

211(d) Annual Report
26 September 1972

Title: MUCIA Program of Advanced Study in Institution
Development and Technical Assistance Methodology

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

Director: George H. Axinn (Acting)

A. Statistical Summary:

Period of Grant: 28 May 1971 to 27 May 1976 Amount of Grant: \$1,000,000
Expenditures for Report Year: \$112,914 Accumulated: \$112,914
Anticipated for Next Year: \$165,800

B. Narrative Summary:

During the first year of operation under this grant, the Midwest Universities Consortium for International Activities, Inc. established a central directorate and initiated planning on a research program. Also, initial steps were taken to establish a documentation center, and progress was made on the development of a Source Book in the field of institution building. One study, the evaluation of institution building and technical assistance efforts at the National Institute of Development Administration in Bangkok was completed, and a report is now in preparation.

C. Detailed Report:

I. General Background and Purpose of the Grant

During the past ten years, considerable progress has been made in social science research focused on the methodology of technical assistance, and with particular reference to the process of institution building. The Inter-university Research Program in Institution Building operated in the early portion of this period with headquarters at the University of Pittsburgh, and with membership at Syracuse University, Indiana University, and Michigan State University. A conceptual framework for analysis of institution building activity was developed, and many case studies were done in various parts of the world in connection with institutions being built, usually with outside technical assistance inputs. This work was funded by the Ford Foundation and several particular research projects were supported by the Agency for International Development.

During the same period, the Agency for International Development contracted with the Committee for Institutional Cooperation (CIC) to study the effectiveness of U.S. university technical assistance in the building of institutions to serve agriculture in various parts of the world. This latter study resulted in a series of reports, among them a summary, Building Institutions to Serve Agriculture, which was published in 1968.

Several seminars held in different parts of the U.S.A. followed, and it became apparent that a center should be established someplace in this country in order to: (1) collect and assimilate the results

of investigation thus far; (2) make this information generally available; (3) organize continued research thrusts to build on what had been done; and, (4) further advance knowledge of this subject.

Because MUCIA was involved in technical assistance and institution building operations in various parts of the developing world, and also had a staff of social scientists interested in research in the processes and effects of these efforts; because two of the MUCIA institutions had been involved in the Inter-university Research Program in Institution Building, and because all had been involved in the CIC/AID studies of agriculture; it seemed appropriate to persons within this Consortium, and to others in the Agency for International Development, that MUCIA be given this assignment.

II. Objectives of the Grant

The objectives of this grant are 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 efforts 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.

III. Accomplishments

The design of this grant program called for an initial year essentially devoted to planning. In the first year of the five-year "time-phased action plan," the Consortium planned to employ a director and staff, establish a headquarters operation, institute some planning seminars, and operationalize both internal and external advisory committees.

A director and staff were employed, and a headquarters was established at the University of Minnesota. The internal advisory committee was operational through the year, and several planning seminars were held.

However, although the documentation center was made operational, the research map which had been anticipated was not completed; a work group on training programs was not formed; and further development of degree programs received no special emphasis.

Unfortunately, great differences of opinion developed between the Program Director and others involved with this activity, including responsible officials of AID. The Board of Directors of the Consortium was called upon to review the entire matter in great detail, and constituted a special Review Committee which made a thorough analysis of the

situation. As a result of it all, the Program Director and his Assistant resigned, and the Board of Directors of the Consortium then initiated appropriate steps to find a replacement.

A detailed narrative, listing various meetings and planning seminars which were carried on during the year is attached as Appendix A.

IV. Impact of Grant-Supported Activities in Developing Institutional Capabilities

A major accomplishment during the year was the production of a Source Book on institution building. This was a joint venture supported directly by the Agency for International Development as well as MUCIA under this grant program. It is expected to be in print and distributed in December of 1972, and constitutes an appropriate first step in assessing the current "state of the art" in that it provides a base for the next phase of research planning and activity, for initiation of various types of training programs, and for further development of the documentation center.

Beyond this, the vigorous discussion and debate over the central issues in the field of institution development and technical assistance methodology were both positive and negative. On the negative side, there was turbulence within the Consortium, and between some Consortium personnel and personnel of the Agency. However, on the positive side, this debate and discussion lead to a clarification in understanding of the scope and depth of this grant program, as well as a consensus between responsible personnel of the Consortium and their counterparts within the

Agency for International Development. This consensus provides a real asset as the Consortium moves ahead to further develop its institution capabilities as supported under this grant.

V. Utilization of Institutional Resources in Development

The meetings of advisory committee personnel and other planning groups during the year constituted a major resource commitment on behalf of the five member universities of MUCIA. In addition, the institutions housed and facilitated the activities mentioned above.

Beyond these, the Consortium utilized other resources to sponsor the institution building evaluation of the National Institute of Development Administration in Thailand. That study is described in Appendix B.

VI. Other Resources for Grant-Related Activities

As illustrated in Table I, and in Appendix B, MUCIA committed \$20,600 to the direct support of the institution building research project, directly related to the purposes of this grant, which took place in Thailand. Beyond that, the value of direct and indirect personnel resources devoted to this project during the year is estimated at \$28,510.

VII. Next Year's Plan of Work and Anticipated Expenditures

During the next year, it is anticipated that the Consortium will:

- (1) Employ a new Director and staff;
- (2) Establish a new headquarters operation;

- (3) Institute a research mapping seminar and develop research plans for the next four years;
- (4) Operationalize the documentation center, and make its services broadly available;
- (5) Initiate a variety of trial training programs;
- (6) Operationalize consultant-advisory programs;
- (7) Hold a first annual research and training conference on institution development and technical assistance methodology.

VIII. Report of Expenditures

Refer to Tables I and II

Table I

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

Review Period 28 May 1971 to 14 September 1972

Grant related activities	Period under Review	211(d) Estimated Expenditures			Non 211(d) Funding Amount
		Cumulative Total	Projected Next Year	Projected to end of Grant	
Administration & program planning	\$ 90,851.18	\$ 90,851.18	\$ 50,800	\$326,800	\$28,510
Documentation Center	14,450.74	14,450.74	35,800	163,100	-0-
Research	7,612.00	7,612.00	55,200	340,950	20,600
Training	-0-	-0-	24,000	169,150	-0-
TOTAL	\$112,913.92	\$112,913.92	\$165,800	\$1,000,000	\$49,110

Table II

Expenditure Report
(Actual and Projected)

Under Institutional Grant AID/csd-2958

Review Period 28 May 1971 to 14 September 1972

	Estimated Expenditures to Date		Projected Expenditures				Total
	Period Under Review	Cumulative Total	Year				
			2	3	4	5	
1. Salaries & Benefits	\$ 78,791.91	\$ 78,791.91	\$105,000	\$176,500	\$180,000	\$182,508	\$ 722,800
2. Graduate Student Stipends	-0-	-0-	12,000	40,000	29,000	12,000	93,000
3. Consultants	-0-	-0-	13,000	14,000	14,000	5,900	46,900
4. Travel	24,563.02	24,563.02	17,800	20,100	9,000	8,837	80,300
5. Equipment	1,657.29	1,657.29	10,000	9,500	1,000	843	23,000
6. Materials, supplies, publications	7,901.70	7,901.70	8,000	10,000	4,098	4,000	34,000
	\$112,913.92	\$112,913.92	\$165,800	\$270,100	\$237,098	\$214,088	\$1,000,000

APPENDIX A

Annual Narrative Report to AID/Washington on 211 (d) Grant

MUCIA Program of Advanced Study in
Institution Development and
Technical Assistance Methodology

(Covering the Period From 28 May 1971 to 27 May 1972)

The grant letter from the Agency for International Development announcing the allocation of funds to this Consortium for its Program of Advanced Study in Institution Development and Technical Assistance Methodology was dated 28 May 1971. In anticipation of this grant, the Board of Directors of the Consortium had provided funds to its Council on this program to employ two consultants to assist it in the search and selection process with respect to a program director.

On 26 April 1971, the chairman of that Council wrote to the two consultants, Dr. Milton Esman of Cornell University and Dr. Mancur Olson of the University of Maryland setting forth their terms of reference and initiating the procedure.

On the 25th and 26th of May, the Executive Director of the Consortium, Dr. George Axinn, and the chairman of the committee Dr. Robert Holt, met with the two consultants at the University of Minnesota. The consultants then conducted a series of interviews with potential candidates on the University of Minnesota campus.

On the 27th and 28th of May, Dr. Esman conducted similar interviews at Indiana University, and on the 1st and 2nd of June he was at Michigan State University. Dr. Mancur Olson participated in additional discussions and interviews on the 7th and 8th of June at the University of Illinois, and on the 8th and 9th of June at the University of Wisconsin.

Dr. Esman and Dr. Olson provided a memorandum to the chairman of the committee, Dr. Holt, dated July 12, 1971, in which they summarized their visits to the five MUCIA campuses, and recommend that the position of Program Director be offered to Dr. Davis B. Bobrow of the University of Minnesota.

After a series of telephone conferences, the council met on 9 August 1971 to review the Esman-Olson report and make appropriate recommendations to the Board of Directors of the Consortium. Council members at that time were Dr. John Brandl and Dr. Robert Holt of the University of Minnesota, Dr. Harry Case and Dr. Tim Hennessey of Michigan State University, Dr. David Derge and Dr. J. Gus Liebenow of Indiana University, Dr. Adlowe Larson and Dr. William Thiesenhusen of the University of Wisconsin, and Dr. Charles Richards and Dr. William Thompson of the University of Illinois.

At the meeting on 9 August 1971 all members of the council, with the exception of Drs. Derge and Thiesenhusen, were present. Also present were Dr. James Green and Dr. William Siffin of AID in Washington, Dr. Davis Bobrow from the University of Minnesota, and Dr. George Axinn from MUCIA headquarters. The council recommended to the MUCIA Board that Dr. Davis Bobrow be appointed as Director of the MUCIA Program of Institution Development and Technical Assistance Methodology.

The Board of Directors of the Consortium, at its meeting on 12 August 1971, approved the recommendation of the Council that Dr. Davis B. Bobrow of the University of Minnesota be appointed as Director of the Program of Advanced Study in Institution Development and Technical Assistance Methodology effective 15 September 1971. That was the first date that Dr. Bobrow indicated he would be available to take on this assignment.

At the same meeting of the MUCIA Board of Directors, the name of the council was changed to "Advisory Committee for the Program of Advanced Study in Institution Development and Technical Assistance Methodology." The following personnel were appointed to the committee for the 1971-72 academic year:

University of Illinois:	Frederick C. Fliegel William N. Thompson
Indiana University:	David R. Derge J. Gus Liebenow
Michigan State University:	Harry L. Case Timothy Hennessey
University of Minnesota:	Robert T. Holt Warren Ibele John E. Brandl (Alternate)
University of Wisconsin:	Adlowe L. Larson William C. Thiesenhusen Edward P. Mikol (Alternate)

On 13 August 1971, Dr. Bobrow and Dr. Axinn met with officials of the Technical Assistance Bureau in AID/Washington, including Dr. Joel Bernstein.

At its meeting on 22-24 September 1971, the Consortium Board of Directors accepted the administrative procedures for activities to be supported by the 211 (d) grant from the Agency for International Development,

and also reviewed the curriculum vita of Mrs. Gail R. Benjamin, selected by Dr. Bobrow as Assistant Director of the Program.

(This section prepared by the first Program Director, Dr. Davis B. Bobrow)

At the first meeting of the Advisory Committee with the Program Director and staff (October 12, 1971), approval was secured for a set of steps to initiate grant activity. The procedure was to consist of a series of visits by Davis Bobrow, Gail Benjamin, and Harry Case to each of the MUCIA campuses. These visits were for the purpose of letting as many people as possible know about the grant, and to identify relevant research interests and concerns of MUCIA scholars. Although the format of these visits varied slightly from campus to campus, the following pattern describes in general what happened. At each campus, one member of the 211(d) grant Advisory Committee, together with the MUCIA Liaison Officer, took primary responsibility for ensuring that we met with all those people who wanted to know about the grant-program and whose schedules permitted. We also provided the persons in charge of arrangements with names of local faculty suggested to us by faculty colleagues in the MUCIA schools and donor agency personnel. As the series of visits progressed we acquired an increasing number of recommended contracts at the schools still to be visited. We forwarded those recommendations to the individuals on each campus arranging our visits and tried to see them. (Lists of persons met in the round of visits are available.) The results of the visits were intended to provide a list of feasible foci for research and key personnel to participate in planning groups. The visits took place between October 27 and December 9, 1971.

As a result of our conversations and correspondence with MUCIA scholars during and after these visits, we felt that two important implications for grant activities could be drawn. First, the approach we call policy analysis seemed, to many people with quite varied backgrounds and experiences, to be a reasonably sound approach to an innovative, non-disciplinary attack on some methodological problems of technical assistance and institution development in the underdeveloped countries. Second, a set of problems that might well meet the double criteria of interest from MUCIA scholars and importance to underdeveloped countries was identified. We would like to stress that this set of problems grew out of the conversations we held during our campus visits, and are the ones MUCIA faculty from several institutions and several disciplines expressed an interest in working on. Similarly, the policy analysis approach was discussed during these visits as one alternative currently attractive to the project staff. Although it did not meet with universal approval, many of the people who indicated they were not already overcommitted to research projects and administrative duties felt that they would find the approach congenial. No unifying alternative was suggested. Our impressions were further supported at an exploratory meeting of substantive and methodological experts from the MUCIA schools intended to discuss the possibilities of cooperative research.

At a meeting of the Advisory Committee on January 13, 1972, we reported the results of our visits as they appeared to us and recommended the establishment of a small number of planning groups within the perspective of a policy analysis orientation. The Advisory Committee, however,

felt that not enough faculty members had been contacted and opportunity provided for them to present their views and interests. It was therefore decided that a written statement about the policy analysis approach and the substantive areas suggested should be given wide circulation on the MUCIA campuses. Planning groups would not be established until after circulation of such a statement and appraisal of the responses to it. The Advisory Committee felt that the delay of several months was not sufficiently important to warrant sacrificing additional opportunities for faculty discussion and comment. In addition, the Committee took the position that its primary concern should be with programs and the integration of projects rather than with specific projects themselves. Consideration of specific proposals would be delayed until planning groups had been established to integrate them into programs prior to Advisory Committee action.

Accordingly, the staff prepared in draft form a memorandum entitled "Competence for Effective Development Action" which was circulated to all members of the Advisory Committee and George Axinn. (It was also discussed informally with some AID personnel as discussed subsequently.) The Committee agreed that with modifications suggested at the meeting, the document should be circulated as a basis for discussion. It outlined positions on: The charter provided by the grant; the current state of the art in institution development and technical assistance methodology; the content and rationale of the policy analysis approach; possible areas of concentration for research and invited additional suggestions; and MUCIA management guidelines for the grant. The circulation policy agreed

to was as follows. The office of the Program Director was to mail copies directly to all individuals who had been met on the initial round of campus visits or in subsequent contacts; these lists of direct mailings were to be provided to one member of the Advisory Committee on each campus together with 50 copies for direct distribution. (Lists of those to whom the document was circulated are available.) Responses were to be in writing to the Program Director.

All responses were circulated to all members of the Advisory Committee for their evaluation. On April 12, 1972, the Advisory Committee agreed that the project staff should establish planning groups to formulate research programs in four areas: agricultural productivity and rural income and employment; health care delivery systems; institutions for effective use of natural resource extraction income; and public enterprises. In addition, the two areas of education and population were singled out for further exploration. The Committee agreed that the orientation of the planning groups should be along the lines stated in the memorandum "Competence for Effective Development Action" as clarified in the minutes of the AID-MUCIA Joint Review Committee meeting of March 1, 1972. A memorandum has been sent to the MUCIA persons involved in previous circulations and others who have been in contact with the project staff indicating the areas of initial planning activity and exploration.

As instructed by the Advisory Committee, the project staff have proceeded since the April 12 meeting to arrange for initial planning group meetings and have explored the only expressed interest in education (from a number of faculty members at the University of Illinois). The under-

standing of the project staff and the Advisory Committee is that the groups should be begun with persons thought to be interested and available with membership open to subsequent change. The following activities have been taken or arranged for with regard to planning meetings: public enterprises (May 17-18); institutions for the use of natural resource extraction income (May 26-27 and June 6-10); health delivery systems (June 1-2); agricultural productivity and rural income and employment (sometime during the period June 25 to July 7); education (May 17). (Lists of actual or expected participants are available.)

APPENDIX B

Annual Narrative Report to AID/Washington on 211 (d) Grant

MUCIA Program of Advanced Study in
Institution Development and
Technical Assistance Methodology

(Covering the Period From 28 May 1971 to 27 May 1972)

The National Institute of Development Administration (NIDA)--
A Case Study in Institution Development

University Submitting Project: University of Illinois

Project Leader: William N. Thompson

MUCIA Project Grant H-11 was made to the University of Illinois on February 25, 1971 to plan a "MUCIA Institutional Development Study of the National Institute of Development Administration, Bangkok, Thailand." A report on this project dated August 30, 1971 has been submitted to the Executive Director of the Midwest Universities Consortium for International Activities, Inc.

This planning project provided the opportunity to plan a study of NIDA that is acceptable in terms of purposes and research organization and method to those directly concerned with the MUCIA NIDA Project--MUCIA Team Chief of Party, NIDA Vice-Rector for Academic Affairs, and Bangkok representatives of the Ford Foundation. The proposed study has also been considered by the MUCIA NIDA Advisory Council that concluded "it was the consensus of the Committee that this is a worthy project." The research project proposal that was developed follows:

NIDA -- A Case Study in Institution Development

The Research Problem and Opportunity. Since its inception on March 27, 1966, the National Institute of Development Administration has made good progress as an institution "having as its objectives to provide education in administration and development, to do research, and to promote technical knowledge and higher vocational skills." Concurrently, there has been systematic study pointed toward evolving the principles of the process of institution-development. It is generally recognized that the theory of institution-building is not fully formed; at the same time the conceptual work has operational usefulness.

Therefore, a case study of NIDA as a developing institution holds promise of adding to the understanding of the principles of the institution-building process. This study within an organized conceptual framework should also produce results that are operationally useful to those who have the responsibility of leadership for NIDA's present and future programs.

Purposes of the Study. The specific purposes of the study are:

1. To improve on the institution-building concepts as tools to be used in the study of institution-development functions and processes.
2. To build institution-building research and operational capacity within MUCIA universities and associated overseas institutions.
3. To document the history of institution-development at NIDA.

The Research Framework. The set of guiding concepts that have been developed to orient research and analysis of institution-building experience will be used as the general framework around which the research will be organized. Briefly stated, there are two groups of variables or factors that are important to understanding and guiding institution-building activity--"institution" and "linkage" variables. The "institution" variables are concerned with the organization itself and include such factors as the programs devised to attain objectives, the resources or inputs, and the internal structure and working relationships. The "linkage" variables are concerned with the external relations to sources of resources, to users of outputs and services, and to cooperating and reinforcing organizations.

This study will attempt to add to the effectiveness of the guiding concepts of the institution-building framework by also using business organization and management concepts and tools, relating these to study of an educational institution. For example, such ideas as selection of the input mix, organization for efficiency in the production process, and development of the market for products and services can be related to an organization such as NIDA.

Research Personnel. It is proposed that the research be carried out by a team constituted as follows:

- Dr. William N. Thompson, Project Leader, University of Illinois, who has had experience in institution-development projects and use of institution-building concepts in assessing progress of educational institutions. Full time for five months.
- Dr. Lawrence E. McKibbin, MUCIA Project Chief of Party at NIDA. Work on the "case study" would be complementary to other activities at NIDA.
- Dr. Choop Karnjanaprakorn, NIDA Vice-Rector for Academic Affairs.

The study would begin in Bangkok about February 1, 1972. Study of NIDA Project files and reports in the U.S. and interview of persons in the U.S. who have been associated with the Project would be done prior to February 1. It is anticipated that data would be collected and analyzed and a report would be completed by August 1, 1972.

Other Related Research. The research results of the Inter-university Research Program in Institution Building provide the basic concepts that serve as a framework for this research. These concepts are outlined in "Institution Building Research--The Guiding Concepts," by Milton J. Esman and Hans C. Blaise^{1/} and in "Institution Building as a Guide to Action" by Milton J. Esman.^{2/} A limited number of studies have used the institution building model as a framework for assessing the progress of institutions partially supported by technical assistance. Examples are the work of Hanson at the University of Nigeria,^{3/} Esmay at the Facultad de Agronomia at Balcarce, Argentina,^{4/} and Gautam, Patel, Sutton, and Thompson with the agricultural universities in India.^{5/} These studies indicate both the potential of the model and the need for its use in assessing progress of additional institutions.

Budget

Salary, Project Leader, 5 months	\$13,200
Per diem, 4 months in Thailand	2,520
International travel ^{a/}	2,030
U. S. travel	500
Secretarial assistance in Thailand	1,650
Predeparture and incidental expenses	200
Report duplication	500
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Total	\$20,600

^{a/} Includes return air ticket, excess baggage, air freight, and Thailand travel.

- 1/ Inter-university Research Program in Institution Building, University of Pittsburgh, Pittsburgh, Pennsylvania, mimeograph, 1966.
- 2/ Proceeding of the Conference on Institution Building and Technical Assistance sponsored by the Agency for International Development and the Committee on Institutional Cooperation, Washington, D. C., December 4 and 5, 1969.
- 3/ Hanson, John W., Education, Nsukka, A Study in Institution Building Among the Modern Ibo, African Studies Center and the Institute for International Studies in Education, Michigan State University, 1968.
- 4/ Esmay, Marle L., Institutionalization of the Facultad de Agronomia at Balcarce, Argentina, Research Report No. 8, Institute of International Agriculture, Michigan State University, 1971.
- 5/ Gautam, O. P., J. S. Patel, T. S. Sutton, and W. N. Thompson, A Method of Assessing Progress of Agricultural Universities in India and The Punjab Agricultural University, An Assessment of Progress to 1970, Indian Council of Agricultural Research, New Delhi, 1970.