which help explain this pattern of administration?

What are the characteristics, attitudes, and values of the people? How do they compare with those of the civil servants? What are the attitudes toward social interaction? Toward public service? What is the socio-economic and educational background of civil servants? What are the patterns of mobility in the civil service?

In each country, what is the nature of the class structure? Who has prestige? What are the prestige symbols? Who makes the decisions, especially about government and administration? And so on . . .

What can be generalized from many specific country studies? Are there patterns of underdevelopment into which groups of countries fit? Are these patterns related to geographic region, to historical background, to ethnic character of the people, to religion, to previous colonial status, or to other historical factors? Are there, therefore, patterns of administration in the underdeveloped countries? How do these administrative patterns relate to

social, economic, and political characteristics of these countries?

## 2. The Development Process

Development is a process of social change. What is social change? How is it obstructed? How is it stimulated? What are the interrelations between economic, social, political and administrative development? How does one prevent, on one hand, or assist, on the other hand, other types of development? What are the unanticipated consequences of development?

What can be generalized about patterns of development in various categories of underdeveloped countries? Who innovates? Who adapts? Who obstructs or rejects? What are their backgrounds, personality, values and attitudes? Why do they play the roles they play in the development process? What are the power centers in the development process--the business community, the landlords, the military, the intelligensia? Why are they and how do they wield their power? How are the forces for development mobilized and the forces against development neutralized?

What is the role of government and administration in the development process? How does it obstruct and how can it promote development? What are the attitudes of the various levels of administration toward development? How can hostile or neutral attitudes be changed? How can negative values be changed? How can a professional and public service outlook be promoted?

How is government best organized and managed to assist development? What are the unanticipated consequences of administrative improvement to accomplish development goals? What are the consequences for local government if emphasis is placed on centralizing development activities in the national government? Can and should government stimulate private enterprise? Will the growth of private enterprise drain off executive and administrative talent

from government? How can this be prevented, if necessary?

What is the degree of acceptance of change--of new practices, ideas, techniques, values--in administration, in business, and in other significant groups in the country? Is the development going to be self-sustaining?

### 3. Development Assistance

Research must be done of the development assistance process in general as well as of the process as a part of the United States foreign aid program. In light of increasing knowledge and understanding of the development process, how can foreign assistance stimulate, accelerate, and aid the process? How does such assistance conform to U. S. foreign policy objectives? In specific cases, do the objectives of development assistance conform to U. S. objectives? As administered, does the assistance achieve these objectives?

What is and should be the objective of specific assistance in public administration--as formally expressed, as understood by AID officials, as understood by public administration advisors, as understood by host-government participants and officials?

Assistance in administrative improvement has consisted of many discrete projects, sometimes unrelated to each other and often not closely related to the total development needs of the country. How can assistance in administration be better integrated into the total program, both from the point of view of the projects themselves as well as the way the AID agency and the USOM are organized and operated to extend such assistance? How can administrative improvement, in other words, be better coordinated with improvement in agriculture, education, public health, and so on.

Furthermore, self-sustaining development, including administrative improvement, requires development in many sectors of a people's life and activity. U. S. aid

programs have largely emphasized material and security objectives, without taking much direct and vigorous action to help develop long-range political leadership, doctrines, and institutions--all essential to sustain development. Without political development, administrative improvement could very well contribute to greater effectiveness for totalitarian governments or could simply not have lasting effects.

The United States and other democratic countries have been reluctant to interfere with sensitive areas like this, but the Communists have long recognized the key importance of the political sector and have devoted prodigious efforts and resources to cultivating political leadership, ideology, and apparatus favorable to their cause. The emergence of many developing countries into independence makes the need for political development all the more acute.<sup>1</sup> Is it desirable that development assistance cultivate basic democratic values and processes? How can this be done? Is it possible that this can be accomplished, among other ways, by fostering the development of democratic administrative procedures, instilling democratic and public service values in the civil service, and improving the responsiveness of administration to the needs of the people?

Development assistance is proffered on the assumption that it will achieve United States foreign policy objectives and the development goals of the recipient countries. What should be the policy of the AID agency when development assistance, especially in sensitive areas like administrative improvement, is not desired? Should it be encouraged? How? Should other assistance be continued? Under what circumstances? What should be the policy when

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<sup>1</sup>See Brookings Institution Study Group, "Political Development in the Emerging Countries: Challenge to the United States Foreign Policy" (Washington, D. C.: Foreign Policy Studies Program, The Brookings Institution, 1961). Unpublished manuscript.

development assistance will not contribute to U. S. foreign policy objectives and/or will not be used in a way to achieve a country's development goals? When should assistance be proffered, forced, refused, or withdrawn? Is it possible to identify the cluster of circumstances under which a series of different policies are followed in regard to extending, refusing, or withdrawing aid?

Is it possible to calculate the feasibility of accomplishing various development goals in advance of inaugurating development assistance projects? How? What are the critical factors to be identified? Do they vary by countries? What should be the policy if a decision is made that assistance should be proffered but it is not possible to achieve the development goals of a country?

In regard to some of the specific activities in public administration assistance, we need to know more about the role of the advisor or technician, the role of the counterpart, the process of communication, education and training in development assistance, and the process of institution building. The Technical Assistance Study Group has prepared a comprehensive guide to the research that should be done on these and related aspects of the assistance process in general, so that it is not necessary to elaborate these research problems here.<sup>1</sup> This research should be done on the process of public administration assistance itself.

A few of these research problems can be highlighted briefly. On the advisor and his role, we need to know the various roles he must play--advisor, innovator, doer, prodder, catalyst--and the characteristics which make him most effective in each role. The American often measures his success and sets his standards in terms of his effectiveness in performing a job. In technical assistance

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<sup>1</sup>John Ohly, A Proposed Outline for The Study of Technical Assistance to Less Developed Countries, op. cit.

he must often refrain from doing, which can cause distress and anxiety. What kind of persons should be selected to be effective? How should they be oriented and trained? How does an advisor sensitize himself to the country, the people, and the culture with which he must work? How does he establish rapport with the people whom he advises and assists? What is the correlation between the kind of advice and assistance he gives and the specific background and experience he has? Is this the most useful advice and assistance?

We need to know more about the counterpart, his perception of his role, and how he can benefit most from assistance? What are the areas of misunderstanding between the advisor and counterpart that cause friction and prevent optimum cooperation? What is the advisor's perception of the counterpart's role and his relationship with the counterpart? Is, in fact, the concept and device of the counterpart the best way of providing development assistance?

On the communication, education and training process, we need to know what the barriers to communication on management improvement are and how they can be overcome? What communication devices are most effective in varying countries? Under what circumstances are some devices more effective than others? Are there any generalizations which can be drawn about the most effective devices in clusters of countries? What is the best type of education, at all levels, to achieve rapid development in management abilities in the various countries?

Research is needed on the educational methods and content most effective for social and economic development and management improvement. What are the types of knowledge, skills, and attitudes related to management improvement in different countries and under different circumstances, and what are the most effective ways of transmitting them over the long term? Similar questions should be answered in regard to training. These questions apply to education and training in indigenous institutions, third-country education and training, and participant education and training in the United States.

Particularly, we must learn how students who come to the United States can be better selected, better prepared before departure, and better supervised during their education and training. How can their adjustment be eased? How can counselors, professors, and others be better prepared to work effectively with foreign students so that they can give them better advice, education and training for use at home? How can their re-entry into their home environment be eased? How can public administration advisors be better prepared so that they can assist this re-entry process?

In regard to institution building, we need to know when this is an appropriate objective. Is it a feasible objective? How has it been attempted? How can it be accomplished? What are the critical variables in institution building? What are the special problems in the field of public administration and how can they be coped with?

Much research must be done on one of the most troublesome areas of development assistance--evaluation. What are the appropriate standards and criteria for evaluating effectiveness? What are the proper measures to apply to these standards and criteria? How can data be gathered? How should they be analyzed? By whom and how frequently? What should be the administrative arrangement and procedure for conducting evaluation?

What are the values, attitudes and opinions of United States advisors and technicians toward the process of development and development assistance? How do they evaluate their effectiveness? What are the attitudes of recipients toward their own development, the assistance they are receiving, the U. S. advisor and technician, and future needs? How do they evaluate the effectiveness of development assistance?

Finally, there should be research on research. What kinds of research are most needed in the developing countries? Who should do it? How can recipients of development assistance be stimulated and assisted to do

research in the field of administration and administrative improvement? How can they be trained and how can they, in turn, train others?

#### 4. Soviet Bloc Development Assistance

U. S. concepts, policies, and practices in regard to development and development assistance should be compared with those of the Soviet bloc. Essentially the same questions should be answered in regard to Soviet bloc concepts of development and their policies and practices of development assistance.

### III. IMPLEMENTATION OF THE RESEARCH AND PUBLICATION PROGRAM

#### A. Enunciation of Policy

##### 1. By the President

The immediate inauguration of a massive program of research is so important and urgent to the national interest that a statement of policy from the President of the United States declaring the high priority which should be assigned to research and expressing full support for a research program is desirable.

##### 2. By the AID Director

In implementation of Title V, Chapter 2 of the Act for International Development of 1961 and the Presidential statement of policy, the Director of AID should specify the details of an operational policy and allocate sufficient funds to inaugurate the research program at once.

The policy should specify:

- a. That research should have major priority in all activities of AID;
- b. The stimulation and support and/or conduct of appropriate research in the processes of development and development assistance are the responsibilities of AID;
- c. This research should be either conducted directly by AID or by means of contracts with or grants to United States or foreign academic and other appropriate institutions;

d. AID should mobilize the research talent of the United States and the developing countries and encourage the creation of such institutions in the United States and the developing countries, on a national and/or regional basis, as are needed to assess and conduct research;

e. Each advisor and technician of AID should have the responsibility for conducting research and stimulating and assisting research by the host-government officials and scholars with whom they work.

f. The records and archives of AID should be organized and maintained in such a way as they can be utilized for research and evaluation and these records and archives should be made available to accredited scholars upon application to the Office of Development Research and Assistance.

B. Organization and Procedure for  
Resources Preparation and Research in  
Public Administration

1. In the Office of Development Research and Assistance

a. Public Administration Research and Resources Unit. When the Office of Development Research and Assistance is organized, a Public Administration Research and Resources Unit should be created in it. This unit should be staffed with a sufficient number of qualified persons to conduct the proposed research preparation and research or stimulate and support these activities in academic, governmental, and private institutions in the United States and host countries. The Unit's responsibility should be to adapt this prospectus to the operational needs of ODRA and to the funds available, inaugurate the program, and oversee its implementation during the next decade.

It is proposed that a large part of the activities of this Unit be carried on by means of grants to or contracts with academic and other institutions. This proposal conforms with the conclusion of the President's Task Force on Foreign Assistance, Working Group on Contracting, which said that "AID will want to use the contract instrument in the future over a much larger range of activities than in the past."<sup>1</sup> Speaking of the need to expand research, the Working Groups recommended: "Broad multi-purpose grants . . . should be made to universities to help strengthen and enlarge their staffs in development fields. This is within AID's statutory powers if each grant or contract will serve a direct AID program purpose. More development research of many kinds and more teaching on the home campus on development subjects would lead to greater knowledge in this area both for university staffs and for the country as a whole."<sup>2</sup>

The Development Assistance Panel of the President's Science Advisory Committee maintained: "Such grants and contracts must be handled in a manner which will serve the long-term interests of the receiving institutions. A grant which merely obliges a university to transfer its activities from one field to another is likely in the long run to distort seriously the balance between educational and research facilities and to adversely affect its general academic stature. A university which is asked to engage in development assistance research should therefore be provided the means to add at the same time to its educational facilities and in general to retain its institutional equilibrium. Where it is necessary to accomplish this, or otherwise essential for

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<sup>1</sup>"Positive Contracting for AID: Marshalling and Strengthening the Nation's Resources for International Development," August 15, 1961, p. 19.

<sup>2</sup>Ibid., p. 78.

the successful prosecution of . . . [a research] effort, grants should be extended over a period of five to fifteen years."<sup>1</sup>

The following research and resources preparation should be done by grant or contract through the Research and Resources Unit in ODRA:

Country Collections

A Manual on Development Assistance in PA

Administrative Improvement in Developing Countries: Theory and Practice

Capture and Record Procedure

A Manual of Indigenous Resources: Their Preparation and Use

A Manual on Library Development

Glossary of Public Administration Terms

Basic Research

The following research and resources preparation should be done by the Research and Resources Unit in ODRA:

Library Service

Resources Service

Digest and Bibliography Service

Film Service

Orientation Kit, except for the Country Collections and Manual on Development Assistance in PA

Technical Guides and Manuals

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<sup>1</sup>"Research and Development in the New Development Assistance Program," Report of the Development Assistance Panel, President's Science Advisory Committee, p. 14.

Yearbook of Public Administration Assistance

Any or all of the second list of projects could be done under grant or contract. Depending on the size of the staff of the Public Administration Unit in ODRA, it may be preferable to contract the preparation of the Technical Guides and Manuals, parts or all of the Yearbook, the Resources Service or the Digest and Bibliography Service.

All of the work of the Public Administration Research and Resources Unit of ODRA should be closely coordinated with public administration officers in the regional units of AID, the public administration advisors in the field, and other research activities of ODRA.

b. Editorial Board. The program of research and resources preparation which is proposed should be implemented with the advice and assistance of an Editorial Board. This Board should report its recommendations to the Public Administration Unit in ODRA and through it to contractors, USOMs, and collaborating research groups in the host countries. The Board should recommend over-all research policy, advise in the implementation of the program, and evaluate the progress of the program.

The Board should consist of a representative of the Director of ODRA; a member of the Public Administration Unit in ODRA; a representative of one of the major private foundations; a representative of the Public Administration Division in the Bureau of Technical Assistance Operations, United Nations; three professors from three different universities involved in public administration assistance; one eminent practitioner of public administration outside AID; and the Chairman. The Chairman should be a professor from a fourth university.

The Editorial Board should meet approximately quarterly for about three days to review the program and recommend future activities. The Chairman, working on a one-third to one-half basis, should be in continual touch with the program assisting in its direction and supervision.

c. Other Activities. The Public Administration Research and Resources Unit of ODRA should do a number of other activities which will stimulate and contribute to the research program.

(1) The position of professor-in-residence should be created. Each year a different professor, interested and active in administration and the development process, should be brought into the Unit. He should not have an operating responsibility, but should be available to consult with the Unit and do research. In this way, a new perspective can be brought into the Unit. At the same time, AID can broaden the range of its contacts with American universities and stimulate greater interest in the AID program.

This professor might be used to carry on the Capture and Record Procedure in Missions where there is no university contract. He might be a member of the proposed Editorial Board.

(2) Outstanding public administration advisors, on rotation from one post to another, should be assigned to the Unit for periods of three months to a year, as required, to write up their experience and participate in the Unit's research programs. The professor-in-residence should be of assistance in these writing and research efforts.

(3) Still other outstanding advisors and AID officers should be assigned to the Unit for the purpose of taking a sabbatical leave in some university. During this leave, they should teach, write, and study in a way that their usefulness to the agency will be heightened.

(4) Research fellowships should be granted to outstanding graduate students which will allow them to study and travel in Washington, D. C. and the field, for the purpose of writing doctoral dissertations which relate to the interests of AID.

## 2. In the United States Operations Missions

Under the policy proposed, every public administration advisor and technician should be responsible for conducting research and stimulating and encouraging it among host-government officials.

Specifically, public administration advisors can assist in the preparation of the Technical Guides and Manuals, which should be written partially on the basis of questionnaires circulated among the Missions. They can also contribute to research through the Capture and Record Procedure.

The Working Group on Contracting of the President's Task Force on Foreign Assistance recommends that contract authority be decentralized to the Directors of country Missions.<sup>1</sup> If this recommendation is adopted, USOMs should enter into contracts with appropriate U. S. or host-government universities and institutions to conduct the basic research required to operate more effectively in that country.

## 3. By Host Countries

The most necessary research is that performed by officials and scholars in the host countries. Every effort should be made to stimulate, encourage, and assist research by host-country personnel. The Working Group on Contracting also proposes that contract authority be devolved to host-government agencies.<sup>2</sup> If this proposal is adopted, public administration advisors should encourage

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<sup>1</sup>"Positive Contracting for AID," op. cit., p. 49.

<sup>2</sup>Ibid., p. 55.

and assist host institutions enter into research contracts for the conduct of basic research. These contracts should be with either U. S. or host-country institutions.

#### 4. By AID Contractors

Reference has already been made to the use of the contract to have research conducted by universities or other institutions. The contract can be used in another way to do research. Every contract should have a provision obligating the contractor to add to the store of knowledge about the processes of national development and development assistance in the particular aspect covered by the contract. Continuously through the execution of the contract, not only at its termination, the contractor should be obligated to build in a system of "capture, record and analyze."

Furthermore, as is appropriate in the case of the particular contract the contractor should be required to do such basic research as is necessary for him to execute the contract effectively and to evaluate periodically his progress. Such evaluation should not substitute for AID and/or outside evaluation. This research and evaluation should be a normal and expected part of every contract. Any contractor who, although he successfully achieves the purposes agreed upon, does not at the same time add to the understanding of how, why, and under what circumstances he was effective should be regarded as not having faithfully executed the contract.

In the case of contracts with universities, there is an additional reason for insisting on research. When a university commits itself to an extended program of development assistance under contract, its faculty soon find that more and more of their time is spent on non-academic contract activities, either overseas or on campus. For limited periods, such activities may contribute to the

academic development of the faculty. Over a long period of time there is no doubt that the faculty's academic development will suffer. They are drawn into a great number of tasks which detract from their ability to keep abreast and continually improve themselves so that they can do adequately their professorial assignment. Over a period of time there is the danger that AID may find itself under contract with universities whose faculty, as a result of the contract, have deteriorated.

AID should insist that this not happen. The contracts should be designed so that AID can assure itself that the development of the faculty continues and in a way that serves the needs of the contract. The best way this can be done is for AID to require the university, through the contract, to engage in needed research.

#### 5. Liaison with Other Agencies and Institutions

AID and the USOMs must maintain constant liaison with other agencies and institutions engaged in research and the preparation of materials and resources which relate to development and development assistance. This objective is partially achieved by co-opting the representatives from certain institutions for the Editorial Board.

In addition, the Public Administration Unit in ODRA should institutionalize a procedure by which channels of communications and exchanges of information are established with the United Nations, the foundations, private and voluntary groups working overseas, universities, and others.

#### C. Priority of Production

Two criteria for the preparation of research and other materials were proposed: urgency and feasibility.

From the standpoint of urgency, the first priority should be assigned to the category of basic research, the second priority to the category of operational materials, approximately in the order listed, and the third priority to the category of resources and materials preparation.

From the standpoint of feasibility, the order should be reversed. The most feasible of accomplishment is the first category proposed, then the second category of operational materials, approximately in the reverse order, and last, basic research.

The production schedule recommended is a compromise between these alternatives:

Fifty percent of the funds available for research in public administration should be allocated immediately to basic research, beginning with the most urgent problems and those most feasible to solve. The remainder should be divided equally between the other two categories.

In the category of resources and materials preparation, the production schedule should follow the order:

1. Country Collections
2. Library Service, beginning with the public administration collection, then the country collection, then the general collection, and finally the acquisition service.
3. Resources Service
4. Digest and Bibliography Service
5. Film Service

By the end of the first year, most of the Country Collections should be compiled and distributed and one of the Library Service collections should be distributed. The

The entire list of Services should be in operation by the end of the third year.

In the category of operational materials, the first priority should be placed on the preparation of the manual on Development Assistance in Public Administration. The writing of this manual is a major project and should involve a number of persons. It will probably take two years or more to complete after the signing of a contract. The Capture and Record Procedure should be begun immediately and the Yearbook should be issued in the first year.

In the second year work should be started on the Technical Guides and Manuals, the Manual of Indigenous Resources, and the Manual on Library Development. In the case of the Technical Guides, a decade will be required to complete the list. The list is in the order suggested for preparation. The Manual of Indigenous Resources may take two years to prepare. The Manual on Library Development should take less than a year.

The Glossary of Public Administration Terms should be started in the third year. The manuals in the Orienta-tion Kit, which describe various resource and materials service, should be written in or after the third year when those services are in operation.

As the various manuals and monographs are completed by the fourth and fifth years, the percentage of funds allocated to basic research should expand.

#### D. Cost

The recommendation of the Development Assistance Panel of the President's Science Advisory Committee was that the AID research program begin with a first-year budget of \$50 million, which amount should rise to \$90 million by the fourth or fifth year. The Presidential presentation to Congress requested \$20 million.

The first-year budget for a materials preparation and research program in public administration should be \$1 million, which amount should increase in proportion to the yearly increase in the total budget for research.

Tentative estimates for the allocation of a \$1 million budget for resources preparation and research in public administration and for the publication and distribution of these materials are made on the Schedule of Priorities and Costs. (See Appendix I.)

APPENDIX I.

SCHEDULE OF PRIORITIES AND COSTS FOR A PROGRAM  
OF RESOURCES PREPARATION AND RESEARCH  
IN PUBLIC ADMINISTRATION

Years	Resources and Materials Preparation				
1	Country Collections \$10,000 x 20 = \$200,000		Library Service \$50,000		
2	\$10,000 x 15 = \$150,000		\$50,000		Resources Service \$50,000
3		Digest & Bib. Service \$40,000	Film Service \$20,000	\$30,000	\$50,000
4		\$40,000	\$20,000	\$20,000	\$50,000
5		\$40,000	\$20,000	\$15,000	\$50,000
6					
7					
8					
9					
10	As needed	Continuous	Continuous	Continuous	Continuous

## APPENDIX I. (Continued)

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Years	Operational Materials						Basic Research
1	Dev. Assistance in P.A. \$150,000		Capture & Record \$80,000		Yearbook \$20,000		Continu- ous through- out the decade, begining with \$500,000 a year, and in- creasing as other materials are com- pleted.
2	\$50,000	Tech. Guides \$30,000	\$80,000	Indigenous Resources Manual \$50,000	\$20,000	Libr. Dvlp. \$20,000	
3	Orientation Kit Manuals \$20,000	\$60,000	\$80,000	\$50,000	\$20,000	Gloss. of PA Terms \$20,000	
4	\$40,000	\$60,000	\$30,000		\$20,000		
5							
6							
7							
8							
9							
10	As needed	As needed	Continuous	Continuous	Continuous	Continuous	

## APPENDIX II

## SPECIFICATIONS FOR TRAINING GUIDES AND MANUALS

Each of the proposed guides and manuals should be prepared under contract with an individual, individuals, or institutions deemed qualified, ready and willing to conduct the necessary research, write up, and publish it in final printed form. The total cost to prepare each guide or monograph should average about \$10,000, including publication costs.

The contracts which are written to produce each guide or monograph should be written in such a way that the author or authors who have been selected to prepare it have sufficient flexibility to conduct the action-oriented research and develop the material in a way which is appropriate to intellectual inquiry. Each contract will vary somewhat depending upon the guide or monograph being prepared. However, the following specifications are suggested as appropriate for all contracts.

The purpose of this guide or manual is to assist in the orientation and training of U.S. personnel engaged in development assistance, host country personnel, and participant trainees. The guide or monograph should compile, describe, analyze, and reflect on the experience and insight of public administration advisors, recipients of development assistance in management improvement, and other observers and commentators on the process. These data should be gathered from a review of pertinent literature, the files of ICA (AID), including end-of-tour reports and debriefing tapes of public administration advisors, and other relevant documents. Whenever feasible the research should be collected in the field by means of interview and observation. Where field research is not possible, extensive use should be made of questionnaires.

Within each suggested subject-matter area each guide or monograph will be the first compilation in this form of assistance in management improvement in a developing country and should be written so as to constitute a significant contribution to the literature in the field and the practice of development assistance in the subject-matter area. Thus,

the monograph should distill experience to date, evaluate these experiences, and suggest the course of future work in the area as well as additional research which is needed.

Within the subject-matter area of each guide and monograph, as is appropriate, there should be a discussion of the desirability of and methods for:

1. Identifying needs;
2. Establishing appropriate policies and programs;
3. Establishing appropriate organizational arrangements;
4. Implementing the policies and programs through the organization;
5. Recording and reporting on accomplishments;
6. Preparing necessary issuances and other appropriate media for disseminating the technical knowledge;
7. Evaluating the results of the management improvement activities.

Such additional information and discussion as is especially appropriate for each monograph should also be included. Each monograph should contain an annotated bibliography of pertinent source material and suggestions for further study.

These monographs should be written in consultation with host-government officials. The authors of all guides and monographs should collaborate with ICA (AID) staff in the preparation of the outline for the monograph, selection of resources to be used, and the style and format of the monograph. It is assumed that the authors will undertake travel in the collection of basic data.

Each guide or monograph should be approximately one hundred pages long and should take between nine and twelve months to complete. At approximately the half-way point in

the period of production, the authors should submit an outline of the monograph together with a list of the sources being used. This tentative and preliminary statement should inform ICA (AID) of the course of the study and provide an opportunity for the agency to suggest possible revisions and improvements to make the study most useful to the agency. At the three-quarter mark in the contract, the authors should submit a final draft of the manuscript to the agency for review and comment. Such changes as are appropriate should then be made and the authors should submit, at the conclusion of the contract period, 1000 copies of the monograph printed and bound in the format and style agreed to.







