

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON, D. C. 20483  
BIBLIOGRAPHIC INPUT SHEET

FOR USE ONLY  
Bates 32

1. SUBJECT CLASSIFICATION	A. PRIMARY	TEMPORARY
	B. SECONDARY	

2. TITLE AND SUBTITLE  
MUCIA program of advanced study in institution development and technical assistance methodology; annual report 1973/1974

3. AUTHOR(S)  
(101) MUCIA

4. DOCUMENT DATE 1974	5. NUMBER OF PAGES 29p.	6. ARC NUMBER ARC 309.223.M629
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7. REFERENCE ORGANIZATION NAME AND ADDRESS  
MUCIA

8. SUPPLEMENTARY NOTES (Sponsoring Organization, Publishers, Availability)  
(Activity summary)

9. ABSTRACT  
(Public administration--R & D)

10. CONTROL NUMBER PH-AAB-743	11. PRICE OF DOCUMENT
	12. DESCRIPTORS
	13. PROJECT NUMBER
	14. CONTRACT NUMBER CAD-2058 21(4)
	15. TYPE OF DOCUMENT

A. Title Page

309.223

M629

Oct. 1974

211(d) Annual Report  
Due: October 30, 1974  
Submitted: October 12, 1974

**Grant Title:** MUCIA Program of Advanced Study  
in Institution Development  
and Technical Assistance Methodology  
(PASITAM)

**Grantee:** The Midwest Universities Consortium  
for International Activities, Inc.

**Director:** William J. Siffin

**AID Sponsoring Technical Office:** Program and  
Methodology, Technical Assistance  
Bureau

**Statistical Summary:**

**Grant Period:** 28 May 1971 - 27 May 1976

**Amount of Grant:** \$1,000,000

**Expenditures:**

**Report year:** 330,818

**Accumulated:** 570,600

**Anticipated for next year:** 260,000

Reference Center  
Room 2656 NS

## B. Narrative Summary

Major concerns of the 1972-73 operating year included the shaping of a viable strategy for pursuing grant objectives, the establishment of our identity within the large and complex set of MUCIA schools, and the identification of projects and participants for our program.

During the past year, we have concentrated on the establishment, support, and supplementation of concrete projects whose products will be central to the service of our objectives. More than 20 percent of our grant was allocated to a set of projects detailed later in this report. By the year's end, about \$274,000 had been invested in projects. This is about \$126,000 less than was projected a year ago. In part, this reflects a decision to fund initial phases of promising projects, and to reserve funding decisions about later phases until promise and progress can be assessed. In part, too, this shortfall of projected expenditures reflects the fact that a complex 211(d) program is not subject to neat, determinate fiscal programming, except perhaps at the expense of quality.

Projects have been developed with the aim of crosshatching abstract and theoretical efforts with work that is rooted in hard empirical realities. By now, the general framework of project efforts has been relatively well delineated, although a few initiatives remain to be considered.

Headquarters functions and capabilities have been developed, during the year, to match and complement project work. It has become clear that the results of individual projects are often in a form that limits their utility to serve grant objectives. Transformation of findings (e.g., into training materials) is sometimes essential. Correlating of results of several projects is likely to be useful. Supplementation of project work with other synthesis and analysis is important as well. The headquarters functions of PASITAM are being developed to meet these needs.

During the year just ended, we also made certain important steps towards the dissemination and application of products. This included participation in training efforts, some of it in collaboration with LDC institutions, and the conduct of a pilot training workshop. A number of papers was prepared and used. More are forthcoming.

Finally, we have begun to shape that phase of our strategy which looks toward the testing and application of the knowledge and expertise developed under the terms of this grant. Our success here will largely determine whether the entire effort is to be justified by results and effects.

## **C. Detailed Report**

### **1. General Background and Description of Problem**

The experience of the Agency for International Development through the 1960's indicated that there were both needs and opportunities for strengthening the quality of technical assistance efforts, including the efforts to establish or modify "institutions" as instruments for development. It was assumed, too, that these needs and opportunities could be served, at least in part, through academic resources.

Agency concerns were stimulated by a number of studies of past experience with institution-building efforts, particularly in the field of agriculture. Thus, by contract, AID undertook a massive review of experience in the development of institutions for agricultural education, research, and service in many parts of the world. This study of institution-building marshalled a variety of lessons from experience and suggested in some quarters the need for improved knowledge of institutional design and development. The Agency also undertook a comparative study of its experience with the development of agricultural extension services in the Andean countries. This study indicated, among other things, that existing knowledge about institution-building strategies was limited in its power to guide successful institution-building technical assistance efforts. Also, other studies--notably including the Spring Review of such topics as land reform and cereals--reinforced convictions that (a) institutional aspects of technical assistance efforts are matters of great importance, about which more knowledge is needed; (b) that there are related needs for practical knowledge of other aspects of technical assistance methodology; and (c) that these needs would be better addressed through a 211(d) grant than through additional research.

During 1970 the import of these assumptions was examined inside and outside the Agency and exploratory discussions were begun with the Midwest Universities Consortium for International Activities. In April, 1971, a grant of \$1,000,000 was made to MUCIA for a Program of Advanced Study in Institution Development and Technical Assistance Methodology (PASITAM).

### **2. Purpose of the Grant**

The general intent of the grant is to establish a program "to strengthen the expertise of the Midwest Universities Consortium for International Activities in institution building and technical assistance methodology. The end-of-project status indicators are, in essence:

(a) the existence of a set of materials that can be used in training and education that addresses key factors involved in institution building and the design and implementation of technical assistance efforts.

(b) the existence of a training and educational capability, within MUCIA and elsewhere in collaborative institutions, to address program concerns.

- (c) the existence of practical tools of demonstrated use in institution-building technical assistance efforts
- (d) the existence within MUCIA of consultative capability that can be applied to institution-building technical assistance efforts as a consequence of this program
- (e) the existence of a documentation and analysis center capable of providing selected and evaluated information pertaining to the concerns addressed in this program; and
- (f) an on-going set of linkages with institutions engaged in technical assistance, and in training, education, and research pertaining to institution-building technical assistance, through which useful knowledge is generated, disseminated, and applied.

### 3. Objectives of the Grant

As indicated in the grant proposal, the purpose of the grant is to strengthen MUCIA's competence and enhance its capability to:

- (a) Conduct research and development which concentrates on such activities as the study of the process of institution building and the development of advanced models of that process. The program will also be concerned with adapting the experimental method to the analysis of technical assistance projects, defining the patterns of relationships and interactions between technical assistance advisors and their counterparts, and comparing the effectiveness of various approaches to the selection and training of technical assistance personnel;
- (b) Disseminate the results of such research and development effort through various types of training and educational activities, publications, consultation, and advisory services; and,
- (c) Collect and catalog relevant research findings and develop a retrieval system that will facilitate ready access to these findings.

Several areas of activities have been chosen to advance the objectives of the grant. These include:

- (a) Studies, and analyses and syntheses of studies, of institution-building.
- (b) Studies and other activities to adapt the scientific experimental method to the special requirements of technical assistance.
- (c) Studies of the roles and relations of technical assistance personnel as these affect institution building and the effectiveness of technical assistance efforts.
- (d) Studies and related efforts to contribute to the effectiveness

of personnel collaborating in technical assistance type activities, including institution building.

These areas of activity, set forth at pages 2 and 3 of the grant document are addressed through four related types of functions: research investigations, documentation and analysis, training-oriented efforts, and program development.

The substantive subject-matter upon which efforts have focused include: agriculture and rural development activities; health delivery; education; and science development. Much of our work has concentrated upon methodological concerns, including the development of practical dimensions of institution building theory. Thus we have, during the past year, worked on basic theory of institutional analysis and design; critical quasi-experimental methods to project design and evaluation; the application of systems analysis to development projects and programming; and the design of organizations for development. We have begun the work of producing certain "derivative products," such as a sourcebook and a casebook, as well as other materials with intended practical use.

During the past year we were guided in our efforts by this conception of our purpose: In essence, the needs and opportunities confronting technical assistance methodology--and institution building as well--are for the improved design of concrete activities of technical assistance, including institution-building efforts. The design perspective views these as problem-oriented. Design starts with the "definition" of the problem or problems to be dealt with. It continues through the identification of possible responses and the selection of a mode of action. And it extends to implementation--for these efforts, in such complex fields as technical assistance and institution building usually involves a continuing redesign and adjustment as efforts proceed to implement an initial plan of action. These modifications in turn depend upon management, especially that facet of management which is called evaluation.

This "design perspective" provides the basis for a general approach to the set of objectives specified in the grant. It is linked with a set of critical assumptions. These include: (a) access to concrete experiences from which improved lessons can be drawn, and (b) opportunities to "test" or validate tentative findings and prescriptions, in association with practitioners and otherwise experienced persons.

To this point we have had no difficulties in obtaining valuable cooperation from AID personnel, and have benefitted from Agency documentation as well as personal encounters. This has been particularly true in the field of agriculture and rural development.

To this point we have sought only the most limited opportunities to test and evaluate the usefulness of our work in practice. During the year just past, our efforts have concentrated upon the development of product. In the months ahead, testing and validation will become more important. We perceive as valuable ways to obtain such assessment seminars, conferences and training efforts.

#### 4. Accomplishments

The major accomplishment of the program during the past year was the establishment of seven projects, funded for a total of \$208,978, to serve program objectives. These projects will come to completion at various intervals between October 1974 and December 1975. Their products, and those of certain additional undertakings, will be adapted as appropriate, and made available as useful demonstrations of the expertise developed through the program.

Some "delivery" of the products of expertise has already begun, as noted in the section dealing with utilization of institutional response capabilities.

Objective/Output #1: Research and development re institution-building models and processes.

Outputs during the year included draft products (partial and preliminary reports) from projects initiated in the prior year. These included portions of a major study of the theory of institutional analysis and design (Ostrom/Hennessey project); a draft report on the analysis of the planning of institution-building rural development projects (Blue/Schmid/Wynia/Coyer project); and draft materials from the project concerned with the design of effective rural health delivery systems for poor countries (Wallace/Leone project).

These products are subject to refinement during the year ahead. They are also supplemented by other projects, initiated during the year, and focusing upon aspects of the objective of improving our knowledge of institution-building models and processes.

Targets for the year in this program area included:

- (a) Refinement and development of an institution-building model.
- (b) An effort to make practical applications of "systems" techniques to institution-building projects.
- (c) Application of organization theory to institution-building models and processes.
- (d) Two or possibly three analyses of concrete institution-building experience in the fields of agriculture and education.
- (e) At least one pilot workshop at which institution-building aspects of technical assistance and development would be examined systematically.
- (f) A study of the factors involved in successful building of public enterprise-type institutions in developing countries.

The intent was to establish six or seven projects, funded at the rate of \$25,000 to \$30,000 per year, and scheduled for completion not later than January, 1975. In addition, a direct headquarters program development

effort would concentrate upon refinement and extension of the institution-building model and the production of useful materials through conferences and discussions with prospective users of products. Critical assumptions were, in addition to those stated earlier, the willingness and availability of competent, experienced personnel, primarily within the MUCIA schools.

Accomplishments were substantially in keeping with expectations:

(a) Sketching and testing of improvements to existing IB models was initiated at headquarters. Papers were written and discussions held with various groups of practitioners and experts. These included discussion of the IB model at the annual review of contract projects by TAB's Office of Science and Technology; at a conference of the directors of about fifteen Asian management training institutes, and at meetings of the American Society for Public Administration, the National Academy of Management, and the Sixteenth World Congress on Administrative Sciences. This work will continue through the 1974-75 year. Accomplishments to this point are reflected in a series of papers which have been produced and circulated, and by draft materials not yet ready for release.

(b) After extensive discussions, a project was initiated in August, 1974, under which two young professors at the University of Wisconsin will apply systems concepts and techniques to institution-building processes (and possibly to other technical assistance processes). Their work will be informed by continuing association with Wisconsin colleagues experienced in agricultural and rural development efforts, and in health delivery through technical assistance. This project is scheduled for completion by August, 1975. It will be internally verified as it proceeds, and be subject to external review upon completion. The above-noted critical assumptions apply. The projected total expenditure is \$32,930. Of this sum, only nominal outlay had been made by the end of the reporting year.

(c) An organization theory project was initiated in the reporting year, after explorations and planning with Professor Chadwick Haberstroh at Wisconsin. The schedule calls for project completion by the end of December, 1975, and for a preliminary report about midpoint of the project. This report has been received, and the project appears to be very much on target. Results will be assessed and verified through a workshop about the time of termination. Funding is set at \$26,800.

(d) A study of the design and effects of international intermediaries for transferring agricultural technology was initiated in July, 1974. A separate study of public enterprise institutions in agriculture, focusing initially upon irrigation, was initiated in January, 1974. And a case study of educational reform in Bolivia was initiated in August 1974, using an institution-building model.

The international intermediaries study is scheduled to run from July, 1974 through August, 1975. One preliminary paper has already been produced, and will be subjected to validation at an international conference in the autumn of 1974. Important to the pursuit of next phases of the project will be access to field sites. Project cost is set at \$26,740, of which little had been disbursed by the end of the reporting year.

The public enterprise project is scheduled to run from January 1974 through December 1975. It will involve an international seminar at the University of Minnesota and a number of related investigations of aspects of the problem of designing effective organizations of this type to serve important program purposes. While the project was approved in January, 1974, serious work did not begin until later in the reporting year. A recent review of the project indicates that it is well along in its design phase, however, and work subject to internal verification in seminars and related discussion has begun. Critical assumptions affecting the project concern the availability of relevant data, the collection of which is now underway. The project has a two-year budget of \$49,000.

The third project in the group, an institution-building case study, was only getting underway at the year's end. In the hands of experienced practitioners, and linked with a graduate seminar in education at Indiana University, it appears to be well designed and likely to produce useful materials. Access to the field will be important to project success. The work is subject to internal verification through seminar and management evaluation; and to external verification through a suitable workshop. The project budget is set at \$11,768. In addition, a graduate research assistant carried on the headquarters staff is assigned to the project.

(e) An experimental workshop in design for rural development, with attention to institution-building implications, was held for ten days in August, 1974, at Michigan State University. Project planning began early in the year, and the project was officially approved in April, 1974. Participants were experienced LDC officials in this country for advanced graduate training. Materials from the workshop were being reviewed and analyzed by headquarters staff at the end of the reporting year. A member of the headquarters staff had been assigned to develop for further training use materials produced in connection with the workshop; and another round of training is in early planning stages for the coming year. Meanwhile, the utility and soundness of initially prepared materials will be verified. Critical assumptions for the future are access to suitable participants in further training. The initial project was budgeted at \$33,040. It is anticipated that much less than this was actually spent.

Certain Other Activities were developed during the year, in the service of this project objective. A member of headquarters staff was assigned to work with Professor Michael Moravcsik, Department of Physics, University of Oregon, in the development of a monograph on the institutionalization of science in developing countries. This work, involving a draft prepared independently by Moravcsik, will be subjected to validation at a workshop in November, 1974, involving MUCIA academic participation. A report is scheduled for issuance in May-June, 1974, at which time an international meeting will be held to ascertain the acceptability and soundness of a set of positions concerning the institutionalization of science in the service of development.

Headquarters also began work pointing toward the issuance of a second Sourcebook on Institution Building, which will be organized around a revised and extended model, and supplemented by a Casebook drawn in part from official reports and existing studies.

The Documentation and Analysis Center continued to identify relevant materials. And headquarters issued a case study in institution building, prepared jointly by Professor William Thompson of Illinois, Professor Lawrence McKibben of Indiana, and Rector Choop Karnjanaprakorn of the National Institute of Development Administration, Bangkok. Cost of the study was underwritten from non-grant funds.

Objective/Output #2: Adapting the experimental method to the analysis of technical assistance projects.

The objective for the reporting year was to identify one or more scholars within the MUCIA framework with the appropriate competence, and to develop a project that would provide knowledge both basic and useful concerning this subject. Professors Frank Hoole and Brian Job were invited to participate in a project, which would involve the systematic analysis of actual experience of technical assistance agencies, including the World Health Organization and the Agency for International Development.

An important element of the verification of the project was a conference on the proposed method of analysis, held in August, 1974, at which the leading American experts participated. Following this, the main body of the work began at the end of summer. A report is scheduled for June, 1975, at which time another round of verification will take place, involving technical assistance agency personnel. A handbook for project designers is anticipated as one product. The project is budgeted at \$28,600.

Objective/Output #3: Dissemination through training, education, publications, and otherwise.

As noted above, certain dissemination arrangements are incorporated in individual projects. But it is also recognized that separate dissemination of results is an important feature of the program, involving in some cases the transformation of products from individual projects into forms suitable for training, education, and other uses. As a result, dissemination is itself a separate objective of the program.

Major emphasis upon dissemination necessarily follows after the projects which produce the materials. During the reporting year, therefore, targets were quite limited, and the main concern was to establish an auspicious basis for future dissemination. At the same time, some dissemination was built into individual projects, through seminars conducted as parts of the efforts. Thus the Ostrom/Hennessey project involved a year-long seminar at Indiana on institutional analysis and design. The spread effect of such dissemination is, however, quite limited. The major target was to plan for the future to be as certain as possible that the basis for dissemination would be built into individual projects.

Dissemination targets for the year included:

- (a) Distribution to appropriate persons and organizations of existing materials, notably the institution-building source book.

- (b) Dissemination of information about the program within MUCIA
- (c) Dissemination of statements developed in model-building efforts to professional groups, to inform and to obtain critical reactions for verification purposes.
- (d) Informal dissemination of information and materials to colleagues in AID.
- (e) Pilot training efforts.

Accomplishments included: Distribution of materials, including the Source Book to all FAO project managers in charge of institution-building projects in the field, and to headquarters officers responsible for backstopping those projects.

Also: Distribution of a statement, PASITAM Project Opportunities, 1974-75, to approximately 200 MUCIA faculty members.

As noted earlier: preparation of papers and participation in discussions at several conferences. In addition, material on institution-building approaches to management training was provided for CAFRAD, an African regional training, research, and service organization with approximately sixteen member countries, for use in a training program.

Finally, a one-day presentation on institution-building strategy and tactics was made at a training program for labor union leaders from Latin American countries, at the AIFLD training center at Front Royal, Virginia. (The effort led to a request for a repeat performance in October, 1974). And, as noted in reference to Objective #1, a pilot training project was established during the reporting year, and a training workshop was conducted.

##### 5. Impact of Grant Supported Activities in Achieving Grant Purpose.

We believe that the year's program represents significant contributions to grant objectives. A conscious effort has been made to balance abstract "theoretical" efforts with experience-rooted studies. A small but strong central staff has been developed, with the aim of guiding and monitoring the program, but also to contribute substantive products and to produce useful syntheses of the results of individual projects.

An advisory committee, with representation from all five MUCIA schools, proved to be a strong and helpful source of recommendations, evaluation, and support. Along with MUCIA liaison officers, it furnished essential linkages with the individual MUCIA schools, helping identify talent and stimulate the development of useful projects.

The trend of the past year--toward a substantial use of headquarters staff as a programmatic resource (as distinguished from management per se)--will continue to grow during the final period of the project; for we have come to recognize that the synthesis and transformation of project products is sometimes as important, and demanding, as the projects themselves.

## **6. Other Resources for Grant-Related Activities.**

It is difficult to quantify them, but MUCIA and program headquarters have provided significant contributions. As noted, MUCIA funded the case study of the National Institute of Development Administration issued by PASITAM.

MUCIA projects, particularly in Thailand and Ethiopia, provided valuable access to relevant experience, at no cost to us. MUCIA councils, including particularly the Health Council, which has evolved into a Center, afforded important contacts and associations.

Administration of the program at an established institute within one of the MUCIA schools also provided benefits that cannot be measured in terms of the funds involved. Non-211(d) Funding listed in Table 1 is based upon a calculation of the usual 60% indirect cost, based on salaries, normally added to contracts which is foregone under MUCIA arrangements.

## **7. Requests for Assistance Received During September 1973-August 1974**

(a) American Institute for Free Labor Development. Request for training on the practice of institution building. Four man-days of effort, plus travel. Approximate cost: \$750. Funded from grant. Results: request for repeat performance. Also draft preparation of materials that will be issued by PASITAM in 1974-75.

(b) Asian Centre for Development Administration, Kuala Lumpur. Request for assistance in designing the institution building/rural development sector of the Center's program, and for specific inputs into a training program on institution-building approaches to management. Assistance to ACDA and to fifteen heads or deputy directors of public management training agencies in Asia. Funded from grant, plus travel funds from United Nations' Public Administration Division. Approximately ten mandays of headquarters staff time, and grant fund costs of about \$1,000. Results: paper prepared and circulated. Used, for example, by CAFRAD at an African regional training program at Tangier. Material being published for continuing use by both ACDA and CAFRAD.

(c) Design of an institution-building oriented CENTO regional management survey, at request of USAID. Requested by AID, Asia Technical Support Office. Purpose was to respond to a resolution of the CENTO ministers, calling for establishment of a regional industrial management training arrangement. A survey design was prepared. About ten mandays effort and costs of about \$1,000 were incurred, and funded by AID from non-grant money. Results were limited, as the survey was cancelled, due to political developments in the CENTO region.

(d) Assistance in design of a portion of the Technical Generalist training program, USAID Division of Manpower Development. A discussion paper was prepared, as a contribution to Division planning of a major forthcoming training effort for USAID field personnel.

The request grew out of the division director's participation in an annual review of our program. The effort, involving about three mandays, was funded out of grant resources. Results not known at this time.

(e) Assistance in information system design within AID. For Program Methodology Division, Technical Assistance Bureau. A day's discussion with a staff member took place in Bloomington, and a paper on information system design was prepared by the heads of a PASITAM project with extensive experience in the use of AID documentation. About ten mandays was involved, at an estimated cost of about \$1,000, absorbed out of grant funds. Results of assistance not known to us.

(f) A presentation of institution-building concepts and strategy was made to the annual review meeting, of USAID Science and Technology contractors and grantees, at request of the director, Office of Science and Technology. A briefing paper was prepared and discussed. About three mandays of time was assigned, and costs, including travel, approximated \$700.

(g) For the Office of Development Administration, the draft report of the Harvard Business School project on a coordinated commodity systems approach in agriculture was reviewed and critiqued. About five mandays were applied, including discussion of the report and critique. Cost of about \$750 was borne by AID out of non-grant funds. Results were reflected in (a) revisions of the redrafted report, and (b) an addition to our knowledge of certain aspects of applied technical assistance methodology.

(h) During the year, at the request of Practical Concepts Incorporated, an AID contractor, we participated in a "collegium" intended to serve as an advisory committee and verification group, for a project aiming at producing criteria for institution-building evaluation of health delivery projects. About 12 mandays of four persons was involved, and costs of about \$1500 were absorbed by the grant. Results are not yet known, although the project report is being awaited.

(i) From time to time, informal requests were received from the Technical Assistance Bureau of AID, including its Methodology Division. These included the review of a draft report on the orientation of technical assistance experts to their overseas roles. In this case, results appear to have been a decision to arrange a substantial reworking of the draft. In general, we try to maintain collaboration with the Methodology Division as a key linkage with AID.

Requests for information from the DAC in the past year have been made in the following categories: requests for DAC publications: Source Books, for publications other than the Source Book, for bibliographical information, information on institution building, requests for documents from other libraries, especially AID Reference Center.

The Source Books have been sent to advisory board members, project directors or others working closely with PASITAM. Some requests, i.e., from MUCIA faculty for classes; FAO/Rome for project directors, involved multiple copies. Other requests came from US and foreign universities; US organizations, such as the National Association of US Directors of International Agriculture Programs, Family Health Foundation; foreign organizations such as Central American Institute of Public Administration, Asian Center for Development Administration as well as the Ministries of Planning, Education and Agriculture of several foreign countries. Second to the university requests in number were those from international organizations including UNDP/Philippines, Yemen; ILO; USAID/El Salvador, Ethiopia, Panama; Economic Development Institute, FAO, Inter-American Development Bank, UNESCO, International Development Association.

Often as a result of the Source Book contact and sometimes through faculty, personal or training contacts we have received requests for copies of publications held in the DAC, including those produced by PASITAM. At the workshop the DAC maintained a resource center for DAC materials on rural development, answered questions, and disseminated a brochure about DAC materials, services and procedures.

Bibliographical requests have come mainly from within PASITAM, from staff as well as project directors at IDRC. Some requests have come from those who have received the Source Books and want to know about other publications dealing with, for instance, agricultural planning or population. These requests have also come from graduate students mainly at Indiana University, but also from U.S. and foreign universities.

Most of the bibliographical information has dealt with institution-building publications, i.e., what publications contain critiques of the institution-building model. These reference requests have come in the form of letters, visits to the DAC, telephone requests have come from graduate students, project directors, staff, an AID researcher and MUCIA faculty.

**8. Next Year's Plan of Work and Anticipated Expenditures**

**Objective Output #1: Research and development re institution-building models and processes.**

The general strategy during the coming year will be to attempt to synthesize the products developed thus far which contribute to the conceptual advancement of the institution-building model. Almost all headquarters programs and subgrant projects have the potential of contributing to this objective, whether they be general theory-building efforts such as that of Ostrom and Hennessey's seminar and manuscript on institutional analysis and design, efforts to apply a framework to a class of cases such as Blue, Schmid, Wynia, and Coyer's analysis of wheat productivity projects, case studies such as Bholi and Thornton's of the reform of Bolivian educational institutions, particularly the National Ministry, or concern with improving technical and developmental assistance for strengthening the institutional base of sciences in LDCs.

During this year the director and associate director will play more active roles in attempting to organize seminar and conference activities among grantees and selected external experts to maximize convergence of conceptualization and the preparation of utilitarian products. Especial attention will be given to producing the maximum useful interaction among grantees on a given campus.

1. In late fall, a conference of grantees whose work contributes toward a reconstruction of the institution-building conceptual framework will be held at the University of Minnesota. The aim will be to explore the areas of conceptual overlap and complementarity of the work of four projects and to consider in particular how adapted products can be developed for use in training and analytical work. The expenses will be covered by the PASITAM headquarters program development budget and should not exceed \$1,000.
2. In late October, a meeting will be held at the University of Wisconsin to facilitate interaction among three subgrant projects underway on the Madison campus. By this means it is hoped that the work of the systems scientists concerned with analytical tool development can be applied to some emerging opportunities for applications to rural health delivery systems. The costs in this case involve simply those of PASITAM staff travel.
3. A conference in January or February on development aspects of public enterprise will be held at the University of Minnesota involving a number of outside experts as well as several subgrantees. The cost of between \$1,500 and \$2,000 will be paid from the subgrant funds.
4. In December of this year, a conference will be organized to examine the results of the subgrant project on goals analysis in the design and management of development assistance agencies. The cost of this conference, which should not exceed \$1,000 will be carried by the PASITAM headquarters as a program development activity.

5. Once monographs or handbooks are in sufficiently complete form, an effort will be made to expose them to systematic scrutiny of potential users in order to provide suggestions both for their further adaptation and for needed related materials which may be developed during the remainder of the PASITAM grant period. For example, following its completion late this fall, the report of the Blue, et al group on the Design of Agricultural Projects will be circulated for comment and, if possible, a one-day conference organized in Washington, D.C. to obtain responses from international development agency agricultural experts on the validity of the findings and the utility of the analytical framework employed and the hypotheses derived. The support of such a conference has been budgeted in the PASITAM headquarters' program development funds. Several such conferences should not entail an expenditure of much more than \$4,000, since travel costs would be minimized by choosing a site most convenient for the invited experts.

6. A conference furthering program development concerning the modes and impact of assistance for the development of an institutional base for basic and applied sciences in less developed countries will be planned at a meeting in early November of a small group of experts from the major agencies involved. This planning meeting of fewer than a dozen persons will cost less than \$1,000 and will be paid from the PASITAM budget as have other costs incurred in this project thus far. As mentioned above, the conference will be coordinated with the publication of a major "state of the art" book by the well-known international scientist, Dr. Michael Moravcsik, which is being supported by Indiana University's International Development Research Center, the host of PASITAM administration. The conference itself will be held in May of 1975 around a carefully focused agenda to be specified at the earlier planning meeting. Several papers may be commissioned to extend and supplement the Moravcsik work. Representatives from the major agencies involved in science assistance will be invited. The conference expense will be considerable since several international experts will be supported. About \$6,000 seems a likely minimum. These funds have been budgeted in research consultant and travel portions of the headquarters funding for the year.

The above listed activities focus not only on institutional design in general in developmental and technical assistance efforts but, we believe, necessarily are concerned with specific sectors of such efforts such as agricultural, science, health, and education.

In addition to the work discussed above, two program activities attempt to extend or supplement the institution-building perspective by systematically attempting to apply two well-developed perspectives and bodies of findings to problems of the design, management and evaluation of institutional and organizational arrangements for technical assistance and development: (1) organization theory and (2) systems theory.

7. During December the director and three consultants will devote substantial effort to the work on a book on design of development organizations which will apply the perspectives of public administration and organization science to the conceptualization and explication of the design process. A book-length manuscript will be completed in first draft by early spring, 1975. Present estimate of the total cost of this project during the next year is \$25,000 in travel and consultants fees and proportionate value of the director's time.

8. A subgrant has been given to two industrial engineers at the University of Wisconsin for the development of analytic tools for project design and monitoring. They will direct an advanced seminar during the spring semester, 1975, which will focus on the application of systems modelling to the analysis of selected development projects with the objective of constructing and testing tools which can be provided to responsible officials in project design and evaluation. The total expenditure of this grant of \$32,930 will occur during this program year.

Finally, three subgrants should be mentioned which will develop case studies related both to institution building and project design and to donor agency-counterpart interaction:

9. A product of the University of Minnesota subgrant project on public enterprise will be an institutional analysis of wet-rice irrigation systems in Taiwan and Japan and the implications for integrated rural development planning.

10. The subgrant to Indiana University which will produce a case analysis of reform of the Bolivian Ministry of Education's organization of rural education will also support a seminar on aspects of rural education and traditional culture in the design and implementation of rural development. Satisfactory progress in this project will result in further funding of about \$10,000 following the original subgrant of \$11,768 which will be expended during the forthcoming year.

Objective Output #2: Adapting the experimental method to the analysis of technical assistance projects.

The work on the application of quasi-experimental method in the design and evaluation of development projects will proceed during the coming year on two fronts. One investigator will work chiefly with AID resources to learn more of the AID logical framework, attending a training session in Washington in November, and to discover projects whose data may be amenable to quasi-experimental treatment. The other investigator will work from Geneva using WHO, ILO, FAO and UNESCO projects which fit the requirements for this analysis. Their efforts will be combined again in the late spring of 1975, at which time a first draft of a handbook with examples will be prepared. Should this work covered by a subgrant of \$28,600 prove successful, funding will be supplemented with another grant of about \$10,000 to carry preparation of the handbook to its final stage. A major conference of experts and potential users will be a part of this validation. Efforts will then be made to disseminate the resulting product wisely to project planners and evaluators.

**Objective Output #3: Dissemination through publications, workshop and training**

**1. Publications.** The experience of the last year, particularly as summarized at the annual project review conference in September, 1975, indicates the need for an expanded role of the PASITAM Documentation and Analysis Center as an adapter of subgrant project products if they are to be of use to development and technical assistance personnel. The editing and publications management capability of the International Development Research Center is a valuable resource which has supplemented these efforts and will continue to do so. The following products are anticipated during the coming year:

1. Report of Design Workshop on Agricultural Development Projects	December	\$1,000
2. Report on Design of Agricultural Projects(Blue, et al)	January	1,000
3. Handbook on Institutional Analysis and Design (Ostrom, Hennessey, Loveman)	August	1,500
4. Handbook on Goal Analysis (Haberstroh)	May	800
5. Several Papers on Aspects on International Research Intermediaries in Genetic Innovation and Transfer (Swanson)	Spring & Summer	1,000
6. Science Development (Moravcsik)	September	IDRC supported
7. Papers on Assistance for Science Development: Conference Report	September	1,000
8. Case Study of Indian Literacy Institute(Bhola)	January	1,000
9. Case Study of Bolivian Education Reform(Thornton,Bhola)	January	1,000
10. Design for Development (Siffin, Backoff, Levine, Landau)	Draft by April	(Supplies Only)
11. Report of External Committee Evaluation Conference	July	500
12. Handbook on Quasi-Experimental Evaluation of Development Projects (Hoole and Job)	September	1,500
13. Papers Derived from Projects or Special Subgrants	During year	400 each
Use of Consultants in Project Design		
A Teaching Simulation of Project Design Interaction Process		
System Tools of Project Design and Analysis		
Critique of the IB Model from the Organizational Innovation Perspective		
A System Analysis of a Rural Health Delivery Program		

**Guidelines for Task Environment Assessment in Project Design  
Analysis and Choice of Technology in Project Design  
Linkage Making and Management in Developmental Projects  
Leadership in Institution Building and Technical Assistance  
Arrangements  
Technical Assistance: Effects of the Donor Agency Inner  
Environment upon the Process**

In addition to the above, substantial work will be accomplished on preparing, by late next summer, the first drafts of (1) a second Source Book on Design for Development, which will not only update the Blase Source Book but extend its framework, and (2) a Casebook which will contain a dozen or more case summaries of projects having particular strategic lessons for the design of development assistance arrangements. Both of these products will be results of the continued monitoring of several dozen relevant publications, both academic and applied.

While more effort will be devoted by staff to the production of original products as noted above, the DAC will continue to meet requests for materials from its collection on institution building and to collate and adapt these for training and workshop activities.

As part of the general effort to enhance dissemination, additional efforts will be made to establish contact and exchange relationships with development research and training institutes having missions involving institutional and organization design and management aspects.

2. Workshops and Training. Workshop and training activities anticipated during the next year involve three different but related tasks: consultation, training materials development and dissemination, and the planning and management of at least one workshop.

(a) Consultation will be continued as required with AID's Division of Manpower Development in the design of its technical generalist training program. In addition, contact established with ACDA (Kuala Lumpur) and CAFRAD, Tangier will be maintained regarding possible inputs into their training programs. A new full-time staff position will be filled in October with a qualified person who will undertake additional contacts with the major development training institutes overseas as well as in the U.S. The objective is to develop mutually beneficial exchanges which will allow PASITAM to effectively disseminate and test materials while at the same time gaining more knowledge of the task environment and operational modes of development professionals here and abroad.

(b) The production and dissemination of reports is not the same task as providing training materials. Different skills and experience are required and a different process of validation is involved in preparing and testing training materials. In many cases

subgrant projects will lead both to reports and to training materials. A good example is the Blue et al study of the design of agricultural development projects which will result not only in a report late this calendar year but also in a teaching simulation which will be tested in a workshop planned for next summer. The Indiana University subgrant project on Bolivian education involves several persons who have training in educational technology development.

(c) At least one week-long workshop is being planned during the next year building on the experience gained during the Design Workshop in Agricultural Development Projects carried out at Michigan State University under a subgrant last August. The workshop will be concerned with project design and aimed at host country development officials who are resident this year at U.S. universities, chiefly MUCIA universities, and will be organized and carried out by PASITAM staff and several of the subgrantees whose work is most relevant. Support will be absorbed within program and training budget allocations of PASITAM headquarters. The workshop itself should not involve expenditures greater than \$5,000.

A more expensive conference on design training involving participants from major overseas and domestic institutes is contemplated toward the end of next year to review the needs and potentials for design training of development professionals and the contribution which PASITAM might make to this in the remaining period of its operations. Since support of overseas travel would be involved, this conference could cost as much as \$10,000, much of which has been included in the headquarters travel allocation for program development.

9. Involvement of Minority Personnel and Women. Continuing attention has been given to finding opportunities for minority involvement and women's participation, with limited results. One member of the PASITAM advisory committee is a woman, and the head of the Documentation and Analysis Center is a woman. We explored involvement with a Black professor, but he changed positions, and nothing came of our efforts. Because this grant does not focus upon permanent additions to professional staffs, it offers little opportunities for enlarging involvement of minority personnel and women. It should be noted, however, that all of the participating institutions have strong affirmative action programs, and it is limitations in the "supply" of the personnel of interest, rather than anything else, that explains limited involvement here.

**PROGRAM ACTIVITIES--October, 1973 - September, 1974**

**HEADQUARTERS**

Program Development Liaison

Consultation

Project Dev. & Monitoring

Research

Doc. & Analysis

Training

October (1973)

November

December

January (1974)

February

March

Dir. at Denver  
Proj. Rev. of TAB/  
OST (paper)

Dir. at ACDA, Kuala Lumpur/mgt. trng. (paper)

Adv. Comm. Mtg.

Adv. Comm. Mtg.

Adv. Comm. Mtg.

Visiting Researcher to DAC

One-day Presentation/AIFLD Trng. Prog. Front Royal Va.

**MUCIA PROJECTS**

Institutional Analysis & Design (IU-MSU)

Year-long Seminar at Indiana University by Ostrom (IU) and Hennessey (MSU-On Leave)

Design of Agr. Proj. (Minn.-MSU)

Document at AID

Research and Project Selection Visit to FAO

Analysis of Selected Proj. in Wheat Prod.

Rural Health Serv. (Wisc.)

Mtg. at MSU with Health faculty

Mtg. at Minn. with Health Faculty

Mtg. at Ill. with Health Faculty

Goal Evolution (Wisc.)

Proj. Initiation

Public Enterprise (Minn.)

Proj. Initiation

Quasi-Exper. Eval. (IU-Minn.)

Proj. Initiation

Internat'l Rsch. Intermediaries (Wisc.)

Syst. Analysis Tools (Wisc.)

Education Reform (IU)

Agri. Proj. Wkshp. (MSU)

**PROGRAM ACTIVITIES--October, 1973 - September, 1974**

<u>HEADQUARTERS</u>	April(1974)	May	June	July	August	September
Program Development Liaison				Dir. at Int. Cong. Admin. Sci., Mex. City (paper)	Dir. at Nat Acad. Mgmt., Seattle, (paper) and APSA Chicago panel	Article to FOCUS on PASITAM
Consultation						
Project Dev. & Monitoring		Distrib. of Proj. Opport. Announcement		Adv. Comm. Mtg.		Annual Proj. Rev. by Adv. Comm.
Research					Week Mtg. on Design Vol. (IU)	
Doc. & Analysis		Consult. with AID Rep. on Info.Syst.			NIDA Study Publication	Prep. of Rept. on Agr. Design Wkshp.
Training		Planning Mtg. for Agr. Workshop			Staff Part. MSU Agri. Project Workshop	Consult. with AID/MDO on Tech. Generalist Trng. Program
<u>MUCIA PROJECTS</u>						
Institutional Analysis & Design (IU-MSU)	Year-long Seminar at IU by Ostrom(IU) and Hennessey (MSU-On Leave)			Writing of First Draft of Book		Rev. of Draft at Annual Meeting
Design of Agr. Proj. (Minn.-MSU)				Prep. of Monograph First Draft		Rev. of Draft at Annual Meeting
Rural Health Serv. (Wisc.)		Mtg. at IU with Health Faculty		Mtg. of Rural Health Del.Grp. MSU Survey: Lit. on Inst. of Rural Health Demonst.	Paper: DANFA Project	
Goal Evolution(Wisc.)						
Public Enterprise(Minn.)						
Quasi-Exper.Eval. (IU-Minn.)	Lit. and Documentation Research			Mtg. to Rev.Proj. Outline(Chicago)	Hoole to Geneva WHO	Review Rep. of July Meeting
Internat'l Rsch. Intermediaries(Wisc.)						
Syst.Analysis Tools(Wisc.)					Proj. Initiation	First Paper
Education Reform (IU)						Proj. Initiation
Agri. Proj. Workshop(MSU)				Project Initiation		
					Ten-Day Design Wkshp. on Agri. Proj.	

**PROGRAM ACTIVITIES--October 1974 - September 1975**

**WORKPLAN**

**HEADQUARTERS**

Program Development  
Liaison

October (1974)

November

December

January (1975)

February

March

Outreach Efforts to Coordinate Activities with Relevant Research Programs

Consultation

As Requests for Assistance Occur. E.g. Ethiopia, Bolivia, Nicaragua

Project Development  
& Monitoring

Adv. Comm. Mtg.

Adv. Comm. Mtg

Research

Completing  
Ms. Editing  
Moravcsik

Planning Mtg.  
Sci. Assist.

Dir. Works on  
Design Bk. with  
Levine, Backoff,  
Landau

Draft of Design Bk.

Documentation &  
Analysis

Pub. of Wkshp.  
Report

Pub. of Indian  
Literacy Org.  
Case Study

Pub. of Mono. on  
Design of Agri.  
Dev. Project  
Pub. of Paper on  
Consultant Use/TA

Training

Further Contact  
AID/MD Tech. Gen.  
Trng. Program  
Announce. July  
Workshop

Continued AIFLD  
Trng. Input

Outreach Efforts to Overseas Training  
Institutes by Full-Time Training Staff  
Person

**MUCIA PROJECTS**

Inst. Analysis &  
Design (IU-MSU)

Completion of  
Book

New Framewk. (Minn.)

Design of Agric.  
Project (Minn.-MSU)

Mtg. on New  
Framework

Compl. Mono. on  
Design Agr. Proj.

D.C. Conf. Vali-  
dating Findings

Development of Training Simulation

Rural Health Serv.  
(Wisc.)

Mtg. Wisc.  
Proj. Continu-  
ation

Production of Papers on Institutional  
Aspects of Rural Health Delivery  
Systems

Work with Systems Tools Project  
on Applications to Rural Health  
Systems

Goal Evolution  
(Wisc.)

Mtg. on New  
Framework

Conf. on  
Goal Analysis

Rev. Draft Hdbk.  
Goal Analysis

Public Enterprise  
(Minn.)

Paper on Analytical Framework

Conference on Public Enterprise

Quasi-Exper. Eval.  
(IU-Minn)

Job at AID  
Evaluation Mtg.

Internat'l Rsch.  
Intermediaries (Wisc.)  
Paper

Delivery CIMMYT  
Paper

Systems Analysis Tools  
(Wisc.)

Prep. for Seminar at Wisc.

Seminar at Wisconsin During Spring Semester

Education Reform (IU)

Draft of Case Analysis Bolivian Educ. Reform

Rural Education Seminar at Indiana University

**PROGRAM ACTIVITIES--October 1974 - September 1975****WORKPLAN****HEADQUARTERS****Program Development  
Liaison**

April (1975)

May

June

July

August

September

Outreach Efforts to Coordinate Activities with Relevant Research Programs

**Consultation**

As Requests for Assistance Occur. E.g., Ethiopia, Bolivia, Nicaragua

**Project Development  
and Monitoring**"External Comm!" Mtg.  
w/Adv.Comm.Prog.Rev.

Adv. Comm. Mtg.

**Research**Draft of  
Design Bk.Int'l. Conf. on  
Sci.Dev. Assist.

Editing of Conference Papers &amp; Report

Publication/IDRC  
Moravcsik Book**Documentation &  
Analysis**Pub. of Paper  
on Consultant  
Use/TAPub. of Handbk.  
Goal AnalysisReview of Drafts of SourceBook  
and CaseBookPub.:Sci.Conf. Papers;  
&Hdbk. Quasi-Exper.**Training**Outreach Efforts to Overseas Trng.  
Inst. by Full-Time Staff Trng. PersonWorkshop/LDC Dev. Dev. of Trng.  
Officials on Proj. Materials from  
Design (IU) Design Book**MICIA PROJECTS****Inst. Analysis  
& Design (IU-MSU)**

Adaptation of Book for Training Materials

**Design of Agric.  
Project (Minn.)**Testing Simulation  
in Workshop**Rural Health  
Services (Wisc.)**Work with Systems Tools Project on Applications to Rural Health Systems  
Possible Workshop/DEIDS**Goal Evolution (Wisc.)****Public Enterprise (Minn.)****Quasi-Experiment.  
Evaluation (IU-Minn.)** Hoole returns  
Geneva/WHOExt. Review of  
Draft Hdbk. on Quasi-  
Exper. EvaluationRevision of  
Handbook**Internat'l Rsch.  
Intermediaries (Wisc.)**Delivery of Comp. Analysis of Internat'l  
Intermediaries in Genetic Transfer**Systems Analysis  
Tools (Wisc.)**Application of Tools  
to Rural Health Systems**Educational  
Reform (IU)**Rural Education  
Seminar at  
Indiana UniversityTesting Tools  
in Training

Table I

## Distribution of 211(d) Grant Funds and Contributions From Other Sources of Funding

Reporting Period 1 October 1973 to 30 September 1974

Grant Objectives	Period Under Review*	211(d) Expenditures		Projected to End of Grant	Non 211(d) Funding Amount
		Cumulative Total**	Projected Next Year		
Administration & Program Activities	70,507	192,046	82,600	62,000	28,127
Documentation Center	25,413	58,962	27,900	32,400	7,984
Research Indiana (opr.)	25,920	28,686	36,300	25,000	10,889
Subgrants	214,386	284,173	100,000	-0-	72,900
<b>Total</b>	<b>240,306</b>	<b>312,869</b>	<b>136,300</b>		<b>83,789</b>
Training	-0-	6,733	13,200	50,000	2,750
<b>TOTAL</b>	<b>\$ 336,226</b>	<b>\$ 570,600</b>	<b>\$ 260,000</b>	<b>\$ 169,400</b>	<b>\$ 122,650</b>

\*Includes best estimates of encumbrances outstanding as of 30 September 1974.

\*\*Adjusted 1972-73 report figures.

**Table II - A**

**211(d) Expenditure Report**

**Actual and Projected Summary**

**Under Institutional Grant # AID/csd-2958-11**

**Reporting Period: October 1, 1973 to September 30, 1974**

	Expenditures to Date		Projected Expenditures		Total
	Reporting Period	Cumulative Total	Y E A R 4	5	
1. Salaries & Benefits	199,008	351,415	130,000	90,400	571,815
2. Graduate Student Stipends	37,939	52,164	38,000	20,000	110,164
3. Consultants	7,985	17,999	14,000	9,000	40,999
4. Travel	68,611	110,139	50,000	30,000	190,139
5. Equipment	342	1,999	0	0	1,999
6. Materials, Supplies Publications	22,341	36,884	28,000	20,000	84,884
<b>TOTAL</b>	<b>\$ 336,226</b>	<b>\$ 570,600</b>	<b>\$260,000</b>	<b>\$169,400</b>	<b>\$1,000,000</b>

To Be Completed Later\*

TABLE II - B

11(d) Expenditure Report

Reporting Year Detail

Under Institutional Grant #AID/csd- 2958

Reporting Period Oct. 1, 1973 to Sept. 30, 1974

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I. A. Salaries Academic	: Names of Faculty, percentage of time charged against the grant and amount
B. Other Library Clerical Other Non-Professional	: Percentage of time and amount for each category
C. Fringe Benefits	: As applicable for the above
II. Student Support	: Name of student, country of origin, amount of support per student
III. A. Consultants	: Total number and total amount
B. Guest Lecturers, Visitors, etc.	: Total number and total amount
IV. Travel	: Total nos. of trips and total amount
A. Domestic	
B. Foreign	Ditto
V. Equipment	: Nos. and description of items the individual cost of which is \$2,500 or over
VI. Library Acquisitions	: Total amount
VII. Publications	: Nos. and total amount
VIII. Other (such as telephone, postage, computer)	: Total amount

[NOTE: Please provide requested detail under headings shown above.]

\*This table is a new requirement imposed in early August 1974. This grant must obtain the required information from 10 subgrantees in addition to using its own headquarters records. The information should be collated and sent by November 15, 1974.

Table III - A

Requests For Assistance Received During Reporting Period Oct.1/73 to Sept.30/74

## A. Requests Attended

Description of Request For Assistance	Whom did you Assist?	Who Requested Assistance	Who Funded Assistance	Size of Effort		Results of Assistance
				Dollars	Man Days	
Training	AIFLD	Director	211-d	750	4	Request for Repeat
Training Consultation	ACDA	Director	211-d UN (travel)	1000 1000	10	Printing of paper
Survey Design Consultation	CENTO	AID Asia Tech Support Office	AID non 211-d	1000	10	Survey Cancelled
Training Consultation	USAID Div. of Man. Dev.	Director	211-d	700	3	Not known
Documentation and Information Systems	Program Meth. Div. TAB	Director	211-d	1000	10	
Participation in Annual Project Review	USAID Office Sci./Tech.	Director	211-d	700	3	Paper presented
Review of Report	USAID Office of Dev. Adm.	Director	AID non-211-d	750	5	Revision of Report
Project Planning Consultation	Practical Concepts Inc.	Director	211-d	1500	12	

Table III - B

Requests For Assistance Received During Reporting Period Oct. 1, 1973 to Sept. 30, 1974

B. Requests Not Fulfilled

Description of Request for Assistance	Whom did you Assist?	Who Requested Assistance	Who Funded Assistance	Size of Effort		Why not met?
				Dollars	Man Days	
All Requests were fulfilled						

**ANNEX**

**Publications and Papers**

**Karnajanaprakorn, D., McKibben, L., Thompson, W., NIDA: A Case Study in Institution Development**

**Ruttan, Vernon, "Technology Transfer, Institutional Transfer, and Induced Technical and Institutional Change in Agricultural Development"**

**Siffin, W., "Factors Involved in the Evaluation of Management Training Institutions"**

**Siffin, W., "Institution-Building and Science/Technology Transfer to Developing Countries"**

**Siffin, W., "Institution-Building: Comments Concerning MUCIA Program Strategy"**

**Siffin, W., "Institution-Building and Development: The New Perspective"**

**Siffin, W., "Institutional Aspects of Agricultural Development: A Design Workshop: The Underlying Assumptions"**

**Siffin, W., Two Decades of Public Administration in Developing Countries: An American's View**

**Siffin, W., Levine, C., Backoff, B., "Problems and Prospects for Organizational Design in the Public Sector"**

**Utterback, J., "Role of Applied Research Institutes in the Transfer of Technology to Latin America"**