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9. ABSTRACT

Discusses the team leader's role in terms of the task environment, institution-building and linkages, collaboration and advising, managing and administering, selecting and guiding team members, liaison functions, development of training programs, and project evaluation.

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GUIDE FOR TEAM LEADERS IN TECHNICAL ASSISTANCE PROJECTS

Technical Assistance Methodology Division
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PREFACE

This *Guide for Team Leaders in Technical Assistance Projects* reflects the experience gained in over two decades of work with developers of institutions in less-developed countries, mainly by personnel of the U.S. Agency for International Development or its contractors. The *Guide* focuses on the team leader, the "chief of party" of a team of experts under contract to an external assistance agency such as AID. The team leader not only leads his team, but also links several groups of officials and institutions, using his capabilities to bridge cultures and harmonize the endeavors of his team with those of professionals from the host country and from other countries. We hope this *Guide* will serve him, and also help others in the complex technical-assistance process: team members and their host-institution colleagues, planners and managers in government agencies, and administrators of universities or other entities which work under contract with an external assistance agency. It may also interest students of development in general.

The *Guide* reflects what has been learned about the technical assistance process in the last two decades, and emphasizes the collaborative style which will increasingly characterize the 1970's. Development will have no permanence until the necessary institutions, positions, roles, interrelationships and management systems are identified by the developing society and then integrated into its existing socio-economic-political structure. The alien expert can be a catalyst, but only when those with whom he works wish him to be; then his role is worth the investment that two or more governments make in him.

The practitioners of technical assistance—those from the host country and their foreign advisors—play roles of equal significance in the development process. Technical assistance, as we have learned, must be a shared effort in which officials and specialists from two or more societies cooperate to solve problems which, to a greater or lesser degree, are present in all societies, regardless of their level of development.

The first draft of the *Guide* was prepared under AID Contract csd-2807 by the North Carolina State University at Raleigh. The writers were Dr. J. A. Rigney, Dean of International Programs and project leader; Dr. Harvey L. Bumgardner, Director of the Peru Project; Dr. Walter Ellis, of the Department of Politics, all from North Carolina State; Dr. Rolf P. Lynton, of the Carolina Population Center, University of North Carolina, Chapel Hill; and Dr. Christian W. Jung, of the School of Education, Indiana University at Bloomington. They had the counsel of consultants from the U.S. Depart-

ment of Agriculture, the United Nations Food and Agriculture Organization, and the American university community.

Preliminary drafts were discussed in three week-long workshops of some 20 members each: one composed of U.S. professionals who had served abroad with institution-building projects (Raleigh), another of F.A.O. project managers (Rome), and a third of South American staff members of the Inter-American Institute of Agricultural Sciences (Montevideo). Each group brought a different perspective and was extremely helpful. Officials from AID also participated.

After the final report was submitted by the North Carolina State University group, the manuscript was reviewed by a number of technical assistance specialists, many of whom placed AID in their debt by sending comments. The final manuscript has been modified to incorporate these comments and to reflect recent changes in AID's goals and organization, especially its more collaborative approach to development assistance.

Dr. Abraham M. Hirsch of the Technical Assistance Methodology Division, in his role as project manager, drafted or revised major portions of the text and coordinated production of the final product. Mr. Alfred B. Bigelow of the Office of International Training revised Chapter VII on training. Dr. Christine S. Hugerth of the Technical Assistance Bureau prepared Figure 8. Dr. Paul Schwarz, Consultant, Dr. William J. Siffin of the Midwest Universities Consortium on International Activities, and Mr. Robert L. Hubbell, AID's Coordinator of Program Methods and Evaluation, analyzed later drafts in detail and contributed greatly to their improvement. Mrs. Jean D. Hadsell edited the final manuscript and prepared the typescript for the printer.

As is indicated above, the process of producing this *Guide* has been lengthy and involved. Apart from the persons already mentioned, many others provided comments and suggestions. It is not possible to list them all here. To all, our deepest appreciation.

James W. Green, Chief
Methodology Division
Bureau for Technical Assistance

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Chapter I

THE TEAM LEADER'S ROLE: AN OVERVIEW

The role of the team leader places him in the midst of several institutions, each of which makes different and at times contradictory demands. He must deal with at least two bureaucracies—an external assistance agency and a host institution—usually without being an employee of either. He must work within another culture. Selected largely on the basis of his professional stature, the team leader finds that his day-to-day work calls as much on his tact, negotiating abilities and persuasive powers as on his technical skills.

Hence, the question, "What is the job of the team leader?" has several answers:

1. ***Senior professional advisor to the officials of the host institution.*** These officials manage an entity designated by the host government to produce specified services to help in the country's development. The team leader, as their senior advisor and partner, assists them in administrative and organizational matters as well as in the application of a particular technology. Here his expertise in a particular technology is less important than his understanding of the principles of institution-building. He must keep in mind the "big picture," the manner in which his team can contribute to development through the building of institutions as well as through the use of technology.
2. ***Manager of his team of foreign experts and of other resources made available to the host institution.*** The team leader has wide responsibility for work assignments, commodity allocation and participant training as well as for his team's off-the-job environment and the welfare and conduct of members of their families. Although the members of his team are under his general day-to-day control, their work involves them constantly and directly with the staff of the host institution, and both he and they operate under some form of administrative control by the institution's management. Though manager of his team, the team leader cannot determine the actual work situations of his team members except in coordination with the leadership of the host institution. Similarly, the training and commodity (equipment and materials) components of the assistance package are under the team leader's nominal

control but he can neither dispense nor withhold them except in close collaboration with host-institution officials.

3. ***Liaison officer.*** Within the host institution, the team leader is the day-to-day spokesman for the technical assistance project financed by the external assistance agency. At the same time, he joins with the leaders of the host institution and other host-country officials in speaking for the project to external assistance agency officials. Also, he represents his home institution in its relationships with the host institution, the external assistance agency and the advisory team. As a supervisor he represents his team members' professional and personal interests to all other entities. Finally, he interacts with host-country leaders outside his project, with the technical assistance experts of other projects, and with other assistance groups.

Thus, the role of the team leader is shaped by the demands of each of the entities with which he deals. He must try to meet their expectations and yet not allow any one of his commitments to overshadow any of the others. He must use his professional and technical insights, his administrative talents and his political acumen to good advantage. There are many foreseeable obstacles to his success, and still more unforeseen ones. Yet at every turn of the road he must come up with the appropriate response.

No two team leaders have identical jobs. The technology to be applied, the nature of the host institution, the characteristics of the particular society and its politics and economy, the size, diversity and composition of the team, the policies of the external assistance agency, the capabilities of the home institution—all of these affect the manner in which the team leader plays his part.

The demands on the team leader sketched in the preceding paragraphs may appear to require a superman. Being a team leader *is* taxing, and not everyone would wish to assume such a burden. But because it is so challenging it can also give its incumbent great satisfaction.

THE CONTEXT OF THE TEAM LEADER'S WORK

Technical Assistance

"Technical assistance" or "technical cooperation" are terms for the process through which more-developed and less-developed countries collaborate to develop needed skills and attitudes in the less-developed countries and to create and support in those countries the institutions necessary for social, economic and political growth. Technical assistance is sometimes distinguished from capital assistance, which in the main provides equipment and construction materials and services or sets up development banks, though some technology transfer may also be part of capital assistance projects. Technical assistance emphasizes the transfer of skills and information and the creation of attitudes and patterns of behavior which render the skills and information functional. To promote national development, these are transferred not to random individuals but to persons in organizations, institutions or other functional groupings. In the latter half of the twentieth century, most technical assistance involves intergovernmental programs, financed largely with public funds.

Historically speaking, technical assistance as discussed in this *Guide* is an unusual type of technology diffusion. Diffusion of some kind, of course, is virtually as old as mankind. Societies have always taken information, skills and technical know-how from each other. Merchants and traders, explorers and settlers, pilgrims and missionaries, teachers and soldiers, captives and slaves have carried knowledge from one society to another and implanted it. They frequently transferred skills in spite of discouragement from the rulers of the society possessing the sought-after technology. The transfer was usually brought about for private profit or personal rewards. Modern technical assistance, on the other hand, involves planned efforts to diffuse technological knowledge for societal development and enrichment rather than private profit, and is organized through the collaborative efforts of two or more governments.

Technical assistance, though commanding only tiny resources when compared with other governmental outlays, is a significant factor in international relations. Hardly a country in the world today does not either give or receive technical assistance, and sometimes both, through bilateral or international channels. Most countries that give help give it to more than one country, and most countries receiving help receive it from more than one source.

Institution-Building

From the point of view of technical assistance, an *institution* is defined as a complex social organization which has the capability of introducing and sustaining change until it becomes accepted and takes root in the society as a whole. A public administration institute, for example, becomes an "institution" as it becomes an effective, accepted and innovative source of influence within the public sector. Only when an organization takes on certain specified qualities and relationships and begins to have an influence on society is it called an *institution*. This definition is applicable to an entire organization or to a subsection or department within a larger unit.

This concept of an institution differs from the conventional use of the term in the behavioral sciences, which refer to the "institution of marriage," and to most established and continuing organizations as "institutions." A specialized meaning of "institution" has found its way into recent research on institution-building and has proved useful in discussions of technical assistance. In this sense, *institution-building* is defined as the process of developing a new organization—or reconstructing an existing one—in a manner that will give it innovative qualities and capabilities, enabling it to affect society in certain positive ways.

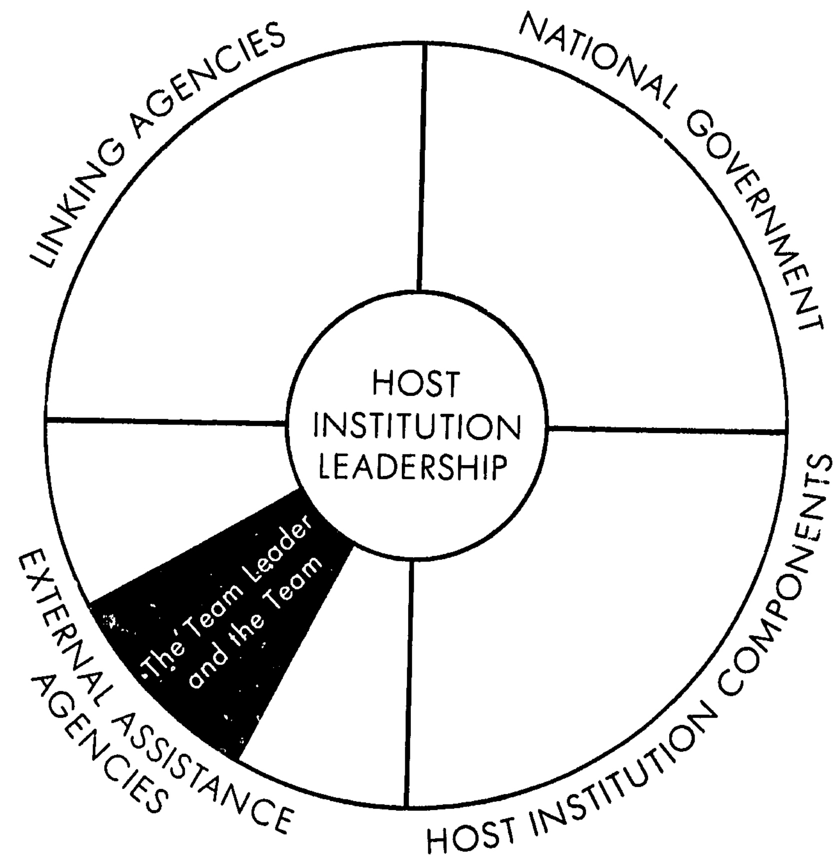
Development involves, among other things, the introduction of changes deliberately planned and engineered. Many such changes must be introduced and supported by formal organizations. When the leaders of a society decide to create a new organization or to remodel an old one, they expect that the new organization will sustain a particular type of innovation in the society.

Institution-building technical assistance endeavors to help a developing country establish a new agency or organization with this capability for producing positive change, or reconstitute an existing organization to serve development goals. Such an organization may be a school, a health system, a credit agency, a family-planning agency, a public administration institute, an electric power authority, a tax-collecting bureau, etc. The role of the team leader in an institution-building project is thus quite different from his role when an engineering facility is installed on a turn-key basis or a particular technological service is performed once only (e.g., a survey). In an institution-building project, the team leader's role requires intense and protracted interaction with the prime movers of the process, the leaders of the innovating institution, in order to make the new institution effective and self-sustaining. But it must be remembered that building an institution is not the end purpose; it is only a means to the greater end of developing a country.

THE REALITIES OF THE TEAM LEADER'S JOB

The greatest reality of the team leader's job is the complexity of his task environment. His world of work is divided into differing segments, each with its own set of demands, expectations, conceptions of strategy as well as of tactics, criteria of success, rules and procedures, and rewards and penalties. His work is further complicated by the geographic and communications distance between the work site and the source of external assistance. The project may be affected by unpredictable events over which neither the team leader nor the leaders of the host institution have any control. It is part of his role to try to bring sufficient order to the reality in which he and his team operate to make their work effective, and to deal gracefully with such confusion as may remain. To do this, the team leader must understand not only his own and his team's setting but also that of the host institution's leaders. Their setting overlaps with his but is not identical.

Figure 1. The Task Environment of Local Leaders



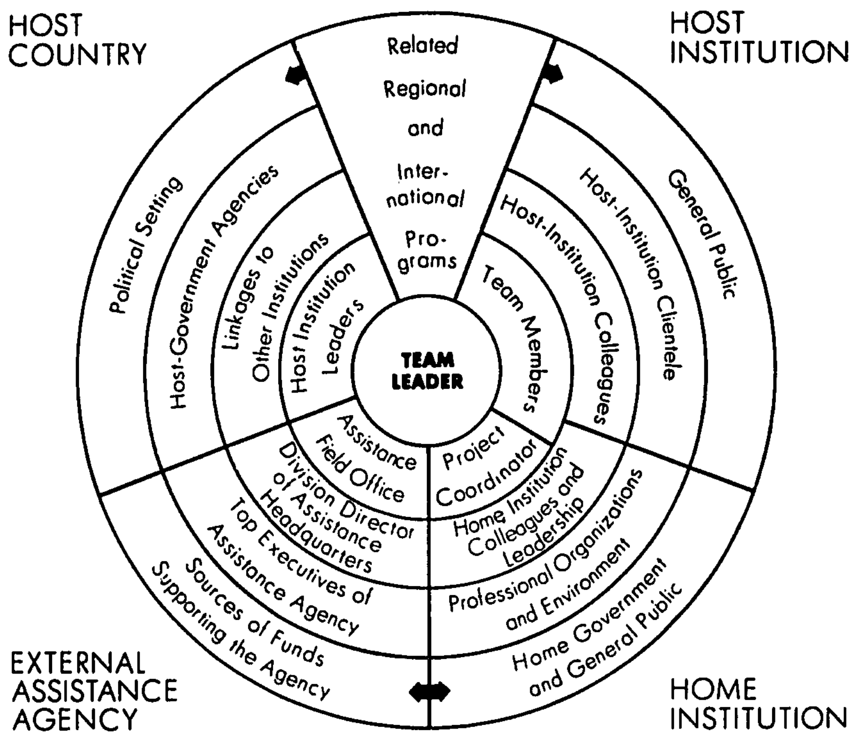
The Task Environment of Local Leaders

Figure 1 represents the task environment as viewed by the host institution's leadership. This setting can be divided into four major segments:

. . . the national government as a source of authority and of resources to carry out institutional functions,
. . . the host organization itself,
. . . complementary, supplementary and competing agencies in the society, and
. . . external assistance agencies, including the team and its leader.

There is at least one important difference between the viewpoint of the institution's leadership and that of the team leader. For the latter, the host-country institution is the most important element in his immediate task environment (see Fig. 2). For the institution's leaders, the external assistance segment is only one portion of the whole, with the team leader and his team seen as only a part of that segment. Actual situations vary considerably, but the likelihood that the project, the team and its leader are not uppermost in the minds of local leaders should never be overlooked.

Figure 2. The Task Environment of the Team Leader



The Task Environment of the Team Leader

In many ways the task environment of the team leader is as complex as that of the head of the host institution. Yet, though marching to the beats of several different drummers, he must keep in step both with the leadership of the host institution and with the requirements of the project.

The four major constituents of the team leader's task environment are the *host institution* (including staff colleagues, the team, and other advisors to the local institution, if any), the *host government,* the *external assistance agency,* and the *home institution.* Each is involved in the project; each may have contacts with the other elements independent of the team leader. The closer entities may be more visible than those farther away but are not necessarily more influential. Funds for the project, for instance, may be increased or reduced by powerful groups on the periphery of the diagram (Fig. 2).

The team leader is similarly important to the other elements of the task environment. He and his team contribute to the goals of each. As much as possible he should regard them as—and make them—allies and contributors. Yet each of them has its own structure, expectations and tactics, as well as a distinct clientele. Thus, in orchestrating support the team leader needs to know the peculiarities of each element.

All of this suggests that communication is a basic concern of the team leader. He must keep in touch with all of the elements in the task environment. Periodic reporting is one way to do this. Some reports may be required, but they are not necessarily the most significant reports prepared by the team leader. Figure 3 shows the usual lines of communication.

To return to Figure 2 (The Task Environment of the Team Leader)—the size of each segment in the diagram is only suggestive in a general way. The composition of each segment also varies. But the team leader can adapt this generalized diagram to the specifics of his particular situation. Some comments on each segment follow.

Host-Country Segment

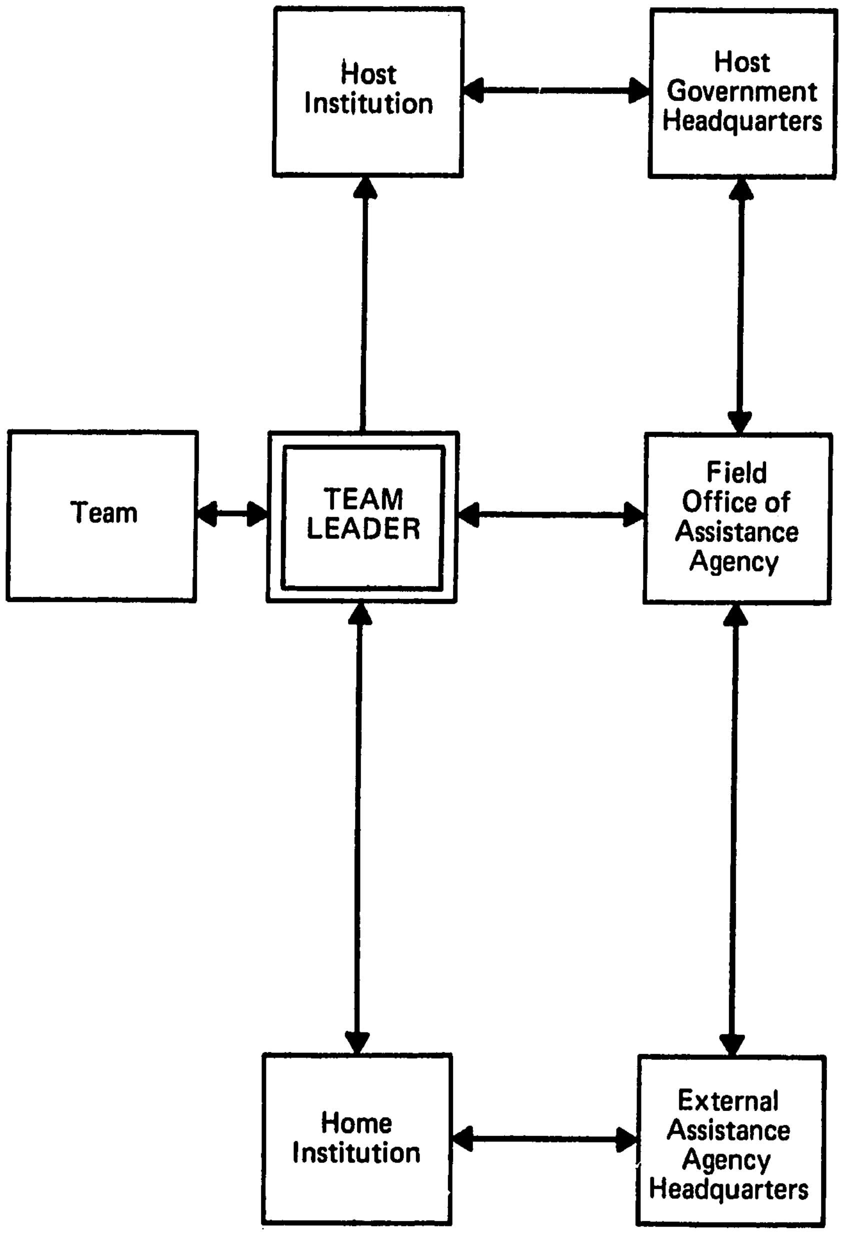
The team leader's immediate host-institution colleagues are institutional leaders or technologists with whom he has close operational relationships. They too are likely to be involved in complex networks of associations and influences. Among these may be family relationships which can influence decisions by local leaders; in most less-developed countries the family is an entity much larger and more closely-knit than in most of the more technologically-advanced countries. Friendships may count for much more in the host society than in the team leader's own culture, and may matter greatly when appointments, training scholarships and similar questions are considered. In some less-developed countries most of the men in positions of leadership are graduates of the same few outstanding schools and their student relationships persist over the years in the form of favors done and services performed.

Administrative patterns in less-developed countries are often highly centralized. Host-institution colleagues may be unwilling or unable to make far-reaching decisions because these require action at higher levels of their ministry. Local decision-making officials may also be working with other foreign advisors. Within the government, ministries may be competing for scarce resources, and this can affect the status and prospects of a given project. The team leader needs to understand the interplay of these political forces and to deal with them as best he can.

Host-Institution Segment

Within the host institution, the team leader has responsibilities to his

Figure 3. Team Leader's Administrative and Reporting Relationships



staff colleagues and to the team. He advises the staff—mainly its senior members—on institution-building and other matters. He manages available external resources in consultation with them. He is responsible for the welfare and professional performance of his team members; the latter includes their over-all contribution to the institution-building process. Problems of maintaining a balance between "doing" and the indirect and less visible efforts that help build institutional capability are common, and they are essentially the team leader's problems.

External-Assistance-Agency Segment

The external assistance agency will normally have invested considerable effort in arriving at the decision to fund the project, which its officials will tend to view as both an element in and an extension of their agency's own program. The agency may have a field office (e.g., the USAID mission) within the host country. If so, the team leader will find it a source of guidance and counsel.

An external assistance agency staff member is normally designated project officer and as such is the operational link between the external assistance agency and the team leader. It is one of his duties to see that agreements, contracts and plans are followed, funds used as intended, and other rules and regulations observed. In formal reporting relationships, the project officer is the initial recipient of reports from the team leader. At the same time, his responsibilities go considerably farther than monitoring. He should be concerned with the over-all effectiveness of the assistance being provided: Is the institution becoming viable? Is it having an impact on the local government, economy, society? The project officer plays a key role in preparing recommendations for expanding, reducing or terminating the assistance project.

The external assistance agency may have other projects in the host country. The total experience of its staff in the application of technical assistance far exceeds as a rule that of any single team leader. The combined experience of the external assistance agency's field staff and of its head-office personnel represents a resource that the team leader must utilize to the fullest extent possible.

The top executive of the external assistance agency's field office (e.g., the USAID director, or the country director or senior advisor of a United Nations specialized agency) usually has close contacts at the ministerial level within the host country; and he is also in touch with the heads of other assistance programs active in the country. His is a position of considerable influence with respect to the generation or allocation of resources and support. He in turn is responsible to the head of the country mission (e.g., the U.S. ambassador or the U.N. resident representative), who can also be a powerful and interested ally of the project. He may ask the assistance agency's field office director to keep directly in touch with him concerning the project and its progress.

Home-Institution Segment

The home institution is another element of obvious concern to the team leader. He represents that institution in cases where projects are supported through agreements with particular agencies or institutions. (Some external assistance agencies put together project teams from a number of sources, including their own personnel. In these instances it will not be useful to regard the home institution as a separate segment in the Fig. 2 diagram.)

The home institution is usually the team leader's professional base. His appointment as team leader was decided by the home institution, with concurrence by both the host institution and the external assistance agency. Yet at times he may find himself in something of an adversary position vis-a-vis some officials of the home institution—an advocate of the project and a pleader for resources.

The home institution usually designates one of its officials as contact and backstop officer for the project. He is here referred to as the home-institution coordinator, and he is a key link for the team leader—a supporter and at times an enforcer of regulations, a friend at headquarters and at times perhaps something else. If this link is weak, the team leader is likely to have difficulties. One key to avoiding these is careful and continuous effort to guarantee that the coordinator grasps and is in agreement with the substance of the project, understands its needs, and is given plenty of time to respond to project requests for support.

Chapter II

THE TEAM LEADER AND INSTITUTION-BUILDING

Institution-building is the aim of the typical technical assistance project. The process of creating a new institution or reshaping an existing one places crucial responsibilities on the recipient government and institution. The contribution of foreign professionals is important but they can never do the whole job. They play a catalytic, educational and supportive role.

External assistance should be used only for those aspects of institution-building it can perform best and should not become a substitute for other, local, inputs. Properly used, external assistance is a major asset to an institution-building project.

The subject-matter of this chapter, then, bears directly on the role of the team leader but applies equally to the roles of the leaders of the host institution, of whom the team members are professional colleagues.

A PERSPECTIVE ON INSTITUTION-BUILDING

The institution-building model on which the discussion that follows is based (Fig. 4) treats institutions not simply as entities with a table of organization and a set of facilities but rather as dynamic organisms with personality, character and a distinctive environment. This model was developed from the experience of years of developmental activity and technical assistance by a group of specialists in public administration and other disciplines. The model is often identified with Professor Milton J. Esman of Cornell University, who led the group from four universities who first developed the model and then tested it with case studies.

The model stresses that, to build or restructure an institution and to assess its effectiveness and maturity, it is necessary to pay attention to what is happening both inside the organization and in its environment. If the institution is to contribute to the development of its society, then the pragmatic indicators of its effectiveness are not so much to be found within its organizational framework as outside—among the linkages that the institution is able to shape and exercise.

Figure 4. The Institution-Building Model

INSTITUTIONAL VARIABLES (Internal)	TRANSACTIONS	LINKAGES (External)
LEADERSHIP: The group of persons who direct the institution's internal operations and manage its relations with the external environment. **DOCTRINE:** The expression of the institution's major purposes, objectives and methods of operations. **PROGRAM:** The activities performed by the institution in producing and delivering outputs of goods and services. **RESOURCES:** The physical, financial, personnel, informational and other inputs required for the functioning of the institution. **INTERNAL STRUCTURE:** The technical division of labor, distribution of authority and lines of communication within the institution through which decisions are taken and action is guided and controlled.	Exchanges of goods and services, of ideas or of power and influence.	**ENABLING:** Relationships with organizations and individuals who control the allocation of authority to operate, or of resources. **FUNCTIONAL:** Relationships with suppliers and consumers, that is, with organizations and individuals who provide needed inputs or outputs. **NORMATIVE:** Relationships with organizations and individuals who share an interest in the social purposes of the institution. **DIFFUSE:** Relationships with individuals and groups not associated with the institution through formal association.

Adapted from Milton J. Esman, "Institution Building As A Guide To Action," in *Institution Building and Technical Assistance: Conference Proceedings.* Washington, D.C.: Committee on Institutional Cooperation and Agency for International Development.

On the other hand, in order for an institution to affect its environment, its internal house must be in order. That is why institution-building is concerned with both the external and internal aspects of the given institution. Figure 4 shows the internal elements (*institutional variables*) and the external elements (*linkages,* which refer to relationships within the general environment in which the institution functions) which are of concern in institution-building.

These two groups of variables interact with each other in myriad transactions which facilitate, distort or restrict institutional development. The kinds, quantity and quality of these transactions provide an index of the character of the institution and its impact on its society.

Institutional Variables

Leadership

Leadership involves two elements—the roles of the people who lead, and their effects. It includes all those persons who exercise a management or decision-making role within an institution. For example, in a university, the dean and the heads of departments are leaders, as well as the titular and functional heads of the organization. Leadership may also include certain professors or other members of the staff. In addition to formal leaders, there are always informal leaders who exert influence because of their age, reputation, experience, or the sheer vigor or competence of their activities. The "power structure" may even include persons who are not officially a part of the institution but who are nonetheless important in establishing its policies and practices.

Leadership in complex institutions is usually a collective process in which various roles—such as external political contacts, internal management and program development—are divided among the members of a leadership group. In many cases, however, one person is dominant. If he or she is innovative and has organizational ability and political skill, such a leader should be able to induce key staff members to identify their own interests with the welfare of the organization and the innovations it seeks. Where these qualities are not present in the top person, it may be possible for the other members of the leadership cadre to compensate for their absence. If this cannot be done, the prospects of the institution's developing an innovative character will be severely limited.

In many cultures, loyalties are traditionally attached to the person who leads the institution rather than to the institution itself. As a consequence, the status of the institution rises and falls with that of its leader. The concept of institution in other cultures tends to stress the position of the incumbent rather than his person—the role rather than the personality. This can be overdone, but in general a fully institutionalized organization is one that does not depend primarily on a particular person for its existence or effectiveness.

Leadership is perhaps the most important institutional variable. An institution without adequate leadership may disintegrate. Unless the leadership is committed to innovation and is technically and politically competent to handle both its internal and external responsibilities, the enterprise may be in trouble even though its situation is otherwise favorable.

Effective leadership is a scarce commodity in any culture. In order to secure continuity in institutional leadership a leadership structure is essential; this is something more complex, more subtle, than *personalismo.* To serve this end, specific plans must be laid for the development, training and building-up of future leaders. The team leader should play a supportive role in such staff development and training schemes.

In attempting to survey and assess the leadership situation in a given organization, these questions may be helpful:

1. How stable or well-entrenched is the leadership? Is it: (a) personalized; (b) fractured or divided?
2. How sound is the leadership structure?
3. How well-connected is the institution's leadership with the next higher level of the power structure? How stable are these levels?
4. How innovative is the leadership?
5. How committed is the leadership to the intended institutional aims?
6. How skillful is the leadership in internal and external relations?
7. What is the prevalent pattern (or patterns) of leadership in the society, or in the sector in which the organization is located?

The answers to the above and similar questions will influence strategies of leadership support and development. An institution's leadership is frequently difficult to modify in the short run, but change is often possible over time—a time that for an assistance project may extend over a period of five to ten years.

Doctrine

Doctrine is an expression of what the institution stands for, what it hopes to achieve, and the styles of action it intends to use. It is the orientation on the basis of which operating strategies are planned. It is more than a mere listing of goals or statement of purposes; it is the collection of "principles" that underlies the program, policies, goals and strategy of the institution. Doctrine is usually a group of themes projected by the leadership to its internal and external audiences in order to gain and maintain understanding and support for the institution and its purposes. It can be expressed differently to different audiences; e.g., by a university to a group of alumni or a group of foreign tourists. The former may view the university in terms of their employment prospects, while the latter may be more interested in its role in national development plans.

Within an institution there should be a sense of its doctrine that is reasonably clear and internally consistent. Doctrine helps the personnel of an institution to communicate with each other; it provides a basis for a sense of common purpose, and clues to priorities.

Outside the institution, an understanding of its doctrine is also vital. Only when outsiders accept its purpose and influence will they provide support for and solicit help from the institution.

The development of a sense of an institution's doctrine is one of the basic orders of business in an institution-building project. Doctrine provides the foundation for general institutional goals and operational style. Therefore its expression, elaboration and interpretation are important responsibilities of those who are leading institution-building activities.

It should be noted that doctrinal development is a two-way process. Doctrine is partly "set" by those who establish an organization, but it also evolves and adapts as the organization responds to its environment over time. Failure to deal with the need for a sense of doctrine means that an organization will probably lack an agreed-on set of purposes, and it may drift opportunistically into activities which are attractive and easy but do not contribute to development.

One of the possible difficulties in providing technical assistance is disagreement on doctrine. In such a situation. the team leader must recognize that he does not have the power to enunciate doctrine and make it stick. But he can often influence the shaping of doctrine, in many ways.

At any given time a degree of flexibility and implicitness in doctrine is permissible, and often even desirable. Not only can themes be given different emphases for different clienteles, they may also be modified as the institution faces new problems and learns from experience. Finally, doctrine motivates personnel, establishes expectations about institutional performance, and helps to prepare the ground for shifts in an institution's emphasis, activities and outputs.

The following questions may be helpful in thinking about doctrine:

1. At a given point in time, is there a formal, official statement of doctrine?
2. Is the function which doctrine assigns to the institution a realistic one; i.e., is it consistent both with what is needed and what is feasible?
3. Is doctrine actually built into the attitudes and behaviors of key people, or is it more stated than substantial?
4. Does the doctrine state or imply a receptivity to innovation?
5. What social or political conflicts are implicit or explicit in the institution's doctrine? How can these conflicts be handled?

6. What official and public support is there for the institution's present or prospective doctrine? How can this be built upon?

The doctrine articulated for the institution may correspond to the team leader's own views; he may have been selected by his home institution and approved by the host institution because he subscribed to the institution's doctrine. On the other hand, the key problem in the institution-building effort may be that of developing and building into the organization a sound doctrinal base.

The team leader should be sure that he understands the doctrine adopted by or proposed for the institution, and should be able to explore doctrinal questions with the institution's leadership. Communication about doctrine may be difficult even where two persons use the same language and come from the same culture. It is even more difficult to be sure of substantial understanding in cross-cultural situations.

The underlying philosophy of an institution—its doctrine—is too important for its development to be left to chance. Only if there is reasonable consensus and mutual understanding of the basic goals and philosophy around which the institution will be developed is there solid ground for collaboration in an effort at institution-building.

Program

The program of an institution is the sum total of its activities, "the doctrine reflected in action." It includes plans for the institution's development and productivity as well as for immediate operations.

"Program" is the over-all label for the means by which the institution's objectives are realized, or at least pursued. The program of a ministry of education includes the operation of primary and secondary schools as well as the teacher education, preparation of materials, etc., that are needed to support the schools. A public health institute may stress the operation of family planning clinics but rely on other agencies for supplies, staff training and basic research. The program of each institution will reflect the influence of its current leadership and doctrine.

An institution's program converts its resources into products. The quantity, quality and availability of the services and goods produced by the institution help justify its existence, reassure the providers of its resources that their decision to make them available was justified, and—it is hoped—induce the provision of further resources.

The most visible products of an institution are its current services. These include such things as research results, technological information, materials (seed, books, serums, etc.), formal or informal adult education, and trained personnel who are available for employment. The influence resulting from these services is a significant by-product; influence helps develop support for an institution by securing its linkages.

Current services and influence are outputs which are consumed by one or more publics. At the same time, some of the institution's outputs must be reinvested within the institution. Such reinvestment may take the form of additional training for staff members, planning and promotion, research and development, etc. Unless such reinvestments are made, the institution will not be able to increase its capabilities to produce externalized outputs, nor to keep pace with the new or altered demands made upon it either by those who provide its resources or those who consume its product. (The important institutional investments are seldom buildings, since buildings can be adapted for use by various kinds of institutions.)

Such reinvestment is crucial to an institution's ability to innovate. If its personnel remain satisfied with the status quo, there will be little institution-building. Propensity to change is not latent in institutions. It must be nurtured by leadership and accepted by staff members who have learned improved ways of providing services and are motivated to implement what they have learned. Lessons must constantly be learned from research and from evaluation of current operations, and these must be digested and passed on to the staffs concerned. The team leader and his team can play a significant role in promoting continuous evaluation and innovation.

Sometimes unforeseen circumstances which challenge the institution catalyze innovative programs. An outbreak of livestock disease, for instance, may stir an agricultural research and extension service to meet its challenge. An unexpected rise in the prices charged for a particular agricultural product may do likewise, creating public demand for the service's outputs. If the institution's leadership is able, such unanticipated circumstances can lead to breakthroughs in the institution's development.

The following questions may be helpful in formulating an institution's program and assessing its relevance and adequacy:

1. What is the balance between ad hoc and programmed effort? Is activity largely responsive or routine, or is it guided by deliberate initiatives?
2. How relevant is the program to country needs? Is this relevance deliberate or fortuitous? Is is likely to persist?
3. Does the program reflect and attempt to carry out the institution's doctrine?
4. How well and widely is the program understood by the staff? How strongly are they committed to it?
5. Is the program relatively practical and efficient?
6. To what degree do the activities carried out under the program result in the achievement of major goals of the institution?

Developing institutions are likely to over-commit. This is usually done with a view to pre-empting as many activities for the institution's future operations as possible. This strategy tends toward a diversified program, followed by attempts to find adequate resources. Dilution of resources in each individual program area, however, can lead to a mediocre or poor performance by the institution as a whole.

An important element in program strategy includes provision for early payoffs—visible results that can generate support for the institution. Certain minimum levels of input must be achieved in selected segments of the over-all program in order to produce manifest results. Time-phasing is an important institution-building program consideration.

Resources

Institution-building requires that scarce resources be obtained and then used well. Typically, less-developed countries are marked by considerable competition for such resources. Securing them brings into play the concept of linkages. The institution's leadership must nurture its linkages so that, in the competition for resources, it comes out better rather than worse. The leadership must also be husbandmen of resources, making sagacious use of what they can get to meet their most urgent priorities.

Not least among these competitive efforts is the competition for human resources. Qualified staff may be hard to obtain even in countries with chronically severe unemployment. Persons with training and experience as managers, planners or technicians may be courted by a number of would-be employers; getting and keeping staff can be a high art.

Perhaps the most important single task in resource management for institution-building is the development of a properly prepared and motivated technical staff. This is a continuing function of institution-builders, a very significant one. Possibly no single factor is more indicative of leadership quality than the way in which personnel resources are developed, improved and used. The development of appropriate skills may require the institution to make some sacrifice in its output of services while it invests in advanced training for some of its staff, and while less-skilled personnel perform at a more modest level and on a more limited range of activities. The balance between services to society and reinvestment in the institution is always difficult to maintain at its most rewarding point, particularly in the early stages of institutional development.

A proper balance between current use of resources and their reinvestment applies not only to staff but also to financial resources. Funds are seldom made available in a flexible fashion. In many countries, funding is complicated by foreign exchange problems. Budgets may have to be drawn up in both the national currency and in terms of available foreign exchange. Competition for funds in general may be fierce, but competition for foreign exchange allocations may be fiercer still.

An institution may also receive "items in kind." Land may be allocated for its office or program use. Buildings, vehicles and physical equipment may be assigned to the institution, either through national channels or external assistance agencies. Items provided in this way, though "free," create future needs. The assignment of vehicles, for instance, implies that gasoline, tires and spare parts will become available as required. After acquiring a duplicating machine, provision must be made for obtaining stencils, ink, rollers and paper. The projection of resources required by the institution must include planning for systematic maintenance, and for depreciation allowances to finance replacement—concepts which are seldom part of local tradition.

External assistance is itself a scarce resource, whether expressed in funds or in technical assistance personnel. It too is an input for which there may be strong competition. The institution receiving external assistance makes some, but not all, of the necessary decisions about its magnitude, composition and use. Since external assistance is nearly always given and received on a government-to-government or international-organization-to-government basis, the host government and the unit within it which allocates external resources are involved in their management also. Usually this unit is of cabinet level, and most of the time it outranks and exercises more influence than the assistance-receiving institution in the hierarchy of government units of which the institution is also a part. The external assistance agency has its own requirements concerning the use of the aid it provides, and in nearly all cases these requirements make demands against other resources of the receiving institution.

For instance, the host institution may have to provide its foreign experts with office space, transportation, housing, clerical support and interpretation services as well as "counterpart" staff. External assistance, though additive, ties up other resources. At the same time, on the positive side, external assistance may provide resources which would not otherwise be available at all or which, if obtained directly by the host institution or government, would be even more expensive, especially in terms of foreign exchange.

External assistance is a complex resource, comprising trade-offs which involve careful weighing of pros and cons: foreign exchange versus national currency expenditures; temporary dependence on outside help versus institutional self-sufficiency; application of external assistance to long-term institutional development versus its use for outputs of current services; use of external assistance and local resources for the design and management of the institution itself versus their application to the institution's outputs.

The team leader may well find himself consulted when the decisions involving some of these trade-offs are made. He may find that participation in such deliberations is the toughest part of his assignment, requiring him to marshal great detachment and objectivity. He may find himself arguing for decreasing the level of external assistance rather than maintaining or increasing it, for less reliance on his team members and himself rather than more. Such decisions will not be frequent during his term of service but they may be the most challenging to his professional standards.

The manner in which resources are managed is indicative of the institution's "personality" and the character of its leadership. Also revealing is the degree to which decisions and budgets are adhered to in practice, and whether exemptions and deviations from decisions taken are the exception or the rule.

Because the team leader is both the manager of a significant part of an institution's resources (i.e., the external assistance inputs) and an advisor to the institution, he must understand the institution's policies and how they affect the use of resources. He needs to know:

1. How and from where are resources obtained?
2. What are the prospects for continued and increased domestic financial support? Are they commensurate with the plans and program of the institution?
3. Are the quantity and type of external assistance adequate? Can the institution use the external assistance effectively, or does external aid overtax its resources? How dependent is the institution on external assistance for current operations (as contrasted with investment)? What are the projected shifts in this dependence?
4. How are resources allocated and budgets drawn up within the institution? Who contributes to the decision-making process, both from inside and outside the institution? Can middle-level echelons bring issues and views to top management's attention?
5. Is budgeting a firm allocation of available resources or more a matter of hope and intent? Is the financial plan reliable, in other words? If not, how does the actual financial planning work?
6. Do financial planning and management reflect program aims?
7. Is capability to plan and manage resources adequately built into the strategy of institution-building?

Internal Structure

The internal structure of an institution is its pattern of organization and administrative relationships. It involves the formal and informal distribution of authority, the division of labor among component units, the flow of work and the channels of communication. A sound internal structure is one that "works"—it makes possible the easy flow of ideas, instructions and transactions up and down throughout the organization and laterally among the units that must cooperate in order to carry out the organization's purposes and programs.

In less-developed countries, many institutions are structured according to organizational concepts inherited from a former colonial government; the names of some units, the general functions assigned to various departments, and the titles of high- and middle-level managers may reflect these colonial traditions. Other traditions may have originated in other contracts with foreigners or previous generations of foreign advisors. As a result, in many countries different patterns coexist, and institutions with similar types of programs may not share a common pattern of internal structure.

A pervasive characteristic of organizations in less-developed countries is the lack of arrangements for the delegation of authority. This may reflect traditions in which power is held essentially by the one man at the top and is perceived as so unitary in character that it cannot be delegated. Legal requirements sometimes reinforce this tradition, making delegation virtually illegal. Standard operating procedures that permit subordinates to take on responsibility under certain circumstances may be absent; a shortage of managerial skills at middle or lower staff levels may compound the problem. Any assessment of internal structure must take full cognizance of these background factors before the conclusion is reached that the structure should be changed.

Internal structure should cast leadership into optimum roles and reflect the doctrine, program and resources of the institution. If the internal structure does not sufficiently serve these three institutional areas, it should be carefully re-examined to consider what changes are practicable. Trading one imported structure for another may not be of much help.

The following questions will help to focus an assessment of the internal structure of an organization:

1. Are noted deficiencies structural or are they primarily procedural problems?
2. Does the structure enable decisions to be made on the basis of appropriate information and at points where control can be implemented? Does it put the right people in command?
3. Does the structure have a potential for excessive conflict and competition built into it?
4. Is the structure in keeping with the institutional doctrine and the broad requisites of the program?
5. Is the structure perceived as appropriate both inside and outside the organization?
6. Does the structure encourage initiative and collaboration, or is it primarily hierarchical and control-oriented?

Linkages

By definition an institution is an organization interactive with the elements of its environment. In considering this statement it is useful to consider also the kinds of linkages that can and do exist. Every institution is enmeshed in a network of linkages which its staff must seek to understand and control for its protection and development.

Linkages are primarily ties between a given institution and other entities and publics within the host country and society. However, institutions may also have transnational linkages with sister institutions and related organizations in other countries. Linkages are not static. The relative importance of different linkages changes over time.

One basic feature of linkage management is continuing concern with the flow of communication to and from those environmental elements with which an organization is—or would like to be—linked. Publicity is one form of such communication. It is an important responsibility of management; administrators and managers, and the team leader and team members, must keep the need for it in mind and not see it as something done by information specialists only. Management may personally have to devote time to making speeches, participating in demonstrations of the institution's programs and writing articles about its work. The entire staff can be brought into such activities, which can increase institutional morale by giving all a sense of participation in extending the institution's influence.

Four types of linkage are defined in Figure 4 (p. 12): *enabling, functional, normative* and *diffuse*. These distinctions help to conceptualize the nature of an institution's relationships with other entities. In practice, however, a given linkage may have more than one of these qualities.

Enabling Linkages

Enabling linkages provide an institution with the legal and political authority to operate and the funds and other resources necessary for its support.

The political dynamics of an institution's development involve the aim of maintaining at their optimum level its prerogatives, responsibilities and resources. Its political world is peopled by other institutions which may be competitors. Its legal status must be evaluated in terms of the status of these other entities and their interrelationships with higher authorities and each other as well as with the institution. A "good" charter is helpful, but even in its absence dynamic institutional leadership may achieve most of the institution's objectives. Similarly, poor and inept leadership may squander the opportunities spelled out in an institution's charter.

Actually, a thorough reading of the basic document establishing an institution may tell little about its real situation in the typical politically evolving environment of a less-developed country. Enabling linkages, in the last analysis, involve much more than charters or formal documents. The availability of resources often says more than any official pronouncement. The state of an institution's enabling linkages is likewise a good index of its status.

Not all enabling linkages relate to higher levels. Important linkages can and should be forged laterally. This is often difficult in less-developed countries, but in terms of basic developmental aims is of great importance. Collaboration can provide optimum opportunities for appropriate resource use and create enlarged potentials for authority and freedom of action within defined areas. An agricultural university, for example, semi-autonomous but chartered by the ministry of education, might see the ministry of agriculture's research directorate as a natural competitor, hence an institutional foe. If, however, the two institutions can collaborate on agricultural research, both will benefit, Even more, the society is likely to.

Functional Linkages

Functional linkages are essentially working relationships with suppliers of inputs and users of outputs. In practice, many such relationships are also enabling linkages. In principle, functional relationships are worth separate mention because they include relationships with those entities which use what the institution produces—such as graduates, training courses, technology, information, services, books, etc.

This is the category of linkages that determines the institution's impact on society. For example, a university generally depends on private business and government agencies to employ its graduates. The university's ability to function well or poorly varies with its complementary relations with both groups. Functional linkages can be competitive and negative as well as complementary and positive.

Functional linkages have a large day-to-day practical importance. They can augment enabling linkages and become strands of collaboration tying different institutions into a network or system devoted to a specific purpose, meshing their outputs to society's advantage.

Good functional linkages enable an institution to focus on what it can do best. The criteria used to determine what an institution should retain as the core of its program and what it should allow other institutions to incorporate unchallenged into theirs might include relative costs, institutional doctrine, expectations based on enabling linkages, etc.

Functional linkages should enable an institution to establish an appropriate relationship between costs and benefits in getting and using goods and services. It has the option of devoting its resources, staff and managerial capacity to producing goods and services itself or of obtaining them from outside. Functional linkages involve a concern with efficiency. Good functional linkages tend to prevent the unwarranted diversion of managerial resources to ancillary matters.

Normative Linkages

Normative linkages exist between those elements in a society that establish, express and enforce its standards, norms and values. Among these may be religious organizations, cultural associations, labor unions, tribal groups, professional societies and government itself. Accepted social patterns are not transmitted only through specific organizations or agencies; they may derive indirectly and subtly from prevalent beliefs, customs or practices. Illustrations of such norms in society in general include political preferences for certain economic systems, reactions to racial origin or caste, or belief in the influence of astrology on institutional programs.

Normative linkages affect the goals, methods, image and style of an organization. They involve the institution with other groups that might oppose certain aspects of its program or strongly challenge its very right to exist. Consider, for instance, the influence on a contraceptive research institute of a society where organized religion opposes contraception.

Normative linkages may involve versions of the problem of "the traditional versus the modern," although such a view is usually a considerable oversimplification. As often as not, the normative linkage question is: "Given certain kinds of societal norms and forms, how can we design and operate a system of action to advance a specific set of developmental goals?"

Opposition to an institution may also come from sources that view it as being too representative of the status quo, or who challenge its doctrine and program as insufficiently "radical." Such critics may link the institution —especially if it receives external assistance—with the vested interests of a former colonial power, or of "imperialism," or of one or another economic or political philosophy or system.

Normative linkages can also be positive, cooperative and supportive— for example, between a group of medical practitioners and a medical research institution, or between an agricultural research institute and an agricultural school.

No institution can afford to ignore its normative linkages, and no institution can possibly cater to all of them. In the formulation and expression of doctrine, in the manner in which programs are implemented, in the timing of various undertakings, in the publicity given to an institution's efforts and purposes, in its dealings with enabling, functional and diffuse linkages, account must be taken of the feedbacks that come through various normative linkages. This requires sensitivity and comprehension, and an intimate knowledge of the societal factors and cultural traditions prevailing in the environment.

Diffuse Linkages

Diffuse linkages refer to an institution's relationships with the general public and with elements of the environment with which it is not directly involved. These include individuals or groups not formally or directly related to the institution but actually or potentially aware of it and perhaps affected by it. For example, parents of students may have diffuse linkages with a secondary school.

In the long run, such diffuse elements may exercise considerable influence on the institution's support and on its effect. For this reason, any evaluation of an institution's success must include some assessment of the state of its diffuse linkages. This is not always easy, because in many less-developed countries a considerable gap exists between the people—most of them rural and illiterate—and the institutional leadership of the country, the leaders of its government and of various semi-governmental institutions. The number of persons who exert influence on the disposition of public resources may be perceived to be small and there may be a feeling that an institution's future does not depend on the rural masses but on a few wielders of power in the capital and some other cities. The team leader may have a role to play in changing such perceptions.

SPECIAL PROBLEMS IN INSTITUTION-BUILDING

In describing the linkages of an institution, the point has already been made that the external environment affects the future of the institution in a variety of ways, many of them crucial. This point needs emphasis and elaboration. Not only do external linkages affect the leadership, doctrine, program, resources and internal structure of an institution, but indeed the internal institutional variables must be responsive not only to the preferences of the institution's builders but to various factors in the external environment. An institution cannot expect its environment to reshape itself to accommodate the institution; it is the institution which must accommodate itself to its environment, at the same time acting as an element of change.

The tendency to design institutions from the top down—from the level of the central government down to the level of villagers—has some validity and is often inevitable. But the real test of an institution's design is at the clientele level. Unless the institution reaches and affects its clients, it fails in its purpose even though it is well-structured internally and co-exists appropriately in its local setting.

Traditional Institutions

Few institutions are created in any society to fulfill functions which were totally unknown in that society earlier, or which were not dealt with, at least informally, before the institution was established. Every society, for example, cares for its sick. In many societies the cure of an illness is entrusted to folk types of medical practitioners, and the sick are cared for by the extended family. Every society educates its young, whether in the family, in village-run schools, in schools supported by the national government, or in those attached to a church, temple or mosque. It would be incorrect, therefore, to see a new, modern health delivery system with its village-level dispensary, or a new national school system with its village-level schools, as filling a heretofore-existing void. The purpose of the new system of services —of the grassroots installations made possible by the development of new institutions—is to complement existing services by making available additional ones which present entities cannot provide.

In order to design or improve institutions, one must understand what earlier institutions provided, how they fulfilled needs, how they mobilized resources, how they gained support, and the ways in which they were limited. Whenever and however possible, a new institution should seek to capitalize on traditional or grass-roots institutions and draw them into its own system. If it fails to do this, it tends to create competition between itself and earlier institutions and risks not only opposition but possible failure to mobilize useful resources. For example, midwives, who have traditionally provided valued services, might be given opportunities to assist in a new health delivery system. If not given such opportunities, they may at best be a resource lost to society and at worst range themselves in opposition to the new health center.

Centralization and Decentralization

In many less-developed countries modernization is associated with efforts to extend the administrative and political effectiveness of the central government, geographically and functionally. One result is a tendency to foster institutions with homogeneous programs, regardless of cultural, ethnic, traditional, geographic or other differences which may exist.

This may be reflected in school curricula which do not take account of differences among various student groups, in the dissemination of printed materials written in the country's official language but not necessarily intelligible to the clientele to which they are addressed, and in general in reluctance to accommodate the various elements of the population in terms of the differences in services which they require. In some cases this tendency can defeat institution-building aims.

To the institution-builder this situation may present a dilemma. It is important to make accommodations to regional needs and to varying local requirements. Yet if an institution attempts a diverse array of programs, it enlarges its managerial burden and may even be criticized as fomenting regional separatism rather than promoting national unity. The team leader involved in institution-building will need to remember that this dilemma involves complicated national political issues, which as a foreigner he should approach with caution.

The Time-Frame of Institution-Building

Every institution, to survive meaningfully in its societal and developmental context, must constantly adapt to changing circumstances. Institution-building is never completed. However, for foreign professional advisors, the question of time has great importance. The external assistance agency and the host government, in drawing up the agreement to collaborate on a project, establish a timetable which calls for the project's completion by a stated date. This date may not be immutable, but external assistance agencies are often reluctant to prolong their involvement in projects. At some point, the host institution must make its own decisions and cut its ties of dependence, even if this parting results in a temporary reduction of effectiveness. Host institutions may often be eager to have external resources available as long as possible, but host governments are not always inclined to ratify such extensions. Finally, the home institution of the team leader may feel pressures to withdraw at least some key professional personnel from the project as early as possible.

The team leader, certainly, will need a time-frame as a reference point in his work with the host institution's leaders and in his implementation of the external assistance elements of the collaborative plan. Because of his crucial role, his opinion will be asked for when the decision about the actual termination of external assistance is made.

The institution-building model can serve as a checklist for measuring institutional maturity. Objective and measurable criteria can be devised early in the project's lifetime which can serve not only to monitor progress toward achievement of this maturity, but can also be used as benchmarks to indicate completion of that part of the institution-building effort which requires external help. When this phase is completed, external assistance should terminate. Very likely much will remain to be done in order to foster the institution's growth in its developmental and service role; but this is for the institution's leadership to accomplish. Indeed, planning for the termination of foreign help to the institution is one of the key contributions which the team leader can and should make.

Chapter III

THE TEAM LEADER AS ADVISOR

The level and content of the team leader's advisory functions vary with the projects and teams involved, and even over time as a given project progresses. His primary focus may be on institution-building, or he may be concerned to a similar degree with the substantive technology. Some team leaders are themselves specialists in institution-building and institutional management and rely rather heavily on the greater technological specialization of their team members. Others are technical specialists in their own right.

The word "advisor" is admittedly an inadequate label for a team leader. He facilitates, he guides, he participates, and he helps create resources and capabilities. He is a peddler and broker of ideas. His advisory impact depends not only on his own skills but also on the capabilities of his team. He advises the host institution's leadership on how best to make use of foreign professionals, and directs the work of his team members. Many of his day-to-day considerations are analogous to those to which his team members must attend, and therefore this chapter will also be of interest to them.

As a rule, the only power foreign experts may appropriately exercise is that of persuasion. Their aim is largely to have impact on the capabilities and outputs of an institution's regular staff. The optimum relationship between host-institution staff and advisors is one of joint problem-defining and problem-solving. The professional talents of both the advisor and his host-country colleague are applied to problems—managerial, technical and institution-building—which both perceive. Each learns from the other. The foreign advisor may contribute some technical refinements, or help with particular managerial or institution-building problems. His host-institution colleague, in turn, can better assess the applicability of suggested techniques to the developmental problems of his own country.

This optimum relationship calls for a premise of equality, no matter how different may be the experiences or training which advisor and counterpart bring to it. The posture of foreign professionals toward the staffs they are assigned to must be open and collaborative, with a mutual exchange of advice and criticism.

IDENTIFICATION WITH THE INSTITUTION

Collaboration must be based on a clear understanding of why the foreign professional is present and what he is supposed to accomplish. In some cases he will have explicit terms of reference. In others his role may turn out to be imprecise and he will have to develop his own plan of action. In either case, his initial undertaking will be to consult with his host-country colleagues.

If the project is new, the team leader or member may have a wide latitude within which to establish his role and style of operation. If he joins an on-going project, he will find already in place a network of activities, expectations and relationships to be assessed and perhaps later modified. He will have to fit himself into an environment shaped partly by previous advisors. And yet he individually will have to start at the beginning—by becoming personally acceptable to his colleagues and demonstrating his technical competence.

The team leader may find that principal officials of the host institution and of other local governent units carry extremely heavy responsibilities. The few trained managers available may be involved in a great many activities at the same time, inside and outside their organizations; they may have to move fast between commitments and give only a fraction of their time and attention to any one problem. Often this situation is exacerbated by a relative absence of clear delegation of responsibilities within host-government institutions.

At times the advisor will simply have to accept some delays. Excessive pushing tends to escalate resistance. It may also encourage pressures on the team leader to become involved in actions outside the intended thrust of his project. Such diversionary tactics can occur for other reasons also. They can pose a difficult problem—sometimes one of agreeing to trade-offs in order to gain in personal rapport with colleagues.

Establishing a Personal Basis for Collaboration

Host-institution colleagues usually have mixed feelings about a foreign expert. The degree of his acceptability will be affected by his tact and his effectiveness in personal relations. Professional eminence is no substitute for attractive personal characteristics, any more than charm is an alternative to competence. The advisor must maintain sufficient informal contact with the decision-making group among his colleagues to gain their confidence and establish rapport. Only through such rapport, based in part on an understanding of the power structure, can coordinated efforts be successfully employed to accomplish project objectives.

These relationships give the foreign expert the opportunity to check priorities and objectives with those with whom he works or whom he hopes to influence. The foreigner must listen and ask. Eliciting suggestions and points of view can be a high art; so can assessing them. The best test of acceptance is the willingness of host-country professionals to relate to their foreign colleague in an open and personal manner. Such relationships do not always simplify his job; they may help bring into the open some of the complexities which are necessarily always present.

Appropriate settings for informal personal association include the team leader's home. The life-style at most posts makes it desirable that the team leader entertain his official contacts and colleagues; the scale of this entertainment varies considerably from country to country. When entertaining he should bring together officials of the host institution and of other host-government agencies, members of his team and of the staff of the external assistance agency, and representatives of other foreign organizations. The purpose is to provide occasions for people to meet, to talk about their common problems away from office pressures, and to become acquainted with each other's points of view. This kind of entertainment can be highly enjoyable, and is also of considerable value to the team leader and all his associates.

Some host-country colleagues may be reluctant to be entertained in a foreigner's home. When this is the case, the team leader should create informal social situations at the work site or on some such neutral ground as a restaurant or hotel.

Achieving the Appropriate Perspective

To advise, the team leader must not only know the people he works with but must come to understand how various situations and problems are perceived by them. This requires that he be familiar with the salient characteristics of the country—its economy, its development situation, and the manner in which the institution to which he is assigned is expected to cope with problems and meet expectations.

Whether he participates in a formal interview with a host-government official or chats casually with a farmer in an outlying village, the foreigner should put himself mentally in the shoes of the man with whom he is dealing. "Role analysis" is the formal label for this process. It seeks to describe, and then structure, what a person does, both in the context of what others expect of him and of what he expects of himself. The foreign expert assigned to help make the customs service of a country more efficient, for example, might learn about current problems by analyzing what the chief at a border customs station and his subordinates understand their roles to be. This kind of analysis will also help an advisor gain a sense of professional identification with the institution to which he is assigned.

The team leader will then be able to engage his colleagues in a continuing intellectual relationship. Initially he will have to cast himself in the role of student, taking more from them than he can return. Later this process of learning can be widened into a dialogue, which the successful advisor will keep alive for the balance of his assignment. This is the essence of the team leader's relationship with his host-institution colleagues.

From time to time the dialogue may suffer disruptions. This may well happen when personnel changes take place in the institution. The advisor will find that his circle of colleagues will not remain static—in fact, he should be prepared for shifts in institutional leadership. The appointment of a new official in an institution can be the occasion for stock-taking in which the foreign expert participates along with his colleagues. He may be able, at such a time, to convey to the new official his own perception of the institution.

The advisor must also remember that the background of his host colleagues will have been shaped by different cultural values than his own. In many cultures, for example, professional training prepares the young mainly for positions of influence and power. Thus, a foreigner cannot take it for granted that a man with a bachelor of science degree in horticulture is necessarily able to teach villagers how to prune trees. He may have been trained in the theory of pruning—groomed for an administrative post in the general area—yet never actually have done pruning himself. When a foreign agricultural-education expert talks about the role of a newly-created faculty of agriculture, he needs to be aware of how his host-institution colleagues perceive the faculty, and what they expect the role of its graduates to be in their society.

The team leader may find himself involved in competition between the host institution and those who for some reason would frustrate its development. Though naturally supportive of his project, he must be careful not to take too extreme or too limited a stand. This is where a foreigner's perception of the societal matrix of an institution has great value. He can often help his host-institution colleagues devise ways in which to manage institutional conflicts and stresses. In such situations a team leader can be of genuine assistance only to the extent that his stance is recognized as being one of broad and sympathetic comprehension of local aims and beliefs.

THE OBJECTIVES OF THE ADVISOR

Harnessing Technology to Institution-Building

Technology is linked with institution-building by the fact that it functions through institutions, which must be suited to the needs and capabilities of the society in which they are placed. Some properties of a given technology are universal. Plants require food and water; engines must have fuel and maintenance. These properties obtain in any village or metropolis. But to *institutionalize* a technology, one cannot ignore the specific characteristics of the particular culture in which it will be applied.

In part this is because the introduction of a given new technology is motivated by definite policies or purposes, and these may differ from country to country. Even if the institution or system to be installed bears the same name as it bears elsewhere and draws on the same body of technical knowledge, its intended or real aims may differ radically from those of similarly-labeled institutions in other lands. So may its clientele. Also, propensities for collaboration within communities vary from culture to culture. Culture and social factors affect access to various roles. There is no unvarying formula applying everywhere.

The import of all this has been stated more than once in this *Guide:* it is not enough for the foreign advisor to know his technology—he must also know the setting in which it will be applied. Some of this he can learn from his host-country colleagues. But even here he may encounter limitations. Many of his colleagues have absorbed their knowledge of their country through being born and brought up on a high level of their own society. Few have studied their country's institutional structure in a detached, formal way. They may lack knowledge about vital aspects of their society. Frequently, they have been brought up and educated in the capital city. Their government has probably provided limited opportunities for field trips in connection with their official duties.

In many countries it is difficult to generate new ideas about how to do things. Deviations from established patterns involve risk—not only the real risk of failure but the risks of censure and opposition—even sabotage—by those with large investments in the status quo. One frequently encounters the bureaucrat's impulse to be cautious and to resist innovations that might cause turmoil.

The team leader or team member is not so restrained. He may see opportunities where his local colleague is more prone to see obstacles. He may have had experience in similar situations elsewhere. He may be able to devise promising approaches to the problems at hand. When possible, he should offer alternative courses of action; but he may properly be expected to make clear and explicit recommendations. These are sometimes extremely useful to indigenous decision-makers, who can use them as leverage.

Situations of this kind pose real challenges to the foreign advisor. To meet them, he must call on all the elements of his understanding of the relationship between technological requirements and the features of the local society.

Facilitating Access to Technology

Technical assistance advisors are in a position to give their host institution and its leaders greater access to the sources of innovative technology. In most of the less-developed countries, a small number of senior technologists bear the bulk of the country's professional and managerial burdens. They have inadequate opportunities to keep up with the scientific literature in their fields, and cannot easily maintain contact with foreign sources of information. The foreign expert, especially the team leader, can help overcome this problem. He has access to many sources of material and knowledge. Through the commodity element of an external assistance package he may be able to obtain books and subscriptions to periodicals. In other ways too an advisor can help build a basis for permanent linkages between the institution he is working with and technological centers abroad.

The team leader can also provide information on the pertinent experience of similar institutions in other less-developed countries. Actual examples are sources of useful lessons about what may, or may not, be feasible. They can sometimes provide convincing precedents. The team leader may be able to arrange tours to kindred institutions abroad for key host-institution personnel.

Contributing to Managerial Capability

Building or changing an institution requires decisions about many alternative courses of action—plus the capacity to carry them out. Thus a managerial system able to introduce innovation is essential. In his capacity as advisor, the team leader will no doubt be asked to help improve the organizational and managerial capabilities of his host institution. He will be expected to "help make things work." In doing so, his focus should be on developmental tasks, not on the routine operations of the organization.

The outside expert has a special kind of access to his host organization and its environment which can enable him to obtain exceptional insight into managerial needs and organizational problems and potentials. He has status, but is not locked into a particular rank nor identified with any particular clique within the institution. He may thus enjoy access to and rapport with many levels of employees and officials, from lower-ranking employees to a minister who is inaccessible to others. The skillful advisor can often put this professional and social mobility to good use without creating jealousy and without stifling the growth of normal patterns of communication within the organization. If he is able to do so, he will contribute substantially to the management aspects of the institution.

Assisting with Evaluation

Evaluation involves the systematic examination of operational strategies, resource allocation, and other management decisions aimed at achieving the joint goals set for the institution and the external assistance project. The examination which occurs as a part of day-to-day supervision is reinforced and supplemented by scheduled efforts to compare evidence of programs with stated targets or criteria. The team leader has a significant role to play in aiding the institution's leadership in its evaluation efforts. Because of its importance and complexity, evaluation is the subject of an entire chapter—Chapter VIII—in this *Guide.*

Planning for Project Termination

Institution-building projects aim to achieve a state in which external assistance will be unnecessary. Termination of such assistance should be included in the initial planning of a project. External help, if unduly prolonged, can attenuate the development of an institution.

The ending of a particular external assistance project should not mean an end to exchanges between the host institution and sister institutions in other lands. On the contrary, firm linkages should be established long before external assistance is terminated. Such linkages perform certain functions which are similar to those of external assistance agencies, but their character is different. Transnational linkages enable an institution to give as well as to receive.

In the 1970's, new arrangements for transnational linkages are emerging. The informed advisor needs to be aware of them. One type involves networks of functionally-related institutions. For example, an Asian Association of Agricultural Colleges and Universities, spanning the area from Turkey to Korea, was formed in May 1972. Another new type of linkage involves one or more institutions in a more-developed country and similar institutions in less-developed countries, which link themselves in joint research, exchanging personnel for their respective benefit. For a further discussion of such collaborative research arrangements, see *Research Networks*, an AID publication in the Technical Assistance Guidance Series, issued by the Methodology Division of the Bureau for Technical Assistance. Other similar linkages already exist in the form of international and regional professional associations, and of specialized international research institutions.

Chapter IV

THE TEAM LEADER AS MANAGER OF EXTERNAL RESOURCES

The resources provided to a host institution by an external assistance agency include, first, the professional or advisory input—the team leader and his team. Usually this input is complemented by the provision also of training and commodities. Institutional staff (or candidates for staff positions) are often sent out of the host country for training. Commodities or equipment—different external assistance agencies use different terms—strengthen the host institution by making available to it instruments, books, tools, machinery and other operational items.

The external assistance agency often has a different perspective on a project than the host institution or the host government (who may themselves not see eye to eye). These differences may concern the priorities of the project, project components, or the time-frame of external assistance. They may become explicit when the project is being planned or reviewed; at other times, they may be implicit.

The team leader should consider the host institution's viewpoints with both empathy and detachment—for his is the function of advising his host-institution colleagues both on institution-building and on how external assistance can best support that effort. His opinions and advice may be solicited when the host institution deals with other host-government agencies or negotiates with the external assistance agency.

There are interrelationships and trade-offs among the various kinds of external assistance because of the limits on the financial resources available. The assistance agency usually determines, early in the life of a project, the over-all price tag which it is willing to attach to it; similarly, the host government and institution are limited in what they can spend. Within these parameters some trade-offs are possible in support of those options which seem most effective for institution-building. External assistance agencies tend to maximize the professional input into institution-building projects; professionals have potentially more impact than commodities or external training programs. Further, once commodities are delivered, they are in place and cannot be taken back if not properly utilized. When training has been provided, it cannot be retracted.

Host institutions, on the other hand, often prefer to place greater emphasis on commodity inputs into a project, since they obviate the need to use the institution's own budget for needed purchases. They sometimes perceive the training component less in terms of institution-building—that is, the opportunity to train new leaders for the institution—than in terms of rewarding loyal staff members with a year of study abroad. Host institutions sometimes view foreign advisors as expensive when compared with commodities or training slots.

GENERAL GUIDELINES FOR THE APPLICATION OF EXTERNAL RESOURCES

Foreign professionals, commodities and training each affect different aspects of the host institution and are significant at different stages of its development. Implicit in each of these components is the element of information; advisors are only as useful as the skills and information they are able to impart. Training programs must provide both skills and information to those who participate in them, and equipment must give the host institution that minimum of physical plant which enables foreign professionals to work effectively with their host colleagues.

The following suggestions are intended to provoke thinking on the part of both host-institution leaders and the team leader, and to help generate a dialogue between them.

The Phasing of Advisors

The pattern for assigning advisors will vary considerably from project to project depending on a number of factors, including whether the host institution is a newly created or an established one. Some of the differences likely to exist in these two types of situations are discussed in the following two sections.

New Institutions

In the case of a new institution, advisory staff members are usually asked to apply their professional skills to helping develop a necessary cadre of able operational personnel in the institution. In such cases, the host colleagues to whom they are assigned normally have already acquired the basic technical skills required but need enhancement of their abilities, mainly in management and program-planning. For instance, a foreign advisor might need to assist his host colleague, already a trained animal scientist, in applying his knowledge of animal husbandry to the operational problems of a livestock breeding station, the advisor providing a mixture of technical and nontechnical (i.e., managerial) skills.

One option which needs to be considered is the matter of on-the-job skill transfers as against such transfers which occur away from the institution, either in host-country training centers or abroad. Institution-building requires a broad combination of technological and managerial abilities for which training may not be obtainable on the job, even when a highly-qualified foreign professional is present. For one thing, the demands made by a developing institution on the time of its staff may cause the forfeiture of training time.

A second important variable is the degree to which the team should participate in operational rather than purely advisory functions. During the early phase of an institution's life, when significant amounts of staff time are likely to be spent in training activities, the demand on foreign experts to play roles other than advisory ones is usually high. They may be asked to substitute for staff members absent for training or to provide skills which the host institution has not yet developed. When this happens, the institution's leadership must make certain that a schedule exists for the disinvolvement of the alien experts from operational duties and that both their own staff and the foreign advisors understand this schedule. In each such case, the foreigner clearly must revert to advisory duties as soon as the incumbent returns or the institution's staff has developed the necessary skills. When an incumbent returns, he should find a foreign advisor ready to assist him professionally during this period of readjustment.

Both an institution's leadership and team members are often tempted to cast the latter into operational roles for more prolonged periods than are really needed. The expert himself is quite likely to enjoy an operational role more than a purely advisory one with its less active stance and vicarious achievements. However, it is vital to the institution-building process that advisor remain advisor and that operations be handled by the regular staff of an organization.

Established Institutions

Foreign advisors are increasingly assigned to established institutions to work on managerial improvements rather than being assigned to help create a new institution from scratch. This phase of institution-building usually calls for relatively smaller contingents of resident experts; additional inputs can be provided by specialists who join a team for brief periods. This approach is also useful during the phasing-out of external assistance. After the resident team has been withdrawn, necessary additional advisory functions can be performed through periodic visits from specialists.

Assistance to established institutions differs from aid to newly-started ones not only in the number but also in the type of advisors required. New institutions need foreign experts who are qualified in many facets of their profession and who can deal with a variety of problems. Established institutions usually call for experts who are highly competent in the relatively narrow segment of the technology with which they will be expected to help decisively during their stay.

In order to meet some specialized assistance needs, the intermittent presence of a highly-qualified specialist may be preferable to his assignment on one protracted tour of duty. During the specialist's absences, his staff colleague can put his own competence to the test. The scheduled return of the expert then provides a target date before which certain tasks must be completed.

After external assistance has been phased out completely, a host institution may still wish to obtain, from time to time, the advice and technical guidance of qualified foreign specialists. This further input of foreign expertise, is of course, a proper additional investment in institution-building but it may have to be financed by the institution itself, or through some other source, rather than by the agency which supported the original technical assistance.

Realistic Levels of Commodity Support

Appropriate commodity support is usually required for a technical assistance effort and is often, in monetary terms, an expensive input into institution-building—expensive both for the host institution and the external assistance agency. Its proper programming involves many dilemmas. The history of external assistance abounds with illustrations of the supplying of the wrong kinds and quantities of commodities, yet it is impossible to set forth definitive guidelines on how to provide commodity support appropriately.

Ideally, commodities should be so ordered as to arrive when the appropriate advisory skill is present to help install them and initiate their use, and when the appropriate staff members of the receiving institution have had such training as they need to make optimal use of the commodities.

The equipment available to an institution must be adequate to enable it to implement its programs properly and to function technologically. Some of this equipment will be obtained by the institution from its own resources and through host-government channels; some of it, in some cases much of it, will be provided by the external assistance agency. The guidelines presented here apply to all equipment, regardless of source.

How much use an institution will obtain from its equipment depends on three factors: technological appropriateness, cultural or environmental appropriateness, and the physical life-span of the equipment.

Technological Appropriateness

The equipment provided should be at a technical level appropriate to the host institution, its staff and its program. A particular model or specification must be selected with a particular institution or program in mind, not in terms of what a similar institution in another country has available or is using.

Equipment selection is a complex matter, in that it involves not only practical considerations but also matters of personal and institutional pride.

Any institution derives prestige in part through the equipment it has available for its use, and no institutional leader wants to see his institution have less than the latest and best for either use or display. And there may be some merit to the claim that advanced equipment encourages a staff to "think big" and in innovative terms, and stimulates them to acquire new skills commensurate with the equipment at their disposal.

At the same time, equipment that will not be used efficiently is a waste of resources an institution cannot afford. The price of the latest and best model may equal the cost of three units of the model that was latest and best five years earlier. And, if three units will serve an institution's needs better than a single unit, even with extra features, the older models will be the better investment. In less-developed countries, equipment that meets their needs should not be considered obsolete simply because something better has appeared on the market. Though it may sometimes be appropriate to pay a premium for psychological reasons, the amount of the premium an institution can afford to pay requires careful consideration.

Another criterion that needs to be applied to decisions concerning equipment relates not to the institution but to its clientele. An institution equipped at a technological level far above that of its clientele may be handicapped in its ability to introduce change. For example, providing an agricultural research station with enough tractors to till all of its experimental and demonstration plots may appear efficient. But if the farmers in the area are still at the hand-tool and ox-drawn-plow stage, they may attribute every agricultural success at the station to the tractors and dismiss all instruction about proper seeds and fertilizer. Similarly, a country's teachers may reject a highly-effective approach to science teaching if their introduction to it was made with complex and costly audio-visual equipment that is helpful but not essential and which is not available to them. By its very visibility, equipment draws attention to itself and away from the principles that the institution is really trying to promote.

The local economic situation should also influence such decisions. In technically-advanced countries, the labor-saving aspects of machinery are among its most attractive features; hardware is cheaper than wages. But in less-developed countries underemployment is virtually endemic and labor-saving devices are not so attractive. Thus, calculating machines which replace 40 clerks or tractors that replace 40 unskilled workers might well be perceived as displacing individuals who would otherwise still be employed. Of course, equipment which performs tasks that no number of human beings can accomplish is quite different. For instance, one x-ray machine can "see" things which no number of laboratory technicians can see. Some farm machinery facilitates double cropping and actually increases employment.

The acquisition of most equipment implies the regular availability of other inputs, less expensive perhaps but essential. These require a trustworthy supply system, hence management and service time. Some equipment may need special physical space for its proper installation. An electronic data-processing machine, for example, may require for its operation not only tapes, cards and electricity of very steady voltage and cycle, but also special flooring and air-conditioned enclosures. In selecting equipment, not only the specific item but the total system affecting its use must be considered.

Cultural and Environmental Appropriateness

In the choice of equipment, specific attention must be given to natural or physical characteristics such as prevailing temperature, rain-fall and humidity, the availability and purity of water, the composition of soils, the passability of roads, etc.

More subtle influences on the selection of equipment or commodities are exerted by cultural factors, such as the managerial practices that often determine how effectively a given item will actually be used. For example, in some less-developed countries a strict system of accountability governs the use of library books. The "librarian" is not a trained professional but rather a kind of custodial employee who has charge of the library's materials. He is personally responsible for the safekeeping of every volume, and may be unwilling to allow anyone save his supervisors to borrow books, or even to have access to the room in which they are kept. Similar restrictions may affect the use of scientific equipment such as microscopes. Those who decide that an institution should acquire such equipment, or install a library, must ascertain that it will be managed in a manner to permit use. At the same time, provision must be made for its safekeeping.

Physical Lifetime

The expected lifetime of a commodity, which is a standard criterion applied everywhere by purchasing agents, takes on special significance for a technical assistance project. The institution faces an adjustment period after the assistance ends, and the need to replace substantial amounts of worn-out equipment can be a major jolt to its budget.

The life of equipment depends not only on the kind bought but also on the skill of its operators and the care they exercise, and on the wear and tear it may suffer through lack of preventive maintenance. The question of whether to provide a ministry of agriculture with tractors of a given type, for example, should take into account their relative ease of maintenance and the availability of parts. Perhaps the best solution to these problems is the establishment of a linkage to a supplier who can provide both maintenance and parts, since the creation within the aided institution of a maintenance capability may result in relatively poor maintenance as well as a drain on the institution's resources.

The Collection, Analysis and Application of Information

Every institution requires information of many different kinds on which to base decisions about its doctrine, programs and relationships. Some of this information comes from within the institution, deals with internal performance and is transmitted upward to intermediate and top managers. Information generated externally deals with the environment and how the institution may affect it or be affected by it. Information is sometimes managerial in nature, sometimes technical.

To obtain the kinds of information it needs, management must first design an information system which responds to its priorities. What do leaders and staff need to know? Usually, far more information is available than can be absorbed and applied. An effective information system is selective, provides material that is needed and keeps out the rest, and is commensurate with an institution's priorities and resources.

In many less-developed countries, managerial patterns tend to impose on institutional staffs onerous requirements for frequent reports. In many cases, the aim is to impose administrative discipline rather than obtain information. Frequently the burden of reporting is such that it serves neither a control nor an information purpose. Either officials and technicians have hardly any time in which to do their actual work, or they are driven to the quick preparation of reports that are more fiction than fact. A device neglected in many less-developed countries is that of the staff meeting, at which officials can informally share information with their colleagues and supervisors.

Another frequently encountered pattern is the routing of nearly all information to top leadership rather than directly to the subordinates who should act on it. Too much information goes to the top not only because of reluctance to delegate authority but also because of the unwillingness of subordinates to take responsibility for sifting out and diverting material that appears to be irrelevant.

The team leader can play a significant role in the improvement of the information process. His usefulness and that of his team members stems from their professional experience in similar institutions elsewhere, including earlier involvement, formally or informally, in information management. They may also be able to create technological and scientific information linkages between an institution and similar organizations abroad. External assistance may be able to provide funds for the acquisition of some specialized foreign periodicals and books.

Lastly, the team and its leader may be able to provide personal examples in their own working methods of a style of information-sharing which, informal and functional, contrasts with the existing style in the institution.

THE TEAM LEADER AS ADMINISTRATOR

The team leader has many administrative responsibilities, some of them challenging, others largely routine. Most of these require coordination with the activities of the other agencies to which he is responsible. He may perceive himself slowed by their slowness, too tightly governed by their manifold regulations. This aspect of his work may well be the one which most taxes his patience.

Because his administrative responsibilities are so closely affected by regulations and bureaucratic patterns, the team leader should come to know the legal situation of his host institution and the official procedures to which it is subject with respect to budget-making, personnel systems, accountability for funds and equipment, etc. He will also need to know something about import regulations, which affect both project commodities and the personal effects of his team, and about regulations pertaining to travel in and out of the country by foreigners and nationals. The regulations and legislative requirements under which the external assistance agency operates also affect him. His field office project officer, and the staff of the host institution, can help the team leader obtain answers to such questions.

The team leader must also be familiar with the regulations of his home institution and those spelled out in the contract between it and the external assistance agency. Finally, the project agreement and other understandings between the assistance agency and the host government must also be well-known to the team leader.

The team leader may appropriately involve some of his team members in certain aspects of the managerial side of his work, and may also be able to recruit an administrative staff locally.

Project Design and Redesign

Though stated policy more and more emphasizes the role of the team leader in the design of institution-building projects, he should be aware that reality has not entirely caught up with this desirable end. The degree to which a team leader is involved in project design or redesign will vary with each situation.

The team leader assigned to a project begun earlier may find that, initially, at least, he is expected to continue and not significantly to alter the project's course. The extent to which he will be able to modify that course will depend mainly on his acquiring the trust of the many officials whose approval of change is needed.

The team leader may initially perceive project design as an interesting administrative function and an exercise of high professional skill. Though such skill will be called into play with respect to the interactions and requirements of the various agencies involved, project design can often be tedious.

In large measure, the team leader will find that the administrative aspects of project design are tied to the various milestones of resource management: ends of fiscal years, renewals of the home institution's agreement with the external assistance agency, legislative cycles in both host and home countries. Crises of various sorts are also involved. This programming calendar will be further complicated when the assistance agency, the host institution and the home institution operate on the basis of different fiscal years and require separate reports and projections, each reflecting different fiscal regulations and budgeting systems.

Since the emphasis in institution-building projects is on the long run, the team leader will also find that each of the agencies involved expects him to be able to forecast with considerable accuracy. He will be expected to come up with multi-year projections of needed resources, staffing patterns and training schedules despite the fact that each of these may be altered by unforeseen circumstances within a few months.

When the team leader is asked by the host institution to collaborate in preparing its submissions to a ministry or budgetary agency, he should make sure that vital decisions are made by the host agency and not by himself.

Project design or redesign must also be responsive to policy guidelines which are promulgated by the host government or the assistance agency. Some of these may have broad impact on project objectives and operations. An illustration of a basic and far-reaching directive (for AID-supported projects) is the Administrator's Policy Determination, *Employment and Income Distribution Objectives for A.I.D. Programs and Policies,* October 2, 1972. It stresses that mission programs, which often affect employment and income distribution, should give greater attention to these factors and provide feasible measures that will help alleviate pressing problems in these areas.

Progress Monitoring

Progress monitoring—checking to make sure that inputs are on schedule and that outputs are being produced according to plan—is another key responsibility of the team leader.

Partly because of the distances involved—the distance of the project from the home institution and from the external assistance agency's headquarters, from points at which host-institution staff are being trained, and from the sources from which commodities are being obtained—the team leader will find that the projection of every time element must be generous, and that even then delays will occur. This is especially true in the procurement of commodities and, to a lesser degree, with training.

Each delay in the delivery of a commodity may trigger other delays concerning which the team leader ought to take action. For example, if new generators for a power plant are not delivered on schedule, the training of the personnel who are to operate and maintain the generators may be affected. Or, if the new hybrid seed arrives in damaged condition, a whole planting season may be missed, thus affecting both planned inputs and outputs. Similarly, if the return of a trainee from study abroad is delayed because he fell ill during the spring semester and had to make up his work during the summer, the departure of another trainee may be delayed.

Careful monitoring of a project may also suggest remedial action that can be taken to forestall other similar occurrences. Planning based on project reviews may be able to obviate the effects of procedural inefficiencies on the part of any of the institutions involved.

In any case, the team leader should make the institutions cooperating in his project aware immediately of the limiting implications which every delay in input or output carries with it.

There is a close relationship between progress monitoring and project evaluation; the latter is the subject of Chapter VIII. For many projects of the Agency for International Development, especially those conducted under an "institutional development agreement"—a special type of arrangement between a home institution and AID—an annual review is held, an exercise which combines monitoring progress with project evaluation. The annual review is the key formal occasion on which AID discharges its policy and administrative responsibilities for seeing that a project's management meets AID's requirements for accountability. At the annual review, staff papers drawn up for the occasion and reports and other documents prepared throughout the year are discussed, developments during the previous year are examined and plans and expectations for the coming twelve months are shaped. Though the team leader has key responsibilities in the scheduling and organizing of annual reviews, he is not the principal participant at these meetings, in which representatives of the host institution, the host government, the contracting organizations and the external assistance agency participate. More and more, annual reviews cast the host institution as the principal contributor to discussions which analyze a project and blueprint its evolution.

The Administration of the Team

The team leader will be involved in administrative matters relating to the hiring, salary, promotion, retirement, transfer, etc., of his team members. In large measure these are not covered in this *Guide* since they have to do with the specific practices of the home institution. Special aspects of team administration which reflect the nature of the technical assistance environment are discussed in Chapter V.

Practice varies considerably with respect to the allocation of responsibilities for the housekeeping aspects of team operations. But the current tendency is to make day-to-day operations independent of the external assistance agency. Fewer teams are now housed in the external assistance field office. They either have their office space entirely on the premises of the host institution, or they have desk and study space there as well as a rented office of their own elsewhere. Fewer teams now obtain vehicles for local use through an external assistance agency motor pool; transportation requirements are met either by host-institution vehicles or through the use of commercial cabs and trucks, or possibly the team may acquire its own vehicles. Supportive services to team members and their families are also shifting away from the assistance agency field office to the team or the host institution: for example the rental and maintenance of private dwellings, non-official transportation, etc.

The team leader will need a clear picture of what services and support he can expect from the external assistance agency, his home institution and the host institution, respectively, and assurance that he will obtain from one or another of these organizations the necessary resources to acquire goods or services that will not be furnished in kind.

This does not mean that the team leader must assume all the housekeeping responsibilities which others no longer provide to the team. Some of these burdens should devolve on team members themselves, with appropriate local assistance.

When a team leader leases premises for the team office, or engages local personnel for administrative or other positions, he should make sure that he is fully informed about local regulations pertaining to the rental of real estate to foreigners and the employment of personnel by foreign organizations. The assistance agency field office and the host institution will be able to guide him in this respect.

Chapter V

THE TEAM LEADER AND THE TEAM

The need of team members for advice and support will exist in both professional and off-the-job contexts. They and their family members may expect the team leader to help them solve problems which they would never bring to their supervisors at home. The external assistance agency, the host government and the host institution, as well as the home institution, not only hold the team leader responsible for the professional performance of his team but also expect him to support—or to restrain—his team family in the off-the-job environment.

SELECTION OF TEAM MEMBERS

The size and composition of the team will affect the character and style of the team leader's dealings with it. A team whose members all come from the same country generally poses fewer professional problems than an international one. For example, a team fielded by the United Nations may be composed of members from different countries who have a wide variety of professional backgrounds. Obviously, these two teams require different styles of team leadership.

Only rarely is a team leader appointed early enough to help prepare, in consultation with host-institution officials, the initial staffing plan and position descriptions. The degree to which he and host-institution officials participate in selection of candidates for membership on the team also varies. The team leader may find himself confronted with the task of guiding his assigned team members in spite of the fact that he himself would not have chosen them.

Clear guidelines for the selection of team members have yet to be developed, but there is general agreement on some of the desirable characteristics to be sought. The professional qualifications of the candidate—those degrees and achievements which look so impressive on resumés—are important, but the personality of the applicant matters at least as much. The ability to establish constructive personal relationships with professionals of another country and culture is paramount. Traits such as egotism, overaggressiveness, indifference, passivity, inflexibility and lack of moderation, which impair an individual's effectiveness in his own culture, become intolerable in the technical assistance environment. Every team member must also have managerial talents which, in the normal exercise of his profession at home, he might not need to the same degree. Ability to delegate responsibility (but without personally shirking it) and to use his influence beneficially and with tact, readiness to operate within the constraints of established policy—these are highly desirable characteristics.

As for professional qualifications, the days are gone when such a vacuum of professional know-how existed in many less-developed countries that even mediocre advisors were able to out-perform their host-country colleagues. Now a foreign expert must give constant evidence of a high standard of professional excellence, displaying both intensive knowledge of his subject-matter and extensive understanding of its appropriate application in developmental and institution-building situations.

The characteristics of the members of an advisor's family who will accompany him must also be considered. In external assistance jobs, the dividing line between office and home environments is usually quite thin. The family of the professional can play a supportive role in his adjustment to his foreign assignment, or they can be a cause of anxiety and embarrassment which can interfere with his work.

Some external assistance agencies conduct home interviews while an applicant is under consideration. Whatever problems beset a professional and his family in their home environment will probably accompany them to their assignment in another country, where they may actually be magnified. Not only the professional but also his family must be able to relocate psychologically as well as physically, and live comfortably under the disciplines imposed on foreigners in their host country.

In general it is much more difficult to evaluate family and personality factors than to assess professional competence. Among negative factors are such problems as drinking, drug abuse, immaturity, financial or other irresponsibility, disciplinary difficulties with juveniles, etc. On the positive side are family solidarity, intellectual curiosity on the part of family members about life in another culture, readiness to put up with what may seem to be hardships, and the like.

Assessment of a family's qualifications is easier when candidates from the home institution are involved, since the candidate and his family are already known. However, officials concerned with selection must remember that they are evaluating a family in terms of their potential for adjustment to a quite different setting.

An important element in the screening process should be "self-selection." The candidate and his family should be given an opportunity to learn the requirements of the position and its environment, and to assess themselves in relation to these An extremely candid briefing which will let the candidate and his family make up their minds about their own suitability may be the single most useful screening device yet developed.

GUIDING TEAM MEMBERS

The team leader must so guide his team that the impact of their collaborative efforts is greater than the sum of their individual achievements. Team members need this guidance even though professionally competent in their own fields.

Orientation after Arrival

The fact that a particular team member is coming will be known to his host-institution colleagues. Often some of these may expect a contribution to their work practically upon his arrival. Yet the newcomer should be given enough time to get settled. Resting up from the trip itself is especially called for when drastic changes in time-zones, climate or altitude are involved.

Although a new team member may be eager to get started in his work, he should be encouraged to tend to his home affairs first, to such matters as unpacking, getting settled in a house, obtaining his bearings geographically and culturally, enrolling the children in school. He should receive guidance in all these from his team colleagues and their families already in residence. Among the subjects covered by such guidance should be local beliefs and mores.

Activities with Host Staff Members

Following this initial period, the new team member should be integrated into the institution as an effective staff member. He should be counseled by both institution leaders and the team leader about the professional development of his colleagues. He should meet these colleagues as soon as possible, and give them an opportunity to introduce him to his work. The team leader may previously have consulted with these colleagues in identifying the tasks which the newcomer might undertake first, which in some cases may not be in the same area in which he will work later.

His initial assignment should be something which the newcomer can do well, which is visibly effective, and which is relatively independent of specific local factors. He might teach a special class, engage in some type of research, or begin to set up a demonstration of a new type of technology or a new approach which the institution believes potentially useful.

Institution-Building with Management

The primary objective of a technical assistance team must be to help build institutional capability rather than to produce an institution's end products. As productive as many activities requested of team members may be, the team must focus on the institution-building aim, and it is a team leader's duty to guide and orchestrate his team's work in this respect.

A team member is usually responsible for keeping all relevant staff members informed about his technical specialty, and these may include a department or section head. The team leader can contribute to this transfer of information by sustaining an environment in which an expert and his colleagues can carry on a dialogue about different courses of action with respect to problems, discussing these without embarrassment to either side. The environment necessary for such interaction depends partly on establishing the working credentials of team members with host-institution officials. Also desirable is some sort of forum in which team members can seek guidance and share in making plans and decisions in the light of broad institutional objectives and doctrine. In these and other ways, a team leader welds his team together into a unified force for institution-building.

The team leader will be the primary contact with the senior leaders of the host institution, but he will want to solicit the views and perspectives of his team members and on occasion have them join him in consultations with senior leadership. In contacts with the institution's top management, team members should express coherent and consistent views about their project as a whole as it relates to the institution, rather than concern only with their particular segment. This requires that the team leader continuously keep team members informed about the strategies and procedures which are under consideration. Though the team leader's role is uniquely important, he is not a "lone wolf." He is the senior pilot, but he does not fly solo.

Developing Institutional Linkages

The team leader and members will meet business and community leaders as well as senior members of the host government in the course of their professional or social life. As foreigners they occupy a special place in the community and have access to personalities who may not be available to their host-institution colleagues. Such encounters, if tactfully handled, represent opportunities to assist in the development of appropriate linkages between the host institution and its environment. However, they can also represent traps into which the incautious foreigner can inadvertently fall, with serious consequences for the entire project.

A foreign advisor should not presume to speak *for* his host institution, though he may speak *about* it. He should never present himself as a prime mover in the institution-building effort, but instead make clear his advisory position. He may appropriately express the doctrinal views which he knows the institution's leaders to hold, but he must be careful not to be drawn into the kind of political or doctrinal discussion from which a foreigner should always disqualify himself. He should be informative; he should never become partisan. He must be aware that he is ignorant of a complex political and historical background. Above all, he should not criticize host officials.

To illustrate, there was the case of the foreign advisor who in the course of a cocktail-party conversation with a member of the national legislature of his country of assignment complained about a certain cabinet minister with whom the advisor had had dealings . . . only to learn from the member of parliament that he and the cabinet minister were half-brothers (they did not share a common family name). Fortunately, both the parliamentarian and the cabinet minister were men of unusual sophistication and charity, who were able to laugh off the foreigner's foolishness rather than make an issue of it. However, the conversation did not produce additional support for the project.

PROFESSIONAL DEVELOPMENT OF TEAM MEMBERS

Implicit in a team leader's responsibilities, both for institution-building and for the effectiveness of his team, should be his concern for his team members' standing in their professions. At least some of the steps which will enhance the professional development of team members are supportive also of the professionalization of the host institution's staff, and can help make the institution itself an exciting place for all who are associated with it.

For foreign advisors, technical assistance work provides its own kinds of professional satisfactions and rewards: opportunities to meet challenges not encountered at home; experience in the application of a professoinal discipline or of scientific knowledge in a different cultural and geographic setting; opportunities to influence institutional policy and development-connected decisions at a level comparatively higher than is possible in the home institution.

Yet such experiences may not provide the type of professional and career rewards to which a technical assistance practitioner may feel entitled. He may find, as others have found, that his evaluators at home consider his technical assistance involvement to have less professional substance than the "normal" employment pattern. This is a risk which team leader and team member alike must take—and a risk about which they may well feel concern. They should strive to continue their professional growth, keeping up with changes in their respective disciplines. The team leader's management of his team can relieve some of these concerns, though not fully, for it is his paramount responsibility to make sure that his crew of advisors give their priority effort to the requirements of the project.

The problem of keeping up with professional developments is one which the foreign advisor shares with his host-institution colleagues. Many less-developed countries are removed from the mainstream of scientific and technological innovation; otherwise they would not need technical assistance. The team leader should arrange an appropriate flow of professional literature to his team members. If this material is directed to the host institution's library, it can be shared alike by the institution's staff and their advisors. Together with the leadership of the institution the team leader may be able to organize lectures, conferences, seminars, even short courses, to benefit his team as well as the entire professional community at his post. These activities should focus on the illumination which a particular professional discipline can throw on some of the problems faced by the institution.

In some less-developed countries relevant professional organizations exist. Where they do not, foreign advisors may be able to serve as catalysts to bring them into being. Another useful professional activity is research and the publication of research findings. A foreign advisor may have an opportunity to do worthwhile research on problems related to his project, often in areas to which his fellow professionals at home simply have no access. Such a professional endeavor can be additionally related to his advisory responsiblities if it is carried out in collaboration with a fellow professional from the host country, and published jointly.

Attendance at international technical or scientific conferences may benefit both staff colleague and team member and also be pertinent to the project. Other profession-building activities for team members include teaching at a local university and brief leaves of absence from their regular assignments for special research or writing. Of course, these activities should be arranged in cooperation with the institution's leaders and receive their approval, and whenever appropriate should involve at least one of the advisor's host colleagues.

The team leader should make sure that his team members receive recognition from the home institution and the external assistance agency for each of the activities suggested above, and that they are taken into account in the assessment of a team member's performance. This may still not fully eliminate the "professional re-entry" problem, but it will help.

EVALUATING THE PERFORMANCE OF TEAM MEMBERS

A team leader has responsibility for evaluating the performance of his team members. Assignments in another country tend to bring the team leader into especially close touch with the personal as well as the professional lives of team members and the evaluative procedures employed will reflect this closer relationship. Appropriate standards of performance may be developed jointly by the team leader and member shortly after the latter's arrival.

The evaluation method applied by the team leader may be that used by the home institution for its own staff. If this is the case, the team leader should adapt the criteria used in order to cover professional factors and situations unique to the team members' foreign assignment. He must write his evaluation so it will be meaningful to officials who may have no first-hand knowledge of the setting and what it requires both professionally and personally. Evaluation of a team member's performance must be made within the framework of his assignment and the limitations imposed upon him.

THE TEAM LEADER AND THE OFF-THE-JOB ENVIRONMENT

The team leader's role includes functions which resemble those of a scoutmaster or a chaperone. Most of these involve his responsibility for the well-being of team members and their families.

At the same time, the team leader is also responsible for the public behavior of team members and their dependents in the off-the-job environment. Some team leaders find that in the course of a series of assignments they need never intervene as disciplinarians. However, because some team leaders have encountered situations in which such intervention was required, the possibility is mentioned here.

Foreigners working in a less-developed country are subject to the laws, regulations and expectations of the host country, of their own country, and of the external assistance agency. Some of these affect the day-to-day lives of all associated with the team. In addition, of course, team members must take into account the mores of the host country and the sensitivities not only of their professional colleagues, who are largely members of the educated, Westernized element of the host country, but also of others they come in contact with, from storekeepers to peddlers, from neighbors to servants, from friends to persons they encounter on the streets.

Living Arrangements

Basic standards concerning the provision of goods or services to team members generally seek a balance between levels of living totally out of proportion to those prevailing on the local scene and those which would make an assignment unattractive, excessively difficult or even hazardous. The trend in this regard was discussed in the section on "The Administration of the Team" in Chapter IV.

Animosities or tensions may on occasion arise because of housing arrangements. Where housing allowances are provided, they may not cover all expenses. Allowances reflect an approximation of the average costs of rent and utilities; the householder may have to supplement them from his salary, just as he must pay for all housing costs when he is in his own country. Where residences are assigned, the team member should understand that this method has usually been adopted as the most practical way to avoid the bidding up of rents by pitting renter against renter.

Once the team leader has seen to the reception and settling-in of a new team member and his family, his involvement with the comfort of that family should rapidly diminish. At the same time, he must be mindful of the fact that even competent adults from the more-developed countries often find themselves entirely removed from the mechanisms of self-reliance they have established in their own cultural setting. If a window-pane breaks, or the refrigerator light gives out, there may be no hardware store for the team member to run to as he would at home. The team leader will need to display his sympathetic understanding on behalf of his flock. But somewhere there is a dividing line between acceptable dependence and unacceptable helplessness, and the team leader should not allow himself to be cast in the role of nursemaid.

To the degree possible, the team leader should delegate responsibility for house-and-perquisite matters to his locally-hired administrative staff, who can find their way among local customs and regulations much better than a foreigner can. At the same time, he must guide them by giving them standards for making decisions, and should review their work with them frequently.

Laws and Regulations

An earlier chapter mentioned that a team leader must become familiar with those legal and regulatory requirements which apply to the project on one level and to team members and their families on another. It is also his responsibility to make sure that team members and their families observe the spirit as well as the letter of these requirements. Many of them place restrictions on day-to-day transactions which are not regulated in the foreigner's home setting. The post report and officials of the assistance agency field office or of the diplomatic mission from his home country are sources of information to which a team leader should refer. Figure 5 provides illustrative examples of the regulations in force in many countries.

Foreigners attached to technical assistance programs are generally liable in all respects under civil and criminal law. They can expect no immunity from: traffic regulations, laws governing the employment of domestic or office personnel, sales taxes, or regulations pertaining to debts they may incur. They are expected to adhere to the strictest legal and moral standards in both their personal and official conduct, and can expect no leniency because they are foreigners.

In particular, the use of his automobile may involve the team member in a variety of legal complications resulting from traffic violations or accidents. The team leader should make sure that his team members are covered by appropriate insurance, and that they and the members of their families know what do do in case they are involved in a vehicular mishap of any kind. In some settings, it is highly desirable that a host-country

Figure 5. Illustrative Requirements Imposed by Host-Country Laws and Regulations

VISAS AND OTHER PERMITS

● Visa to enter country. ● Visa or permit to remain in country. ● Visa or permit to leave country (on official or personal travel). ● Visa to re-enter country. ● Special permit to visit outlying areas. ● Special papers for vehicle used to cross border in either direction. ● Special permit for vehicle operator to drive across border. ● Permit to cross border at a particular point. ● Special identification card for foreign residents. ● Driver's license. ● License for possession of certain items, e.g., radio, camera, firearms. ● Permit for domestic servant to be employed in foreigner's home. ● Papers authorizing employment of domestic servant and regulating servant's conditions of employment and employer's liabilities and responsibilities.

CURRENCY REGULATIONS

● Restriction on national currency brought into or taken out of country, in cash, bills or financial documents. ● Restriction on foreign currency brought into or taken out of country, in cash, bills, travellers' checks. ● Restrictions on exchange of foreign currency into national currency: fixed rates of exchange; exchange at designated institutions only.

IMPORT AND EXPORT REGULATIONS

● Customs duties on all or some items brought into country upon arrival, or thereafter, including items shipped in through postal service. (Agreement between host government and assistance agency *may* exempt technical assistance personnel from some of these.) ● Restrictions on import of certain items, e.g., alcoholic beverages, weapons, certain printed matter. ● Regulation of import or export of pet animals, plants, etc. ● Restriction on re-sale within country of items brought into country under customs exemption. ● Restriction on types of automobiles that may be imported. ● Restrictions on taking out of the country of certain items, e.g., objects of artistic or archeological interest. ● Customs duties on some items acquired in country when these are taken out.

driver be engaged for any vehicle, official or personal, and that team members, no matter how adept with automobiles, resist the temptation to drive themselves. Not only will the local driver know the roads to take, but he is best able to avoid the extreme complications that may follow a traffic accident. In many cases, he is also a useful interpreter and a competent guide.

Emergencies

There are occasions when a team leader must cope with emergency situations: the serious injury, illness or death of a team member or a member of his family; the effect of a natural disaster or a civic disorder; or the serious involvement of a member of his official family in a criminal matter. He may have received prior guidance from the external assistance agency field office on how to handle such matters. In any event, when such emergencies arise, he may appropriately turn for guidance and assistance to officials of the assistance agency or to consular officers having jurisdiction over himself and his team members. In fact, these are matters which he would best not try to handle by himself. Soon after his arrival, the team leader should get acquainted with those consular officers and host-country officials with whom he may have to deal if an emergency should occur.

Chapter VI

THE TEAM LEADER AND EXTERNAL AGENCIES

Three entities besides the host institution and the team of foreign professionals are partners in the institution-building project for which they provide resources. These are the host government, the external assistance agency and the advisors' home institution. On many matters they deal directly with each other. However, they each call on the team leader for information and guidance, and in some ways view him as performing services on their behalf. In turn, the team leader requires the support of each. The services which he provides these agencies and the support he obtains from them reflect in large measure the mutual arrangements and expectations they have established among themselves. In general, emphasis in the 1970's is on collaborative relationships, with easy communications among team leader, host-country entities, assistance agency and home institution.

THE EXTERNAL ASSISTANCE AGENCY AND THE HOST GOVERNMENT

Within the host government only a limited number of ministries or departments concern the team leader. Foremost is the ministry of which the host institution is a sub-unit. Of nearly equal importance is the unit with coordinating and planning responsibility for all external assistance received by the country. This unit is sometimes within the ministry of foreign affairs, sometimes a separate planning ministry, and sometimes a part of the ministry of finance. In any event, the finance ministry is the source of budgetary support for the host institution and the conduit for the foreign financial assistance it receives. Certain other ministries may also be involved because of a given project's substantive or technological aspects. For instance, a medical school under the ministry of education is also of interest to the ministry of health. From time to time, the national or a state legislature or a judicial or regulatory body may have some special interest in a project.

In dealing with these agencies, as well as with host-government units whose policies and regulations affect the team leader and his team in terms of their personal status as aliens, the team leader should be aware that tensions, rivalries and differences over various questions, important or trivial, may exist among such administrative entities. He may find that one agency disapproves of activities another agency permits, and that some inquiries or requests are shunted from office to office because of lack of accord over applicable policies or laws.

If the external assistance agency has a field office in the country of the team's assignment, it is this unit (e.g., the USAID mission) which is the reference point for the team leader in his dealings with the agency. The prime contact between team leader and field office will not be at the level of the field office's chief (e.g., the director of the USAID mission), but will be with the project officer, himself a career official of the external assistance agency. He will probably be a man who carries primarily policy-making and administrative responsibilities, though often he is himself a professional in the same technological area as the team.

The project officer, in turn, is responsible to the field office director, to whom he will refer significant issues. He also has his own contacts with host-government units that affect, or are affected by, the project, though he relies on the team to be the principal link with the host institution itself.

Both the external assistance agency and the agencies of the host government with which the team leader must deal are official, bureaucratic, hierarchical units. They are staffed by personnel who see the project as only part of their work. Host-government officials have other current developmental and administrative concerns; for the assistance agency the project is part of a broader program of development assistance. They must balance the interests of a particular project with those of other projects. The ability of both governments to keep resources flowing to the host institution may suffer because of legislative and administrative problems unrelated to the host institution or the project. Both host-country and assistance-agency officials may have a much longer involvement in the project than the team leader; Figure 6 shows a typical sequence and pattern of interactions.

Liaison Functions of the Team Leader

All those in his task environment expect the team leader to act as liaison between themselves and various others. As far as the assistance agency is concerned, the team leader is its principal agent in its effort to assist a given institution. He is recognized as the foreigner most knowledgeable about the institution—its problems, needs and progress. He is assumed to have easy access to and good rapport with its leaders. At times, this view of him can lead to the assumption that he is not objective but partisan, not only to the team (and hence also the home institution) but to the host institution itself. Some external assistance agency field officials may be gratified by the forceful support he gives to the institution's views. Other officials, critical of the project, may challenge the team leader in his alleged advocate's role and attempt to impose their own views.

Figure 6. Interactions and Respective Roles of Host Government and External Assistance Agency in an Institution-Building Project

Host Government	External Assistance Agency
Designs basic development plan for country, identifying technology gaps and potential sources of aid.	
Jointly agree on the conditions of technical cooperation programs. Agreement defines mutual responsibilities. Also generally provides for privileges and immunities of technical cooperation personnel, conditions under which technical assistance commodities and equipment may be brought into the country, etc.	
	May offer technical assistance to national planning body. Responds to requests in relation to own resources, capabilities, policies. Consults with other external assistance agencies.
Studies a specific problem area and formulates a proposed technical assistance project.	Carefully studies specific proposals for assistance, sometimes by means of a formal pre-project survey, conducted in collaboration with host government and often involving potential or proposed "intermediary" (contractor).
Project agreement spells out the nature of the project, its scope, phasing and respective inputs. Project agreement may be for the life of the project or for a shorter period, e.g., a fiscal year.	
Makes available to project a variety of resources (usually scarce ones and objects of competition among various priorities): official and non-official persons; budgetary support in local currency (sometimes also foreign exchange); buildings and maintenance; etc.	Using either its own personnel or personnel obtained from other entities under contractual arrangements, the assistance agency helps to implement the project by providing the external components.
Creates preconditions for the institutionalization of the technology received and its further diffusion in host country. These may include: appropriate legislation or administrative regulations; improved channels of communication; new or improved systems of delivery of governmental services; and remedial steps to mitigate the impact of the new technology.	Prepares project for phase-out. Helps institution cement transnational linkages.
Periodically, host government and assistance agency participate in evaluations of a project's progress toward the goals and purposes to which it is addressed, followed by periodic planning exercises to re-chart the future of the project in the light of current and past events.	

Similar ambivalence about the team leader may exist on the host-country side. Some officials may see him as an extension of the external assistance agency, and overlook that he is not employed directly by the assistance agency, cannot speak for it, and represents a professional viewpoint external to it. Some may question his close identification with their own compatriots in the host institution, seeing him as a foreign expert temporarily in a supportive position to the institution's leadership but still an alien whose primary loyalty must be to other foreigners rather than to the institution. Still other host-country officials may see him, though a foreigner, as a "front" or mouthpiece for the institution. In the host-country administration, too, there may be divergent views about the importance or constructiveness of the institution-building effort; its partisans may hail the team leader and promote his views, while its opponents may seek to undermine his work and influence.

To play his coordinative role, therefore, the team leader must early give clear evidence of where he stands. He must demonstrate, above all, his personal and professional independence and integrity. He must show over and over again, to his fellow foreigners and to his host-country contacts, that he is his own man, that the views he expresses are his own and reflect his professional judgment. He must make it clear that although he serves as a liaison agent, reporting the positions of one group of officials to another, he retains the prerogative of independent thinking.

Most of the time the team leader will make use of his liaison function to prepare the ground for decisions, and to follow up matters already decided. He is an expediter, a catalyst. Not being part of the several bureaucracies which surround the project, he can seek shortcuts through red tape. When an official, perceiving the independence of view of the team leader, tries to obtain objective information from him, the team leader must feel free to express himself, but at the same time make sure he does not undercut the positions of others whose support the project requires.

The team leader's liaison role is particularly significant in the context of behavioral patterns which stress the avoidance of confrontation between principals in any transaction and the use of intermediaries in order to achieve harmonization of purposes. Such patterns exist in many less-developed countries. The team leader, in such contexts, may become a harmonizer of views between different individuals, who then do not lose face by manifestly backing away from original positions.

Bolstering his liaison effectiveness is the ability of a foreigner to have access to different layers of a hierarchical structure. He can move through an institution's vertical channels of communication, carrying messages from one administrative level to another, and also reporting across organization lines. At times the team leader may face the dilemma of whether to short-circuit the existing system of communication in this manner or to refuse this message-bearing role lest his repeated assumption of it slow down the development of internal communication channels, a vital part of institution-building.

The team leader may also be called upon to attend formal meetings, for example between officials of the external assistance agency and those of the ministry sponsoring the institution-building project. Though he may physically arrive at such a conference with officials of the host institution or the assistance agency, he should not consider himself part of either group. It is prior to the formal meeting, when positions are being shaped, and after the meeting, when its over-all decisions are discussed further, that the team leader should be most active in expressing his views.

Each of the organizations with which he deals—for which he acts as liaison agent—may try at times to convince the team leader that it has the power to make or break his project, and seek to enlist him as a firm and overt supporter. He should resist such blandishments. He serves best the interests of all with whom he deals, including the host institution, by preserving his integrity and independence.

Other Transactions

The team leader will have to transact official business with the external assistance agency and with host-government entities, being placed at various times in the role of a client of each.

With the Host Government

Normally, a team leader's official contacts with various host-government agencies will concern support for his team, and he will ordinarily make these contacts through the host institution or with the direct involvement of its officials, depending on local circumstances and on the wishes of the host-institution officials involved.

Many of the transactions which place the team leader in a client role will deal with the housekeeping functions of the team and the team leader's support of the non-professional needs of his team members. For many of these transactions, a supporting letter from a host-institution official may not only expedite matters but also be required. The team leader may also count on obtaining advice and guidance in these matters from the assistance agency field office.

With the External Assistance Agency

To the maximum degree possible, transactions with the external assistance agency which pertain directly to the project should be handled by the host institution, though quite possibly with the team leader's participation. For instance, the preparation and submission of requests for the training of host-institution personnel, or for specific commodities, are best prepared by host-institution officials with the advice of the team leader. The team leader may be helpful in speeding up their processing, but he must remember that the ability of the host institution to deal directly with the assistance agency is often a mark of its institutional and administrative maturity.

An amendment to the basic project agreement (many agreements require annual revision) is a major milestone in the implementation schedule of the assistance agency. In these negotiations, the team leader plays a consultative role with respect to both parties. He should make sure that no details have been overloooked, no requirements left unconsidered, and that planned inputs by both sides under the project agreement satisfy the technical and other requirements of his team.

The general trend is to place with the advisory team many of the responsibilities for training and the procurement of commodities earlier handled by the assistance agency. See Chapter IV for a discussion of commodities, and Chapter VII on training.

THE HOME INSTITUTION

The team leader is the spokesman in the field for the home institution. The operational implications of this function are limited, because many of the policy decisions made by the home institution with respect to the project may be made without his direct involvement.

The home-institution coordinator is the link between the team leader and the home institution. Some universities give such an official the rank of dean, while in others this responsibility is lodged at a lower administrative level. In U.S. Government agencies with which AID has a participating agency service agreement (PASA), the coordinating function is usually entrusted to a unit with wider international responsibilities. Usually the assistance agency's project officer uses either the team leader or an appropriate official at his headquarters as his link to the home institution.

The team leader must encourage the involvement of responsible individuals throughout his home institution with the successful prosecution of the project and their commitment to it. One obvious tactic in generating such support on the part, say, of a department head in the home institution is to invite him to visit the project with a view to his becoming sufficiently interested to assume responsibility for the technical structuring of the program in his particular discipline. This will provide a useful technical input and may bring about a continuing concern on the part of the department head with the activity which he helped design.

Collaborative activities between the host institution and the home institution may also yield stronger support from the latter. Most professional people are happy to engage in an exchange of technical information, to design collaborative research exercises, to help promote an exchange of students or junior staff members, or in other ways to broaden their professional contacts. Such activities will bring the host-institution staff into relationship with professionals outside their own country, and may lay the groundwork for continuing exchanges long after the technical assistance project has ended.

Lastly, each team member should be encouraged to develop relationships between himself and the host institution that may persist after the end of his foreign assignment. Once he has returned to his home institution, he may engage in research or teaching which continues to link him to the host institution and to his former colleagues.

The External Assistance Agency and the Home Institution

Relationships between the home institution and the assistance agency are often far wider than the particular project to which the team leader is attached. The home institution's role as an implementing agent of assistance projects may go back many years, and may have taken place in a number of countries. It is useful for the team leader to know of this past history, of the home institution's successes and failures elsewhere, and of its image among assistance-agency officials. He can also benefit from contacts with other home-institution team leaders concurrently serving with other projects. The team leader will find that he benefits or suffers from earlier experiences, happy or unhappy, which the home institution, the assistance agency and the team have had with each other. For some team leaders an important task, early in the course of assignment, is to reconcile these parties to each other.

The team leader may take for granted that both his home institution and the assistance agency seek the successful completion of the institution-building project, but he may find that this means different things to each of them. They may differ significantly as to the time-frame of and the resource allocations to the venture; about doctrinal and programmatic aspects of the institution; and about the methodology to be applied.

The Team and the Home Institution

Team members will look upon the team leader as their chief intermediary with the home institution, though many of them may also maintain their own informal contacts with their colleagues at the home institution, particularly with friends there who hold administrative positions. Certain officials of the home institution, too, may establish their own informal communications with individual team members. No firm pattern for such communications exists.

Each team leader normally is aware of his prerogatives with respect to team personnel: to promote, reward or censure. Usually he has written instructions on these matters.

In connection with recruitment of team members, the team leader must keep the home-institution coordinator informed of staffing requirements well in advance of their occurrence. Even when a long-range staffing projection has been worked out, it will be affected by all manner of changed circumstances. Since home-institution staff cannot be taken summarily from their normal duties to satisfy a project's needs, considerable lead time is required if a coordinator is to keep a project supplied with the best possible professional staff the home institution can muster. Moreover, units of the home institution may resist having their personnel assigned to a project unless the team leader has successfully cultivated the chiefs of such units and obtained their support for the project.

COMMUNICATIONS

The team leader is obligated to provide the home institution and the external assistance agency with accurate reports, program documents, publicity materials and other communications. Some of these he will be required to submit periodically, while others he will initiate on his own. Many of them will serve, in addition to other purposes, as material for the annual project review.

In all official communications, and in large measure in unofficial ones as well, a team leader should be mindful of organizational channels and adhere to them.

Reports

A team leader's reports and other communications tell the story of what happened to resources committed earlier, diagnose discrepancies between past expectations and current status, and thus make possible the forecast of future requirements and the timing of project completion. Some of his reports respond to requirements of the assistance agency. The team leader first submits these reports to his project officer, who transmits them to higher officials of the assistance agency field office and to its headquarters. Other reports will be submitted to the home-institution coordinator, who distributes them within that organization. The team leader may also be required to submit written reports to officials of the host institution; normally, however, much of his reporting to them about the project, his team and other matters for which he is responsible may be done verbally.

Usually it is the host institution rather than the team leader which reports to other host-government agencies about the institution-building effort. However, the team leader may be asked to collaborate with the host institution's officials in the preparation of their reports, and to draft sections dealing with the external resources available to the project.

Report-writing can be a chore or it can be looked upon as a creative exercise in organizational communications. Though many reports require that a specified format or outline be followed, there yet is room for originality. A good report differentiates between fact and opinion, highlights important points, provides supportive details, and uses charts, maps and photographs where appropriate. The team leader should keep in mind, when drafting reports, that they will be read by many different officials of the addressee organization, each of whom will weigh them according to his particular interests. Each of these officials has responsibility for some piece of the action, and the team leader's reports are often the principal source of information on which they must rely.

Many formal reports read as though they were briefs written by a lawyer defending his client. There is a temptation to search hard for successes to write about, no matter how small or insignificant they may be, and to hide difficulties or failures, no matter how large, under mounds of prose. But a team leader establishes his professional objectivity and his personal credibility by balanced and accurate reporting. He should state the facts fully and describe significant developments, positive and negative; he can add such explanatory material as he believes pertinent but he should not offer apologies. He, in turn, has a right to expect that his readers will accept negative developments, mistakes and disappointments in the same objective, professional manner; he must not be made to feel that he will be penalized for being honest in his reporting.

Formal reports are best considered as chapters in a continuing story. They deal with the basic processes of institution-building, the influences which affect the rate of development, the strategies that have been attempted, the mix of inputs that has been used, and the rationale for continuance or change. It would be very instructive for a team leader to spend a few hours from time to time reading past reports on his own project. He might also look at a series of reports on some other project to learn about the problems encountered by others and attempts to solve them.

Informal Communications

Apart from the periodic reports which he is required to submit, a team leader is at liberty to communicate in other ways, ranging from additional reports to informal letters, with those whom he wishes to inform of particular developments. His freedom to communicate is circumscribed only by the requirement to stay within appropriate communication channels. It is courteous to provide the project officer or home-institution coordinator with information copies of documents. Nothing can alienate a bureaucrat in any organization more effectively than being made to feel he is being by-passed or ignored.

Archival Materials

In addition to the periodic progress reports he submits to the assistance agency or the home institution, the team leader should also send them substantive reports, technical studies, or scientific analyses which are generated by the host institution or the project itself and which will be of use to technical-assistance planners and practitioners in years to come. Many external assistance agencies and universities are now aware of this very valuable source of information and are building up documentation centers or special library collections on development, technical assistance, technological adaptation and diffusion, project histories, and institution-building. The AID Reference Center at the headquarters of the U.S. Agency for International Development is an example of such a collection.

Face-to-Face Communications

In regular meetings with the project officer, the team leader should review progress objectively, signalling current problems or those that may lie ahead, and soliciting advice on how to handle difficulties. The team leader should view his project officer as a colleague and professional associate with whom he can be completely frank. A team leader who hides reverses and obstacles undermines his own credibility, and thus impairs the project officer's ability to provide him with all the support he needs. If a decision is made which imposes requirements on either side or which may later require translation into a contract or project agreement, it is best to reduce this decision to writing soon after the meeting at which it was made. This can be done in the form of a minute or a letter to the project officer. Not only does this serve as a record, it also helps the project officer when he follows up on the decision.

Periodically officials from the home institution or the external assistance agency headquarters will visit the project. The team leader has a right to ask that he be given adequate notice of such visits, to enable him to prepare for them and make them effective occasions for mutual consultation. He should involve his host-institution colleagues and his team members to a maximum extent in these encounters.

From time to time, and certainly when he takes home leave and at the end of his assignment, the team leader will meet at the home institution with its officials. These consultations are invaluable occasions for the exchange of information and the soliciting of support. The team leader should be certain that when he visits the home institution's offices he include in his rounds everyone who has a right to expect such a call. He should invite the coordinator to be present at some of these meetings, while others he may attend alone but with the knowledge of the coordinator.

The agreement between the external assistance agency and the home institution may spell out the intervals at which the team leader is permitted to come home for consultation. Irrespective of this, he may appropriately take the initiative and, with the support of his project officer, request authorization for a trip to his home institution whenever he feels that project developments make such a consultation necessary.

Publicity Materials

Public information about technical assistance projects is a part of the fundamental right of the general public to know what is being done with resources that come from them. In this connection, relevant questions are: What has actually been accomplished? What have been the benefits of the project for both countries involved? What is the significance of the project, now and in the future? Appropriate publicity about a project as an external assistance venture and an example of intergovernmental collaboration is always needed. Such publicity will be useful to the host institution, the assistance agency, the home institution and the team itself—each for its own purposes. All of them depend in one way or another on public support. Team members also benefit professionally from having their names and activities mentioned in press and magazine stories and from having the project they are engaged in more widely known. (Publicity as a part of the institution-building effort has already been mentioned in Chapter II.)

Publicity materials require a different style than the formal reports which the team leader must prepare. Though such reports may serve as source materials for publicity, he should not assume that the agency which receives them will take the initiative in seeing that they are publicized.

Periodic newsletters, distributed both in the host country and at home, can usefully serve to describe the team's work in personalized terms. They can usually be prepared inexpensively yet be made attractive to various groups of readers, both official and unofficial (including the families of team members).

Perhaps once a year a team leader may want to enlist the help of his team in preparing a small booklet or brochure about the project and the institution to which it is assigned. This brochure, which should contain photographs as well as specifics about the project's exact location, can not only serve the publicity needs of the home institution and the assistance agency but can also provide useful information for visitors to the host country.

The leadership of the host institution and the team leader will have to decide the extent to which they want to encourage visitors to come and see the institution. Official visitors will arrive in any event; the degree to which tourists should be encouraged to visit the project is another matter. In any case, an information kit might be put together by the team leader and his host-institution colleagues, containing charts, graphs and tables which tell the story of the aims of the institution and the project, what has been accomplished, and what is proposed. It should make clear the collaborative nature of the endeavor. Without such a kit, visitors may see only buildings, laboratories or other installations without understanding what the institution and the project are really about.

Professional magazines and journals and home-town newspapers are often media for publicity about a team's work. The subject-matter of the project, its technologically innovative features, instances of successful adaptation of the technology of one society to the needs of another, make good reading for fellow professionals. Newspapers serving a specific geographical area like to receive news of sons and daughters of the region who are doing good work elsewhere. The in-house newspaper of the home institution is also interested in the team's activities.

OTHER ASSISTANCE AGENCIES

Projects of other assistance organizations—international, regional, private, and the bilateral programs of other governments—may have a direct bearing on the team leader's work. The possibility of coordination to avoid duplication and obtain appropriate linkages with other assistance activities should be explored with the project officer as well as with the leaders of the host institution. In any event, the team leader should be cognizant of what other international and regional development-assistance programs are doing in the host country, and what other external assistance resources may become available.

More and more, international and regional organizations and the governmental and non-governmental assistance agencies of many countries accept the desirability of maintaining dialogues with each other as well as with host governments. Development assistance requires multilateral collaboration, not competition. The team leader of the 1970's must keep in touch with his total assistance environment.

Chapter VII

TRAINING

In one sense the team leader and his team are constantly involved in training. The very nature of their institution-building assignment gives them the opportunity daily to pass on knowledge, attitudes, analytical approaches and management know-how. The type of training discussed in this chapter, on the other hand, is structured and formal, consisting of scheduled individual or group training for the staff of the host institution.

This type of training emphasizes the preparation of individuals for the specific purpose of developing the institution to which they will be attached. Training will not bring these returns unless the institution's leadership is actively involved in designing and carrying out a training strategy which is based on analysis of current staff resources and expected future requirements, both technological and managerial. This strategy must include criteria and means for identifying training needs in an organization and selecting its most promising individuals to receive training. Such a strategy should also include a reintegration phase for persons returning to the institution from protracted training abroad.

Broadly speaking, training strategy parallels the over-all strategy of the institution-building project, especially in terms of leadership and staff. Such strategy might emphasize broad managerial training for senior leaders of the institution, technical training, "up-dating," or combinations of these.

The team leader, appropriately supported by members of his team, plays a major role by helping the host institution design a training strategy and by coordinating it with the external assistance agency, the home institution and such other agencies as may be appropriate. He should try to become knowledgeable about training opportunities in fields of particular interest to the host institution, including those offered by other assistance agencies. Obviously, the number and type of trained personnel already in the country need to be taken into account. Since matters related to training may take a considerable amount of managerial time, the team leader of an unusually large team might appropriately delegate some of his training responsibilities to one or more team members.

GENERAL CHARACTERISTICS OF TRAINING

Increasing attention is being given to training which focuses on leadership for development institutions. A very large proportion of host-institution staff, though trained in a technological field and beginning their professional careers, will very likely be increasingly drawn into managerial leadership as they rise through the ranks. For this reason, some administrative and managerial studies should be added to most of the long-term training programs to which such professionals are assigned.

Training in the team's home country may be the most popular type of training, but sending the trainee to a third country, whose culture, language and development problems are similar to those of his own, can often be more effective in terms of cost, timing and the meeting of job requirements. Training in the host country is gaining increasing acceptance as training programs in less-developed countries continue to improve. The team could do much to stimulate the development of such in-country opportunities. Eventually, an institution must be able to replenish its staff without outside assistance.

There are three basic types of individual training programs: academic, on-the-job and observation. Any of these may be short-term or long-term. An individual's program may include more than one type. For example, short-term observation programs in the team's home country may be combined with attendance at a special course or seminar in a third country. Group training is often advantageous, especially in the case of observation programs; several institutional leaders traveling together can exchange impressions and evaluate experiences to their collective advantage. Groups traveling together can also accommodate persons who do not speak a foreign language, for whom other group members can interpret.

Whatever the nature of the training, the trainee should be encouraged to meet with the administrators and staffs of other institutions of the same type as his own, to become acquainted with new technologies, and to consider new ideas and techniques potentially useful to his own institution. He should explore institutional doctrines elsewhere and develop a basis for possible transnational linkages.

TRAINING RESPONSIBILITIES OF THE HOST COUNTRY

There is a growing belief among external assistance agencies that responsibility should be shifted to the less-developed countries themselves for devising, overseeing and supporting some or all of the training their professionals and sub-professionals need, whether in-country or abroad. Examples of national agencies charged with planning and implementing training programs are the Instituto Colombiano de Credito Educativo y Estudios Tecnicos en el Exterior (ICETEX) in Colombia, the Office of

International Economic Cooperation in Turkey, and the Korean-American Technical Cooperation Association in Korea. Where such agencies exist, the team leader and the host institution should, of course, utilize their services. Where such an agency does not exist, the team leader and other foreign assistance managers should consider the possibility of encouraging the formation of one.

Host-institution support for training abroad should include funds for international travel, maintenance of the trainee's salary, and a family allowance. The team leader may be able to encourage the host institution to accept increasing financial responsibility for the training of its own staff. This can contribute to institution-building by starting a pattern of staff development independent of the technical assistance project.

DEVELOPMENT OF A SUCCESSFUL TRAINING PROGRAM

An initial step in planning a training program is to determine the competencies needed by an institution to achieve its goals. Emphasis should be on the functions to be performed by the institution and on the grouping of these functions in staff positions—not on persons wishing to go abroad. A training plan that extends for the life of the assistance project, and beyond it, will help guard against temptations to accommodate personal rather than institutional needs. Such a plan should be reviewed periodically. The timing of training must be considered in relation to the efficient operation of the institution; it may be desirable to space absences for training throughout the life of the assistance project.

There are a number of publications available from the Office of International Training at AID/Washington which will be useful to the team leader and team members in planning and operating a training program for participants: (a) *Development Training Guide;* (b) *Guidebook for Placement of A.I.D. Participants in Academic Programs in the United States;* and (c) *Catalogs of Third Country Training Resources* (one each for Africa, East Asia, the Near East and South Asia, and Latin America). The Office of International Training also issues an annual report on colleges and universities titled *Tuition and Related Fees and School Calendar Dates.*

Degree or Non-Degree Training

One issue that frequently arises is whether or not a trainee should be permitted to work toward a degree. The external assistance agency and the team leader may see training in terms of the minimum input of resources (including time) required to satisfy a need of the institution. On the other hand, the trainee, and not infrequently his colleagues and superiors at his own institution, may hold the view that formal credentials are at least as important as training content. He sees the degree or diploma as a passport enabling its holder to move to a higher professional and social plane.

The team leader and other persons concerned with training should assess the pros and cons of training aimed toward a degree in the light of the trainee's professional setting at home. If paper qualifications are important, it may be prudent to provide them, even if only to give the trainee a fighting chance to use his skills in the context of increasing responsibilities.

Training at the Home Institution or Elsewhere

In institution-building projects in which a team of experts from the same academic institution is assigned to a project, the decision must be made whether to train all host-institution staff at the home institution or whether to disperse them. Home-institution administrators and teachers will very likely have knowledge of the project and be able to relate a training program to its objectives. They have ready communication with the team leader. On the other hand, if all trainees are sent to the home institution, they will receive the same set of approaches from both the foreign advisors and the home-institution faculty, and may not obtain a broad enough perspective to be able to adapt what they learn to the needs of their own agency. If there are too many trainees from the same country on campus, they may cluster together to the detriment of improving their language ability, and may avoid other contacts which would broaden their training experience. Finally, the home institution may be lenient in the academic standards applied to "its" trainees. Some ways to minimize these disadvantages are: having part of the training program at another school and only part on the home-institution campus; scattering trainees in different dormitories: and setting up special trips to acquaint trainees with other areas and expose them to differing viewpoints.

Another factor sometimes bears on the decision for or against training at the home institution. When a new or radically transformed host institution is being developed, the association—including camaraderie, stress and interdependence—that takes place over the months among a number of trainees kept together as a group can solidify the friendships among this informal group of "modernizers," who can later work together to shape their institution.

Selection of Trainees

Many individuals may wish to be sent abroad for training courses, and the need may also be great. The team leader and team members may be helpful in suggesting and screening candidates but the final decision is not theirs. Ultimate responsibility lies with the host institution; usually the assistance agency also has a voice in the process. Perhaps the most difficult decision in the selection of trainees arises when the best-qualified candidate still falls short of minimum requirements. Another difficult decision in selection is presented by pressures to choose a member of a family of a political figure even though he does not appear to qualify. Although training selection committees are useful both for guidance and protection in such matters, a firm policy must be established at the outset and followed thereafter.

Individual Program Planning

The team leader and team members should orient prospective trainees before they depart for study abroad. Returned trainees can also play an important role in pre-departure orientation, especially if they know the institution to which the trainees are being sent. Trainees should have a clear idea of the kind of training they are to receive and how it will contribute toward the goals of their institution. They should also understand the nature of the institution's or sponsor's responsibility for their training.

Orientation should also cover cultural factors, living conditions, and the responsibilities of the trainee to his training institution, the country to which he is assigned, and the assistance agency which supports him. Some agencies, such as AID and the World Bank, have developed orientation guidelines and designed procedures that provide useful background for such orientation. A sound orientation prior to departure minimizes later adjustment problems. The training officer of the external assistance agency field office or the project officer might well participate in orientation. Certain aspects of a trainee's program require the direct involvement of the sponsoring agency, and its personnel can best speak about such things as itinerary, travel allowances, modes of travel, per diem, book and other allowances, etc.

Complementary Training Programs

Some assistance agencies provide trainees with opportunities to participate in a variety of complementary programs to broaden and enrich their technical training experience: attendance at conferences and special workshops, observation tours, and so forth. These programs must be arranged on an individual basis and be in accord with the trainee's technical and professional needs.

Language Considerations

In most cases, a trainee will be studying abroad in a language other than his or her mother tongue. In some instances the project team may have to take the lead in organizing a language training program to insure that trainees arrive in a foreign country with an adequate knowledge of the language in which they will be studying. An alternative is to consider greater use of training facilities in the host country itself or in neighboring or third countries having the same or related languages.

MONITORING DURING TRAINING

The heavy investment in a trainee on the part of both the host institution and the sponsoring agency makes close monitoring necessary to insure that the relation of the trainee's program to the needs of the host institution is maintained. It is not unusual for a participant to attempt to change his cour : of study in midstream. On occasion, too, the receiving university or an enthusiastic professor may seek to alter or extend a course of study without knowledge of the real needs of the trainee's own institution.

Monitoring a training program involves a complex pattern of communications among the trainee, the team leader, the trainee's insititution, the team leader's home institution, the training institution if it is different from the latter, and training officials of the external assistance agency.

The research program of a trainee can serve both the needs of his home institution and the requirements of his formal course of study. Potential research subjects can often be identified by the trainee-to-be and those who advise him at his own institution even before his departure.

The personal aspects of a training assignment may also require attention. Separated from their immediate families and from colleagues, living in another culture, possibly faced with language difficulties, often competing with younger students, some trainees develop personal problems of one sort or another and require guidance. The team leader and the host institution's training officer must try to keep closely in touch with the trainee to be able to help him with these before they endanger his physical or psychological well-being or adversely affect his training program.

RE-INTEGRATION IN HOST INSTITUTION

When a trainee returns from extended training abroad, he is usually full of professional enthusiasm and receptive to guidance and suggestions for getting his work under way. Unfortunately, a host institution often seems unprepared for the return of a trainee, and may lose a considerable part of its investment if ... nee is ignored, inappropriately assigned or met with hostil... ...nsition back from a foreign environment to his hor... ...r utilization of a returned trainee's newly-acquire... ...of the institution's ... but the foreign ... ...the matter an... ...appropriately us...

Much has ... and the defection of trainees, and often tr... ...ts are designed in order to insure tha... ... and institutions. The best solution ... potential causes of defection. These ... professional development, low financial and other compensation, and institutional employment policies which fail to recognize the enhanced value of trained personnel. Sometimes a returning trainee with a new Ph.D. finds both his job and salary unchanged, and may be the target of jealousy and political competition from his peers and even his supervisors. Advancement is withheld until he is able to develop political strength and support. Not surprisingly, he begins to look elsewhere for increased recognition, responsibility and compensation. If he changes his position but remains in his own country, his training will still benefit his country's development, but his original institution will be denied the advantages of his skills.

It may be difficult for institutional leadership to revise employment and remuneration policies or introduce new ones because this usually requires legislative action or regulations promulgated by a higher-level government unit. However, unless appropriate employment policies are adopted, the institution may still be trying to build a competent staff after ten or more years of active training programs. The team leader who notes problems in this area should discuss them with the leaders of the host institution and with the assistance agency.

FOLLOW-UP AND EVALUATION

Follow-up refers to a wide range of activities designed to keep alive the enthusiasm and technical competence of trainees who have completed their formal professional training in connection with a development project. These may include membership in alumni associations, newsletters, special events, contacts with professional societies, and arrangements whereby returned trainees themselves provide in-country training to other professionals.

In planning follow-up activities, team members may want to make use of the directory of returned AID participants for the particular country to which they are assigned. Such directories have now been prepared for 38 countries. Copies may be obtained through the training office of a USAID mission or from the Office of International Training, AID/Washington.

The evaluation of training is gaining increased attention. While this art is still in its formative stages, an effort is being made to develop evaluation systems which will provide information to help in the making of critical decisions regarding training activities.

Chapter VIII

PROJECT EVALUATION

Evaluation is increasingly important in the management of external assistance projects. Assistance agencies use it to guide the team, and the host and the home institutions, with respect to a project's progress and future. Quite apart from its assistance aspects, evaluation as a managerial technique is one of the sub-systems which the host institution needs to establish in order to achieve institutional maturity. Increasingly, evaluations involve not only officials and analysts of the assistance agency but also host-country officials, including the leaders and staff of the host institution. In the 1970's the style of the evaluative process is collaborative.

The team leader plays a major role in project evaluation. As the foreigner most familiar with the host institution, he can coordinate the interests of its leaders with those of the assistance agency and the home institution in designing an evaluation. As manager of available external resources, he has a particular interest in applying evaluative findings to the project. As leader of the team and as an institution-building specialist, he can contribute insights to every evaluation effort. At the same time, his appropriate role is supportive, not primary.

THE DIMENSIONS OF EVALUATION

Generally speaking, the term "evaluation" embraces three fundamentally different types of assessment:

Performance appraisal, which focuses on the individual and his personal achievements.

Management audit, which is concerned with effectiveness and economy in the use of resources, with special reference to efficiency and conformance with applicable regulations.

Impact assessment, which focuses on the changes brought about as a direct result of the project, and on the contributions that these changes make to broader development goals.

The team leader has occasion to participate in all three kinds of evaluation and all are important. This chapter concentrates mainly on the techniques of impact assessment, because aspects of the first two types of evaluation have been referred to in previous chapters and because it poses the most challenging methodological problems.

Evaluations carried out after a project is completed attempt to determine what can be learned from its successes or failures in order to improve similar future projects. More useful to the team leader are periodic evaluations while the project is still very much alive. He should also seek out and study the evaluations of earlier, similar projects, in order to profit from the guidance they have to offer.

Evaluation studies can take place at various levels of management concern, of institution-building, and of specificity. One evaluation might assess the degree to which a newly reorganized agricultural training college succeeds in modernizing the agricultural sector of the host country, while another might focus only on the usefulness of training agronomists outside the country, omitting other aspects of institution-building in the field of agriculture.

Ideally, every evaluation should be planned before a project begins. This is because an evaluation design consists mainly of spelling out a project's aims in sufficiently precise terms that they can be assessed objectively. Also, the work of all concerned with a project will be more effective when its aims are well thought through in advance and defined precisely. The very process of carefully specifying objectives often reveals some shortcomings in project design that might otherwise have gone undetected. A systematic procedure for project planning and evaluation, termed "the logical framework," is described later in this chapter.

Despite these very real benefits, many individuals react emotionally to an evaluation as if it implied shortcomings in their own performance, and feel themselves put on the defensive. It is part of management's responsibility for evaluations to insure the appropriate psychological climate for their success. The team leader should help explain the reasons for an evaluation to host-country staff and team members. Both foreign professional experts and their host-institution colleagues should perceive an evaluation as a procedure which will aid them in their work by pin-pointing ways to improve previous plans. Evaluations recognize that no plan can anticipate all problems. Consequently, their primary aim is to obtain clues to improved future operations from past experience, rather than to grade performances.

Also, some host-country officials and professionals may resent evaluations as foreign interference in their institutional affairs. Their foreign colleagues must make sure that there is no misunderstanding of the nature of evaluations in general or of a specific evaluation in particular. This possible psychological barrier is only one of the reasons why joint evaluations conducted by host-country officials together with their foreign colleagues are far more desirable than unilateral ones. The best evaluations are conducted with the full and equal participation of all those who are engaged in a project.

Moreover, such participation is most likely to lead to action to carry out the changes indicated by evaluative findings.

Evaluations should result in a written record of decisions taken. With the concurrence of the leadership of the unit evaluated (the entire institution, or a part thereof), the written record should note assigned responsibilities and set a time-table for achieving the necessary changes. Note that this report need not be voluminous. It should be distributed to all those who are to be involved in implementing the recommendations it contains. Further distribution, to other management levels and other personnel, may stimulate additional and parallel decisions to improve organization performance through modifications over and above those specifically recommended. Evaluations of institution-building projects also offer an opportunity to assess an institution within its total environment, and to relate an external assistance project to other developmental efforts receiving external support.

The team leader and the senior officials of the host institution can make joint evaluation exercises occasions for transmitting relatively new concepts of evaluation to a broad spectrum of the host institution's staff. They should stress that evaluation is not only an administrative technique for institution-building but one which no modern institution can afford to be without.

THE LOGICAL FRAMEWORK

The logical framework is an analytical tool useful both for project design and for subsequent evaluations. Devised for AID, it is now used in evaluating all projects funded by that agency.

At the project-design stage, the logical framework helps a planner to sort out his own thinking, and to establish a framework covering the appropriate allocation of resources, as well as possible alternative courses of action. At later stages, it helps the evaluator select indicators with which to measure progress and, if progress falls short of expectations, to locate miscalculations or identify complications originating outside the control of the project managers. It is described in detail in *Project Evaluation Guidelines*, second edition, Feb. 1973, a publication available on request from the Office of Program Methods and Evaluation, Agency for International Development. A brief summary follows:

The logical framework is based on the following three hypotheses, which are useful for both project design and project evaluation:

1. The total resources applied to a project will be sufficient to produce specified outputs by specified dates.
2. The production of specified outputs by specified dates will bring about achievement of the project's purposes.
3. Achievement of project purposes, together with other achievements

which lie outside the project, will bring about the attainment of an important national-development goal.

In checking whether the hypotheses are supported or rejected, analyses must be made at four different levels, as is shown in Figure 7 and discussed in the immediately following paragraphs.

Inputs are the goods and services (personnel, commodities, participant training, etc.) provided by the cooperating country, the external assistance agency and other donors with the expectation of producing specific outputs. The adequacy of these inputs can be checked by examining budgets, schedules, audits and other types of managerial reports.

Outputs are the immediate products of the project and are measured by output targets. Examples of output targets are the distribution of X tons of fertilizer in 1972, XA tons in 1973 and 2X tons in 1975; or the certification of Y teachers in 1973, YA teachers in 1974 and YB teachers in 1975; or the opening of Z number of clinics in 1974, ZA in 1975, etc.

Purposes are measured by changes in certain conditions that project outputs affect. As a result of the above increase in fertilizer distribution, one might expect a change in cereal production; as a result of the certification of more teachers, one might expect a change in literacy statistics; as a consequence of additional clinics, one might expect a change in the practice of birth control.

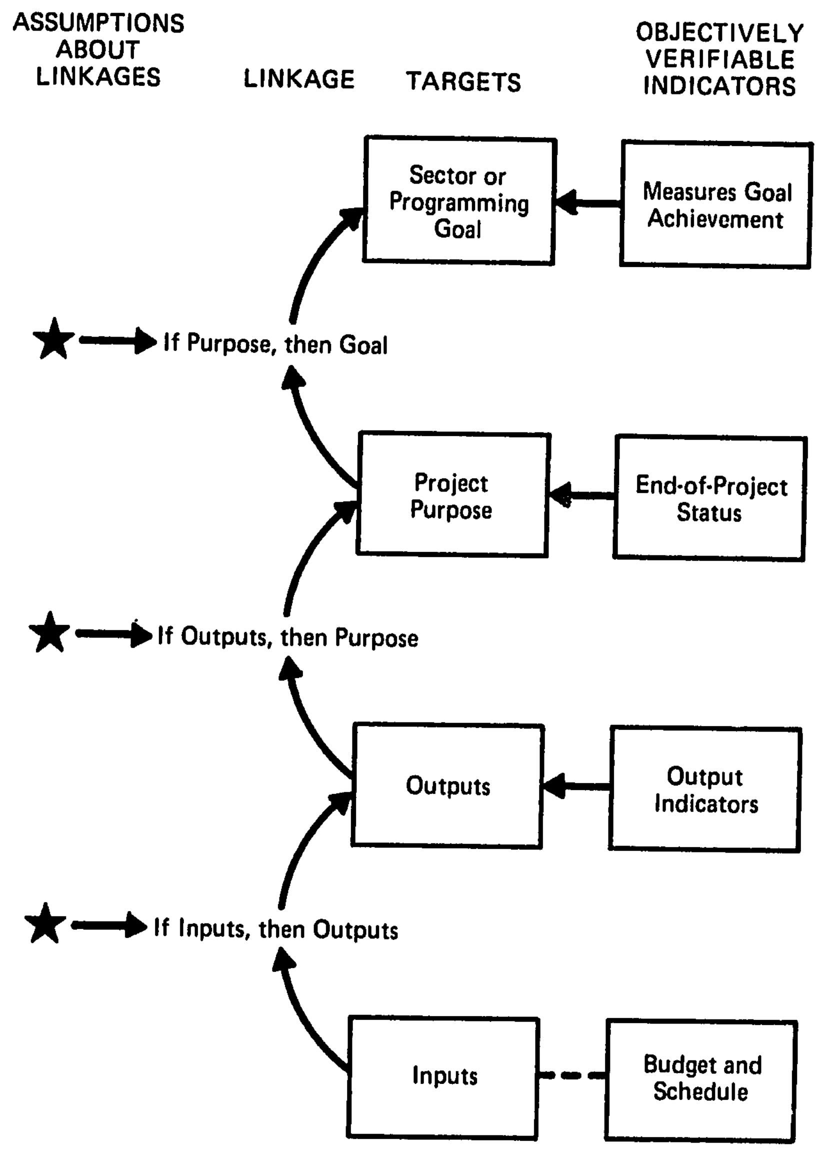
Outputs are not produced for their own sake but to solve some problem. Often their impact is somewhat outside the span of control of those who manage a project, who can provide the fertilizer, the teachers and the clinics but cannot assure their effective utilization to produce positive change. The purpose of a project is only a step, a means, toward reaching the goal. If the project achieves its purpose, it will have contributed to the goal but this achievement is not a guarantee that the goal will be met, since it depends on other endeavors as well.

Goals are broad developmental changes in economic or social conditions or trends in the host country, as enunciated by government policy. Their achievement depends on the success of many projects and on the congruence of a number of beneficial factors, some of which may be dependent on changes in societal norms and behavior. Examples of goals are self-sufficiency in cereal production, the effective elimination of famine, widespread adult literacy, broader adult participation in national political life, or the attainment of a population growth compatible with national resources.

Since evaluation studies are conducted to gain answers to specific managerial questions, they must deal with the efficiency, effectiveness and significance of a given management concern. This concern can be a project, a piece of a project, a grouping of projects, or a whole country program.

Efficiency evaluates the management of resources—the relationship between results and costs. It asks whether the same outputs might not be

Figure 7. The Logical Structure of A Technical Assistance Project



Adapted from *Project Evaluation Guidelines*. M.O. 1026.1, Supplement I, Second edition. February, 1973.

achieved more cheaply, or whether more outputs could be obtained from the same inputs. Questions of efficiency are always important in a world of scarce resources and great needs. But efficiency alone can never be taken as a sufficient test of a technical assistance project.

Effectiveness measures whether targets are being achieved, whether a project is yielding its intended outputs. The rationale for seeking the outputs may not be included in such an evaluation. Reasons for success and for shortfall should be identified by evaluators.

Significance assesses the degree to which the outputs of a project contribute to the host country's development or to other broad goals, and the extent of their impact. While effectiveness measures the project internally, significance evaluates it in its broader setting. Effectiveness might ask, "Is the newly-established directorate of fertilizers successful in getting X tons of fertilizer distributed to Y farmers?" Significance asks: "To what degree are those X (or more than X, or less) tons of fertilizer furthering the goal of increasing grain production?"

The *project matrix* is a model or form which summarizes statements of the goal, purpose, outputs and inputs of a project, and the measurements or indicators which might be applied in order to evaluate them. Figure 8 is an example of such a matrix, describing a hypothetical project.

The project proposal and project appraisal documents used by the Agency for International Development as part of its programming process utilize the logical framework for the analysis of projects, both at the design and evaluation phase. (See Appendix for further details on AID program documentation.)

Because of these close conceptual links between project design and evaluation, those who formulate and plan a project help to shape its later evaluations. If the designers forecast probable outputs and changes in societal conditions which the project is likely to achieve, the evaluations should be generally favorable, provided that the implementation proceeds reasonably well. But if the designers succumb to the temptation to set targets very high, so as to impress those who must allocate resources to the project, the inevitable shortfalls in target achievement will, even if all goes well, result later in less favorable evaluations. Using the logical framework approach, an evaluation assesses each project against its own targets, rather than against some external, absolute standards. If some of the characteristics of an effective institution described in Chapter II are to be considered, they should be explicitly listed in the matrix as targets of the particular institution-building project.

An evaluation consists of two steps in organizing thinking. One is to set criteria or targets. The second is to obtain objective rather than intuitive data about progress toward the targets. Questions posed in an evaluation exercise call for both quantitative and qualitative data. Usually evaluators are under pressure to come up with findings that can be expressed in unit terms (mon-

Figure 8. Logical Framework Matrix for a Technical Assistance Institution-Building Project (Hypothetical)

Narrative Summary	Objectively Verifiable Indicators	Important Assumptions
Program Goal: Provide more equitable access to education.	**Measures of Goal Achievement:** More underprivileged students enter & stay in school. Exams show less difference between urban & rural achievement. Fewer parental complaints to provincial & national officials.	Modern curriculum adopted. Govt. will expand rural schools if demand increases. Other steps, such as scholarships, building of dorms, etc., will be taken.
Project Purpose: Creation, production & distribution of texts, teachers' guides & workbooks for new primary & 2ndary curriculum; & establishment of a Textbook Directorate in Ministry of Education adequately staffed & housed, & to be funded from regular govt. budget after project terminates.	**Conditions Expected at End of Project:** 92% of primary & 40% of 2ndary students use Directorate-produced texts & workbooks in all curricula. Directorate operational in 1974, capable of independent functioning by end 1976.	Teacher-training institutions & in-service training courses in Ministry of Education will include appropriate instruction about proper use of new texts, etc.
Outputs: 1973*; 20/2; 74: 35/24/18; 75: 37/24/20; 76: 16/26/24; 77: 26/20/30; 78: 18/18/12; 79: evaluation & review of texts; 20 printed, 24 distributed; 80: evaluation & revision of texts; 18 printed, 34 distributed.	**Output Indicators:** **Completing training:** 1972: 10 w, 2 a; 74: 5 w, 2 a; 76: 8 w, 2 a; 77: 7 w, 2 a. **On-Job Training:** 1973: 1 editor 74: 1 editor 76: 1 editor, 1 designer **Building & utilities** completed in Fall 1972.	Municipality grants land for bldg. Legislature establishes Textbook Directorate. High-Level policy commission appointed by Minister. Civil Service approves Directorate positions with appropriate professional pay scale. Ministry of Education promulgates decree making texts official. Personnel shifts from Govt. Printing Office to new printing plant are approved.
Inputs: 51 man-years of advisors; 8 short-term advisors. Assistance agency contributes $367,000 for equipment, books, visual aids, etc. UNESCO provides paper adequate for 4 yrs. of operation & 1 book designer for 6 months. Host govt. provides building, operating budget, personnel.	**Budget & Implementation Schedule:** Consultant on building plans on post during 1969-70. Contract with Hardback Books, Inc. signed May 1969. First advisors arrive 11/69. Equipment orders placed in 1970. Experts begin phaseout 1977. **Host Govt.:** 4 annual installments provided by legislature for construction, 68-71. 69: access road started; electric hook-up; deep well dug. 70: 1st 10 writers, 2 artists assigned. 78: Treasury issues regular foreign exchange warrant.	

Notes: * First figure is for manuscripts, second for books printed, third for books distributed.
a = artists; w = writers.

ey, tonnage, etc.) and can be related to other management concerns. Quantified data of this type also bear an aura of objectivity, while qualitative statements may unjustifiably appear to be subjective, hence self-serving. It is quite possible to get objective indications of qualitative change. Most evaluations produce a mixed set of both kinds of data.

Some qualitative changes sought by a project may be impossible to assess except through indirect measurements. For instance, an "increased sense of participation in national life" may be the objective of an adult literacy project. The immediate project output may be measured quantitatively in fairly simple ways. To some extent, the project goal may also be measured by indirect indicators such as increases in the volume of mail received in and sent from the areas affected by the project, or increases in newspaper circulation. Other such indicators might include increases in passenger traffic between remote areas and towns, or the increased participation of remote populations in elections or other forms of political expression. However, these items may or may not actually reflect an increased sense of participation in national life, and the goal may have to be assessed quite subjectively in the last analysis. Nevertheless, most qualitative changes can be described in behavioral terms which can be observed, if not counted.

The U. S. Agency for International Development has published an *Evaluation Handbook* which describes various techniques for conducting evaluations (see reference list). A related AID publication dealing with problems of evaluation in technical assistance is *Evaluation Guidelines for Project Assistance,* Manual Circular 1026.1, Supplement I, 1973, second edition. Readers may obtain copies by writing AID.

RESOURCES FOR EVALUATION

Evaluation activities require resources which should be provided for within the framework of the project. Staff time is always required. Most evaluations require funds for the travel costs of various participants. Some evaluations may also require the financing of special studies the findings of which will provide background information for evaluators and managers. Although such special studies can be useful, they are not always necessary.

Textbooks on evaluation deal primarily with various aspects of social science research—sampling, interviewing, statistical manipulations, use of control units. In many cases, however, a major problem is not one of data but rather of stating targets clearly enough to permit assessment of progress. If this is done, regular project staff may do the evaluation job. Enough points of view can be brought to bear to insure reasonable objectivity.

The Agency for International Development requires annual evaluations of technical assistance projects. Some of these may use regular operating reports as their source of data and regular staff for the evaluation. Others may be more ambitious studies, with special evaluators and data collection. When a technical assistance project is initiated, both the host institution's leadership and the team leader should obtain the agreement of the assistance agency's field office to an evaluation schedule describing, at least in a tentative way, the timing of various evaluations to be undertaken, their substantive scope, and the methodology to be used to perform them.

This schedule should provide for such of the regularly-scheduled evaluations as will need additional resources. For this to be feasible, the schedule should be reflected in personnel allocations on the part both of the institution and of its foreign professionals. It may be, for instance, that approximately two weeks a year of the time of several team members will be taken up with evaluation, and this commitment must not be overlooked when manpower resources are projected. Similarly, when the host institution charts the assignment of its own staff, evaluation activities must be reckoned with.

When in-depth evaluations are planned, a study design should be prepared. Too often, special evaluations have consisted merely of retaining some experts, who give their opinions but exercise no intellectual rigor in defining criteria or in comparing objective findings with these criteria.

The assignment of a team of expert consultants can be a very useful approach to evaluation. Their judgment may be better than that of regular project staff and they may also know better how to collect and analyze data; but they are no substitute for evaluative discipline within an organization. Frequently, an evaluation team is most valuable when it combines insiders and outside experts.

An appropriate staffing pattern for an in-depth evaluation might include one or more host-institution staff members, a team member on long-term assignment, and at least one outsider. The latter might be an official of the assistance agency, a foreign expert on a short-term assignment as evaluator, a staff member of the ministry having responsibility for the project, a professor from a national university—in short, someone who has expertise in the subject-matter field and yet is not personally or professionally involved directly with the project. Organizing such a team is complicated but the guidance provided by a solid evaluation can justify the effort.

If the subject-matter of a project or crucial aspects of its institution-building thrust bear on societal issues or cultural factors, it is often useful to add a qualified social or behavioral scientist to the evaluation team, to provide the insights these disciplines can bring to bear.

In the past, evaluations of institution-building projects were conducted by evaluators from the assistance agency, who assessed the performance both of the foreign advisory team and of the host institution. At least in the Agency for International Development, emphasis is now placed on having the host institution or the home institution take the lead in evaluations. The final review of an evaluation must obviously include representatives of all agencies which will make decisions about an assistance project.

It is an indicator of institutional maturity when the point is reached at which the host institution itself will conduct evaluations, encompassing not only its own performance in relation to its purposes and goals but the work of the team of foreign experts and its impact.

Chapter IX

PREPARATION OF TEAM LEADERS AND TEAM MEMBERS

The individual who has been nominated by his home institution as a team leader or team member and has received the approval of the host government and the external assistance agency obviously possesses high qualifications, both professionally and personally. Nonetheless, from the moment he is notified of his appointment, and all through his assignment, he will need to keep continually in mind the exacting demands he is expected to meet.

The team leader's concern with the subject-matter of this chapter is two-fold. His personal preparation is even more important than that of his team members. At the same time he should make sure that every team member reports for duty with the maximum degree of preparation. The home-institution coordinator also has a vital role in this preparatory task, but he can perform it only with assistance from the team leader and the assistance agency's headquarters.

The team leader and home-institution coordinator can collaborate in putting together a kit of materials dealing with both the on-the-job and off-the-job environments to which the team member will have to adjust. Some of these materials may be written by team members or their wives already at post; some may be available from the host institution, the host government (e.g., the national tourist organization, if any) and the external assistance agency. The reference list which makes up the final section of this *Guide* will serve as a useful point of departure in assembling reference materials for team members.

If any members of the team are stopping at AID/Washington on their way to post, they should visit the AID Reference Center, currently located in the Main State Department Building, and become acquainted with its services. Materials from this Center may be borrowed in the field through the mission project officer and his cooperating AID/Washington official. While at the Center, the team member should note the quarterly catalog of AID-generated reports and documents titled *AID Memory Documents,* copies of which are available in USAID missions.

AID sponsors or co-sponsors the publication of three journals: *Focus on Technical Assistance* (Methodology Division, Bureau for Technical Assistance), *Development Digest* (Bureau for Program and Policy Coordination), and *War on Hunger* (Office of Public Affairs). Bulk shipments of these and the AID staff news publication, *Front Lines*, are regularly made to USAID missions and the team leader may arrange with his mission project officer to obtain copies for his group.

Another useful resource, the AID Bibliography Series, is comprised of annotated lists of documents and reports on such subjects as advisor-host-country-colleague relationships, social indicators, land reform, fisheries, food marketing, wheat production, rice production, agricultural credit, poultry production, administration of agricultural development, institutes of public administration, administrative reform, urban development including housing, community water supply, malaria eradication, book-textbook-library development, non-formal education, teacher education, and popular participation in development. If the team member is already at post, he may order copies of these bibliographies from the Records and Data Management Branch, SER/ISD, AID/Washington, D. C. 20523.

Still another resource with which team members should be familiar is the information service of Volunteers in International Technical Assistance (VITA). AID has made a grant to VITA so that this private, non-profit organization may answer technical inquires from staff members of assistance projects and from individuals, business concerns, and others in less-developed countries. VITA has over 8,000 volunteer professionals from industry, universities, research organizations and trade associations who supply the answers. Some of the areas of specialization covered are: small industry, commerce, agriculture, water resources, engineering, public health, education, and related fields of social and economic development. There is no charge for this service. VITA's address is 3706 Rhode Island Avenue, Mt. Rainier, Maryland 20822.

PREPARATION FOR PROFESSIONAL ROLE

In order to learn about a project and its setting, team members will want to seek out the experiences of others who have held similar assignments. Much of this type of information will still be useful. However, when discussing technical assistance roles with former advisors, the novice should attempt to sort out aspects which may no longer be relevant—patterns peculiar to particular countries under earlier concepts of technical assistance.

Learning about the Project

The home institution and the assistance agency can provide a prospective advisor with documents describing the project to which he will be assigned. The advisor may also have the opportunity, or should seek it, of discussing the project with officials who were privy to its earliest conception and design, and obtaining from them insights which may not appear in documents.

Sometimes an advance feasibility study or some other special circumstances will provide an opportunity for the expert to visit the country before he goes there on permanent assignment. The more prepared he is for this preliminary trip, the more he will benefit from it. The understanding of which he will give evidence while on this visit may also earn him the early goodwill and respect of the institution's leaders and the assistance agency officials with whom he will work once he is assigned permanently.

Learning about Role

Studies of the role relationship between host-country professionals and their foreign colleagues are included in the bibliography which is the first item in the reference list at the end of this *Guide*. In addition to reading these and talking with former advisors, the advisor-designate may also be able to locate, at a nearby university for example, visiting professors or advanced students from less-developed countries who have been the colleagues of foreign experts.

He should also try, on the basis of his reading and conversations, to obtain an impression of the technological level of the institution to which he will be assigned, and the technological expectations his colleagues in the host country will have of him and for which he should be prepared. He may need to review some of the latest literature on his subject of specialization, and also on other topics which, in the course of his normal work at home, he may have neglected. Not for a moment should he imagine that because his assignment will take him to a less-developed country, his technological mettle will be put less to the test than in his familiar professional surroundings.

The expert may wish to make sure that, regardless of the library resources at his post, he will have available to him the basic books of his discipline, or at least those that give him most intellectual and professional comfort.

PREPARING FOR WORKING AND LIVING ABROAD

To a remarkable degree, the demarcation between work-connected roles and other roles is blurred in the context of an assignment in technical assistance. In a sense, the foreigner is always on the job. In part this is because as an alien he is highly visible, readily identified as an outsider.

His social life will include—or *should* include—his colleagues at his host institution and others with whom he has on-the-job involvements. In this sense, his family also shares in his work. Though they are not involved in his official roles, their behavior, their empathy for and interest in the country's people, problems, aspirations and culture will be reflected, favorably or unfavorably, in the manner in which the advisor is received by his colleagues.

Learning about the Country

Learning about one's country of assignment is a long process. The aim in becoming well-informed about its people, land and culture is to develop a capacity for seeing the world through different eyes, so that the foreign advisor can relate himself and his actions to his hosts' views. The difference between their points of view and his own depends not on "facts" nor on the amount or quality of their respective experience, but on cultural and attitudinal differences which give different meaning and significance to similar or identical events. The same is true, of course, for different cultural groups within the same country.

Here again, the fortunate team leader or team member-to-be will be able to locate communicative nationals of his host country from whom he can obtain some general pointers about their traditions, life-styles, values, and so forth. He may find them with a diplomatic mission, or studying at a nearby school, or even as expatriates who have made new homes for themselves in the expert's own country. Such contacts can be very valuable provided that the advisor keep in mind that no one is a comprehensive authority on his own country and society, and that a description, say, of India from one Indian, or of Paraguay from one Paraguayan, may be as unreliable as one American's summation of America would be for a foreigner about to visit the United States.

Primarily, books and other printed materials will serve for predeparture orientation. One of the most specific and useful types of material is likely to be the AID or State Department post report for the country to which the team leader is assigned. This report may be obtained through the home-institution coordinator and his AID contact officer in Washington. Reading lists may be available through a diplomatic mission of the host country, from the home institution or assistance agency, or from a university or research institute specializing in that country or area.

Another resource is the State Department's Background Notes Series, which is comprised of up-to-date, six- to eight-page leaflets regarding the people, the history, the government, political conditions, economy, foreign relations, principal government officials and a brief reading list about a major country. Some 160 countries have been covered in this series. Each country leaflet may be obtained from the GPO Bookstore in the Main State Department Building, or ordered by mail from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. The Superintendent of Documents also distributes a free leaflet titled *Foreign Area Studies* which lists 70 other sizeable country handbooks developed under the auspices of Foreign Area Studies at The American University, Washington, D.C.

The best understanding about a country often comes through reading the country's own literature, fiction and non-fiction, written with a feeling for the life-styles, the views, the values, the hopes and the aspirations of the people among whom the advisor will shortly be working. These have an advantage over materials written about a particular country by foreigners, which may tend to emphasize differences rather than similarities.

Learning the Language

For most experts, learning the language of the people among whom they will live and work is a rewarding effort. A manifest interest in the indigenous language, and some competence in it, is a potent tool for building effective relations with host-country personnel, and is a key to their cultural inheritance even if the advisor never becomes competent enough to conduct business in it.

Ideally, the best time for language study is before departure for assignment, provided that the language of greatest usefulness in the country can be identified and that it is taught in a place to which the expert has access. Although once at post the language of the host country can be acquired economically, the work schedule is likely to make it difficult for the advisor to give sufficient time to such study.

Orientation Programs

The team leader and team members-to-be should take advantage of any relevant pre-departure orientation program conducted by the assistance agency or home institution. Such programs present information pertinent for all those working in technical assistance, but because the orientation groups are usually made up of professionals in different fields assigned to different countries, they cannot be specific in relation to either country or specialty. The team leader should be aware that the delay in a team member's arrival at post occasioned by orientation may pay off in a better-prepared new colleague.

Orientation should deal not only with professional tasks and country situations but also with personal preparation for a new life-style. Team leaders will want to make sure that arrangements are made through letters and other means to answer any questions which may be bothering wives and team members.

Among the most frequent of these questions is "What shall I pack and take along?" Most families, especially those going abroad for the first time, tend to take too much with them. The advice often offered to the tourist holds true also for the family about to be assigned abroad: "Make a list of all the items you will *absolutely* need, and then cross out half the entries."

Guidance on the selection criteria to be applied can be obtained from the post report, from the external assistance agency and, most important of all, from those already at post or who have recently been there. The same sources can provide essential information about typical family dwelling units and the voltage and cycle of electric current, for example. They can also advise on the availability of various items in local stores.

It is useful to take with one the paraphernalia required for hobbies, crafts, music and so forth, and items that can help to establish social rapport with new neighbors—books that can be lent, games that can be played together, photographs that can help new friends to become acquainted with the newcomers and their background.

IN-COUNTRY ORIENTATION

Once settled in their new home, the team leader or member and his family will intensify their orientation to the country. Every walk through the city, every shopping trip, every visit to a museum or historic site is part of this process. So is every conversation of substance with colleagues, neighbors, friends and strangers. It is at this point that the knowledge, even skimpy, of one or more of the local languages is so useful.

No capital city anywhere is representative of its country as a whole, and the advisor and his family should get to know other parts of the country to which they are assigned. Such travel gains in value if a host-institution colleague accompanies the traveller. Trips of this kind are learning experiences about the host people and society, and about the settings in which the host institution operates.

REFERENCE LIST

A publication in the Technical Assistance Guidance Series (TAGS) dealing with the preparation of technical assistance personnel is being developed for issuance in late 1973. It will refer to a wide variety of materials on this subject and for this reason only a very limited reference list is included in this *Guide*.

The abbreviation "ARC" used in each catalog number listing below stands for the AID Reference Center, a central repository for AID reports and documents located in the Main State Department Building.

Advisors and Counterparts: Relationships between Foreign Technical Assistance Experts and Host Country Colleagues. Oct. 1, 1972, 57 p. AID Bibliography Series. DM/ISO/RDM, AID, Washington, D.C., 20523. ARC Catalog No. 016.3012, A265.

Arensberg, Conrad M. and Arthur Niehoff, *Introducing Social Change: A Manual for Americans Overseas.* 1964, 229 p. Aldine Publishing Co., 529 Wabash Ave., South, Chicago, Ill. 60605. Published originally for AID under the title, *Technical Cooperation and Cultural Reality.* ARC Catalog No. 301.2, A681.

Blase, Melvin G., *Institution Building: A Source Book.* 1973, 325 p. Midwest Universities Consortium for International Activities, Inc. and AID. Order from: MUCIA, 545 Geology Building, Indiana University, Bloomington, Indiana 47401.
ARC Catalog No. 301.406, B644.

Carter, James P., Eleanora de Antonio West ana members of the staff of the Boston Children's Medical Center, *Keeping Your Family Healthy Overseas.* 1971, 240 p. Delacorte Press, Dell Publishing Co., 750 Third Ave., New York, N.Y. 10017.
ARC Catalog No. 613.1, C323.

Evaluation Handbook. No. M.C. 1026.1, Supplement II. Sept. 1972, second edition, 122 p. Office of Program Methods and Evaluation, Bureau for Program and Policy Coordination, AID, Washington, D.C. 20523. ARC Catalog No. 353.1, 5749a.

Guither, Harold D. and W. N. Thompson, *Mission Overseas: A Handbook for U.S. Families in Developing Countries.* 1969, 294 p. University of Illinois Press, Urbana Ill. 61801. Price $2.95.
ARC Catalog No. 353.1, I29.

Schwarz, Paul, *Selecting Effective Leaders of Technical Assistance Teams.* Technical Assistance Guidance Series No. 2. Mar. 1973, 42 p. Methodology Division, Bureau for Technical Assistance, AID, Washington, D.C. 20523.
ARC Catalog No. 353.1, S411a.

Appendix

AID PROGRAM DOCUMENTATION

Readers of this *Guide* who are involved in AID-supported projects will find that several types of documents have particular significance for the team and its leader. These explain the project and the respective expectations of the parties to it, and deal with management of the resources provided.

Project Agreement

The Project Agreement (PRO-AG) is an inter-governmental document, always signed by a host-country official and the director of the assistance agency's field office. The host-country official is usually of cabinet rank, hence often senior to the host institution's leader. The Project Agreement is the basic charter of the project. It describes project objectives and the means of attaining them. It specifies what resources will be made available by whom, and when. It sets a terminal date for transferring external contributions, and thus indicates in at least tentative terms when the project, or its current phase, will end.

A new Project Agreement is required every fiscal year if new funds need to be added ("obligated") to the project during that year. Project Agreements can be amended, extended or renewed; these steps require the approval and signature of both governments.

Implementation Documents

Subsidiary to the project agreement may be an implementation document. In AID the most important of these is called the PIO/T (Project Implementation Order—Technical Services). It is the link between the project agreement and the contract with the home institution. It usually provides more detail than the project agreement, and serves as the basis on which the contract is negotiated. Practice varies from country to country as to whether the PIO/T is signed by a host-country official as well as by the director of the assistance agency's field office.

The PIO/T designates an implementing agent. In the past, this has usually been the headquarters of AID in Washington, but the host country can also be designated the implementing agent. This agent negotiates and executes a contract. The contract could be with any one of a variety of entities; for example, an American university, a professional association, a co-operative, a business firm, a research organization, a unit of a state government, or a Federal Government agency other than AID. When the latter is involved in a project, the contract with it is called a PASA (Participating Agency Service Agreement). The contractual document—contract or PASA—must be in accord with the PIO/T. If it differs in any manner from the PIO/T, the latter must be amended. Contract extensions, amendments, etc., all require prior changes in the PIO/T.

Within the USAID field office, the project officer usually drafts and initiates the project agreement and the PIO/T. Their approval, however, also involves the program office of the USAID mission. This staff unit is concerned with formulation of the over-all AID assistance program in a country. As the orchestrator of different projects in different sectors of the host country's society and economy, it is the arbiter among many claimants for limited resources. It reviews project agreements and PIO/Ts with several criteria in mind: appropriateness to AID and host-government priorities, efficient management and appropriate project design, conformity with AID regulations, implications for related projects and efforts by AID and others, etc. Program officers (they have such titles as Assistant Director for Program, Program Operations Officer, Program Officer, Deputy or Assistant Program Officer) are generalists, but in large program offices specific officers may be assigned as liaison agents with particular technical divisions, and thus be familiar with the details of a particular project. In very small USAID missions, program-office personnel may be assigned additional duty as project officers for projects for which there is no technical division.

PROP and PAR

There are two other program documents of concern both to the program office and to the project officer of which the team leader should be aware, and in the preparation or revision of which he may become involved. They are the PROP (Project Proposal) and the PAR (Project Appraisal Report).

The PROP is prepared by the field office as part of the project design, and submitted to AID headquarters for approval so that the field office can proceed with the drafting and negotiation of the project agreement. The PROP is intended to be a life-of-project document but may need to be revised from time to time as conditions change.

The PAR is the report submitted by a USAID mission to AID headquarters on the results of a project evaluation. For most projects, PARs are submitted annually. Both the PROP and PAR make use of the logical-framework type of analysis discussed in Chapter VIII, Project Evaluation.