

AGENCY FOR INTERNATIONAL DEVELOPMENT WASHINGTON, D. C. 20523 BIBLIOGRAPHIC INPUT SHEET	FOR AID USE ONLY
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1. SUBJECT CLASSIFICATION	A. PRIMARY Social Science
	B. SECONDARY Development Planning

2. TITLE AND SUBTITLE
 Proceedings of the Regional Conference on Institution Building

3. AUTHOR(S)
 Smart, L.F

4. DOCUMENT DATE 1970	5. NUMBER OF PAGES 106 p.	6. ARC NUMBER ARC
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7. REFERENCE ORGANIZATION NAME AND ADDRESS
 Utah International Education Consortium, Utah State University, Logan, Utah

8. SUPPLEMENTARY NOTES (*Sponsoring Organization, Publishers, Availability*)
 Copies available from the Technical Assistance Bureau, TA/PPU/EUI, Room 2669 NS
 Agency for International Development, Washington, D.C. 20523

9. ABSTRACT

The conference was designed to provide participants with an opportunity to become familiar with institution-building theory and to share the experiences of institution building and technical-assistance practitioners. Its achievement, as summarized by Dr. George H. Axinn, lay in its enunciation of the doctrine of enduring linkages in the world-wide network of higher education and research.

10. CONTROL NUMBER PN-AAB-992	11. PRICE OF DOCUMENT
12. DESCRIPTORS	13. PROJECT NUMBER
	14. CONTRACT NUMBER CSD-2803 GTS
	15. TYPE OF DOCUMENT

PROCEEDINGS

Regional Conference
on
Institution Building

held under the auspices of the
Utah International Education Consortium
and the
United States Agency for International Development

Lyman F. Smart
Editor

Logan, Utah
August 17 to 21, 1970

UTAH INTERNATIONAL EDUCATION CONSORTIUM (UIEC)

INSTITUTIONAL REPRESENTATIVES

Lyman F. Smart - Southern Utah State College

S. Lyman Tyler - University of Utah

Bruce H. Anderson - Utah State University

Dee W. Flitton - Weber State College

Bruce H. Anderson - General Conference Chairman

G. Allen Turner - Program Coordinator

ABOUT UIEC

The Utah International Education Consortium is a cooperative organization of Utah Colleges and universities to coordinate international activities, to facilitate optimum utilization of existing international programs, and to encourage development of needed new programs.

Present members of the consortium are the four baccalaureate institutions operated by the State of Utah--Southern Utah State College, University of Utah, Utah State University, and Weber State College. Liaison is also maintained with the two private four-year institutions in Utah, Brigham Young University and Westminster College.

Activities of UIEC to date include joint sponsorship of the Regional Conference on Institution Building, the UIEC summer school in Europe, an inventory of international activities and staff capability for international programs of Utah colleges and universities, and exchange of information about and support of programs carried on unilaterally by member institutions.

Unilateral programs of members include the Peace Study Center, the East-West Center, spring semester in Mexico, and contract programs such as CIDIAT, INCORA, Water Resources Management, and Bolivia at USU; the Middle East Center, technical assistance in Ethiopia, community development in Panama, spring semester at Kiel, Germany, summer school at Pau, France, and an M.B.A. program for the Air Force at the University of Utah. All four member institutions participate in consulting and student and faculty exchange programs, travel-study programs, and all offer a variety of courses to increase understanding of international activities.

Utah State University and the University of Utah offer certificates in international relations, and the University of Utah awards certificates in area studies.

UIEC offers a solid foundation of staff and other resources for contract programs that might otherwise tax the capabilities of individual member institutions.

The consortium operates within the framework of the Utah System of Higher Education.

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PROGRAM

REGIONAL CONFERENCE ON INSTITUTION BUILDING

August 17 - 21, 1970
Utah State University
Logan, Utah

Utah International Education Consortium
and the
United States Agency for International Development

MONDAY, August 17

Bruce H. Anderson, Chairman
UTAH STATE UNIVERSITY

SESSION ROOM - George S. Eccles Business Building 215

8:30 Welcome - Glen L. Taggart, President, Utah State
University

"Purpose of the Conference"
S. Lyman Tyler, University of Utah

"General Information-Orientation"
Wayne B. Ringer, Utah State University

9:45 "Institution-Building Concepts"
Milton J. Esman, Cornell University

Discussion

10:45 Break

11:00 "Report of World-Wide CIC/AID* Study on U. S.
Assistance and the Implications Relative to
Institution Building"
D. Woods Thomas, Purdue University

Discussion

12:00 Lunch - University Center Cafeteria

1:30 "Goals and Challenges for Study Committees"
R. W. Roskelley, Utah State University

*Committee on Institutional Cooperation - Agency for
International Development

2:00 Committee Sessions to study the Key Concepts about each committee topic:

- A. Committee on LEADERSHIP AND DOCTRINE
Chairman - F. LaMond Tullis - Brigham Young University
Committee Room - Business Building 809
- B. Committee on PROGRAM, INTERNAL STRUCTURE, AND RESOURCES
Chairman - Wade H. Andrews, Utah State University
Committee Room - Business Building 709
- C. Committee on ENABLING AND FUNCTIONAL LINKAGES AS PART OF THE INSTITUTION-BUILDING PROCESS
Chairman - Lyman F. Smart, Southern Utah State College
Committee Room - Business Building 609
- D. Committee on NORMATIVE AND DIFFUSIVE LINKAGES AS PART OF THE INSTITUTION-BUILDING PROCESS
Chairman - Orson Tew, Utah State University
Committee Room - Business Building 509
- E. Committee on the IDENTIFICATION OF PERSONS WHO SHOULD BE INVOLVED IN PRE-PROJECT PLANNING (The type and level of involvement as conditioned by role to be played by each individual in the pre-project planning.)
Chairman - Garth N. Jones, Colorado State University
Committee Room - Business Building 409
- F. Committee on the PRINCIPLES AND STRATEGIES FOR OBTAINING MAXIMUM INVOLVEMENT OF HOST COUNTRY PERSONNEL
Chairman - César Garcés, Assistant Director, Center for the Integral Development of Land and Water Resources
Committee Room - Business Building 303
- G. Committee on the UTILIZATION OF PROJECT PLANNING, REVIEW AND ASSESSMENT OF MATURITY TO FACILITATE MAXIMUM PROJECT RESULTS
Chairman - Avard A. Rigby, Utah State Board of Education
Committee Room - Business Building 308

H. Committee on CULTURAL VARIABLES AND INSTITUTION BUILDING

Chairman - Abraham M. Hirsch, United States Agency for International Development
Committee Room - Business Building 212

5:00 Adjournment

5:00-6:00 Dinner - University Center Cafeteria

TUESDAY, August 18

Oral L. Ballam, Chairman
UTAH STATE UNIVERSITY

SESSION ROOM - Business Building 215

8:30 "Experience with the Principles, Strategies and Techniques of IB (Sociological and Psychological Principles)"
James K. McDermott, United States Agency for International Development

Discussion

9:30 Break

9:45 Case Studies of Successful IB Programs:

"CIDIAT" - César Carcés, CIDIAT

Discussion

10:30 "Turrialba"
José Marull, Inter-American Institute of Agricultural Sciences, San Jose, Costa Rica

Discussion

11:15 "Primary Education Program in Colombia"
Frank Angel, University of New Mexico

Discussion

12:00 Lunch - University Center Cafeteria

1:30 "Institution Building - Its Relationship to Project Planning"
Melvin G. Blase, University of Missouri

Discussion

3:30 Break

3:45 Committee Sessions - Committee Rooms
6:00 Adjournment
6:30 Assemble in front of Dormitory for transportation
to steak fry
7:00 Canyon Steak Fry - Upper Spring Hollow - Logan Canyon

WEDNESDAY, August 19

Lyman F. Smart, Chairman
SOUTHERN UTAH STATE COLLEGE

SESSION ROOM - Business Building 215

8:30 Committee Sessions - Committee Rooms
10:15 Break
10:30 "Ideas and Procedures for the Evaluation of Progress
and Maturity in Institution Building"
W. N. Thompson, University of Illinois
Discussion
12:00 Lunch - University Center Cafeteria
1:30 "Guidelines for Achieving the Most from Participa-
tion in Overseas Contracts"
Jackson A. Rigney, North Carolina State
University
Discussion
2:30 Break
2:45 Combined Committee Sessions
5:00 Adjournment
5:00-6:00 Dinner - University Center Cafeteria

THURSDAY, August 20

J. Clark Ballard, Chairman
UTAH STATE UNIVERSITY

SESSION ROOM - Business Building 215

8:30 "The New Institution-Building Agreement and Its
Implications"
Glen L. Taggart, Utah State University

Discussion

9:45 Break

10:00 Committee Reports

Discussion

12:00 Lunch - University Center Cafeteria

1:30 Complete Committee Reports

Discussion

3:30 Break

3:45 Complete Committee Reports

5:00 Adjournment

7:00 Banquet - University Center Walnut Room

Bruce H. Anderson Chairman, Utah State University

Walter J. Sedwitz, Speaker, Executive Secretary for
Economic and Social Affairs - Organization of
American States, Washington, D. C.

FRIDAY, August 21

Dee W. Flitton, Chairman
WEBER STATE COLLEGE

SESSION ROOM - Business Building 215

8:30 "Selection, Orientation and Preparation of the
Overseas Worker"

Bruce H. Anderson, Utah State University

9:00 Film Presentation

Clyde C. Noyes, University of Nebraska

Discussion

9:45 Break

10:00 Conference Summary and Recommendations

George H. Axinn, Mid-West University
Consortium for International Activities,
Inc.

EDITOR'S INTRODUCTION

The Regional Conference on Institution Building held at Utah State University in Logan, Utah, August 17-21, 1970, resulted from two different initiatives: (1) the recommendations of participants in two previous conferences on institution building (IB) held in 1969 at Purdue University and in Washington, D. C., to provide "ways and means by which the concepts and empirical knowledge . . . relative to the institution-building process might be made available to a larger audience concerned with this task," and (2) the desire of members of the Utah International Education Consortium 1/ to participate more meaningfully in significant international programs.

The Logan Conference was designed to provide participants with the opportunity to become familiar with institution-building theory and to share the experiences of institution building and technical-assistance practitioners.

Participants in the conference included staff from the United States Agency for International Development from Washington, D. C., personnel from selected AID missions abroad, faculty and administrators from western U. S. colleges and universities, and selected representatives of official and private agencies in Latin America which have participated in development programs of various kinds.

To save time and to make the conference more meaningful, conference participants each received a copy of a paper by Dr. Milton J. Esman of Cornell University entitled "Some Issues in Institution-Building Theory" which, along with other excellent pre-conference study materials prepared by Dr. R. W. Roskelley of Utah State University, gave participants an opportunity to be introduced to the so-called "Pittsburgh" or "Esman" institution-building model. Esman's paper served as a point of departure for other conference speakers and also as the basis for discussions by eight study committees (all conference participants were assigned to a committee) assigned to examine various aspects of institution building and technical assistance programs.

Because Dr. Esman's work on IB theory is available in a variety of publications, his paper is not reproduced in the Proceedings--but some essential concepts are summarized here for the reader who may not have ready access to those publications. 2/

1/ Dr. Esman abstracted his keynote address for the proceedings. His paper, entitled "Institution Building as a Guide to Action", in the Proceedings of the Washington Conference on Institution Building, Washington, D. C., 1970, contains a concise and complete description of the IB model.

2/ The editor adapted the summary from the work of Esman, Roskelley and others, but takes responsibility for interpretation.

1. Development is a process involving the introduction of change and/or innovations in societies. The changes may be physical (having to do with water control systems, introduction of new seed varieties or fertilizers, etc.) or social (having to do with civil service or other institutional organizations) or a combination of both physical and social technologies (a family planning program or an agricultural extension program).
2. Change can come as a result of evolutionary processes, of autonomous diffusion or of revolutionary forces, but in the context of IB theory, desirable change results from deliberate action by individuals or groups. Evolutionary change is unreliable and revolutionary change, induced by coercion and force, is inimical to the audience to whom these ideas are directed. Institution building is induced social learning and guidance, not imposed technology.
3. Change takes place through organizations which must be managed by agents who are technically competent and socially effective. Elements, aspects or ingredients (variables) of organizations can be conceptualized separately and vary from organization to organization. Organizations are managed in relation to other organizations and groups (through linkages). Building viable organizations and managing their linkages are closely related aspects of the singular process of institution building.
4. An organization becomes an institution (and institution building is accomplished) when the organization(s) and the changes for which they stand are accepted, valued, and functional in the environment.
5. Institution-building theory, though not fully formed, can be applied both to the creation of new organizations or to modification of existing structures.
6. Institution building theory, as presented here, can best be thought of as a set of perspectives, a way of looking at a process and at the responsibilities of change agents.
7. The institution-building universe can be depicted in a fairly simple schema with two groups of factors important to understanding IB activity:

The Institution-Building Universe

Institution	Other Institutions
<u>Institutional Variables</u>	<u>Linkages</u>
Leadership.	Enabling
Doctrine	Functional
Program(s)	Normative
Resources	Diffuse
Internal Structure(s)	

The elements of the institution-building complex are defined as follows:

8. Institutional Variables: The elements essentially concerned with the workings of the institution.
 - a. Leadership: The person(s) who direct the internal operations and who manage its relations with the external environment. Leadership is the most important variable.
 - b. Doctrine: The expression of the purposes, objectives, and methods of the institution. It is the most elusive of the variables.
 - c. Program(s): The activities of the institution in producing outputs, that is, goods or services; the translation of doctrine into action.
 - d. Resources: The physical, financial, legal, and informational inputs required by the institution so that it can function. Included are political authority, personnel, equipment and facilities as well as money.
 - e. Internal Structure(s): The patterns and distribution of authority, the division of labor, channels of communication, etc. within the institution through which decisions are made and action is controlled.
9. Linkages: The patterns and relationships which exist between the institution and other organizations and groups in the environment. These relationships are expressed in transactions which occur through the exchange of resources, services and support. The relationships may be supportive, cooperative or competitive.
 - a. Enabling Linkages: The relationships with organizations that control authority and allocation of resources.

b. Functional Linkages: The relationships with organizations that provide the inputs and utilize the outputs of the institution.

c. Normative Linkages: The relationships of the institution with other organizations which share an interest in its objectives, methods and purposes.

d. Diffuse Linkages: The relationships with individuals and groups which are not formally organized but which influence the standing and acceptance of the institution.

10. Transactions: The exchange of goods, services, power, and/or influence between and among organizations and individuals.

11. Effective institutional leaders are concerned both with building and strengthening the internal structures of their organizations and with managing its environmental relations.

As has been indicated, Esman's paper served as the keynote of the conference, with other conference speakers reinforcing, contracting, taking issue with or calling attention to other important problems related to institution building and technical assistance. Each presentation, most of which are reproduced in the Proceedings, was followed by an open discussion. Unfortunately, these discussions were not recorded, but they contributed significantly to the deliberations of the study committees and to the committee reports.

The discussion of the committees were the most important activities of the conference and the committee reports are the most important elements of the Proceedings.

A conference summary, prepared by George H. Axinn, Executive Director, and President of the Midwest Universities Consortium for International Activities, helped participants bring their week's activities into focus.

The summary and the committee reports are presented at the beginning of the Proceedings for the convenience of busy readers.

Except for Dr. Axinn's summary and the committee reports, papers appear in the Proceedings in the order in which they were presented at the conference. Several appendices, containing selected pre-conference study materials, a glossary of terms and concepts, and the conference roster are printed at the end of the Proceedings.

Perhaps the most significant conclusions of the conference participants is that while America's foreign policy has been designed to help less developed nations to more fully realize their economic potentials through technical assistance, there have been important concomitant benefits, many of them accruing to the United States. President Glen L. Taggart of Utah State University mentioned some of these other benefits when he welcomed the conferees and developed the idea more fully in his formal paper describing the recently

promulgated institutional development agreement:

Institution building by means of technical assistance, sponsored by the Agency for International Development and the foundations and conducted through the universities may very well prove to be the most significant and productive aspect in advancing our knowledge of the causes of world conflict and--hopefully--their solution and in securing improved living standards for those seeking them. The benefits that have accrued to the host nations are impressive, though I would venture the opinion that the program's real beneficiary has been America itself--and the university community in particular.

. . . Our overseas programs have cultivated the international capacities of our universities. They have helped the universities to do a better job in teaching of other world cultures and in instilling our graduates with an intelligent understanding of the compulsions which animate the varied peoples of the globe. In the process, we have fashioned a mass of manpower competence which is now singularly prepared to serve in the international arena.

But perhaps the most important benefit--at least as the future is concerned--is the likelihood that these programs will be able to bridge the gap that separates nations, to retain avenues of communication and cultural exchanges even in times of crisis and stress, to expand positive relationships of all kinds.

From these observations and from the deliberations of the conference, one arrives at another inevitable and happy conclusion: Overseas programs involving American governmental and educational agencies and foreign governments and agencies will increasingly be negotiated and planned as joint activities between peers rather than between donors and recipients. Contracts will be for the mutual benefit of both parties. The major contribution of this conference may well be the enunciation of the revolutionary doctrine of enduring linkages in the world-wide network of higher education and research.

Appreciation is extended to all conference participants, but special thanks is due to Dr. Bruce H. Anderson, Dr. R. W. Roskelley and G. Allen Turner of Utah State University who were responsible for overall planning and local arrangements, to Dr. S. Lyman Tyler, University of Utah, representing the Utah International Education Consortium, and to Dr. Abraham M. Hirsch, United States Information Agency for International Development (USAID) Washington, for their work in making the conference a success.

Dr. J. Clark Ballard was originally chairman of local arrangements for the conference, but he was named Vice President for Extension Services at Utah State University in June, so his responsibilities were assigned to Dr. Anderson. Nevertheless, he continued to take an active interest in the conference and deserves special thanks.

Very special appreciation is also due President Taggart. His long experience with international programs, his association with CIC and AID and other groups interested in international affairs and his present position at Utah State University, one of the pioneer institutions in conducting technical-assistance programs abroad, are important reasons why Logan was selected as the site of the conference.

Dr. Taggart's predecessor, Dr. Daryl Chase, president emeritus of USU, should also be singled out for special mention. His long association with the CIC/AID study committee and his well-known concern with the causes of war and the conditions necessary for the establishment of peace have been inspirational to the academic community throughout the world.

Appreciation is also expressed to the United States Agency for International Development for encouragement and financial assistance in the development and presentation of the conference and in the publication of the proceedings.

Lyman F. Smart
Editor

Friday, August 21, 1970, 10:00 a.m.
Dee W. Flitton, Chairman

CONFERENCE SUMMARY AND IMPRESSIONS 1/
Dr. George H. Axinn

A native of New York, George H. Axinn received his B. S. degree from Cornell University in 1947 and his M.S. from the University of Wisconsin in 1952.

In 1956 he was a Kellogg Foundation Fellow at Michigan State University and received his Ph.D. from that institution in 1958.

In 1958 he was named Associate Director of the Cooperative Extension Service at Michigan State University. He held that position until 1961 when he became Coordinator of the Michigan State University program in Nigeria.

In 1964 Dr. Axinn was appointed Assistant Dean of International Programs and in 1966 he became Chief of the Party of the Michigan State University Advisory Group to the University of Nigeria.

He is now Executive Director and President of the Midwest Universities Consortium for International Activities, Inc., and Visiting Professor of Agricultural Communication and Journalism at the University of Illinois.

1/ This paper is out of sequence. All other conference proceedings are arranged in chronological sequence, but this summary is presented first since it serves as a convenient introduction to the conference.

SUMMARY IMPRESSIONS

How do you summarize a week such as this?

One could say that there has been vigorous participation in an exciting and interesting series of discussions. Certainly we have had lectures, large group discussions, small committee meetings, and a fine supply of excellent reading material. We've also had a warm and friendly series of interludes of Utah hospitality. But there was more to it than that. Someone said yesterday afternoon, reporting for one of the committees that "we didn't have to waste time agreeing, so we could concentrate on the areas of disagreement."

In a way he spoke for the entire conference. Vigorous debate tended to follow each presentation. I found it frustrating, at first, to look back at the objectives of this conference, as spelled out for us by Lyman Tyler on our first day, and try to put the various divergent points of view into a coherent and meaningful perspective.

As participants, Dr. Tyler asked us to test the institution-building concepts and theory for practical utility and value. He said, "Let's examine all the aspects of the institution-building theory and react to them."

As the discussion went on, however, I was reminded of my grandmother's admonition when she said, "Never run after two rabbits; you're not going to catch either one of them."

At that point I had the feeling that some of us were concerned with institution building, that is, the development of indigenous organizations to the point where they are institutionalized within their societies. But others of us seemed really concerned with technical assistance, particularly international technical assistance, and how to program it. In fact, although the name of the conference was institution building, I believe the name of the game this week has been how to carry on technical assistance.

And to further complicate things, I believe there was actually a thread of a third kind of thing running through this week. It started way back with President Taggart's opening reference to improving the educational system of the world at large. There seemed to be a concern not so much with carrying out technical-assistance projects, or even with institution building, but with building some kind of a world-wide network of higher education and research.

Much of the debate seemed related to the differing points of view. Those concerned with technical assistance did not think much of the so-called "Pittsburgh" or "Esman" institution-building model. They kept suggesting alternative models which took a "technical-assistance" point of view. Then those whose primary focus was on the process of institution building, in turn, rejected the technical-assistance models because they included all sorts of variables not

necessarily having anything to do with institution building.

To summarize, one might say that Dr. Esman and Committees A, B, C, and D took an institution-building perspective. They did not maintain that perspective in a pure sense, however, since they all referred to technical assistance. Woods Thomas, summarizing the CIC/AID studies of U. S. efforts in technical assistance, took a technical-assistance point of view, as did committees E, F, G, and H. The committees were well briefed and structured by Dr. Roskelley. And it seemed to me that several speakers--Ken McDermott, Mel Blase, and Bill Thompson to a large extent and Jack Rigney to a lesser extent took a technical-assistance point of view, although each of them utilized the Esman institution-building model in so doing.

Three excellent case studies were presented. They were all about institution-building efforts, and they all touched upon the influence of outside technical assistance. The audience seemed to split in response to the case studies. Questions to César Garcés, José Marull, and Frank Angel seemed to come from both points of view.

And then President Taggart's remarks yesterday went all the way from what he referred to as the nuts and bolts of technical assistance in the new Institutional Development Agreement to the building of enduring linkages in the world-wide network of higher education and research.

But when you consider the goals of this conference--reacting to conceptual categories and testing them in the crucible of reality which our collective experience represents, I believe that we came out very well.

It is no use to run after two rabbits if your goal is to catch a rabbit, but if your goal is to get some exercise, running after two rabbits may be an excellent thing to do.

It is not new in the social sciences for people to have difficulty accepting each other's definitions. That's been a problem ever since the earliest social scientists began to systematically record their observations. In fact, it was Max Weber who said that one of the problems of social science was that each man used only his own categories, like his own toothbrush, as if he were afraid to try using anyone else's.

That's one reason why we were not overburdened with consensus during the last four days of discussion. The social science researchers themselves couldn't buy each other's categories, and the practitioners were even less disposed to admit to any practical usefulness in them. But that's an overstatement. Many times during the week we heard testimony, such as that of César Garcés, on how useful the categories would have been to him in the early days of CIDIAT.

In fact, upon reflection, I believe this conference produced even more than was expected. For we deepened understanding, tested concepts, and shared experience from at least two different perspectives at once.

It reminds me of the difference in approach between a nutritionist and a gourmet chef. They both deal with food, but they use different kinds of categories. For example, categories like protein, carbohydrate, and fat are extremely useful to the nutritionist. To the chef, it doesn't hurt to have them, but categories won't make the soufflé rise, or the tacos hot.

Well, it seems to me that this week I have heard categories like leadership, doctrine, structure, and resources used as efficient conceptual devices by some of this group, and then dismissed quickly by others as not helping much if the necessary arts are missing.

That is natural. I assume that as the practitioners take concepts like the enabling linkages and the functional linkages back home with them, perhaps as new additions to their kit of working tools, their art will not be diminished, and their skills may be enhanced.

Similarly, as the scholars go back to the conceptual drawing board, the challenge of the practitioners will sharpen their definitions, perhaps add a few new categories and perhaps suggest a few additional "if-then" propositions which have been so conspicuous by their absence.

All this is testimony to the newness of the science. As many have said, we have gone too long, in the technical-assistance field, without applying the rigorous systematic approach of science to our work. And while human groupings have been shifting from organizations to institutions since men first learned to communicate with each other . . . it is late . . . perhaps too late . . . to apply scientific methodology to this phenomenon.

Beyond the newness of the science, I think some of us have found the dichotomy between the institution-building approach and the technical-assistance approach to be painful. It has been a little bit like someone trying to cut a piece of wood in half with a hammer. He soon condemns the hammer as a very poor tool. Someone else, trying to drive a nail into that board might find the hammer to be a very effective tool. But when he tries to drive the nail in with a saw, the saw proves to be an ineffective tool.

Let's attempt to separate, if you will let me, some of the ideas which emerged this week from the institution-building perspective, first, and then some of the thoughts from a strictly technical-assistance perspective.

Milt Esman led off on institution building. His rationale went something like this:

Developmental changes are usually introduced and guided deliberately by change agents.

Organization represents social power. Formal organizations are necessary for guided social change. They are also necessary if specialized training is to be utilized at home.

The most significant innovations require changes in attitudes, beliefs, organizations, and the structure of power and relationships among people.

The first job of change agents in institution building is to build organizations which are technically competent and also normatively committed to perform in their fields.

Organizations are not usually self-sufficient; other organizations and groups control resources, activities, etc. since the environment contains interacting organizations and groups, there is a need for complementary relationships.

The environment is likely to be resistant to change organizations.

Then he went on to say that the principle burden of institution building falls on the local people, the domestic change agents. No institution can be built by outsiders. External technical-assistance personnel may provide valuable support, but the principle burden is in the hands of domestic change agents.

During the week, we have heard the Esman model condemned because it didn't deal with the whole technical-assistance process--which it was never intended to--or that it didn't apply to certain kinds of social change. In his paper, which was distributed to us when we registered, Esman points to five distinct types of social change and then says:

The IB model of social change is meaningful only in the context of the fifth or guidance category: innovations deliberately induced but toward a permissive environment capable of an autonomous response. It is not adequate to explain or to provide operational guidance for the other models of social change.

In the discussion, someone asked how he distinguished between an organization and an institution, and he quoted his paper as follows:

The object is to achieve institutionality--meaning that innovative norms and action patterns are valued within the organization and by the larger society and are incorporated into the behavior of linked organizations and groups. Thus the environment becomes supportive of the innovations and the organization, and the innovations it represents become valued and meaningful elements in the surrounding society. At this point, the institution has been built and the process for which this model is directed has been fulfilled. The model does not deal with subsequent stages in the life cycle of an institutionalized organization, with organizational maintenance through time, including their tendency to become the resistors of subsequent innovations, or process by which an institutionalized organization may sustain and renew its innovative thrust.

Four of our committees then took the major categories of this institution-building model and worked them over. I won't try to repeat all that they said, you have copies of each of their reports. But there are a few highlights:

Committee A said that the model seems to enhance the conceptual understanding of the institution-building process. It allows us to rigorize our thinking, and to look at the world of reality through selective lenses. It can move toward influencing the process of institution building. It is sufficiently abstract to allow its application across culture, time, and nation. But they said that at the level of application, they had a difficult time. With respect to utility, they conclude that it alerts the practitioner to a wide array of alternative configurations of style.

Committee B grappled with similar problems, and summarized by saying:

The role of theoretical models is that they provide a means to look at each problem from a comparative perspective, and at the different elements or parts of the problem in order that we can analyze these parts as to which ones are developing and which parts are not. For many years we have not had a means for identifying the parts of the problems that were causing trouble and have had no criteria for clearly judging these problems. This theory is a beginning for attempting to expand the future capability of an institution to be more productive. Institutions can either be stagnant or can make desired changes in society.

Committees C and D were combined, and they tackled the categories of linkages. They made many practical suggestions, and even offered us a series of steps to follow in developing each of the four major categories of linkages. Their report starts out by saying:

While the definitions of linkages offered by McDermott and Roskelley are very helpful, and the committee finds that those of Esman and Blaise account for more phenomena (e.g. inputs as well as outputs in functional linkages) and recommends that the latter be employed for common reference.

But recall that those four committees had assignments taken from an institution-building perspective. I think they made a significant contribution.

Now let's turn to the other speakers and the other committees, who took, as I see it, a technical-assistance perspective, and made a similar contribution.

Esman, himself, led the way in this, as he spelled out the role of external technical assistance. Then Woods Thomas took the perspective of the United States as an actor in the world scene, and from a technical-assistance perspective concluded that basic institutional infrastructure is essential to a modern society.

He went on to say that success in technical assistance depends on the creation of change in old institutions or the building of new institutions. This, he said, led the U. S. technical-assistance effort into the business of institution building.

You see, we were still discussing institution building, but now from the point of view of an outside change agent whose business is technical assistance rather than from the earlier perspective of any formal organization anywhere in the world which is trying to ensure its success and survival by becoming institutionalized.

The CIC/AID study was based on the technical-assistance platform, and Woods gave us these four main conclusions from it:

1. Far too little is known about theory and practice of institution building. Many institution-building projects did not have a well defined strategy and team members did not have clear concepts of what they were trying to do.
2. Existing knowledge is not being disseminated and spread as well as it could be and there is need for better orientation and training of teams and of team leaders.
3. AID time-frame and the old contract were not adequate for institutional development effort. The new IDA agreement is an improvement.
4. The capacity of U. S. universities to do technical-assistance work abroad with excellence is quite limited. AID and the universities should cooperate to strengthen the universities.

Ken McDermott's assignment, to share experiences with us on the principles, strategies, and techniques of institution building was also firmly rooted in the technical-assistance approach. He said that the society has to do the institutionalizing, as Esman had said. But he went on to suggest that you, as a technical-assistance operator, must get linked in with the society. He used the Rigney/McDermott model of stages in technical-assistance effort to illustrate. He pointed to such key entities as AID/Washington, the AID mission, the U. S. university, and the U. S. university's field team.

From there, Dr. McDermott gave us some excellent advice with respect to the attitudes of personnel on the U. S. field teams, and stressed the importance of good communication. And, practically speaking, he said:

The field team leader is crucial in success or failure of the program. When the U. S. university really knows what it is doing, it never loses a battle with AID. When the U. S. university does not know what it is doing, it gets kicked all around and nobody wins.

The team leader needs to understand the total process. Most team leaders spend most of their time on internal matters of the team.

And while this next comment is not especially related to technical assistance, McDermott pointed out that "the essence of the land grant thing is a university in contact with the relevant problems of its society." To me that was one of the bonus "gems" offered to us this week. How much more effective two decades of U. S. technical assistance in agriculture around the world would have been if those who went abroad had understood that "essence," instead of merely the structure of their own institutions.

Mal Blase followed the three excellent case illustrations, and showed us how we might take the Esman categories from the institution-building model and put them into a technical-assistance model with a management perspective. He went on to show us how to use the PERT system to utilize probability, and assess the time required from the start of technical assistance for institution building. His model illustrates considerations in starting with over-all goals, dated in time, and moving back to intermediate products, and then identifies both flow and stock inputs. It is a strategic model for technical assistance.

From there, Bill Thompson helped us take a hard look at evaluation, not so much from a technical-assistance perspective as from that of institutional development, and perhaps I should have classified his presentation with those on institution building. He certainly used the institution-building model and its perspective. But he came as an outsider, sponsored by the technical-assistance agency, and pointed to the crucial importance of involving host country personnel in such evaluation efforts. And he offered us his methodology as a basis for planning continued technical assistance work for the U. S. university involved with the Indian university. As such, he and his colleagues have certainly made a significant contribution.

And then Jack Rigney, again from the technical-assistance perspective, was asked to give us guidelines for achieving the most from participation in overseas contracts. He summarized as follows:

- A. We must find ways to involve highly innovative and imaginative people in overseas contracts if they are to succeed.
- B. Such highly innovative and productive people can neither be spared from their home institutions, nor can they be interested in overseas activities except as such activities are made more professionally attractive and more highly rewarding to the departmental programs from which they come.

- C. Ways must be found to involve the institutions supplying such personnel at the departmental level to such an extent that the department feels that the overseas program is one of its major responsibilities and that its stature in the professional world is judged by its performance in such activities.
- D. In general, research is a key element in almost any exciting overseas activity and it will often spell the difference between a mediocre, uninteresting, and inefficient contract performance, versus one that has excitement, good people, and high attraction for host national participation. Research should be a part of each project.
- E. There must be provision for on-campus activity which parallels and supplements overseas activity if a department is to be attracted into professional commitment to an overseas contract.

The four committees whose assignments were classed in a technical-assistance perspective also provided wholesome food for thought. Committee E offered yet another technical-assistance model. You have it in their report. They also said:

Organizational or institutional change, planned or unplanned, is an exceedingly complex process. Change relates to movement from one state of organizational affairs to another which establishes new levels of organizational effectiveness which were not previously a part of this organization's repertory, and cannot be introduced by a simple application of programmed switching rules.

They concluded that the pre-project planning stages has been a neglected element in the total process of planned institutional change, and said that more attention should be given to it. They also pointed out that too many projects in the past have been based upon inadequate research findings. Increasingly, planned change must be based upon more than "educated hunches" or "guesses."

Committee F had another technical-assistance type assignment, to come up with some principles and strategies for obtaining maximum involvement of host country personnel. They laid out three basic steps: (1) Identification, (2) Communication, and (3) Action. Then they offered six principles in their concise and helpful committee report: (1) The need to define (measure) involvement in institution building; (2) Who may be involved in institution building; (3) The continuing need for identification of the degree of involvement requisite for effective institution building; (4) The continuing need to anticipate potential obstacles to institution building; (5) The continuing need for vertical and horizontal communication; and (6) The need to see that communication leads to action.

Committee G plunged right into the nature of both institution building and technical assistance. In a way they resisted their technical-assistance assignment, and bored into some of the fundamental issues of institution building. They offered us a system management model, and then came back with the basic elements of a project planning and review sub-system. But they also went beyond, and observed that perhaps both technical assistance and institution building were phenomena of the past two decades and that perhaps the proper focus of the future goes beyond either perspective.

Finally, the committee on cultural variables did a comprehensive job of pointing out the complications of the human side of technical assistance, and suggested that institution building, being a more sophisticated, advanced, and rigorous form of technical assistance makes these difficulties even greater. They made several suggestions about developing the art of the transcultural advisor, and made seven recommendations. Let me include one of them, as it leads us to a final consideration:

The committee is aware of the rapid changes that are occurring within American society, and that hopefully will make American society still more democratic, equalitarian, and responsive to the needs and aspirations of her own people; and recommends that our renewed concerns for greater equality, for better use of our human and natural resources, for greater participation of all in the national policy-making process become part of the substance of technical assistance which the North American people give to others. In particular, predominately black universities should become involved in North America's technical-assistance efforts abroad if the potential effectiveness of our technical-assistance programs is to be enhanced.

I'd like to take time now to review the three case examples we heard on Tuesday, but time doesn't permit. Instead, let me try to tie that last committee statement, with its emphasis on change in this nation to some of President Taggart's statements made yesterday morning.

"However distant," he said, "the social and economic disaster that affects any other nation anywhere in the world will also affect each of us." In a larger perspective, the real beneficiary of much of the past twenty years of technical-assistance and institution-building effort by U. S. universities has been those very U. S. universities themselves. They have accumulated the critical mass of manpower competence which is beginning to enable them to prepare the next generation of U. S. university students to become responsible citizens of an ever-shrinking globe.

Thus I'd like to close by suggesting that perhaps the proper focus for U. S. universities and for U. S. government in the next two decades is neither technical assistance abroad for its own sake, or concentration on the building of other people's institutions. Rather, the challenge of the future is the building of viable and enduring linkages

between universities and research institutes in this country and similar institutions abroad. I'm thinking of relationships among equals; linkages through which communication flourishes, linkages in which institutions both here and abroad each have something to give to the relationship and each have something to gain from the relationship. The payoffs to overseas universities and to U. S. universities would be equal, and the control of the linkages would be shared by all. If these linkages form into multi-national networks they can transcend the intermittent periods of animosity between nation states, and support continuous improvement in the human condition.

Thus I summarize a thought-provoking week by offering both those from government and those from the universities; both those from this country and those from abroad, the doctrine of enduring linkages in the world-wide network of higher education and research.

Thursday, August 20, 1970, 10:00 a.m.
J. Clark Ballard, Chairman

REPORT OF THE COMMITTEE ON LEADERSHIP AND DOCTRINE
AS ASPECTS OF INSTITUTION BUILDING
Committee A: F. LaMond Tullis, Chairman

Eduardo S. Bello, IICA/Montevideo, Uruguay
James W. Green, USAID/Washington
Jaime R. O'Rorke, USAID/Guatemala
Roberto R. Leon de Vivero, USAID/Guatemala
Drayton Phillips, Jr., USAID/Guatemala
Gilbert B. Siegel, University of Southern California/Los Angeles,
California
F. LaMond Tullis, Brigham Young University/Provo, Utah
Lila Garr, Utah State University/Logan, Utah

REPORT OF THE COMMITTEE ON LEADERSHIP AND DOCTRINE
AS ASPECTS OF INSTITUTION BUILDING

Committee A has attempted to explore the conceptual power and practical utility of two of the Esman variables: leadership and doctrine. We are, in varying degrees of conviction, agreed that the model from which the variables derive, aids conceptual understanding, improves rigor of thought, and may indeed help to advance institution building from its present state of predictive uncertainty toward a kind of "science of applied probabilities." Moreover, the model is sufficiently abstract to be of conceptual service in any culture or organization.

At the level of practical application, however, we have had a difficult time. We think we now know why; we also think we have gained some keen insights. But for you to understand either the insights or the rationale behind them you must know something of the problem with which we have wrestled.

One aspect of that problem emerged very quickly. At an anecdotal level of fact-theory integration (the only one open to us because, although we were individually acquainted with a number of complete case studies we were not mutually in command of any single one), we could not deal with individual variable factors (such as the desirable leadership qualities, styles, and strategies) without first specifying concrete conditions on all the other variables of the model. We eventually concluded that in no instance could we speak of the shoulds of the various leadership or doctrine variables, but rather "under what real-world conditions does any particular theoretical feature (collegial, as opposed to hierarchical leadership style, for example) make any sense?" Under some circumstances one or another style may be functional; under others, alternative styles must be sought. In sum, we had to deal with the model as a whole before we could deal with any of its parts.

Having realized this much, we then explored briefly the application of a benefit-liability analysis to the problem of practical application. We felt it meaningful to ask the question: "Under specified conditions on any given set of variables, what are the benefits and what are the liabilities (for there are both) associated with the various alternatives in strategy, tactics, style, competence, doctrinal manipulation, and so forth, which may be open?" However, as even this minor study refinement left us with many unfilled holes, we remained unsettled.

We eventually concluded that the unsettledness derived primarily from our trying to ride two horses while all the time arguing that in reality there was only one. Thus when we spoke as social scientists, we seemed to attribute more real-world powers to the model than it possibly could possess; when we spoke as practitioners, we seemed to emphasize more unfettered spontaneity than any on-the-scene operator would in likelihood want. Within the framework of a common language but differential communication, could the model effectively serve both the practitioner and the theoretician? Could it improve our practical actions as well as our conceptual understanding?

We are prepared to argue a tentative yes on both counts, but not without a qualification (and this is what to us seems to be a useful insight). The model, we think, has two discrete functions which ought not to be confused with each other--one for the social scientist attempting to refine diagnosis and predictions, the other for the practitioner attempting to institutionalize something. For the social scientist the model simplifies the real world (and therefore makes it manageable). It alerts him to the probable array of facts which may be most relevant to his understanding of the institution-building process. It may also allow him to make evaluations and general observations which are applicable in differing circumstances. But, most of all, it presents him with a systematic way of looking at the world, one that can be tested and refined through observation and research. For example, he has a set of interrelated categories which he can use to analyze specific cases and hopefully make valid generalizations within specified limits.

On the other hand, the utility of the model for the practitioner lies mainly at the level of strategy, at least in the initial stages of institution building. An alert practitioner is always sensing the political winds as well as his targets' social readiness. Intuitively, therefore, he concentrates on strategy. Yet by reflecting on the model, he may then gain insights into the critical areas that his strategy may be affecting. He may also use the model as a kind of check list of change and development.

At the level of practical strategy, we have had some new jargon introduced. Called the "Triple S Double R Theory," (the acronym for "sow, stagger, stumble, ripen, and reap") it has convincingly illustrated that institution building is very likely to remain an art for some time, if not for all time. Even so, in varying degrees of conviction, the committee members feel that this art, this strategic input into institution building, can be made more artful and more success prone if there is an increase in the participants' awareness of expanded alternative courses of action and their probable consequences on the critical variables. We feel that the internalizing of the model, or a suitable substitute is one way to aid that progress.

Aside from these general observations relating to our perception of the utility of the model, we have tendered specific comments relative to the two variables for which we have committee responsibility.

Leadership: Internal Functional Characteristics

Leadership Competency. Esman speaks of a technical, managerial, and political ability to handle internal and external tasks along institution-building lines. Such competence also entails the ability to mobilize resources, information, and personnel. Yet, under any given set of circumstances associated with other variables of the model, one may not be able to have (or even desire) all these leadership features. In particular, the discussion related to the degree that leadership ought to be qualified in all the relevant technical specialities. Depending on what the goals and particular needs of the institution are

at the time (and this may be related to the stages of its development), it may be beneficial to emphasize managerial and political ability over technical qualifications so that enabling and functional linkages can be established. Once these are established and reasonably secure, it may then be advantageous to bring to the fore the technical specialist functions, recognizing that the specialist also must have managerial and political abilities. But these need not necessarily be his particular forte.

The political competence of leadership (in the sense of being aware of political realities and what they mean), particularly in the initial stages of organizational development, has been of great concern to the committee. It was noted that, in most instances, the purpose of a new organization or institution is to introduce innovation and change, and that almost invariably change poses a threat to some individual, institution, or group. Under these conditions, leadership that is able to cast its goals and objectives in as neutral a thrust as possible is most likely to minimize the effect of opposing forces. Yet neutrality may also deny the possibilities of linking up with a powerful clientele. Competence in perceiving this problem also relates, of course, to leadership strategy and tactics, and in this regard the committee noted that it is important not to align the institution too closely to one set of linkages. It was felt that under most conditions a diversity of linkages, elaborated by a leadership politically sensitive to the problem of change and conflict deriving from it, would greatly enhance the probability of institutional survival.

An additional point raised was that the same political sensitivities should enable leadership to know when to let certain linkages atrophy and when to develop new ones. In this regard it seemed apparent from the committee's discussion and examples that linkages, particularly the enabling ones, need to be thought of as being expendable when their service no longer is desirable or beneficial. Maintenance of undesirable linkages can be highly detrimental.

Leadership Style. Esman speaks of the need to achieve some kind of balance between hierarchial-collegial and authoritarian-permissive leadership styles. Yet the committee felt there really was no single optimum balance but rather an optimum position depending on other variable-related circumstances. For example, the collegial style would seem to be most appropriate when organizational goals are to maximize grass roots cooperation, involvement, and participation, such as one might find in agricultural cooperatives or community development programs. On the other hand, a hierarchical and authoritarian leadership style would seem to be most appropriate when the essential function of the organization is to execute commands. A collegial and permissive leadership style does not work well in the building and operation of complex hardware.

The committee felt, therefore, that any style implied by Esman's ideal variables ought not to be fixed, but rather should be responsive to the exigencies at hand. We know Esman would agree. The strategy of leadership implies a sensitivity to decide what is best under the

circumstances, to be able to assess the benefits and the liabilities of any particular move.

Leadership Tactics. The committee believes that successful tactics and strategy are highly tied up with the political sensitivities and abilities of leadership. There is no best tactic, therefore, except in the sense that it relates to specific environmental conditions. Thus, under conditions of massive change--political, social and economic--the committee felt that in order for leadership to protect itself and its organization, a good strategy would be to diversify linkages. One committeeman spoke of a very successful "personal relationship" program that produced much success in the institution in which he was engaged. His group singled out all the congressmen who in any way were interested in agricultural development (regardless of their political affiliations) and cultivated their interest and friendship. Moreover, each staff member was assigned a personal responsibility to see that the contacts and communication took place. Thus, regardless of changes in political winds, there always seemed to be a sufficient number of politically important people left around to keep the enabling linkages intact. This particular strategy, of course, relates to the dissemination of institutional doctrine and its manipulation by the leadership. Thus, the committee feels that it is impossible to divorce leadership tactics, or style, for that matter, either from the political competence of the leadership or the doctrinal content of its program.

Leadership Continuity and Succession. Esman argues that leadership should provide for succession and continuity so that internal cleavages and program breaks do not occur. One way to accomplish this is to share leadership status and rewards, and supplement this with a continual infusion of potential leadership successors. Yet some members of the committee felt that under conditions of rapid political change, where enabling linkages may be crumbling because of the political ineptitude, incompetence or unfortunate affiliations of present leaders, it may indeed be advantageous to have a wholesale change in leadership in order to keep the organization or the institution itself from being cashiered by the new political power holders. Numerous cases were cited which fit this particular pattern. The conclusions seemed to be that, under such conditions, leadership continuity might be the worst possible thing if one were thinking of the survival or future effectiveness of the organization. The point was made that neither leadership nor organizational instability in all cases implies that some institutionalization may not be going on. Thus, as in the case of Guatemala today, the new businessman's regime is rapidly moving to carry out reforms and to build reforming institutions in spite of its putting out to pasture many appointees of the former regime.

An additional point was scored on the whole question of continuity: "Do you really want to institutionalize everything that is innovative and modern? Some organizations may be serviceable for a particular time, but their subsequent utility may drop to zero. Would it not be better to get rid of them? They have served an interim function and really ought to die."

Leadership: External Functional Characteristics

Tactics. From the experiences of committee members, it seemed apparent that no leader can spend all his time elaborating strategy and carrying out tactics relating strictly to the outside world. Cases were cited where such behavior was catastrophic for the internal solidarity of the organization. Leadership must be somewhat equally concerned with internal as well as external strategy and tactics.

An additional strategy noted by the committee's men in the field is that under some circumstances it is necessary for leadership to develop competitive linkages. Frequently the function of enabling and other types of linkages is thought to be one of putting together some cohesive support. But while the cohesion may remain, the level of total support may eventually drop. Supporting energy is seen somehow to relate to a spirit of competitiveness.

Doctrine

Internal Doctrine. The discussion revolved almost entirely around the cohesion or solidarity variable. It was noted that while solidarity and cohesion do increase an organization's power and, therefore, its ability to implement goals, too much solidarity under some conditions may nevertheless be detrimental. If solidarity is enhanced to such a point that outside groups are either alienated or not considered important, then the enabling, functional, and normative linkages suffer. It seems that sufficient solidarity is necessary to enable a smooth internal functioning of the organization, but not so much solidarity as to endanger its relationship with groups in the outside world. A tightrope must be walked, for ordinarily one does not want the enhancement of internal cohesion to occasion the decay of linkages. Aside from this, the group noted that solidarity is encouraged when staff members perceive themselves in situations that enhance their personal progress and personal benefit. This is sometimes facilitated by taking a whole organization, from the president down to the chauffeur, off for a training session at some retreat. But here again there are some problems if the process does not go far enough to create a new, more permissive style of inter-relationships.

External Doctrine. The committee spent some time, indirectly, considering doctrine related to the external environment. Doctrine articulated and manipulated toward various linkage relationships helps to gain broadly based acceptance and support. A very successful operation from a small country illustrates: The program dealt with the development of a domestic peace corps under conditions in which many groups desired it, but for greatly differing reasons. It was possible to elaborate a doctrine that served to create enabling, functional and normative linkages as a by-product of the way the program was organized. USAID had the initial funds; it also had a very sensitive man "who was too scared to talk and could only listen." As he went from group to group which had some interest in the project, he elaborated on areas of agreement and dropped those which were too sensitive. The result of this strategy and doctrinal elaboration was to create a very flexible

and adaptable charter, and subsequently a control board, capable of handling environmental change and organizational shifts without alienating its supporting groups.

Thursday, August 20, 1970
J. Clark Ballard, Chairman

REPORT OF THE COMMITTEE ON PROGRAM, INTERNAL STRUCTURE, AND RESOURCES
AS ASPECTS OF INSTITUTION BUILDING
Committee B: Wade Andrews, Chairman

Wade Andrews, Utah State University/Logan, Utah
Alberto Gonzáles, Agroindustrias Toro, S.A./San José, Costa Rica
José Manuel Costa Harrison, Cooperativa de Ahorro y Crédito/Lima, Per
James Patton, Jr., Langston University/Langston, Oklahoma
Wilbert Templeton, USAID/Washington

REPORT OF THE COMMITTEE ON PROGRAM INTERNAL STRUCTURE AND
RESOURCES AS ASPECTS OF INSTITUTION BUILDING

The committee had difficulty with the uses of the variables and applications of the concept of institution, and this came up in every session. Some of the problems were whether to define institution as an organization, as a concrete system including physical facilities, as a pattern of mores or traditional behavior, as a system of values around which behavior was formulated and which become accepted and expected over a long period of time, or should it be limited to an innovative change system or also include systems that maintain the status quo.

Although consensus was never achieved, some principles seemed to become apparent. These were (1) that institutions can include all types of functions; (2) that a basic characteristic of an institution is that it has come to be an accepted, established and expected part of the culture continuing through time or having some permanence; (3) that there are values associated with and established in the thinking of the people that guide behavior related to the institution and that changing institutions require changes in social values or beliefs of people; (4) that institution building is a specific use of the concept requiring an operational definition to limit it to those phenomena involved in change and innovation. Institution building thus is based upon changing values and beliefs of groups of people.

This is a summary of the discussion over three days and was not derived the first day. It illustrates the problem of communication derived from a loose social concept.

Also prominent in the discussion was a problem with certain functional aspects of the institution-building model. The feeling was expressed that the model did not provide for specific problems of adaptation in the local situation. Here it was suggested, however, that the model was not designed to be a complete guide to do this, that the model functioned as a scientific methodological device dealing with principles that apply to all similar types of problems, but that its application and adaptation to any specific situation was an art which must be applied in the local case.

Another problem with the model was pointed out concerning the dynamics or process aspects. It was noted that the model was a set of concepts identifying the parts or elements of a system but left the movement or changing aspect of the process through time unclarified. In this regard a process model devised by Wade Andrews, committee chairman, was introduced as an example to help clarify the processual aspect. The process model included several phases but it only roughly articulated with the institution-building model. It appears below:

A Model For The Stages and Elements In A Social Change Process

Systems of social elements

1. Prior conditions
 - a. A state of incongruence
 - b. A feeling of need
2. Introduction of an invention, innovation, discovery or idea
3. Initiation by the innovator or innovating group
4. Development process or institutionalization of the change and integrating it with other systems and beliefs.
 - a. Refinement of the idea by collecting and using facts, identifying the parameters, etc.
 - b. Adaptation to situation, conditions or needs
 - c. Legitimization or acceptance process
 - (1) Linkage with or involvement of legitimizers or influentials
 - (2) Linkage with the power structure for decisions
 - (3) Linkage with other groups or the whole public involved
 - (a) promotion process to get acceptance of the new value
 1. involvement with organization and action groups
 2. public process
 - a. education
 - b. use of media, or other publicity techniques
 - (4) Adjustment of all other parts of the system that are functionally interdependent with the innovation
 - (5) Evaluation of the process. Evaluation is a recurring function which should be done on a continuing basis all through the process

Another problem was identified as delineation of the points of trade-offs such as when compromise and accommodation is imperative. Finally, the problem of the inclusion of the function of the lower echelons of the public in the change process, where the institution-building theory places almost total emphasis upon central authority and power elites.

The committee then faced the issue of viewing the institution-building model in an actual social system, and after some discussion decided to make its application to two concrete institutions both in Latin America with the expectation that this would make the analysis more realistic to developing cultures.

The examples chosen represented systems taken from the experience of two members of the committee. These were a large credit union with over 100,000 members in Perú and the Inter-American Institute For Agricultural Science at Turrialba, Costa Rica.

The general internal organizational structures of these two systems were laid out. The Turrialba example, however, was not completed because of lack of time.

The internal structure of the system has two elemental parts:

First, the voluntary part where elected leaders, selected from the membership, functions of policy-making, and decision-making in relation to the broad organization, retain a close control of decisions on credit management, auditing and some programs, including development and innovation.

Second, the paid personnel who manage and operate the technical financial functions of the system as well as the programs provided by the organization.

The organization has an intricate means of checks and implementation between the voluntary part of the system and the professionals which includes committees for education, policy, innovation, and development and others for improving program and organization, as well as controllers under both the management division and the membership division that examine and evaluate the functions of the system.

Functions. Delegation of authority begins with the membership and their elected representatives and goes both to voluntary committees and to management.

Division of labor is likewise divided. But the highly defined role of the professional staff is similar to that of a large bureaucracy of specialized staff. However, this is mitigated by a strong value orientation of the organization to treat each member as an individual.

Staff requirements are related to their specialized position and the values of the organization.

Extensive staff training, orientation and development are included in the internal part of the educational program.

This organization puts strong emphasis on innovative programs of service and establishes an innovation committee to develop ideas and changes for the system.

Goals of the organization are to expand both in numbers of members and community services. The credit union is changing its internal structure to integrate computer systems in its management in order to be able to increase its membership, enlarge its capital, and make application to its programs.

Resources. Resources of the credit union system are memberships, savings of members (each member is required to save a minimum monthly amount and savings have grown to 15 million dollars), volunteer workers in leadership, committees and planning groups, skilled personnel, physical equipment, communication and information systems, rewards to management for innovations, a training program with permanent teachers, ability of membership to accept innovations, goodwill of the members, and laws establishing a tax-exempt status for cooperatives. Also interpersonal resources,

including good will of the public, prestige and a good image held by the public and government officials provide legitimate linkages. In addition the linkages with other cooperatives provide knowledge and communication connections with officials.

These resources permit the successful function of the organization and legitimize its efforts to further innovation.

Programs. Programs of the credit union are large and varied.

The loan service includes ordinary loans, short term special service loans, education loans, family loans, production loans, investment loans, insured loans and insurance.

Education programs include movies, speakers, technical and practical schools, and adult education.

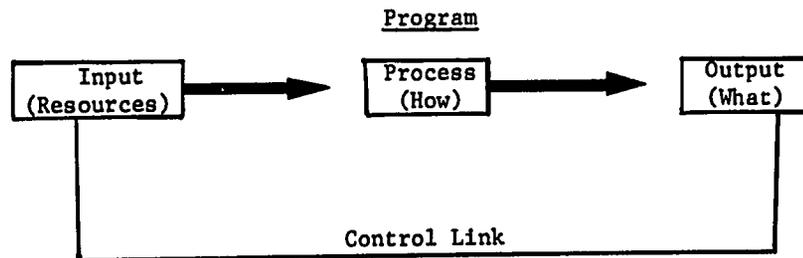
Community services include cultural and recreation and physical exercise centers, supermarket consumer cooperatives, and newspapers.

The credit union also sponsors international seminars on co-operatives and public relations advertising.

A basic self concept of the credit union is service and building the community, and this is extended through many programs.

This organization provides a good example of programs as instruments of institutional development. It is also pointed out that it shows a circular pattern of growth from institutional programs, to public support, to strength for the institution.

The committee concluded that the program of an institution should have three basic elements. It must necessarily deal with (1) What the organization proposes to do, (2) How it proposes to do it, and (3) The resources needed to do it. These three elements appear to be universals and should be identified in the institution-building model as subheadings under Program. To relate these elements to the model, the "what" coincides with output, "how" with process, and "resources" with input. This may be diagrammed as follows:



Summary. This committee also discussed several general innovating programs and in a limited way traced some of the institution-building aspects with these, such as a mission for agricultural developments, a birth-control program, and health services. Elements of the model for institution building were visible in various ways in these discussions. They also pointed toward problems of the model as noted earlier.

The theoretical models provide us a means to look at each problem from a comparative perspective and at the different elements or parts of the problem in order that we can analyze these parts as to which ones are developing and which parts are not. For many years we have not had a means for identifying the parts of the problems that are causing trouble and have had not criteria for clearly judging these problems. This theory is a beginning for attempting to expand the future capability of an institution to be more productive. Institutions can either be stagnant or can make desired changes in society.

Thursday, August 20, 1970, 1:30 p.m.
J. Clark Ballard, Chairman

REPORT OF THE COMMITTEES ON LINKAGES AS ASPECTS OF
INSTITUTION BUILDING
Committee C: Lyman Smart, Chairman
Committee D: Orson Tew, Chairman

Paulo de Tarso Alvim, CEPLAC/Bahia, Brazil
Kenneth L. Kornher, USAID/Washington
José Marull, IICA/ San José, Costa Rica
William Gerald Matlock, University of Arizona/Tucson, Arizona
James L. Roush, AID/ROCAP, Guatemala City, Guatemala
Earl W. Smart, Weber State College/Ogden, Utah
Lyman F. Smart, Southern Utah State College/Cedar City, Utah
Jess N. Swanson, Northern Arizona University/Flagstaff, Arizona
Orson Tew, Utah State University/Logan, Utah
Mayland Parker, Indian Community Action Project, Arizona State
University/Tempe, Arizona

REPORT OF THE COMMITTEES ON LINKAGES 1/

While the definitions of linkages offered by McDermott and Roskelley are very helpful, the Committee finds that those of Esman and Bloise account for more phenomena (e.g. inputs as well as outputs in functional linkages) and recommends that the latter be employed for common reference. These definitions may be found in Appendix A.

The Committee reviewed the listing of potential linkage organizations in Document No. II, and "A Conceptual Elaboration of the Institution Building Model" by Roskelley and Garr. Some members did not agree with the categorization of certain organizations, e.g., functional vs. normative. However, the Committee felt that the categorization of various organizations frequently would depend upon the type of institution being developed. Also, some organizations might have more than one type of link to a new institution. Thus, it seemed more worthwhile to review the Roskelley and Garr list for completeness than to quibble over the categorization of specific organizations. The committee suggests the addition of the following organizations, some of which might be fostered by the new institution for the express purpose of establishing links to the community or to politically important individuals or groups: alumni associations, association of individuals who have participated in seminars or short courses, and advisory committees on program.

The committee recognizes that the leadership of most new institutions would see the need to develop and maintain enabling linkages. However, sound linkages can be established and maintained only on the basis of mutual benefits between and among organizations. Hence, useful outputs valued by client groups (functional outputs) are central to institutional viability, and are a key to the maintenance of enabling linkages. Thus, it is important to include some service-oriented activities in the total program of the new institution and to insure that the service-to-the-community concept is entrenched in the institution's doctrine. The institution also should establish a rather general link to the community in which it is located.

It must be recognized, of course, that not all linkages will be favorable. Some innovations of the new institution may engender opposition or conflicts, and it may not be possible to avoid this if the institution is to foster changes. It may be, however, that a study of the linkages of organizations or groups in opposition can assist the new institution's leaders to plan ways to counteract the opposition.

The Committee suggests that it would be wise for the planners of any new institution to inventory the potential opposition to the new institution and compare the opposition's influence (linkages) with the potential influence of the linkages that the new organization could establish. In other words, a linkage analysis (either as an offset to opposition or as an indicator of potential support) should be one

1/ To assure more effective discussions, the Committees assigned to examine the concepts of linkages met together and wrote a joint report.

of the components of the feasibility survey of a potential IB project.

Establishing links should not be sought just to counter opposition or to obtain funding (directly or indirectly) for the new institution. Rather, links to the community in general and to the users of the institution's outputs can help provide information to the institution regarding the effectiveness of its programs as well as generate pressure on the institution to continue innovating.

Institutional managers from top to middle levels should be continuously aware of their responsibility for linkage management. Top level leaders should periodically (at least annually) conduct a systematic review of all linkage relationships. This review should involve middle level institutional managers. It should focus on the adequacy of existing linkages and opportunities for the establishment of productive new linkages. Early anticipation of opportunities and early warning of impending problems can provide time for appropriate action. Systematic review also provides an opportunity to assign priorities to linkage building efforts.

Effective linkage management requires good current information about the interests and activities of other organizations with which linkages are maintained. Such information should be gathered not only from public sources, but also from professional and social contacts. These informal contacts should be explicitly encouraged and facilitated by institutional managers.

When possible, the top institutional leader should be served directly by an executive staff responsible for public relations and contacts with organized groups. When the organization is too small to support a full-time staff, one senior staff member should be given the responsibility for public relations in addition to other duties.

Technical-assistance teams can help the new institution's leaders become aware of the importance of linkages and assist in preparing a strategy for their development and maintenance. To insure that the technical assistance team can provide realistic advice, the contractor should instruct all team members on the importance of linkages and brief them on the most important linkages of their own organization and the techniques utilized to establish and maintain these linkages. In addition, the head of the new institution, or his designee could visit the parent organization of the technical-assistance team for the purpose of discussing linkages. In certain cases, it might be appropriate to include in the TA contract a provision for sending a short-term advisor to the country to assist in developing an external relations or linkage program.

Careful attention to an institution's linkages frequently will have an effect on the institution's program. For example, the creation of an advisory committee to an institution can provide links to various sectors of society, but it also can result in modifications to the institution's program. In other cases, programs may be established deliberately to strengthen linkages, e.g., holding seminars for various special interest groups or for providing in-service training for graduates of the institution. Other types of follow-up programs might

be established with graduates or seminar participants, such as the distribution periodically of some sort of publication.

Obviously, the leadership of the institution must weigh the costs (financial, administrative, pedagogical, managerial) in terms of the expected benefits, but the foregoing generally are consistent with a basic policy of providing service to the organization's clientele or the community in general. A large part of linkage management is incorporating permanently in doctrine the idea of providing service and then implementing the doctrine with good programs.

The principal steps in establishing the various linkages are given below:

Steps in Establishing Linkages

Establishing Linkages

The institution can best establish its enabling linkages by:

1. Defining its reasons for being.
2. Identifying the sources of power and authority.
3. Achieving authority to exist.
4. Developing and maintaining appropriate relations with the source of power and resources to assure continuity, both by direct relations with the enabling authority and by indirect support from users of the institution's output.

B. Functional Linkages

The institution can best establish its functional linkages by:

1. Identifying the essential operational inputs and their sources; also outputs and their users.
2. Establishing priorities for the development of linkages with the entities identified.
3. Cultivating, maintaining, and improving appropriate relationships with the priority entities.
4. Periodically appraising and modifying the institution's program, either as a result of feedback from linkages or as a deliberate effort to strengthen linkages.

C. Normative Linkages

The institution can best establish its normative linkages by:

1. Identifying normative (value-establishing) organizations and determining their potential for hostile or reinforcing influence.
2. Developing and implementing strategies for preventing or offsetting hostile influences and for reinforcing supportive organizations.
3. Periodically appraising and modifying the strategy.

D. Diffusive Linkages

The institution can best establish diffusive linkages by:

1. Identifying individuals or diffuse groups that may influence the standing of the institution.
2. Developing means of creating a favorable impression of the institution among these individuals and groups.
3. Examining the possibility of converting diffuse linkages to normative or functional linkages by stimulating the organization of certain groups, e.g., formation of alumni associations or advisory councils.

Thursday, August 20, 1970, 1:30 p.m.
J. Clark Ballard, Chairman

REPORT OF THE COMMITTEE ON THE IDENTIFICATION OF PERSONS
WHO SHOULD BE INVOLVED IN PRE-PROJECT PLANNING
Committee E: Garth N. Jones, Chairman

Toshio Akamine, Washington State University/Pullman, Washington
G. W. Arnold, University of Wyoming/Laramie, Wyoming
Garth N. Jones, Colorado State University/Ft. Collins, Colorado
Jackson A. Rigney, North Carolina State University/Raleigh, North
Carolina
Fernando Tamayo, Asociación Pro-Bienestar de la Familia
Colombiana/Bogotá

COMMITTEE REPORT ON IDENTIFICATION OF PERSONS
WHO SHOULD BE INVOLVED IN
PRE-PROJECT PLANNING

Before we can address ourselves to our problem, it is necessary to sketch out some of the basic essentials of planned institutional development. This will be covered under three major frames of reference: (1) the concept of change including the structure of social action and the importance of well-conceived goals in the change process, (2) a model of pre-project planning derived from pragmatic considerations, and (3) general conclusions.

I. Concept of Change

Organizational or institutional change, planned or unplanned, is an exceedingly complex process. Change relates to movement from one state of organizational affairs to another which establishes new levels of organizational effectiveness which were not previously a part of this organization's repertory and cannot be introduced by a simple application of programmed switching rules.

Composition of Change Forces. An elementary fact is that an organization cannot live apart from its environment or, better still from higher and/or lower order social systems. Increasingly, the world over, the larger social systems in which organizations find themselves have been subjected to severe stresses and strains with strong aggressive tendencies from above forcing lower order systems (organizations) to change. In short, the innovative forces for change frequently, but not necessarily always, originate outside of the structure (boundaries) of a given organization. This is common in all societies, particularly those which have strong centralized planning guidance systems (such as central planning agencies, state banks, and ministries of finance).

In a traditional society, a progressive government agricultural agency, say an agricultural development bank, may be the aggressive force for the establishment of a fertilizer factory as the principle means to increase agricultural production. In an advanced industrial society a salesman for a large computer manufacturing firm may be the initial causal force for a large government agency to establish a centralized computer (data processing) installation.

A fundamental characteristic of modern society is the specialization and the differentiation of organizational activity. No organization comes anywhere near existing as a self-sufficient or independent social system, following a medieval monastery type of existence. An organization in the final analysis is no more than a dependent system of a still larger system. Thus, the pressures for change frequently, if not generally, emanate from external rather than internal forces and precede the change attempts.

This does not exclude the dynamic influence of internally generated change forces. Involved in change is a constructive balance between

the internally and externally generated pressures which work through sound management guidance toward the end of efficacious change.

Frame Work of Social Action. A number of change models have been advanced, including several at this conference, which provide a frame work for social action. We believe that model or models developed by James K. McDermott have particular usefulness for the pre-project planning model which was evolved in our discussions. In sum, change is a product of interaction between and on various organizational levels.

This fits within our concept of an organization as an open and dynamic social system. This means that there is a continuing process of input, transformation and output accomplished by means of some type of social entity. The totality of this activity and the social structure is called an organizational system or simply organization. An organization becomes an institution when it is infused with unique values and becomes a relatively indispensable social entity in a given society.

Importance of Change Goals. In operational terms organizations are treated as multilevel, multigoal-seeking systems. Concerted organizational action for the achievement of one goal is, indeed a rare phenomenon. Goal conflict is the common situation in organizational life.

Besides this, goals are mixed products of value judgments as well as hard facts. There are goals of ends and goals of means in a peculiar combination of both; and, within all these dimensions a series of subgoals may be found.

Goals may be either manifest or latent aspects of social action. They change with the nature of the environment and the intensity of organizational dynamics.

Goals of organization serve many purposes. They set the frame work of action by depicting a future state of affairs which an organization seeks to realize. They constitute norms of legitimacy for an organization's existence and activities. They serve as standards against which to measure organizational performance--both effectiveness and efficiency. They are means to assess the success of an organization.

In spite of all the difficulties of determining goals, the key to institution building as a concept and as a working social device is found in well-conceived and realistic organizational goals. In most change situations, it is probably necessary to postulate several major goals and subgoals. The task ahead, then, becomes one of maximizing several goals which usually are of a competing nature.

Research findings reveal that the processes of setting the change goals are critical in the eventual effectiveness of the change effort. In short, the setting of the change goals should be based upon the wide spread involvement of the parties effected and/or involved in the change process and the final outcome of the change endeavor. Goals unrelatively established by one or several of the principal parties usually result in failure of the change endeavor. Preplanning, therefore,

represents the critical juncture in the entire institutional development cycle.

Besides the processes of determining goals, equal concern should be given to the substance of the change goals. The better defined the goal and the more completely accepted by the parties concerned, the higher will be the incidence of the final change success.

II. Pre-Project Planning Stage

We have analytically broken down the pre-project planning stage into five broad phases, as shown in Chart One on page 46.

Change Pattern. According to our definition of planned institutional change, the planned change process cannot begin until an organizational system seeks assistance to resolve or alleviate its problem(s). An organization will not request assistance until it feels a need, i.e., becomes aware of its problem(s). Some organizations are so attuned to their environment(s) and their internal needs that they readily respond to new organizational demands and requirements. Others are not so well designed. Thus, frequently there exists a prolonged period of conditioning an organization to change before the actual change efforts can be initiated.

Found in a change process are a number of agents in the change. In our model two such agents are identified: (1) change initiator and (2) change agent. The roles of these two agents are substantially different. As indicated, a change initiator is a behavior unit (an individual, a group or an organization) whose role calls for the initiation of the change effort. His span of activities covers the entire pre-planning stage and embraces a number of critical activities including (1) establishment of a power distribution approach required to persuade top authority of an organization that it needs to initiate a change program, (2) winning the confidence and the support of this authority in the initiation of a change program, (3) setting up or getting involved in a diagnostic study of the organization's problems and (4) assisting in the maintenance of working relationships throughout the pre-planning stage.

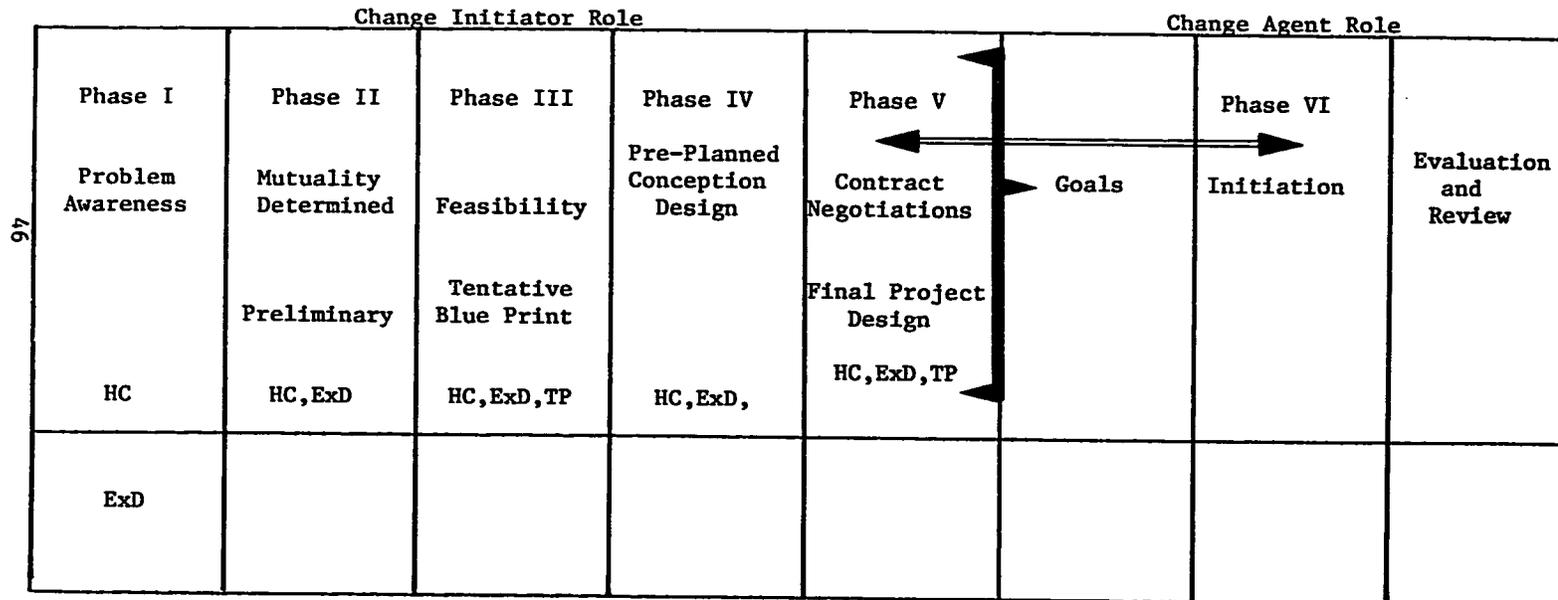
According to our conception of the typical composition of the change forces, a change initiator often appears as an external actor to a given organization.

We do not wish to become involved with the concept of a change agent except to note that this represents another type of agent in charge upon whom falls most of the burden for carrying out the change effort when it is once initiated. He is regarded as a professional agent (helper, doer, mover) employed by an organization to assist in achieving improved organizational performance. As a behavior unit, he may take several forms, the same as the change initiator, i.e., an individual, a group, or an organization.

The literature on change suggests that change agents, in various degrees of relevance, may be involved in three aspects of planned

CHART ONE

PHASES IN PRE-CONTRACT PLANNING



Key:

- HC Host Country
- ExD External Donor
- TP Third Party

change. First, they attempt to identify and clarify goals of change for the organization undergoing change. Second, they develop useful strategies and tactics to help the organization to solve its own problems. Third, they establish and maintain appropriate work relationships between the parties engaged in change.

Involved in the sequence of phases in the pre-planning stage is the concept of "sunk costs" in the decisionmaking process. This means that one's commitments at any one time inevitably limits the range of his future alternatives. The longer the time of the change and the more intensive the actor interaction, usually the greater will become the "sunk-cost" factor and the organization will increasingly be forced to follow the course of action of the change program.

Thus, in reference to the decisionmaking flexibility, the number and latitude of choices are continually being reduced over time in the change process.

Returning to Chart One, the various phases are somewhat self-explanatory.

Phase I covers the problem awareness or gestation period. It may be short or long depending upon the social intelligence capacity of the organizational complex.

The second phase is where the host county seeks assistance of an external donor and at that time a mutuality of interests is determined in a preliminary way. The third phase frequently evolves as a product of a feasibility study made by a third party. Of course, other approaches may be employed. The fourth phase leads to a project design which often is the sole product of the host county and the external donor. Again other actor relationships are possible. The fifth represents a critical phase where project design including planned goal(s) is finalized. Usually entering into this phase is the change agent. When firm goals are determined, the initiation stage begins, which is outside of our concern. Included in Chart One is still a later stage of project review and evaluation. The pre-project goals are subject to change over time.

Nature of Pre-Project Planning Stage. A number of factors influence the nature of the pre-project planning stage, which in turn determines the identification of persons who will be involved in the pre-project planning stage including the extent, types and roles performed. A few of these will now be identified and briefly discussed.

Time Dimension. It is extremely difficult to project any precise time dimension. This will depend upon a number of factors, some of which are discussed below. However, we suggest that this should be held to a relatively short time period, say 6 to 24 months. If longer, interest in the activity will undoubtedly wane. Thus, initiators are often caught in the dilemma of having imperfect information for decisionmaking and the proper time to move the project ahead. As already indicated, well conceived and developed

projects have a much higher success factor than projects which are not prepared in this fashion.

Quality and Quantity of Information. This undoubtedly constitutes the severest constraint on planned change, since social science research is invariably weak in most of the less developed countries. The same is true for statistical and other information systems. Often considerable research or in-depth studies must occur before a sound preplanned design can be developed.

Analytical Capability. Involved here is the capability to analyze information for social intelligence and decisionmaking. This is often a weak component in the planned development capacity of both the host country as well as the external donors.

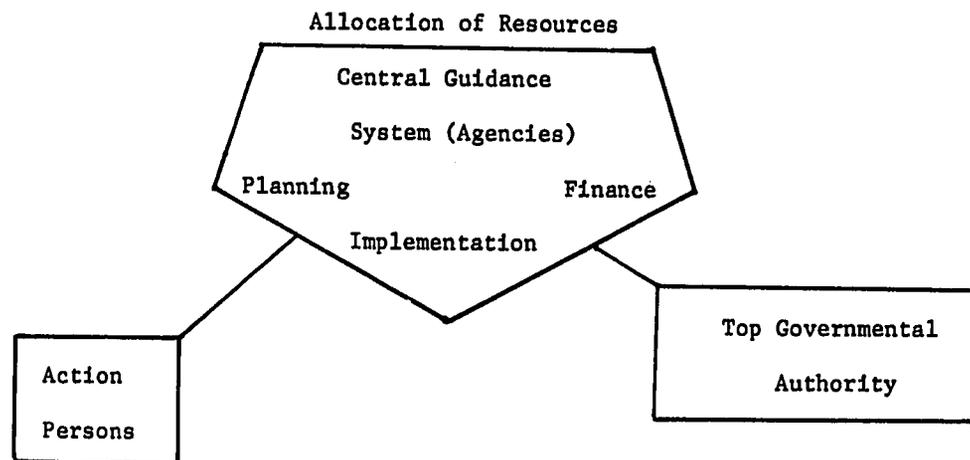
Composition of Change Forces. This has already been discussed and will determine much of the nature of the goal change endeavor and who should be invited to participate or not.

Resources Inputs. This factor is self-evident and needs no elaboration here.

Nature of the Problem(s). This is self-evident and needs no further explanation.

Target Groups. We are not prepared to identify each individual who should be involved in the pre-project planning stage. However, following are target groups which would be involved, to a greater or lesser extent, with each entity that is part of the pre-project planning.

Project Stage. These are presented below in diagrammatic form which represent clusters of social action.



III. General Conclusions

This committee agrees with the findings of Professor R. W. Roskelley and a few other scholars that the pre-project planning stage has been a neglected element in the total process of planned institutional change. Considerable more attention needs to be given to this segment than has been done in the past.

Included should be the determination of well-conceived goals which are understood and accepted by the major groups who are affected by the change effort. In short, wide range participation is deemed imperative in the process of developing a project. Change, except in a few unusual cases, should not be unilaterally dictated from above.

As to the question of resource inputs including the means, strategy and the like, these should be thoroughly and openly discussed by all concerned parties and, to the extent possible, agreement secured from them as to the amount of their inputs over time.

When countries have strong central guidance systems, the key persons or organizations here must be involved. Often this guidance system has the major voice in the allocation of resources, broadly conceived, and in determining the final outcome of the change endeavor.

Persons located in lower order social systems cannot be neglected. They must be consulted and opinions solicited. For this purpose, a variety of social science techniques often must be employed, such as surveys, opinion polls, etc.

Fundamental research in social science pertaining to the problem or problems is an essential prerequisite. Too many projects in the past have been based upon inadequate research findings. Increasingly, planned change must be based upon more than educated hunches or guesses.

Thursday, August 20, 1970, 1:30 p.m.
J. Clark Ballard, Chairman

REPORT OF THE COMMITTEE ON PRINCIPLES AND STRATEGIES FOR
OBTAINING MAXIMUM INVOLVEMENT OF HOST COUNTRY PERSONNEL
Committee F: César Garcés, Chairman

William Farnsworth, Utah State University/Logan, Utah
César Garcés, CIDIAT/Mérida, Venezuela
Duane S. Mikkelsen, University of California-Davis/Davis, California
Ambrosio Ortega, University of New Mexico/Albuquerque, New Mexico
Gustavo Riofrio, CLUSA/AID/Guayaquil, Ecuador
John F. Smith, USAID/Colombia, Bogotá, Colombia

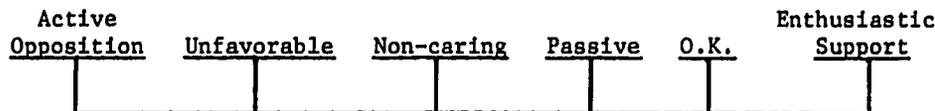
SOME PRINCIPLES AND STRATEGIES FOR OBTAINING MAXIMUM
INVOLVEMENT OF HOST COUNTRY PERSONNEL 1/

Basic steps in obtaining involvement of host country personnel include (1) identification of the problem and of personnel who should be involved; (2) communication with personnel; (3) planning, beginning at the earliest stages, by all personnel who will be involved in carrying out the action; (4) action; (5) effective linkages with other groups; (6) continuing evaluation, redesigning, and transmission of information.

Applying these steps to institution building (IB) in less developed countries, the committee enunciated five principles:

Principle I. Definition (Measurement) of involvement in IB is important and necessary

Involvement of host country personnel can be measured on a scale showing degree of interest:



Principle II. Who may be involved in IB

Institution builders can normally expect the following groups or individuals to be involved in a typical program: planning board; minister; ministerial planning office; chief of department; operation office; technicians; other institutions; general public.

Principle III. There is a continuing need for identification of the degree of involvement requisite for effective IB

Factors determining this include (a) personnel, (b) time elements, and (c) manner of involvement.

The committee believes that achieving and maintaining involvement is a more difficult process than is usually conceived. Furthermore, the committee strongly suggests a strategy of seeking more than the

1/ This report was adapted by the editor from an outline provided by the Committee.

minimum degree of involvement. For example, it would be beneficial to strive to obtain enthusiastic support by the Finance Minister of the host country rather than simply his agreement to devote a particular portion of the national budget to the host institution.

Principle IV. There is a continuing need to anticipate potential obstacles to IB

The obstacles (or constraints) to successful institution building may be (a) personal, (b) institutional, (c) cultural or (d) a mixture of these. Consideration of possible obstacles before they actually arise will greatly facilitate effective involvement of host country personnel.

Principle V. There is a continuing need for communication (in the broadest sense) both vertical and horizontal (within the host institution and with other institutions), and the process should, as a corollary, provide channels for the expression of an effective voice in decision-making processes.

Communication is a crucial element in developing identification with the host institution. Here again, the committee suggests a strategy of assuring more than the minimal requisite communication.

Principle VI. Communications, whenever possible, should lead to action in the sense of some participation in the institution-building process

The action, or participation, should produce a meaningful result, and should, consequently, enhance the continuing identification with the host institution.

Thursday, August 20, 1970, 3:30 p.m.
J. Clark Ballard, Chairman

REPORT OF THE COMMITTEE ON UTILIZATION OF PROJECT PLANNING, REVIEW
AND ASSESSMENT OF MATURITY TO FACILITATE MAXIMUM PROJECT RESULTS
Committee G: Avarid Rigby, Chairman

Robert B. Black, USAID/Washington, D. C.
Joseph D. Cabaniss, Mark Battle International/Washington, D.C.
Archie Hogan, USAID/Washington, D. C.
James I. Kirkwood, Prairie View A and M College/Prairie View, Texas
Clyde C. Noyes, University of Nebraska/Lincoln, Nebraska
Celso A. Reyes, National Service for Agricultural Reform/LaPaz,
Bolivia
Avarid A. Rigby, Utah State Board of Education/Salt Lake City, Utah
S. Lyman Tyler, University of Utah/Salt Lake City, Utah
Halsey H. Wilbur, USAID/Laos

UTILIZATION OF PROJECT PLANNING, REVIEW, AND
ASSESSMENT OF MATURITY TO FACILITATE
MAXIMUM PROJECT RESULTS

Members of Committee G used the report of the Committee on Institutional Cooperation (CIC)--Agency for International Development (AID) Rural Development Research Project as a starting point. After careful review and analyses of the sections of the CIC-AID report relevant to the committee assignment, members of the committee pooled and shared their experiences, identified and documented some common concerns and articulated a few unique ideas that seemed to merit the attention of other conference participants.

The report of the committee 1/ is presented in three parts (1) an outline of pertinent items in the CIC-AID study and significant observations of Committee members and some general recommendations; (2) an outline and schematic rendering of a Development System Management Model and a Project Planning and Review Subsystem; (3) an outline of the Project Planning Process; (4) an outline and schematic rendering of a family planning institution, utilizing an adaptation of the Esman IB Model proposed by Dr. Melvin Blase in his paper delivered to the conference; and (5) an outline of Project Review and Evaluation Procedure.

Members of the Committee were in substantial agreement with the major conclusions and recommendations of the CIC-AID study relating to project planning and review. The following are illustrative of those conclusions which formed the basis for preliminary deliberations:

1. Agreement on goals and commitment to an overall strategy by most and U. S. personnel should be strengthened by wider participation in project planning and review.
2. Lack of satisfactory progress in project operations is often due to the limited scope and character of the pre-project planning and project review.
3. An essential ingredient of strategy implementation is effective evaluation, leading to periodic revisions to meet changing conditions. Evaluation provides the basis for assessing progress toward major goals and for developing needed revisions of strategy.
4. There should be fundamental changes in orientation programs in order to prepare U. S. team members adequately for their overseas assignments.

1/ The report of Committee G was adapted by the editor from an outline prepared by the Committee. The editor attempted to utilize the language of the Committee wherever possible, but he assumes responsibility for possible misinterpretations.

Pre-Contract Planning and Review

The CIC-AID study identified the following concerns which have implications for pre-contract planning and review:

1. There is little evidence that host country nationals, professionals or government leaders have been given the opportunity to concur or disagree with the reports of pre-contract surveys.
2. Pre-contract reports have been largely unilateral, and have not presented adverse or alternative views which could guide contract teams later.
3. Pre-contract survey personnel have not explored with host nationals the full implication of introducing proposed new program principles into their institutions.
4. Pre-contract survey reports have not recorded the full range of reaction of host nationals to the proposed institutional changes.
5. Pre-contract surveys have not examined in sufficient depth and detail the full institutional requirements of the host country.
6. There is little evidence that an identifiable strategy or systems approach has been utilized in pre-project planning; little attention has been given to the critical factors involved, or how to fit them together; little attention has been given to sequence (effective timing) of organization; project reviews have seldom been recorded.
7. Pre-contract reports have not clearly defined the role of the U. S. technician in the team's program of institution building. There seems to be no awareness or consensus among team members as to what the critical factors are in institution building and how they should be fitted together, or in what sequence.
8. No one interviewed for the report was aware of a single project review in which a broad basis for future program development was delineated.
9. Host country personnel who were adequately informed about projects before they began were limited to a few at the very top of the power structure.

Pre-Contract Planning

Each person who is to become involved with a project operation, including inarticulate majorities, whether in the U. S. institution or in the host country, should have the privilege, either through preliminary planning or project review, of participating in dialogue that provides understanding of the issues involved and encourage his maximum performance. This means that

1. Each participant should know what activities are anticipated;
2. How they will be carried out;
3. Who will do what;
4. In what sequence they will be done;
5. What his responsibilities are and how they should be done;
6. What the jobs of the others are and how they are related to him;
7. And what changes will be expected of him in terms of new skills and new relationships with students, other faculty members, and the public.

Project Review

Committee members concluded that there should be continuing review of activities throughout a project and not just at its conclusions. Planning and review should be considered as aspects of a continuing activity. Several points in the CIC-AID study confirm the experience of committee members and should be emphasized:

1. Analyses revealed that an adequate base has not been established for the project through preliminary planning. Neither have project reviews been carried out and used as a means of building a foundation of consensus and understanding.
2. There is much evidence indicating that lack of satisfactory progress in project operations has often been due to the limited scope and character of the pre-project planning and project review.
3. Pre-project surveys, preliminary planning, and project reviews to date have been far too limited and restricted.
4. Projects which are terminated before the intended changes have become a vital part of the institution's tradition tend to vitiate those gains which have been made up to that point.

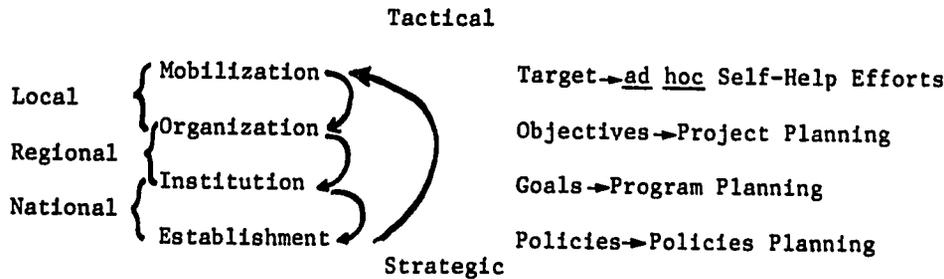
General Recommendations

The following general conclusions and recommendations should be emphasized:

1. Agreement on goals and commitment to an overall strategy by host and U. S. personnel should be strengthened by wider participation in project planning and review.
2. All of the agencies who will be involved in the project should share the responsibility for careful and thorough planning.
3. During the early stages of the project, the plan should provide for sensitively utilizing external inputs to upgrade technical competence and give purposeful orientation to host nationals.
4. An essential ingredient of strategy implementation is effective evaluation, leading to periodic revisions to meet changing conditions. Evaluation provides the basis for assessing progress toward major goals and for developing needed revisions of strategy.
5. There should be fundamental changes in orientation programs in order to prepare team members adequately for their overseas assignments.
6. Language training costs time and money, but failure to use the language of the host institution can be extremely expensive.
7. Programs of participant training should be more carefully planned and more adequately supported so that they conform to the developmental needs of host institutions.
8. The immediate post-participation period should be carefully planned and supported to capitalize on the enthusiasm and technical capability of returned participants.

Some Models

I. Development System Management Model

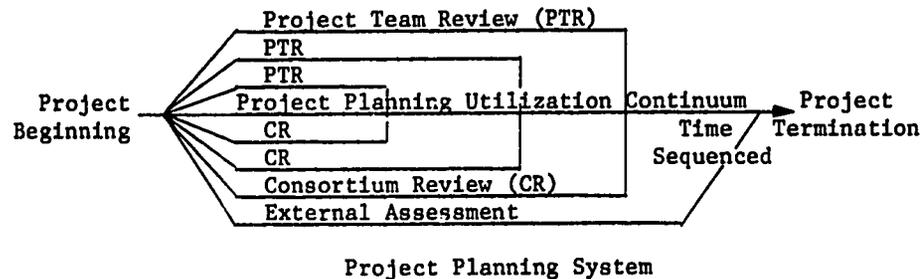


The model should be read from left to right and top to bottom. It is designed to show a hierarchical arrangement from local to national, from "grass roots" and personal to "establishment" organizational structures. The model suggests that the ideal institution is built from the bottom up rather than from the top down, and further suggests that institutions should be developed in response to individual and localized needs with top level inputs being cycled back to lowest levels. There was significant disagreement between committee members on this point, with some members pointing out that while institution-building, as conceived by U. S. planners, is a process of induced rather than forced change and that IB activities should protect individual freedoms and rights, successful institution building is an elitist activity and strategic planning should precede an IB enterprise. Strategic planning suggests a more comprehensive and sophisticated perspective than might ordinarily be expected of local, project-level leadership. Nevertheless, the Committee did agree that greater effort should be made to involve host country participants from all levels in planning and review activities.

II. Project Planning and Review Sub-System

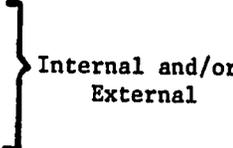
The elements of Project Planning and Review Sub-System are:

- A. The Project Planning Process (see III.)
 - 1. Preplanning
 - 2. Comprehensive Planning
- B. Project Planning Utilization (see IV.)
 - 1. Plan Modification
 - 2. Plan Revision
- C. Project Review (Periodically) (see V)
 - 1. Feedback for Modification
 - 2. Feedback for Revision
- D. Project Assessment (Evaluation)



The above diagram is meant to show that review and assessment should be continuous and ongoing activities.

III. Project Planning Process

- A. Needs Determination (requirements: involvement of host community, contractor and AID)
 - 1. Values
 - 2. Belief System
 - 3. Cultural Patterns
- B. Objectives of Project
 - 1. Short Range
 - 2. Middle Range
 - 3. Long Range
- C. Project and Problem Area Identification
- D. Project and Problem Area Definition
 - 1. Change Generators
 - 2. Change
- E. Project and Problem Analysis
- F. Linkage Consideration
 - 1. Data Requirements Analysis
 - 2. Data Aquisition
 - a. Attitude (Receptivity)
 - b. Behavior
 - c. Life Style
 - d. Host Country's Capability
 - 3. Constraints
- G. Methods - Measures for Achieving Objectives
 - 1. Synthesis
 - 2. Alternatives - Options
- H. Modifying Factors (Resource Availability)
 - 1. Finance
 - 2. Manpower
 - 3. Facilities
 - 4. Management
 - 5. Other Constants and Variables
- I. Documentation
- J. Evaluation
 - 1. Standards
 - 2. Criteria
- K. Feedback Mechanism

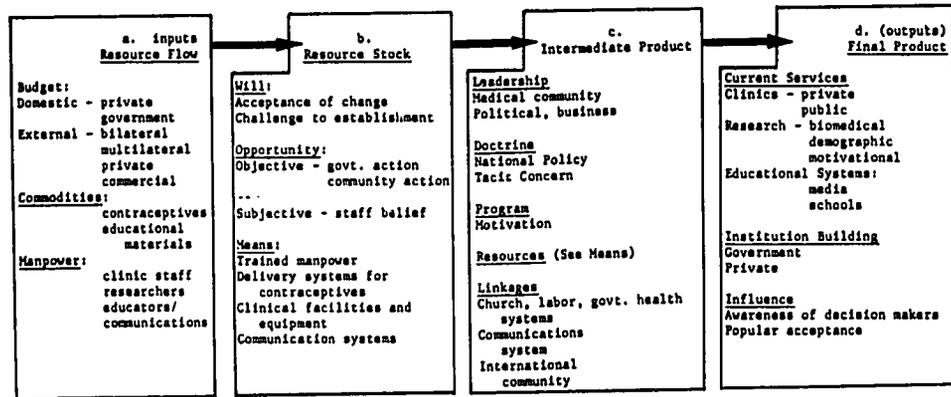
IV. Project Planning Utilization
Case Model: A Family Planning Institution

(Goal/Policy (Refer to I. Above))
 (Individual: freedom to chose family size)
 (Societal: demographic change - example: 0 growth rate by)
 2000)

(Need for Institution (see III. Above))
 (Popular demand as evidenced by)
 ((1) high abortion rate)
 ((2) studies revealing preference for smaller families)
 (Community decision to take action:)
 ((1) By private groups)
 ((2) By government)

(Intermediate Goals for Planning Purposes (see III. B. 2. Above))
 (50-90% acceptor rate for family planning practice)
 (Policies (doctrine), clinics, commodities, techniques,)
 (educational systems, established which could lead to 100%)
 (systems, established which could lead to 100% acceptor))

The Blase Model: A FAMILY PLANNING INSTITUTION



Notes: Special aspects of Family Planning

- A. Planning Stage
 - (1) There are no good models or precedents
 - (2) The objective and means are inherently controversial
 - (3) Necessity or desirability of building family planning sub-system into a broader family health or welfare system limits objectives
 - (4) Long term nature of problem (30-100 years) precludes short term efforts
 - (5) Need or desirability for external assistance may be limited, or at best financial

- B. Review Stage
 - (1) Science of attitude measuring is in its infancy
 - (2) It is easier to train people, establish clinics, provide services, than to motivate people to use services
 - (3) Demographic change lags behind acceptance of family planning by 3-10 years

- C. Assessment Stage
 - (1) Clinics, educational system, demographic services will all be permanent features of each country
 - (2) Need for external assistance will change from technical to purely financial very rapidly
 - (3) External role can (and should) shift from bilateral to multilateral as rapidly as possible in both private and public sector

The so-called Blase model will be recognized by those trained in economics as a conceptualization of a multi-product, multi-phased, multi-lateral production unit with (a) Resource Flow and (b) Resource Stock constituting Sub-System A, a resources transformation process, with (c) Intermediate Product(s) and (d) Final Product(s) in the model constituting Sub-System B, a service transformation process.

Blase summarized succinctly the usefulness of the model in project-planning:

What is suggested is that the technical-assistance team disturb the host institution's equilibrium with respect to product mix. Subsequent points then can be identified on the production functions in Sub-System B and Sub-System A. In layman terms this means following the steps of (1) changing preferences of decision makers with respect to outputs of the system over time; (2) identifying changes that must result in the production of services of the functional characteristics in order to reach the newly identified output goals; and (3) identifying the changes required in the flow and stock resources over time in order to alter the production of functional characteristic services previously. Hence there is need for preparation of a strategy for goal accomplishment, i.e., institution building over time.

Conceptualizing a project in this fashion assists in determining goals and in making modifications needed to achieve the goals as continuous re-examination of methods and goals occurs.

The model can be used to identify time sequences to achieve specific and quantifiable changes in accomplishing final goals. Program Evaluation and Review Technique (PERT) can be applied both in predicting and measuring final goals and also in the accomplishment of intermediate goal components.

Systematizing strategy in institution building can result in (1) agreement on goals, (2) better identification of responsibilities in carrying out activities necessary to achieve goals, and (3) better estimates of time needed to complete components of the goals.

The system requires continuous re-examination of plans and activities to see (1) whether there are better alternatives to accomplish plan objectives and (2) whether changes in resources or inputs will affect the success of the plan.

V. Project Review and Evaluation

Internal		External
Project Team	Host Contractor AID	Consulting Analyst
Review	Review	Assessment

- A. Composition of Review and/or Evaluation Team(s)
 - 1. Host Nationals
 - 2. AID
 - 3. Contract Personnel
- B. Timing and Coordination of Evaluations
- C. Reassessment of Project Goals
 - 1. Relevance to Current Organizational and Societal Needs
 - 2. Refinements
 - 3. Modifications
- D. Level of Project Achievements
 - 1. Degree of Participation
 - 2. Diffusion of Techniques
 - 3. Acceptability of Project Results
 - 4. Evidence of Attitude Change; Behavior Modification
 - 5. Utilization of Research Findings

6. Degree of Adoption of New Doctrine
 7. Existence of Effective Organizational Patterns
 8. Evidence of New Leadership Style, Commitment
 9. Effectiveness of Linkages that have been Formed
 10. Distribution and Allocation of Resources
 11. Extent of Continuing Funding Support
- E. Formal Assessment of Review Findings
1. Continuation of Assistance
 2. Major Alteration
 3. Termination

Conclusion: Metamorphosis of Planning and Review

Most current development systems (institution building) in use are in a transitory evolutionary stage between overemphasis on differentiated, uncoordinated, and unrelated programs/projects and the realization of a methodological, integrated, coordinated and comprehensive role for systems development.

Lacking a defined overall systems framework and related schematic plans of action from which to operate, systems development and operational means have been weakened. To fill the void of un-defined goals, the various institution-building attempts have developed their own sets of uncoordinated goals program and project actions.

Institution-building goals are program oriented.

"Establishment" proposals tend to be policy-oriented toward "social interest" or relatively safe uncontroversial public values.

Development systems (institution building/organization development) efforts comprise a diverse array of programs which touch on many academic areas of interest. There is a wealth of related reference material in the disciplines of sociology, social work, social psychology, philosophy, cultural anthropology, political science, economics, historiography, ethics, law, religion, education and the scientific arts.

Systems development at this intermediate stage has traditionally emerged as a direct result of well meaning U. S. institutions. These efforts and their underlying theories are struggling to meet more comprehensively the responsibilities pressing upon them by a rapidly changing environment. It can be projected that these efforts will continue and expand as development systems planning seeks a more effective capacity for predicting and controlling change.

The universe of development systems planning has generated a few etiological theories and functional frameworks for understanding and effecting change and growth, but the velocity and intensity of recent change has rendered many institution-building efforts inadequate in scope and non-pragmatic in function. Yet development systems planning, because of the hopeful demands required from it as an avenue for development direction, cannot wait for theoretical

evolution beyond the present explanatory, descriptive, and normative state of development knowledge from the increasing requirement of having to deal with the here and now. Persons involved in development systems planning and programming must think and choose from that knowledge which is available.

Thursday, August 20, 1970, 3:30 p.m.
J. Clark Ballard, Chairman

REPORT OF THE COMMITTEE ON CULTURAL VARIABLES
AND INSTITUTION BUILDING

Committee H: Abraham M. Hirsch, Chairman

Frank Angel, University of New Mexico/Albuquerque
Jeanette Black, USAID/Washington, D. C.
Alvaro D. Cordero, University of Costa Rica/San José, Costa Rica
Athyra Guimaraes, Getulio Vargas Foundation/Rio de Janeiro, Brazil
Abraham M. Hirsch, USAID/Washington, D. C.
J. Reuben Sheeler, Texas Southern University, Houston, Texas
Jess N. Swanson, Northern Arizona University/Flagstaff, Arizona
Richard F. Ware, USAID/Washington, D. C.

REPORT OF THE COMMITTEE ON CULTURAL VARIABLES
AND INSTITUTION BUILDING

The committee consisted of Dr. Angel, Mrs. Black, Mr. Cordero, Mr. Guimaraes, Dr. Sheeler, Dr. Swanson, and Mr. Ware, under the chairmanship of Dr. Hirsch. The presence on the committee of two members from Latin America added important perspectives to our deliberations, and enabled us to bring to bear at least two cultural viewpoints on the issues we discussed.

The committee took as its starting point a paper prepared by the chairman to catalyze the committee's thinking.^{1/} That paper is transmitted in its pre-conference form as an attachment to this report. The committee's principal comments on the paper are given below.

The committee deliberated broadly about technical assistance, with its implicit transcultural relationships, for we saw as our function to explore the human and cultural variables that are part of technical assistance and institution building. At times, admittedly, we may have blurred the distinctions that can be made between institution building and technical assistance. That is because we felt that institution-building in its purest sense may be too impersonal an approach, and may fail to take account of cultural variables in general.

Comments on the Paper

In general the paper was viewed by the committee as a sound summary statement of the subject which it was asked to consider. There was some question raised as to whether the generalizations contained in the paper applied as fully to Latin America as they may to Asia and Africa. In particular, with respect to the first part of the paper, "The Character of the Institution," there was a feeling that the variable of institutionalized versus personalized leadership may differ in Latin America; that in Latin America leadership is more personalized than in the United States, yet more institutionalized than in Asia and Africa. The author of the paper restated that he sees this variable, institutionalized versus personalized leadership, as not being an either/or variable but a spectrum of nuances and degrees.

Another point in the paper that generated quite a bit of discussion was the question of the alien adviser's knowledge of the indigenous language. The committee felt that everywhere, and especially in Latin America, a knowledge by the foreign technician of the local language would be an asset, even a necessity. Two factors were identified here: first, that even a limited knowledge of the language would be useful to broaden the alien's contacts

^{1/} Dr. Hirsch's paper is reproduced following this committee report.

with local societies; and secondly, that even if the first point were not true, a knowledge of the local language would be seen by host society members as evidence of the alien's serious interest in them.

The section of the paper, "The Importation/Adoption Variable," also was discussed at length, but no specific comments emerged.

The Art of Transcultural Advisorship

The committee spent several hours in considering the art and science of being a foreign advisor. The committee also touched on some of the problems facing the host society as it receives the alien's advice. It was noted that the human dimensions of the technical assistance situation are always complicated; and that institution building, being a more sophisticated, advanced, and rigorous form of technical assistance, makes these difficulties even greater. Institution building, even more than technical assistance, demands great intercultural talents and skills from those who would practice it in an environment other than their own.

The committee probed what should be included in the roster or inventory of transcultural skills. The term simpático naturally came up, and the committee considered what it really meant in an operational context. The qualities of sensitivity, empathy, intellectual curiosity, interest in human beings, sincerity, kindness, tact, were identified by various members. There was some question as to whether these skills can be taught, or whether a person either has them or not. There was general agreement that in any event, training can strengthen these skills and bring them out. The point was also made that these skills are required, though perhaps less rigorously, also on the part of the indigenous counterpart personnel who must come to live and work with the alien advisor.

The committee noted that the United States is a pluralistic society and a diversified culture, and the implications of this aspect of North American culture for technical-assistance programs were discussed. There was a strong feeling that every effort should be made to insure that U. S. technical-assistance staffs and teams abroad include as diversified and complete an inventory of the U. S. population as possible; and that, institutionally, it is important that universities with largely black faculties and student bodies be involved in technical-assistance work abroad, either directly or through their membership in consortia, at least to the same extent as U. S. universities in general. Moreover, the effectiveness of United States technical-assistance projects likely would be increased by including technicians in advisory teams drawn pertinently from U. S. minorities who can better relate to persons in the host society.

The committee did not have time to discuss multi-lateral programs adequately. A brief round of comments about them leads to the belief that drawing advisors from different countries and forming them into an international advisory team often compounds the usual intercultural difficulties encountered in bi-lateral programs, with intra-team intercultural difficulties among the advisors. This would suggest that international organizations are most effective when providing one or two advisors to a project; and that bi-lateral programs are more effective when teams of experts are required.

The early participation of planners from the host country in the design of a technical-assistance and institution-building project came up several times during the committee's meetings. Although this point did not relate principally to the committee's tasks, the point should be made that host country planners can contribute to such joint planning an understanding of their own culture, and the implications of these cultural characteristics for the project being planned. In general, it was stressed that it is not the exclusive responsibility of the alien donor to facilitate transcultural transactions, but that the host society, if it is interested in taking advantage of technical assistance, must share in this responsibility.

As an additional means of ensuring smooth transcultural relationships and transactions, it was suggested that technicians from third countries that are within the same cultural area might be adjoined to advisory teams operating in bi-lateral programs.

The committee recognized that in the interplay between alien advisors and host country personnel within the framework of a project or an institution, the respective situations of the alien advisor and the counterpart official are not symmetrical. The alien advisor is rewarded professionally and otherwise by the amount of change he can bring about quickly. His host country counterpart may be in a much more ambivalent position, and may have limitations placed upon him as to the amount of change he may help to foster. Moreover, in many cases, host country personnel who are adjoined to or assigned to a new institution see themselves and their careers threatened rather than assisted.

Recommendations

Translating into operational terms some of the foregoing points and others that emerged during our sessions, the committee makes the following recommendations to the conference as a whole, and through the conference to operating agencies and practitioners of technical assistance and of institution-building:

1. The committee recommends that operational research be conducted about personal and other characteristics of the successful transcultural advisor. Such research should lead to operationally applicable conclusions that would be of use in the selection of technical-assistance personnel, as well as in their pre-service and in-service training.
2. The committee recommends that, in the planning of institution-building projects, particular attention be given to the personal motivations, career patterns and rewards, and other factors affecting host country personnel attached to the project, or trained by it.
3. The committee recommends that the interplay between alien advisor and host country official or technocrat deserves further study in order to gain knowledge of their respective gamesmanship-- regardless of whether these derive from cultural or situational factors. Such a study could identify elements of great use in project design.

4. The committee recognizes that most donor agencies now orient their field personnel to the history and culture of the country of assignment either before or at the beginning of their tour, but notes that, so far, such orientation programs always are designed and conducted by the donor agency. The committee urges that host country governments actively involve themselves in such orientation. The committee would welcome an initiative taken by a government that receives large numbers of foreign advisors in bi-lateral or multi-lateral programs, setting up, on a pilot basis, an orientation program conducted by itself for the benefit of its alien advisors.

5. The committee recommends that research be undertaken in the manner in which teams, provided by international agencies or organizations, can best be recruited, with particular attention being given to the interplay among advisors to the same project drawn from various countries and cultures, and the effectiveness of such multi-national teams.

6. The committee is aware of the rapid changes that are occurring within American society, and that hopefully will make American society still more democratic, equalitarian, and responsive to the needs and aspirations of her own people; and recommends that renewed concerns--for greater equality, for better use of our human and natural resources, for greater participation of all in the national policy-making process--become part of the substance of technical assistance which the North American people give to others. In particular, predominately black universities should become involved in North America's technical-assistance efforts abroad, if the potential for effectiveness of U. S. technical-assistance programs is to be enhanced.

7. The committee--at the risk of being parochial--feels that institution building as a technique of technical assistance must encompass an understanding of cultural variables; and it recommends that in future considerations of institution-building at conclaves such as this one, the topic of cultural variables be made a major topic of discussion.

Pre-Conference Study Paper
For Committee G

SOME CULTURAL VARIABLES IN INSTITUTION BUILDING AND
TECHNICAL ASSISTANCE

Dr. Abraham M. Hirsch

Dr. Abraham Hirsch received his Bachelor of Social Science degree from the City College of New York in 1949, his master's degree in International Affairs from Columbia University, and his Ph.D. in International Law and Relations, also from Columbia in 1957.

From 1957-61, he served as a research assistant at American University in Washington, D. C., while consulting for government agencies and universities. From 1959-61, he moderated a radio program on international affairs.

Since 1961, Dr. Hirsch has been a Foreign Services Reserve Officer with the International Cooperation Administration and the Agency for International Development (AID). He has filled assignments in Ceylon, Afghanistan, and Vietnam, as well as Washington, D. C.

Since 1969, he has headed the Technical Assistance Methodology Division of the Technical Assistance Bureau of AID.

SOME CULTURAL VARIABLES IN INSTITUTION-BUILDING
AND TECHNICAL ASSISTANCE 1/

Technical assistance involves transcultural transactions. I use the word "transcultural" rather than the more frequently used "intercultural" because the latter term evokes a situation in which two or more cultures equally are involved; whereas in technical assistance, the transactions take place largely in one culture, involving in part alien advisers coming from another culture.

On balance, the odds are stacked against that tiny group of alien advisers. The match is unequal. They meet their counterparts not on neutral or bicultural terrain, but on the cultural terrain of the host country. True, they may think that on the campus of a particular university in the host country, or on a particular floor of the advice-receiving ministry, they have created a little enclave of their own culture, or at least a playing field on which the game may be played largely according to the advisers' gamesmanship. But the playing fields of technical assistance are lined with projects which are doomed to strike out because the rules of the game in fact are (quite naturally) those of the cultural matrix of the host country, and not those that the alien advisers think they successfully have introduced.

In discussing cultural variables, we should look equally at at least two cultures, that of the alien donor and that of the host country. In human terms--the relationships between adviser and advisee--two sets of cultural variables manifest themselves daily: that of the donor culture and that of the recipient culture. Too often the alien adviser thinks "What's wrong with them?", failing to understand that the situation that has gone awry, the game that isn't being played properly, results from distortions that are caused by two cultures, not by one. He might better ask, taking the culture of his counterparts as his starting point, "What's wrong with me?" An analogy which comes to mind is that of two players, seated at each end of a 64-square playing board. One player has a set of chess pieces at his disposal, the other a set of checker pieces. Just because the board is the same for both games, and because the same

1/ The author is on the staff of the Technical Assistance Bureau of the U. S. Agency for International Development. The views and opinions expressed in this paper are his own, and not necessarily those of A.I.D.

This paper is intended to serve as a starting point for the discussions of the Committee on Cultural Variables in Institution Building, one of several committees which will meet as part of the Regional Conference on Institution Building, Utah State University, August 17 to 21, 1970. In preparing this paper, its author feels it best to confine himself to a few heuristic points, in the hope of generating comments, criticisms, and especially elaboration and additions, to his presentation.

board is being used by both players, they may think that they can engage in a game together to their mutual satisfaction. They'll find out differently after two or three moves.

Complicating the subject further is a fact that the alien adviser often glosses over: that in the less developed countries there may be, and likely are, considerable differences in the cultural climate from one region to another, differences far greater than those encountered in the more developed countries. To the adviser, all host personnel may be Indians, but Bengali know well that they are neither Tamil nor Punjabi.

The Character of the Institution

We in the West, and perhaps we Americans more than most other Westerners, tend to ascribe to institutions an identity, character, personality, life, mission, destiny, self-interest, and gamesmanship all of their own largely disconnected from the people who lead them and function within them. This is a distinctly Western hangup. In most of the rest of the world, an institution is seen as a collectivity of people who, loyal to a leader, or at least nominally led and organized by him, essentially are the extensions of his personal power. (Although Latin American leadership is more personal than in the United States, it is more institutionalized than in Asia or Africa.) The institution takes on the character of the power and self-interest of the leader; and the staff of such an institution are his vassals, his "tribesmen," his "kinsmen," his supporters and devotees--they are his, not the institution's. Their loyalty is not to the institution but to the one who heads it, or if not to him then to the man who heads the particular sub-unit of the institution with which the individual is affiliated. In this sense, then, institutions as we know them, and as we use the term, do not yet exist in most of the less-developed world, or if they do exist, they do so much more on their terms than on ours.

The alien adviser may have come to help develop the University of P---; his counterpart sees him as working on the personal staff of the vice chancellor, or the dean of the science faculty, or Professor X. The alien adviser perceives Dean Y as the dean of the faculty of education, when in fact Dean Y sees himself as a leader of faculty and perhaps of students in much more personalized terms than the phrase "dean of the faculty of education" would imply.

Similarly, power is personalized in most other cultures more than in our own. In the less-developed countries (LDCs), power still largely is exercised by the man, not by his position. Moreover, in defining who the man in power really is, criteria of family ethnic group, class, or caste, relationship to other personalized leaders, all may play a major role. Thus in the assemblage of 12 deans around a table in the vice chancellor's office of the university, none of them may be equal in fact, though their institutional titles may all be the same, and it is quite plausible that one or more of them might exceed in power that of the vice chancellor who nominally is in charge. Such discrepancies between real power and formal power exist,

of course, in any organization, whether in other cultures or in ours. In our institutions, however, these variations are based nearly always on factors deriving from within the organization; in the LDCs, the variations largely derive from factors outside of the organization.

Where power is personalized, not institutionalized in our sense, it also tends to be non-functional. It is power for its own sake. It is a situation in which every man aspires to be emperor. It is a game in which accretions of power are sought after not in terms of function or purpose, but for the sake of more power, which presumably will lead to still more power. Thus it is that in many countries every cabinet minister wants his ministry to have its own motor pool, its own printing plant, its own warehouse, its own personnel system, its own supply and purchasing system, etc. These are all accretions of power, leverages for further power, no matter how little related they may be to the basic function to which the institution nominally is dedicated.

Linkages between institutions obviously are characterized by the character of the institutions they link. Linkages in personalized-power settings tend to operate not through transactions of function but transactions in the game of personalized power. Inter-institutional functional cooperation is difficult to achieve. What is possible to obtain is collaboration of two leading personalities who decide that collaboration gains something for each, perhaps at the expense of a third or fourth personality.

Onto this playing field of personalized power, our alien adviser is thrust. An agent of institution building, institution building in our sense, he may become bewildered, frustrated, and often less than fully effective. He sees a game being played but he does not understand. He associates the playing field with the rules of the game as he knows it from back home, and has difficulty comprehending the patterns of behavior of the players he sees here.

The counterpart equally is puzzled. The alien adviser speaks of university, of department, of director general, as if he does not recognize the person of the vice chancellor, of the department head, or of the director general. The alien adviser assumes that there can be loyalty to an institution, when in the host country this may be perceived as a peculiar aberration, an adoration of a form that has no reality and that doesn't even seem to exist.

Further complicating the situation is the fact that in the less developed countries there are indeed multiplicities of institutions which, through their personal leaders, influence each other and the rest of the country, but which the alien adviser may have no access to, and in many cases, may hardly be aware of their existence, influence, and gamesmanship: the royal family, the council of tribal leaders, the head of the caste, the religious organization and hierarchy, the court astrologer, the family councils of the leading families, the extended family, the leading social club reserved for the elite of the elite in the capital. It is in these various arenas of discussion, through these institutions and their linkages, that the real decisions may be made. These are the real institutions,

and they form a set of linkages far more real, far more effective, far more established than the new institutions of which the alien adviser speaks, and the linkages that he seeks to create. It is in these indigenous institutions that men meet, and decide. Some of these same men, or their agents, may use the facade of institutions in our sense--the ministry, the university, the labor union, the teacher-training academy, the community development setup, the hospital, as pieces in their own chess game. But these pieces are not really bishops, knights, or rooks; at most they're pawns. And the real game isn't played by them.

The Importation/Adoption Variable

The transcultural transfer of skills is not a new phenomenon. It is nearly as old as the history of man's organization into cultural entities. From the very beginning, societies have accepted skills from other societies, and made these skills their own. (By skills I mean any technique or technology, and the knowledge of how to perform, and how to use, these techniques or technologies).

However, cultures differ in how they handle this problem. Their manner of handling the intake of skills could be plotted on a line, one end of which can be termed "importing" and the other end of which can be called "adoption." Let me explain these two extremes, noting that the usual practice seems to lie somewhere between these, or to use a combination of both extremes.

Importing skills involves getting hold, in one way or another, of persons not of the particular society or culture, who can perform services in these skills for the benefit of the society that imported them. Means of getting hold of such skill-holders vary from capturing them and enslaving them, paying them for their willingness to migrate to the host culture and to work there, enticing them to become immigrants who ultimately may at least partially acculturate to their new environment, or--more recently--obtaining their services through inter-governmental or inter-organizational agreements.

Adopting skills involves inducing members of one's own culture or society to acquire these skills, either by sending them abroad or by giving them the opportunity and incentive to acquire these skills from those skill-holders who have been imported.

Most cultures have practiced both techniques at one time or another. However, some cultures seem to have a tendency to import rather than to adopt, while others tend to adopt rather than to import. The Japanese, for instance, especially after the Meiji Restoration, have been great adopters. Central Asians--Iranians, Afghans, North Indians--have tended more towards importing, except in most recent times.

The implications of the two methods vary. Importing can have immediate impacts, if these are desired. A country wishing, for instance, to have a full-fledged faculty of nuclear physics could

hire five or ten nuclear physicists, and immediately such a faculty would exist at the local university. This method is a great time saver. It also enables the importer of skills to acquire not just one individual, but a whole team or organization which collectively can perform in some established manner whatever are the skills that its individual members have. On the other hand, importing skill-holders does not result in a transfer of skills. In fact, there may be no transfer at all. All that is really acquired through this process is the immediate availability of whatever is the product of such skill-holders. Presumably, the society that imports skill-holders feels a need for them, but it is not always clear how widely this need is felt, or how widely in fact the product that results from such skills will be utilized in the host country. Finally, but significantly, importing skills requires very little accommodation or adjustment to the new technology and to those that wield it.

The adoption of skills is a much more drawn-out process. Not only is time involved in training one's own people in a skill, but at times they require preliminary training before they can even begin the process of acquiring particular skills. Adoption also involves the decision--often a political one and always a complicated one--whether the transfer of skills should occur abroad or at home, and where and how one best may acquire the trainers involved in the adoption process. Inevitably adoption also requires adaptation, for no process or technology is exactly the same--it cannot be the same--in different cultural settings. Last but not least, adoption also involves creating a "system"--an institution and its linkages--designed auspiciously to acculturate the adopted technique or technology into the host society and social structure. ^{2/} A knowledge of the prevailing pattern in recent experience in the particular culture--its use respectively of "importing" and of "adoption"--is important information to be applied in the design of technical-assistance and institution-building projects.

When a society adopts skills, it must reward those of its own who have acquired the new skills. This is a point that project planners in technical assistance do not always keep in mind when they design projects--yes, with the encouragement and agreement of the host government--which at least in some ways penalize the host country nationals who are to be the counterpart personnel. They are penalized (or see themselves as penalized or threatened) by being yanked out of their normal occupational patterns or expected career tracks, and adjoined, sometimes willy-nilly, to the dangerously new project and the institution to which it is to give rise. Motivation of counterpart personnel is a key factor in the success of any project. This is one of the advantages of skill importation: The imported skill-holder or holders may

^{2/} I developed some of these points in "'Importing' and 'Adopting' Skills," Human Organization, Volume 24, #2, Summer 1965, pages 124 to 127.

serve for a while in a demonstration project, initially without involving, in the immediate sense, any host country personnel. After a decade or two, perhaps, after the demonstration has been successful, host society individuals may feel encouraged and motivated to start taking over by acquiring the requisite skills. (As well we know, donor countries hesitate to commit themselves for such time spans.)

In such situations imported skill-holders and their organizations may have to operate in a vacuum for a long time.

Where the technique of "importing" is used, an institution may well come about, but it will be isolated from the mainstreams of the importing society and will largely operate in a vacuum. Linkages will be very tenuous, if existing at all. Likely the imported institution will have really only one line--upward to the particular personality (e.g., a cabinet minister) who caused the importation; they may operate in isolation from the local culture, unable to establish linkages, unable to transfer any skills, leading a precarious existence as a peculiar technological encrustation, endangered by any change in the political climate. The institution will rise and fall with its protector. It may appear splendidly successful for as long as he remains in power and continues to be interested in it. It may collapse if he loses power or becomes disinterested in its progress.

Where adoptions take place, the time frame for institution building is much greater. Initially a period of adaptation is required, precisely in order to make the new institution an adopted one rather than an imported one. Adaptation in many ways in itself creates the linkages required, or conversely, it is the linkages that serve to hammer out the adaptations required.

Attitudes to the Foreign Adviser

Societies and cultures vary in their attitude to the foreigner. Historical experience structures the manner in which the contemporary society reacts to the alien in its midst, assigns him roles and functions, tolerates him and his ideas, is receptive to his efforts, and is motivated to accept what he may have to contribute. Few are the cultures in which xenophobia is rampant across the board. In most societies xenophobia is present, but it is selective.

Attitudes towards the foreigner affect the alien adviser in many ways. For instance, on the personal side, societies vary in their tolerance to speakers of foreign languages. In some cultures a foreign language (be it the language of the alien, or a third language used for transcultural communication) is more acceptable than in others. Cultures vary in the degree to which they tolerate the alien's speaking the indigenous language, albeit badly and with an accent: in some societies he is welcome, in others he is an object of ridicule, and his effectiveness is impaired when he tries to speak the local lingo. Cultures differ in their tolerance of aliens of different races or skin color. Recent or current political factors may make aliens from some countries more welcome than from others.

To these variations in attitudes toward the individual alien must be added differences in attitudes to an adviser--any adviser, regardless of his origin. In many cultures it is demeaning to accept advice, or at least to accept it overtly and manifestly. In such cultures, what we call advisers are acceptable only if their advice is funneled through complicated channels, or presented in complex indirect ways, in which the origin of the advice is lost.

Cumulating the variations in reactions to aliens with the reactions to advisers, we get a feel for how complex are the variations in attitudes to the foreign adviser. Advisers in technical assistance, and would-be institution-builders, must accommodate their techniques to the prejudices of the host culture.

Here is an area that has not been explored adequately, and it is a fertile ground for research. Conducting this research is complicated by the fact that within any national culture there may be variations in each of the factors mentioned and by the fact that the very conduct of such research may be politically and culturally sensitive.

In cultures in which there is antagonism either to the alien--limiting his functions and roles within the society--or to the adviser as such--requiring him to be covert rather than overt--it may be desirable to go through a stage at which some techniques and technologies are first imported rather than adopted. In this manner a demonstration period is created during which the foreigner is less an adviser than an operator of a demonstration institution, doing his thing under observation. At this stage few linkages will be created, and the institution will be vulnerable. On the other hand, at this stage it may also be effective in demonstrating what can be done and may create a demand by the host society for its ultimate adoption. Then the adoption will take place after the necessary adaptations have been made, and real institution-building can take place.

Observable in numerous ex-colonial countries, and of particular relevance to technical-assistance and institution-building efforts, is the phenomenon that numerous ex-colonial host societies are reluctant to switch from techniques and technologies implanted by the former colonial power to newer ones, urged by alien advisers not from either the host society or from the ex-colonial country. Americans often have observed that, say in a former British colony or possession, it is very hard to convince anyone to make the transition from a 19th century British technology to a 20th century American or international one. It matters little in this context whether the particular 19th century British technology still survives in England; it may long ago have been discarded there. What is significant is that, somehow, the first "modern" foreign technology seems to create a resistance to further modernization. In many current technical-assistance efforts the problem is not to create a "modern institution" in an indigenous matrix, but rather to replace institutions that no longer are modern (though they never were indigenous) with one that is more modern.

This too then is a cultural barrier. How great is the loyalty to institutions imported or adopted during the colonial period? How receptive is the host society to replacing colonial traditions with non-indigenous, international, or other alien ones?

In conclusion: The existence of a great many cultural variables affecting institution building does not weaken the concept of institution building. In the long run, and whatever the intermediary steps, institution building obviously is the most effective manner in which transfer of skills and technology can take place. However, when the theoretical formulations of institution building are applied, cultural variables that affect it in any given location must be considered. In the last analysis, institutions are collectivities of people, and the characteristics, motivations, aspirations, and prejudices of these people are part of the situational setting in which new institutions are built by foreign advisers in the less developed countries.

Monday, August 17, 1970, 8:30 a.m.
Bruce H. Anderson, Chairman

Opening Session
PURPOSE OF THE REGIONAL INSTITUTION BUILDING CONFERENCE
Dr. S. Lyman Tyler

Dr. S. Lyman Tyler is a native of Attica, Arkansas. He received his B.A. degree in 1949 and his Ph.D. in 1951, both from the University of Utah.

He joined the history department of Brigham Young University in 1952 and was appointed Director of Libraries in 1952. While at BYU, he also served as Director of the Institute of American Indian Studies from 1954 until 1965.

In 1966 he became Professor of History and Director of the Bureau of Indian Services at the University of Utah. In 1968 he was appointed Dean of the Division of International Education of the University of Utah, which position he still holds.

Dr. Tyler was also instrumental in organizing the Utah International Education Consortium and serves as staff director for the consortium.

PURPOSE OF REGIONAL INSTITUTION-BUILDING CONFERENCE

Colleagues and friends, as we concentrate our attention on the goals that have brought us together, let us reflect for a moment upon the path that led us as a nation to our present position in international economic development.

For some 300 years, as a people transplanted to America, with roots fixed elsewhere in the world, we turned our eyes homeward for technical and other kinds of assistance. There was some early experimentation in sharing ideas and techniques with American Indian nations. On one such occasion the chiefs of the Iroquois Confederacy responded in this fashion: "You who are wise, must know that different nations have different conceptions of things, and you will not take it amiss if our ideas happen not to be the same as yours."

As we work with other nations today, we have reason to contemplate their response.

We know that what has worked for us here in the United States may not fit the patterns of development in other nations or cultures. As we serve in the role of advisors or consultants to representatives of other nations, since we cannot stand in their shoes, or walk in their paths, we should not allow ourselves to be placed in a role where we are required to make policy decisions, for we know that no people is wise enough to make decisions for another people.

Although we have experienced a century of periodic exchanges with peoples and cultures of the Pacific, Asia, Africa, and the Americas, and a quarter-century as a major source for technical assistance for undeveloped areas of the world, we still have much to learn from and about the rest of the world.

Today, the institutions we have developed for use in international technical-assistance programs during the past quarter-century are themselves being assessed. This is appropriate. Out of our engagement in the process has grown a theoretical framework, a methodology. We have seen theory put to practical use in programs that call for community development--the planning for, or management of change.

During the past few years we have drawn from this body of knowledge factors that have been applied to a theory of institution building. Considerable basic research has resulted in the development of methods that you as participants in the conference are invited to test for practical application to particular programs with which you have had experience.

We will also learn how the new Institutional Development Agreement, that is an outgrowth of the development of the institution building concept, can be used by universities and Federal agencies to guide the growth of a continuing relationship beneficial to the government, the educational institutions, and the developing nations.

Our visitors from Latin America can add a special dimension to the conference by helping us to see our efforts to apply theory to actual programs through the eyes of representatives of other nations. We encourage you to participate fully, and to react freely as you visualize results that may occur when particular theories are applied to specific projects.

As we have opportunity to apply institution-building theories in our work with other nations, we and the representatives from host nations will need to remember that what is ideal is seldom possible, that what seems right may not always be politic, and that economic and educational changes are frequently more easily achieved than political changes. Myths can be more important to particular events than realities, and what people think happened can have greater influence than what actually happened.

Here on the beautiful Utah State University campus, the International Education Consortium, with the support of the Agency for International Development, has brought together a resource pool, the institution-building theorists. Each of you has been assigned to a committee. The work of the committees is to examine particular aspects of the concept and develop reactions as you, the participants, give voice to them.

We trust that both those who present papers and those who react to them will benefit from the experience.

Enjoy your stay with us.

Monday, August 17, 1970, 9:45 a.m.
Bruce H. Anderson, Chairman

INSTITUTION BUILDING AND DEVELOPMENT
Dr. Milton Esman

Born in Pennsylvania, Dr. Esman received his B.A. from Cornell in 1939 and his Ph.D. from Princeton in 1942.

From 1947 until 1951 Dr. Esman was Program Planning Officer for the U. S. Civil Service Commission. In 1951 he became Intelligence Research Officer for the U. S. Department of State.

From 1954 until 1959 he was Foreign Aid Administrator in Washington, D. C. and Saigon, Vietnam. In 1959 he became Professor and Head of the Department of Economic and Social Development in the Graduate School of Public and International Affairs at the University of Pittsburgh.

In 1966 Dr. Esman became Senior Advisor of Development Administration for the Prime Minister's Department, Government of Malaysia.

In September 1969 Dr. Esman became Director of the Center for International Studies at Cornell University.

ABSTRACT OF STATEMENT ON
INSTITUTION BUILDING AND DEVELOPMENT 1/

Most of the important technological and social changes currently being introduced in developing countries do not rely on evolution or on spontaneous, diffused innovation. They are deliberately planned, induced, and guided by domestic change agents, frequently, but not necessarily, with the cooperation of foreign specialists. They seldom involve mere changes in technology, physical or social; they also require changes in attitudes and familiar behavior. They may represent real shifts in the distribution of power and other valuable resources. While they may be welcomed by some persons, others may perceive them as threats to their interests and thus to be resisted.

The main vehicle through which changes are introduced is formal organizations. These organizations combine the technical, managerial, and political skills and the commitments to change which enable change agents to introduce and guide innovations in environments that are frequently indifferent and even hostile to the intended changes. Thus, the first task of change agents is to build a new organization (or remodel an existing one) which is technically and normatively competent to the task. Leadership, which is the most important determinant of institution-building performance must enunciate a doctrine, a set of themes which stipulates the goals, the means, and the styles that the organization will employ. Doctrine, when effectively and repeatedly enunciated contributes to the achievement and maintenance of a sense of cohesion among members of the organization and projects to external publics a favorable image of the organization and the innovation it sponsors. Leadership must mobilize resources in skilled personnel, funds, equipment, information and authority. These resources may be invested in strengthening the future capabilities of the organization or they may be combined and allocated into programs of activity which constitute the outputs of the organization to society. These outputs, in turn, should facilitate the future access of the organization to resources and permit it to provide services more effectively and at lower cost. Program choices must reconcile opportunities to provide useful services that gain support but do not promote innovation, and innovative outputs that may promote change objectives but arouse environmental resistance. Leadership must also develop and sustain an internal structure whose division of labor, communications flows and authority patterns facilitates the efficient performance of technical tasks and flexible responses to the external environment.

Organizations, as has already been indicated, are not self-sufficient. They operate in an environment that includes other

1/ This paper is a summary of the talk given by Dr. Esman in Logan. A brief description of the institution building universe is found in the Preface. Conference participants were sent copies of "Some Issues in Institution-Building Theory" (mimeograph), Ithaca, New York, July 7, 1969, by Dr. Esman to read in preparation for the conference.

organizations and groups, each with its own interests. An innovating organization must transact with others to obtain resources or to assure outlets for its services, to gain support or overcome resistance, to induce changes in the environment, and to transfer new norms and practices. A new organization must establish and maintain linkages with other entities through which these exchanges take place. Thus, the second job of institutional leadership is to manage these environmental linkages. Each of them represents a special problem and requires a separate set of tactics. Some may be highly receptive to the innovations that the new organization represents; some may be indifferent, others hostile. By persuasion, education, trading services and support and, in some cases, through the use of authority and power, the leadership of the innovating organization attempts to achieve complementarities with linked organizations which result in the latter accepting its innovations into their normal patterns of operation. When this has happened, the organization has become an institution and the innovations it fosters have become institutionalized.

This process requires active management. It has both learning and political features. Since institution building takes place under conditions of uncertainty, unanticipated events may provide either dangers or opportunities, requiring shifts in the allocation of resources, in doctrine, or in the internal structure of the organization. Competition for resources and for jurisdiction may require the use of political tactics, including bargaining, trade-offs, coalitions with sympathetic organizations, or the postponement and even the abandonment of some goals, if these threaten the survival of the organization. One of the great threats to institution building is premature accommodation to the status quo which may permit an organization to survive with assured access to resources, but at the price of sacrificing or deferring its major innovative goals.

The principal burden in institution building must be borne by domestic change agents, but external assistance may be useful in (1) providing change models, (2) participating in the leadership function, (3) providing useful resources which increase the opportunities for domestic change agents to innovate and build technical and political strength, and (4) adapting and transferring technology to local situations. Excessive preoccupation with the mere transfer of technology or with getting particular jobs done tends to displace the more enduring purpose of institution building--to develop indigenous capabilities to apply, adapt, and improvise physical and social technologies which can solve the problems of the host society. Another danger is that domestic innovators may become too dependent on foreign resources and influence and fail to build solid linkages in their own society.

Monday, August 17, 1970, 11:00 a.m.
Bruce H. Anderson, Chairman

REPORT OF THE WORLD-WIDE CIC-AID STUDY ON U.S. ASSISTANCE
AND IMPLICATIONS RELATIVE TO INSTITUTION BUILDING
Dr. D. Woods Thomas

A native of Pennsylvania, Dr. D. Woods Thomas received his B.S. in 1950, his M.S. in 1952 and his Ph.D. in 1954 in agricultural economics from Pennsylvania State University.

Dr. Thomas has been a member of the faculty of the Department of Agricultural Economics of Purdue University since 1954, and from 1960 to 1962 he was a member of Purdue's contract team at the Universidade do Estado de Minas Gerais, Vicosia, Brazil, serving as acting Chief-of-Party in 1962. In 1963 he was named Professor Honoris Causa of the Universidade.

Since 1963, Dr. Thomas has been a consultant in agriculture in Argentina and Brazil to the Ford Foundation. He is the author of many articles and in 1963 he co-authored a comprehensive study of agricultural education, research and extension institutions in Argentina.

From 1965 to the present Dr. Thomas has been Director of International Programs in Agriculture at Purdue.

INSTITUTION-BUILDING IMPLICATIONS
OF THE CIC-AID RURAL DEVELOPMENT RESEARCH PROJECT 1/

by

D. WOODS THOMAS

The primary roots of interest in the institution-building process, as related to foreign technical assistance, rest in courses of action associated with U. S. foreign policy during the past quarter century. The United States involved itself in (a) assisting previously developed nations in post World War II reconstruction and (b) assisting the never developed nations in the modernization process. Reconstruction turned out to be a comparatively simple task. Accelerating the rate of economic growth and social development of traditional societies has proved to be a far more complex, difficult and time-consuming task.

A fundamental reason for this difference is that the basic institutional infrastructure essential to a modern society remained in place or was easily reassembled in previously modern societies, such as in Western Europe; in was nonexistent or highly imperfect in the traditional societies of Africa, Asia and Latin America. Through time, technical-assistance experiences in the traditional societies led to the conclusion that success in modernization involves one highly important and necessary, if not sufficient, condition. This condition is the creation of change in old institutional infrastructure or the building of new institutions. It was the gradual, somewhat grudging and still incomplete recognition of this fundamental truth that led the United States into the institution-building business in the developing nations.

Only recently has there been overt recognition that (a) institution building is the heart of the development phenomenon and (b) it is a special case of the more general process of social change. It has become crystal clear that (a) a comprehensive body of conceptual and empirical knowledge about institution building in the particular context of foreign technical assistance is essential to effective programs of international cooperation in development and (b) this body of knowledge was nonexistent and, to an unfortunate extent, remains inadequate.

Such recognition led to two major efforts to develop this body of knowledge. One was research conducted by the Inter-University Research Program in Institution Building. 2/ The

1/ Resume of a presentation at the Regional Conference on Institution Building, Utah State University, Logan, Utah, August 17, 1970.

2/ Member institutions were Indiana University, Michigan State University, University of Pittsburgh and Syracuse University.

other was research conducted under auspices of the Committee on Institutional Cooperation--Agency for International Development (CIC-AID) Rural Development Research Project. 3/ The first was an attempt to construct and verify a theory or a set of models useful in understanding the process of institutional change. The second was a pragmatic, empirical investigation of the experiences of U. S. universities in institutional development activities abroad with the objective of identifying principles useful to the practitioners of this art.

These activities were highly complementary. The conceptual work has been extremely useful as a framework for analyzing, interpreting and understanding empirical findings of the CIC-AID study. Conversely, the latter has provided additional empirical tests of institution-building models, a means of appreciating their value and understanding their limitations and a basis for reformulating such into more useful constructs.

CIC-AID Rural Development Research Project

The CIC-AID study was a massive undertaking involving three years of intensive investigations both at home and abroad. Nine U. S. universities, 45 research workers and several advisory committees were involved. The investigations included in-depth studies of 68 technical-assistance projects designed to bring about change in agricultural, educational, and research institutions in the developing nations. The research focused on the impacts of institution-building projects on (a) host institutions in the developing nations and (b) cooperating U. S. institutions. Some 20 research reports were produced. Indirectly, important contributions to numerous other publications can be traced to this study. 4/

The CIC-AID study generated a great deal of information on the process of institution building. From this, a series of broad-based generalizations and policy recommendations were generated. All are of significance to individuals and groups involved in accelerating institutional change in the developing nations. A few of the more significant of these generalizations are outlined below.

The body of knowledge relating to the theory and practice of institution building is completely inadequate to the importance and

3/ This research was supported by the Agency for International Development through a prime contract with the Purdue Research Foundation on behalf of the Committee on Institutional Cooperation (CIC).

4/ The findings of this project are summarized in Building Institutions To Serve Agriculture--A Summary Report of the CIC-AID Rural Development Research Project. More detailed findings are reported in other research reports cited in the partial bibliography attached.

magnitude of the institution-building tasks remaining if the developing nations are to become truly modern. Increased and sustained research on the concepts and principles of the institutional development process is needed.

That which is known about institution building is neither adequately disseminated nor effectively utilized. It is imperative that the body of existing knowledge be made available, in meaningful fashion, to all involved in such processes and that it be utilized fully in the planning, operation and evaluation of institution-building projects.

Traditional arrangements among institution-building project-funding agencies, U. S. universities, and host institutions have not permitted optimal progress in institution-building activities. It is imperative that a new operational style and set of instruments be designed and utilized to remove constraints to effective institution-building efforts. That which is known about the theory and practice of institution building provides a basis for reorienting these cooperative programs. 5/

The capacity of U. S. universities to engage in institution-building activities abroad is more limited than the demand for such services. Knowledge of the institution-building process provides important insights into the directions and means by which such capacity must be expanded. In the national interest, AID, foundations, international organizations and the university community must cooperate in strengthening this and related capabilities.

The detailed findings and other generalizations of the CIC-AID study when coupled with knowledge of the current stage of development of the poor nations hold many important implications for the United States, other developed nations, the developing nations and multilateral organizations involved in development activities. The most significant of these is that knowledge of institution-building principles and skill in their effective application will become more, rather than less, important. This turns on the fact that the institutional infrastructure of most developing nations remains far too imperfect to support viable modern societies. If the world is to attain its corporate development goals, international cooperation in the building of institutions capable of being truly useful to less-privileged peoples must continue, be strengthened and be done more efficiently. The need for expanded knowledge of the institution-building process becomes even more critical in light of probable reductions

5/ For a detailed treatment of this point, see The Institutional Development Agreement--A New Operational Framework for AID and the Universities, Report of a Joint Committee of the National Association of State Universities and Land Grant Colleges and the Agency for International Development, January, 1970. A discussion of the new agreement by Dr. Glen L. Taggart is found in these Proceedings on page 150.

in resources available for developmental assistance, impending changes in the structure, form and organizational format of foreign assistance and the increased complexity of the institution-building process in advancing stages of development. Expanded research and education in institution building is imperative.

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Tuesday, August 18, 1970, 8:30 a.m.
Oral L. Ballam, Chairman

EXPERIENCE WITH THE PRINCIPLES, STRATEGIES AND TECHNIQUES OF
INSTITUTION BUILDING (SOCIOLOGICAL AND PSYCHOLOGICAL PRINCIPLES)
Dr. James K. McDermott

Born in Missouri, Dr. McDermott received his B.S. in 1947 from the University of Missouri. He earned his M.S. in 1949 and Ph.D. in 1958 in agricultural economics from the University of Wisconsin.

Between 1950 and 1955 Dr. McDermott was with faculties of the University of Illinois and the University of Missouri. In 1955 he joined the staff of the Department of Agricultural Economics at Purdue University.

From 1963 to 1965 he served as Professor and Chief of Party for the Purdue University Contract Program at the Universidade Rural do Estado de Minas Gerais, Vicosa, Brazil.

Recently, Dr. McDermott was Rural Development Officer for the USAID Mission to Colombia. He is now Deputy Director, Office of AID Research and University Relations. He is one of the major researchers in the CIC/AID project and has done research on the impacts of college contracts with foreign aid.

EXPERIENCE WITH PRINCIPLES, STRATEGIES, AND TECHNIQUES OF INSTITUTION BUILDING

My first task is to express gratitude to the conference planners for assigning a topic based on experience. Next, I need to explain a slight modification made in the assignment to discuss "Technical-Assistance Experience with the Institution-Building Models." Note the plural. One model is the Esman model, at one time called the Pittsburgh model. The other is the Rigney-McDermott model, sometimes called the Technical Assistance-Institution Building (TA-IB) model. My discussion will not be a narrative of empirical experience, but rather an attempt at generalization or abstraction based on experience as a participant on an institution-building project, as a researcher on the CIC/AID study, and as an AID officer responsible for IB contracts.

With these preliminary statements, I want to base my discussion on five general statements:

1. These models complement each other and are highly useful.
2. The models are both under-used and mis-used.
3. There are many institution-building tasks in foreign technical assistance, and so far we have largely ignored most of them.
4. The U. S. university contractor is by all odds the most important element of technical assistance involved with the institution-building process.
5. One element, important in both models, has been very much neglected in action and research, the transaction.

The Models

The models had completely separate origins and were developed for different purposes. Yet they emphasize very much the same points from separate points of view and are highly compatible. The Pittsburgh model was developed at a higher level of abstraction and discusses a general problem of institution building. It is applicable to building new institutions or analyzing old ones. The TA-IB model is aimed at the role of technical-assistance personnel working in a foreign situation. It is at a lower level of abstraction and was developed on the basis of experience.

The TA-IB model pays particular attention to attitude formation which reflects strongly the attribute dubbed doctrine in the Pittsburgh model. Program from the Pittsburgh model is treated under a concern for role in and useful services to the nation's economy in the TA-IB model. Both are concerned with transactions, which fact is particularly emphasized in contacts at all levels and the creation of bi-national pairs in the TA-IB model. Both are equally concerned with governmental

relationships to help keep the institution financed, with enabling linkages, and with functional linkages, by which the institution delivers its product.

The Pittsburgh model is static. It simply calls attention to relevant factors in institutional growth and health. It doesn't yet provide an "if--then" framework for analysis or hypothesizing. The TA-IB model assumes certain "if--then" relationships but leaves them in a considerably unrefined state.

Crude and imperfect as these models are, if indeed they can accurately be called "models," they are the best we have and can be useful in practice, if they are regarded correctly. The models should be regarded as mechanisms invented for the purpose of helping to understand and talk about the things we have discovered in institution building. The models do not represent reality. Nor do they present a procedure. Institution building is a process which we can facilitate but not procedurize.

Model Under-Use and Mis-Use

On the one hand, the models tend to be under-used, and on the other they tend to be over-used or mis-used.

The models pertain to the technology of institution building, and any attempt to use them at a higher level will result in disillusion. The models serve equally well to build institutions that are bad or dysfunctional and institutions which are good or functional. They can be used to develop a new system of agricultural education, as is being done in India, or to strengthen a traditional system. The models simply will not tell development administrators what kinds of institutions are needed. Answers to that sort of question must come from some other "model."

Nor will the models tell how many resources to put into a given institution-building effort or when to terminate an institution-building effort. The models can help to provide useful information for use in still another model which must be used for that kind of decision. Whether to put resources into an effort and how many depends both on what can be expected from the effort and what the alternatives are. The institution-building models are helpful, no more, in analyzing what may be expected from an institution-building effort. They have absolutely nothing to say about the alternatives.

The models are under-used in that they are seldom thought of beyond the university-building project, which by the nature of things means almost only agricultural university building. This is serious, since ideally almost all of technical assistance or even indigenous developmental efforts must involve some institutional overhaul if it is to persist.

In summary, our crude institutional-building know-how has been almost entirely limited to use in agricultural higher education projects, a serious limitation, but we have attempted to stretch it to far too many aspects of that problem, a serious lack of discipline.

A Special Case of Under-Use of the Models

The United States has indeed undertaken an ambitious task in its efforts to help other countries with institution building. In order to accomplish that task, it has had to engage itself in some institutional innovation and remodeling of its own. Curiously, almost all of its institution-building attention has been devoted to the host institution or to the target institution. Its own house has simply been ignored. To my knowledge there has been no attempt to apply the models to its own tasks.

The creation of AID itself has been a challenge to institution builders, but perhaps more significant for our task is the creation of the institution-building, technical-assistance field team. Both the field team and the USAID Mission need to be institutionalized, at least to a degree, in spite of the very rapid turnover of personnel. Still other institutional tinkering is involved when the U. S. university adds overseas technical assistance in institution building to its program and attempts to use its internal structuring and accommodate new activity. It hardly needs saying that many of these institutional adjustments have not been well executed.

The most serious inadequacy of this part of the institution-building process concerns doctrine of the U. S. university, and especially of its field team. Developing a functional doctrine--or the proper attitude toward its task--is the most important task of the field team. It needs to see that it is not in its institution-building role because of individual superiority--or superiority of its personnel over that of the host institution. It is in its role because the U. S. has an experience in economic development which can be helpful to the host country. There must be respect for host institution personnel. Not only is the right or useful doctrine often not adequately established but also there is frequently lacking any unified doctrine that enables the team to perform adequately year after year.

This attention to the field team leads to the next proposition.

U. S. Field Team, Key to the Process

In a technical-assistance program in institution building the U. S. field team, almost always a contractor, usually a U. S. university, is by all odds the most important actor in the play. The U. S. university or contractor is the change agent. It is the responsibility of the change agent to be sure that adequate technical assistance is given to the host institution per se. It is also the change agent's responsibility to see that other actors in the play know and play their roles. Of course, there are many situations beyond the control of the field team--or of anybody else.

This emphasis on the field team is not a matter of doctrine. It is a matter of necessity. The field team is in the game. The rest of us have side-line or supporting assignments. It's not difficult to help out the field team when it needs help and knows it does and for what purpose. It's almost impossible to help out a field team that doesn't know what it's doing and does not have strong leadership.

This argument pertains to technical assistance. There are many cases of successful institution building that do not involve technical assistance in the process.

The Importance of Transactions

One element of the Pittsburgh Model is very much overlooked in all our discussions. It is not overlooked in the TA-IB model. This is the transaction. A linkage is an abstraction, in a sense. A transaction is concrete, two people talking to each other. Adequate linkages finally resolve themselves into inter-personal relations, frequently between only two people. The technical-assistance team gears into and becomes a part of the host institution via interpersonal relations, two people getting along with each other, personally, and collaborating with each other.

This is a very simple process--two people talking to each other--transacting--trading something--favors (or perhaps insults). Yet it is a very neglected process. It is unbelievable the number of problems that persist and are allowed to persist because two people simply don't get around to talking it out. Frequently no important issue is involved. This lack of communication takes place in all contexts. There is no special technique, no special training, for this talking to others. There is almost nothing we can say about it, but there is plenty to say by the persons in the game--if they say the right things to the right people.

Tuesday, August 18, 1970, 9:45
Oral L. Ballam, Chairman

A CASE STUDY OF A SUCCESSFUL INSTITUTION BUILDING PROGRAM: CIDIAT
César Garcés

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A CASE STUDY OF A SUCCESSFUL INSTITUTION-BUILDING
PROGRAM: CIDIAT 1/

According to the program of the conference, I am supposed to present a paper on a successful institution-building program, that of the Interamerican Center for Integrated Land and Water Resource Development, (CIDIAT), Project 213 of the Program of Technical Cooperation of the Organization of American States (OAS) which is directed and administered by Utah State University.

CIDIAT was established with the specific objective of providing training in the field of water and land development and administration, and to create within a Latin American university the institutional capability of a continuing self-sustained program without the continuous assistance of the original donor.

One is tempted to relate only the successes, but it might be better to throw in the whole story and let you conclude what is successful and what is not. But please share your conclusions with us. We at CIDIAT welcome comments and suggestions that can be used for improving our program.

In presenting this case study reference will be made to the processes undergone to form CIDIAT and later to the activities of CIDIAT in fulfilling its objectives in the area of land and water resource development and administration.

The technical cooperation activities of OAS are the result of 20 years of experience and constant evolution. Today these activities have many components geared to fulfill diverse specific objectives within a philosophy and strategy suited to such a regional international organization.

Institution building is not an end in itself nor is this the only objective of CIDIAT. Nevertheless, CIDIAT's philosophy and doctrine are oriented towards providing part of the training

1/ (Ed. Note) CIDIAT is an acronym for Centro Interamericano de Desarrollo Integral de Aguas y Tierras (Inter-American Center for the Integral Development of Land and Water Resources). Because of space limitations, this paper has been edited to about two-thirds its original length. The material omitted is primarily concerned with general philosophy of technical assistance, detailed descriptions of course offerings, and specific programs of CIDIAT. Transitions and some explanatory materials have been provided by the editor without acknowledgement. An attempt has been made to use the language of the author, but the editor takes full responsibility for possible misinterpretations. This report is essentially taken from the work of Dr. Bruce H. Anderson in the Inter-American Center for Land and Water Resource Development: A Case Study soon to be published by the Arid Lands Institute at the University of Arizona, Tucson, Arizona.

component of the institution-building process within the economic and social development policies of the OAS member states in the field of land and water resource development and administration.

Within the philosophy of the Program of Technical Cooperation (PTC) of the OAS, technical assistance cannot be provided until the recipient country has identified its needs within the framework of a general development plan, specified the availability of country skills and know-how, and indicated additional requirements to be met by the requested technical assistance. In this sense the Organization has gradually evolved a philosophy acceptable to the essence of a regional international organization, respectful of the prerogatives of independent member states, and with the operating procedures for a gradual evolution to meet the economic and social development objectives of the region.

The adopted system is not oriented to the immediate optimization of the efforts of technical assistance, but to the continuous growth of a development potential. As the countries reach the necessary experience to make use of a technical assistance program at their disposal, they themselves will optimize the benefits. Technical assistance cannot be imposed and be successful.

The concern with technical assistance in Latin America as a tool of development policy took shape as a result of two well known events: (1) the development of the United Nation's doctrine on development and international cooperation, and (2) the Point Four Program announced by President Truman in his inaugural speech in 1948, and the ensuing Act for International Development of 1950 that incorporated as a principle of the foreign policy of the United States, "to assist the efforts of the peoples of the areas less economically developed, mobilize their resources, and improve their living conditions." President Truman described the "bold new program" as the task of "making available the benefits of our scientific knowledge and our individual progress for the improvement and development of the areas not sufficiently developed." President Truman added, "the material resources that we can make available to assist other peoples is limited, but our immense resources in technical knowledge grow constantly and are inexhaustible."

The emphasis of the program of technical assistance of the United States is based on the transfer of abilities, skills, and know-how. The concept of the transfer of technical knowledge replaces the previous theory of economic development based only on the transfer of physical capital as a means to reach an expected growth of the rate of savings/investment.

Today there is no doubt that the transfer of skills and knowledge necessary for the self-sustained growth of developing economics is the principal objective of all programs of technical assistance, be it of a bilateral or multilateral source.

Three institutions were directly involved in the creation of CIDIAT: the Program of Technical Cooperation (PTC), Utah State University (USU), and the Universidad de Los Andes (ULA). A fourth one, the government of Venezuela, representing the host country and

directly financing about 40 percent of CIDIAT operating costs, has played a lesser role as will be seen through the following pages.

The initiative for Project 213 was clearly taken by PTC, when in the year 1961 it requested authorization from the Inter-American Economic and Social Council (IA-ECOSOC) to launch the project. The statement that justifies the request reads, "There is a fundamental need to develop the natural resources of water and land by means of an integral (comprehensive) utilization, particularly through the development of hydroelectric power, provision of water for domestic and industrial consumption, irrigation of agricultural lands and river and other water navigation with the double objective of stimulating agricultural and industrial development of an area through the integrated utilization of the lands and waters of a region."

The project authorization called for the establishment of a center within a university of one of the member states to carry out training activities at a post-graduate level, to promote exchange of technical information, and to improve existing operating institutions dealing with the development of land and water resources. In addition, the project would have a five-year duration and would be financed by contributions from OAS, the host government, and the host university. Of the five countries approached to host the Center, Venezuela showed the greatest interest and was most willing to provide support. Also, Venezuela is well situated from the standpoint of travel from South America and Central America. The recently completed underwater cable provides excellent telephone communication between Caracas and the offices of the OAS in Washington, D. C.

Venezuela also has a wide range of climatic conditions. The country has many water projects that encompass a wide potential of educational experiences in planning, implementation, and operation. Field trips to such projects enhance the value of the courses taught at CIDIAT.

Mérida which was chosen as the site for the Center, has advantages and disadvantages. It is approximately 720 km (445 miles) west-southwest of Caracas, 8 degrees north of the equator at an elevation of 1,320 meters (5,300 ft.). The climate is pleasant, with an average annual temperature of about 18°C (68°F). Rainfall is approximately 1,520 mm (65 inches) annually. The Universidad de Los Andes is the major activity within Mérida. One should not pass over lightly the advantages of locating the Center on a major university campus. The operation can thus draw on facilities and staff that would require duplication at most non-university sites. The political activities of the students occasionally disrupt the Universidad de Los Andes and cause loss of study time, but this has not yet affected the operation of the Center.

Disadvantages of Mérida include unreliable communications between Merida and the other Latin American countries. Changes are underway, however, and should bring improvement. Travel to and from Caracas is relatively good, since there are three air flights daily. The time required to travel from Mérida to the major project areas of Venezuela such as Guarico, Majaguas, and the Orinoco development is a disadvantage.

The pattern of the Center is similar to that of the several centers previously established by the Program of Technical Cooperation. The Universidad de Los Andes took notice of the availability of the project and appointed a committee of the Deans of the Schools of Engineering and Forestry and three professors to study the possibility of offering the host country's facilities and contributions to the OAS. In May 1962, the committee produced a report acknowledging the feasibility and advantage of the project and recommended that it be established in Mérida, Venezuela. The report also contained a list of university staff that could collaborate with the Center as well as a budget for the first four years of operation.

The University Council declared that "the field of land and water resources study in Mérida was an opportunity for the Universidad de Los Andes to expand activities, strengthen the academic staff, expand facilities, increase technical, scientific and cultural prestige, and as a consequence to make an important contribution to the social and economic development in the local region, the country, and in Latin America."

A delegation of ULA staff participating in the Latin American Congress of Hydraulic Engineering in Chile in 1962 obtained from the Congress the recommendation of Mérida as the seat of Project 213.

In the following year the Rector of the Universidad de Los Andes continued his action with the Government of Venezuela to expedite an official request to the OAS that Venezuela be the host country. The PTC as early as 1962 explored with Utah State University the possible interest of the university to provide the technical support, guidance, and administration of Project 213.

Utah State University (USU) which was founded in 1888 as part of the system of land-grant universities established in 1862 in the United States has particular research and teaching strengths in disciplines pertinent to natural resources, and since 1950 the University has enrolled a remarkably high ratio of international students as compared to other universities in the United States. These factors combined to make Utah State University a logical choice for involvement in CIDIAT.

The President of USU visited ULA at Merida to appraise the institution and the local government. In June of 1964 the Rector of ULA made in turn a visit to USU in Logan and discussed with the authorities the terms of collaboration for the establishment of CIDIAT.

Immediately after this visit, ULA advised the PTC of their concurrence with the selection of the Utah State University, and on June 16, 1964 the Secretary-General of the OAS and the authorized official of USU signed a contract which required that USU "provide the technical support, guidance, and administration in the organization and development of the center . . . and the purpose of such assistance will be to facilitate the establishment of a permanent educational institution at the University of Los Andes in land and water resources development."

Seven months later, in February 1965, an agreement was signed between the government of Venezuela and the Secretary-General of the OAS for the establishment of Project 213 of the Program of Technical Cooperation at a university in Venezuela. The Universidad de Los Andes ratified the agreement and assumed the obligations of the host university.

The Agreement stated that the major objectives of CIDIAT were to:

"Train through regular short and intensive courses, professionals and high level government officials; to develop their administrative capacity in order to increase the effectiveness of their present work in the adequate use of natural resources; to coordinate the operation of existing facilities and improve the maintenance and administration of land and water projects.

"To promote the interchange of technical information and ideas between professionals and administrators in this field."

"To improve existing institutions concerned with land and water development projects."

The Agreement further stipulated that:

"The training program should be carried out by means of seminars, short courses, regular courses, and research related to training, "and the Project will have a time limit of six years as of the 1st of January 1964."

To assure continuation of the aims of CIDIAT, the Agreement provides that,

"a year prior to the termination of the project the, two parties will initiate the arrangements for the definite transfer of the Project, and adds that once the Project has been transferred, the host university will continue the activities of the Center as a regular program of the University without the financial assistance of PTC."

The Government of Venezuela has stated that continuing the inter-american character of the Center for several additional years will be beneficial to the country and that other institutions of higher learning in Venezuela should become involved as recipients of the benefits of the Project also.

Continuation of the project is assured. Universidad de Los Andes created in December of 1969 the Centro de Investigaciones para el Desarrollo Integral de Aguas y Tierras, referred to as CIDIAT Nacional. This Center started operation in January of 1970 with part of the Venezuelan staff of Project 213 and constitutes a regular program of the Universidad according to the terms of the Agreement. A transition period to continue Project 213 for a short time has also been requested by ULA to help strengthen CIDIAT Nacional.

The agreement expired the 31st of December, 1969, but an extension of five more years, as a transition period, to transfer CIDIAT to the Universidad de Los Andes is being negotiated between the parties.

Implementation of Project 213

With contract negotiations completed, Utah State University faced the problem of how to develop a program that would provide the kind of training needed in Latin America. Answers were needed to the following types of questions: What should be taught at the Center? How? and to whom?

Each of the above questions, when considered in depth, raises additional questions for consideration. An item of prime importance is the identification of needs and their priorities. Could a general curriculum serve all countries when the development problems vary from country to country? Participants would have different backgrounds and training, thus adding further complexity to the problem. The criteria used in selecting participants would influence subject-matter requirements. Flexibility would have to be maintained in course content, so that changes could be made to meet the needs of the participants.

To provide answers to such questions a series of conferences and seminars was organized at Utah State University by the on-campus project coordinator. The first conferences involved deans and faculty of the University. Later conferences included two groups of specially chosen consultants and a third group of selected leaders from Latin America.

The consultant groups were composed of specialists in agronomy, geography, forestry, engineering, economics, water-resource development, sociology, and private business who had had previous experience in Latin American countries. The two groups met for one week each on different dates to brainstorm the questions: What should be taught at the new Center? To whom should it be taught? How should it be taught?

The conclusions and program suggestions generated by the first consultant group were passed on to the second group to aid in their deliberations. A Latin American Seminar attended by high level government and business administrators and educators from 15 South American countries was then organized to review the work of the first groups and to prepare specific recommendations for the Center, and these recommendations were used to guide the Center during its development.

It is interesting to note that all consultant groups required time to solve semantics problems. Terms and concepts had to be defined in mutually acceptable language before members of each group could communicate well enough to focus on the specific questions under discussion. The language barrier was quite difficult to overcome for the seminar group from Latin America, despite the competence of simultaneous translators.

The seminar group raised many questions about the Center. Why was it located at Mérida, Venezuela, and not in some other country?

How could the Center, with a limited number of scholarships, hope to train the numbers of professionals needed by all countries? Where would competent staff be obtained without raiding national organizations? How would students be selected to assure the training of people who would be of use to the country? How could countries individually profit from the Center? How would the policies and programs of the Center coincide with the real needs of each country?

Such questions had to be resolved before the group could deal with specific recommendations for the Center. The following is a summary of the discussions that provided solutions to most of the problems.

Venezuela had received favorable attention from the OAS as a possible site for several reasons. The Government of Venezuela agreed to a substantial monetary contribution, while the Universidad de Los Andes agreed to provide facilities and additional support to defray administrative costs for the Center.

Venezuela is ideally situated from the standpoint of travel from South and Central American countries and has a wide range of climatic conditions. Large expanses of low-lying llanos or plains areas receive heavy rainfall and flood during the wet season and dry out during the dry season. In arid areas, nothing grows without irrigation; and in mountainous regions of variable rainfall, campesinos eke out a meager living on small farms with and without irrigation. The many water projects that are under development in Venezuela offer a wide range of possible educational experiences in planning, implementation, and operation.

Since only 25 scholarships are available for each CIDIAT international course, national training courses seemed essential to train large groups of nationals. It was recommended that a country could request that the Center present a course to prepare technicians and specialists to cope with its national interests. Budget and staff limitations would automatically restrict the number of courses that could be offered each year.

In discussing the selection of students, seminar participants pointed out that many full-time professional students lived a good part of their lives by obtaining scholarships to study abroad. They never stayed in the country long enough to work and contribute to the common welfare. A careful screening of candidates and an endorsement by the organization for whom they work was suggested.

The discussion on staffing the Center brought out the reluctance of development organizations to continually lose their better men to international agencies. The participants realized that CIDIAT had to have a staff, but they resented international groups with adequate budgets that could make it virtually impossible for national agencies to compete in salary negotiations.

The participants stressed practical applications in the course work. A suggestion was made that the seminar participants should select a committee to meet once each year and review the work of the Center, though it was not feasible to act upon this suggestion

immediately due to budgetary limitations. Finally, emphasis was given to maintaining a close contact with national universities and to involving them whenever possible in national training course programs.

Following the discussions, the seminar group proposed specific recommendations to guide CIDIAT. It was recommended that training be conducted at three levels:

- (1) One or two-week high-level seminars for persons in policy-making positions.
- (2) Short courses lasting approximately two months for persons at the midmanagement level with eight or more years of working experience.
- (3) Course of approximately six months duration for professionals with two to eight years of experience of working with land and water problems.

These three levels of training were considered sufficient to reach the people most important in land and water-development programs. By providing some discussion of development philosophy to all three groups, a basis for communication would be established among individuals from each level within a given organization who attended the CIDIAT courses. The group emphasized the need for maintaining contact with the high-level group as a way to keep abreast of current problems and training needs.

Another recommendation was for national training courses of from one to four weeks, which would be given at a country's request. These courses would provide instruction in a subject area suggested by the country. Through this approach greater numbers of nationals would receive specialized training oriented to national needs.

Perhaps the most arduous task assigned to the seminar participants was that of considering the curriculum. Only a very few of the participants came from educational institutions, and after much deliberation they approved a curriculum much as it had been proposed by the USU consultant groups.

All of the courses are organized around a five-point outline which is general enough to be adapted to particular areas of interest and allows individual professors to define the specific focus. Major points in the outline include (1) an introduction to theory of economic growth, including social factors affecting use and development of resources and concepts in interdisciplinary and systems approaches to resource planning; (2) resource data collection and evaluation, including physical, economic, legal, institutional, and socio-anthropological data; (3) general principles of resource planning, considering social and political objectives, scope of development, constraints and limitations, preparation of alternative plans, cost allocation and financing, and priorities and scheduling of development; (4) logistics of project development, including finance, personnel, administration, procurement, property and organization; and (5) project operation and maintenance.

Activities of CIDIAT

The Center began operations in May of 1965 at the Universidad de Los Andes. The first program was held during July of 1965. The Universidad de Los Andes provided and still provides temporary facilities including office space, classrooms, and access to simultaneous-translation equipment. From its initiation to the end of June 1970, the Center has held three High Level Seminars; six International Short Courses; four International Regular Courses; two Regional Courses, and 24 National Courses. To June 1970, 1,044 persons have participated in the training programs, representing all countries of the OAS except Barbados, which was only recently admitted to the Organization.

How does one evaluate the work of a training center such as CIDIAT? Continuing contact with each alumnus is costly, time-consuming, and difficult. Questionnaires and evaluation forms too often reflect what the participant thinks you would like to hear. Also, the contributions of individuals to a program do not usually become apparent in short time periods. Notwithstanding these problems, some positive results and examples of progress as a result of CIDIAT's training efforts can be cited.

CIDIAT has been following the general outline of courses recommended at the first High Level Seminar. Space limitations do not allow full treatment of each subject matter area in the courses, but a short description of each course follows:

Two-Month Short Course. The two-month short course is the basic program of CIDIAT, and it is designed to give participants maximum learning experiences in a minimum time. After a short orientation, participants are introduced to principles of group dynamics to establish an atmosphere in which mutual trust, acceptance, and teamwork maximize the learning process for each participant.

Very early in each course, participants are divided into groups and assigned an actual project as a case study. To save time, data is supplied by the staff, but a short field trip of three to five days allows participants to check data, collect additional data, and become familiar with the project through contact with professionals in the field. These data are then used for a report or a feasibility evaluation prepared by each group.

The laboratory experiences are complemented by lectures and discussions on (a) philosophy of land and water development, (b) economic considerations at national, regional, and local levels and the mechanics of project formulation, and (c) data collection and analysis techniques for meteorology and hydrology, soils, water-supply and irrigation-water requirements, crops and cropping patterns, urban and industrial water requirements, human resources and institutional problems, and benefit-cost ratio.

The final two weeks of the course is used by participants to prepare their reports, an activity that requires considerable team effort. On the final two days of the course, each group presents an oral report of their case study to the entire class.

The case studies selected by the staff vary from course to course to assure diverse experiences. For example, in one course the case study emphasized a project for which very little data was available and presented the problem of how to handle such a situation and the dangers involved in making decisions based on assumptions and scarce data. Another study involved a river basin that had a well-advanced urban and industrial area and new agricultural lands. Another project centered on the problem of colonization in a region where land and water was plentiful but no infrastructure existed.

Two two-month courses provide insights into the broad problem of development and help to alert administrators to the need for considering alternatives. The human social factors have been emphasized in these courses in addition to the technical problems, for while the world has at hand the tools, the understanding, and the experience to solve most technical problems, solutions to social problems continue to evade us. Thus, technical people--engineers, scientists, and administrators--need some training and background to assure their support of programs and research in socioeconomic areas and to bolster their knowledge and acceptance of the advantages of an interdisciplinary approach to project development and management.

The Six-Month Regular Course. The six-month course is designed to increase technical skills rather than administrative competence. The participants tend to be younger and less experienced than those in the two-month course. The emphasis on mastery of academic material is greater and classroom activity is more intensive.

Some elements of the two-month course are utilized. The orientation and group dynamics aspects are essentially the same. A case study is also used to foster a better understanding of all the factors that must be considered in land and water development. Keeping these aspects common to both courses sets the stage for better communication between management and technical personnel.

During the six-month course, the staff presents material on topics such as irrigation, drainage, soils, and crops in relative depth. The academic work offered to the six-month course participants is at the level of a master's program. Participants in the third six-month course (completed in June 1969) who wanted to work towards a master's degree were given credit for the course by the Universidad de Los Andes.

National Training Programs. National Training Programs vary each time they are offered, since requests for such programs come from different countries and their needs are different. A number of the courses have dealt with irrigation and drainage problems. Another considered the problems of operation and maintenance of an irrigation district. Perhaps the most innovative National Training Program undertaken by CIDIAT involved a course in management and did not include any material of a technical nature.

Regional Training Courses. Some courses have been organized on a regional basis. Nearby countries have been invited to participate in what was originally intended as a national course. These courses emphasize host country problems, but have more extensive potential applications.

High Level Seminars. The High Level Seminars for government and educational leaders from several member states have contributed significantly to the success of CIDIAT. They have provided a clearing house for ideas, programs, and curricula. Involving seminar participants in discussing these items has provided an excellent opportunity for indirect learning. Discussions have included development philosophy concepts, management techniques, the process of project formulation, and individual country needs. Participants have exchanged ideas and obtained feedback on their approach to development problems. Undoubtedly a close contact with the leaders of development organizations and educational institutions is necessary to CIDIAT's future.

Experimental Course in Executive Managerial Training. One evidence of the success of CIDIAT is the request for special programs from several sources. For example, the director of INCORA (Agrarian Land Reform Institute of Colombia) requested a program since he could send only one or two participants to the regular courses.

CIDIAT sponsored a one-week course to help INCORA administrators with training in communication processes, using techniques to build teamwork and to develop understanding of administrative purposes.

The experimental course was so well received that the director of INCORA requested additional courses for his staff and for other Colombian organizations. Within a year, Colombian agencies arranged for and financed thirteen additional courses, including a two-month course in operation and maintenance of irrigation districts.

Course in Operation and Maintenance of Irrigation Districts. The irrigation district management course was originally planned as a national course but was broadened into a regional program with El Salvador, Honduras, Nicaragua, and Venezuela participating. The course provided training to project managers and prospective managers in the operation and management of irrigation districts. The Roldanillo Irrigation Project, where the course was held, provided real problems and actual field situations for classroom discussions and laboratory exercises.

The teaching staff included professionals from CIDIAT and INCORA, consultants from other Colombian agencies, and two specialists in operation and maintenance from the United States Bureau of Reclamation. The USBR men provided technical assistance to the project in addition to filling teaching assignments and were financed by U. S. AID/Colombia.

One week of sensitivity and management training allowed course participants to look seriously at their own management techniques and operational procedures. The concept of self-analysis and introspection helped participants achieve a new approach to management problems.

The impact of the course was such that the Venezuelans requested a similar program for management and personnel of their irrigation districts. Ecuador also requested a national course in operation and maintenance. CIDIAT complied with both these requests as quickly as possible.

Other benefits from the Roldanillo course included INCORA's realization that the shortage of experienced, trained personnel to cope with the expansion of irrigation in Colombia was critical. Subsequent evaluation of personnel needs indicated that a minimum of 300 persons per year for the next five years must receive training and experience in various aspects of the operation and maintenance of irrigation districts.

INCORA requested CIDIAT to establish a CIDIAT subcenter to help INCORA train its personnel. This has been done and Colombia now has a subcenter of CIDIAT called PADE (Program for Training, Demonstration and Research). The Director of PADE is furnished by CIDIAT, with supporting staff from INCORA and from Utah State University with USAID financial support.

The Colombian experience evoked interest in Brazil, and the Under Secretary of the Ministry of Interior of that country traveled to CIDIAT and to Colombia to discuss the program. Brazil followed through with a request to the OAS to have CIDIAT organize a subcenter of CIDIAT in Brazil. Organizational work is still in process, and if the funds become available, another CIDIAT subcenter will become a reality.

Experience with all CIDIAT training shows that the teaching process has to be oriented to the needs of professionals who are mature, responsible adults. Class schedules, therefore, provide ample opportunities to discuss and absorb class material. Large groups are subdivided to encourage additional discussion and exchanges of ideas and experiences. The structure of each course is kept flexible to allow changes where necessary to meet the needs of the participants. It is admittedly difficult to provide students with sufficient background in all areas of study related to land and water development in interdisciplinary training programs of short duration. CIDIAT courses are, therefore, designed to provide at least sufficient material in each discipline so that those not knowledgeable in that area can understand its importance and potential contributions to the development process.

For example, instruction in agronomy emphasizing the relationships between plants, soil, and water is provided to engineers who usually concern themselves with only the physical features of the project. Stress upon the fact that structures and distribution systems only serve to provide water to farmers for use in growing crops, encourages engineers to consider the end use of the developed water and not only the engineering aspects of the facilities to divert, store, and transport it. The economic aspects of water resource systems are presented to all participants, so that alternative uses of money can be evaluated by decision makers and appreciated at all levels. In addition, all courses include a case study that provides the participants with a realistic opportunity to test new concepts and learning relative to project formulation.

Introductory courses in sociology provide engineers, agriculturalists, and economists with insights into people-oriented problems that must be solved before a project is successful. Often the social problems present the greatest challenge, especially when the people who will live with a project are never consulted about their part in the development process.

CIDIAT awards 25 scholarships per course for each regular six-month course and for each two-month short course. The scholarship includes travel from place of residence to Merida and return, housing and a living allowance at Mérida, accident insurance, books, and classroom materials. It is customary for the home institution to continue the full salary for the individual during the course.

Brochures sent to selected agencies outline the next course to be offered and provide sufficient information to assist administrators in selecting applicants. Applications come mainly from government agencies and institutions, although private institutions and agencies receive consideration as well.

A committee comprised of representatives from CIDIAT, the Program of Technical Cooperation, and Utah State reviews the applications and awards the scholarships. The committee attempts to match participants to the objective of the course in order to obtain as much group homogeneity as possible. This helps minimize unproductive conflicts within the group and fosters a better learning atmosphere.

To test the value of course content and the effectiveness of teaching procedures, the CIDIAT staff has adopted a system of student evaluation for national and international programs. Each lecture, or contribution by a staff member is evaluated by the participants. The material is rated with reference to the student's previous knowledge of it and according to its degree of helpfulness to him. The professor is rated on the effectiveness of his presentation. The results of the student course evaluations are used during the staff's planning conferences. Professors' ratings are used to stimulate the development of better methods and techniques in teaching.

The participant evaluations have stressed the advisability of providing competent professors who can teach in Spanish. Simultaneous translation is often inadequate in projecting the desired message for non-Spanish speaking teachers.

Conclusions, Evaluations and Observations

The chain of events that led to the sponsoring of CIDIAT by the Program of Technical Cooperation of the OAS and the government of Venezuela, indicates a logical and sound approach to international cooperation. The OAS is duty bound to promote social and economic development for its member nations; it depends upon host countries to provide sites for its programs. Venezuela, by accepting the responsibilities of being host country, including the financial obligations this implies, displayed its willingness to work with

and support the OAS-PTC Program. It is possible that a host country could place undue pressures upon such a Center to give considerable attention to national problems. Thus far, this has not been a problem for CIDIAT. Both the government of Venezuela and the Universidad de Los Andes have given CIDIAT every opportunity to develop and carry out its programs.

Utah State University was chosen as the active advisory agent because of its impressive accomplishments and rich background in land and water problems. Although climatic conditions of Utah are not the same as exist in the humid areas of Latin America, the water problems of the arid portions of Latin America resemble those of Utah. For instance, the Rio Negro Valley of Argentina, the coastal area of Peru, and the irrigated areas of Chile all have problems similar to those encountered in Utah. In addition, the fundamental principles governing water problems do not change. Nevertheless, judicious selection of interamerican staff and consultants was also essential to help overcome the lack of absolutely comparable social, economic, and climatic features between Utah and South America in general.

Undoubtedly, another factor in CIDIAT's success was having the concept of the Center generated by the Latin American countries themselves. Although the over-all need of resource development in relation to population growth presents a gloomy picture, any solution imposed from without would be resented. The plan to expedite the training of personnel in management of land and water resources was further enhanced by the knowledge that money was available to develop sound resource projects.

The early use of South American consultants to advise Utah State assured invaluable insights into the problems of South America and resulted in recommendations that focused the curriculum on real needs. The follow-up work by selected consultants provided CIDIAT with course material oriented to specific Latin American conditions.

The first High Level Seminar deliberately brought together heads of departments of irrigation, directors of agrarian land reform agencies, university professors, and others knowledgeable about their countries' problems. By continuing contact with these leaders, CIDIAT has gained excellent sources of potential participants and even some staff members. These seminar participants have become legitimatizers and firm supporters of CIDIAT's programs.

The patterns of involving the Latin American leaders in planning the training program and of subsequently training members of their staffs were designed to promote a vertical integration of thought and action within each country's land and water agencies. High level administrators were exposed to the same philosophy of development in much the same manner as individuals at mid-management and technical levels. This gave a basis for understanding on both sides when changes and innovations are suggested.

In reviewing the program to date, it is obvious that the desire of the Universidad de Los Andes to expand and become involved in international programs was important to CIDIAT's success. The University

administrators saw the cooperative program with the OAS as an opportunity to expand its international activities and to provide additional services to its own country. They were fully aware that their staff would need training in this new area and that additional facilities would be needed on campus to support the program.

The project would have faltered and perhaps failed without adequate backstopping and technical guidance during its formative stages. These have been the functions of Utah State University.

One of the most significant reasons for the success of CIDIAT has been its dynamic nature. Personnel and programs have not been locked into an inflexible pattern. Instead there has been constant adaptation to meet changing needs, and other changes are contemplated. Participants in the 1967 Seminar evaluated the program and recommended the changes which are summarized below. Many of these changes are being implemented:

1. Combine periodic high level seminars. Orient the two-month course to directors of planning departments, project leaders, or directors. Review and modify or eliminate the regular course in favor of more national courses. Intensify national course training efforts and include subprofessional training. Carry out such courses through local universities.
2. Participate in research in water management, human social factors, economic factors, water pollution and quality control, and water rights and legislation.
3. Provide technical assistance in water resource development on an increasing scale to development organizations and to universities concerned with graduate and undergraduate training programs in water resources.
4. Compile and distribute (and publish if appropriate) data and research results pertinent to land and water development.
5. Continue CIDIAT's program on a permanent basis and assure finances for the Center.

The doctrine of the Program of Technical Cooperation seems a logical and sound approach of a regional international organization for the establishment of specialized Centers within a Latin American university. The Centers can draw additional resources from the overall technical-assistance program to help fulfill not only its limited objectives, but the country's development needs in their substantive area of concern.

One danger is the tendency for the Centers to try to expand activities beyond their objectives and staff limitations instead of coordinating their programs with the additional component programs of the Organization or the other multilateral or bilateral technical-assistance programs.

The Future Role of CIDIAT

CIDIAT's role to date, while admittedly small in relation to the burgeoning need for training, is sufficiently important to justify continuation and expansion. Under terms of the OAS-USU contract and the OAS-Government of Venezuela contract, CIDIAT will develop a permanent educational institution at the Universidad de Los Andes. Approximately four to five years are estimated to be necessary for smoothly transferring the responsibility and financing of Project 213 to the Universidad de Los Andes. During this period (1970 through 1975) the international aspects of the present program at Mérida will necessarily assume lesser importance, even though some international activity will continue, especially in the National Training Courses.

A continuation and expansion of CIDIAT as a permanent organization has been proposed. The present commitments of CIDIAT would continue to be honored with such a center, and additional activities would be undertaken to further facilitate the development of land and water resources in Latin America.

A full-time coordinator from ULA is working with a committee of professors and CIDIAT personnel to develop plans for the permanent program in land and water resources at the Universidad de Los Andes. As these plans are approved and implemented, ULA will gradually assume full responsibilities for the program. Selected Universidad de Los Andes staff members are involved with presenting CIDIAT courses; others are taking advanced training as preparation for the new university undertaking. A building to house the resources program is slated for construction on the Universidad de Los Andes campus during 1970 or 1971. It is expected that the permanent program at Universidad de Los Andes will consider strengthening undergraduate training, developing continuing educational programs at various levels, giving graduate training, conducting research programs, and providing some technical assistance to national and regional development organizations of Venezuela. Students from other countries will be welcome to participate in the training programs.

The creation of a national training center in Colombia with CIDIAT assistance hopefully portends a trend. Countries actively involved in land and water development and agrarian land reform programs do not have the personnel to cope with the details involved. As a result, much of the work is contracted to private firms and international agencies. Local technical competence must be developed to take over the operation of such projects and provide continuity to the overall program. Much of the competence that is lacking can be provided by short course programs and on-the-job training. National centers can satisfy these needs on a continuing basis. Such centers should work in conjunction with local universities or educational centers where possible. They should not try to usurp the basic training offered by local universities. Instead, they should augment the universities in areas of specific need and provide additional opportunities for professional improvement and growth. Each national center should be flexible enough to develop the types of courses needed by that country.

It is expected that CIDIAT will provide technical guidance and support to the national centers during their formative stages as needed. It will make professors available in special areas on a short-term basis. It will provide assistance to national universities interested in developing and/or improving programs in land and water resources. The Universidad de Los Andes program will be considered as a national center and be entitled to receive continuing support from CIDIAT.

It is planned that CIDIAT's program of providing national training courses to countries upon request will continue, since not all countries will or can develop national training centers at the same time. CIDIAT will also continue to supply technical competence in the latest technology available and will lead in demonstrating the applicability of such technology to local problems of resource development.

The 1967 High Level Seminar recommended that CIDIAT involve itself in research, since a serious lack of data and information hampers the solution of development problems in Latin America.

Very little, if any, reliable information is available regarding the maximization of crop production under irrigation. Although drainage problems exist in every country, very little is known on how to handle them. Experience, so necessary to designing effective subsurface drainage installations, is practically nil, yet the success or failure of many projects involving irrigation depends on the associated drainage system.

CIDIAT will cooperate with universities and research organizations to identify and initiate research in strategic areas. Many graduates returning to their countries with the doctorate, when left without some guidance and support, fail to develop research competence. Follow-through and backstopping by an international center would provide support and technical guidance to such persons. The proposed cooperative programs would train researchers in addition to generating data and information.

The need for technical assistance in land and water resource development will continue and will undoubtedly increase with time. CIDIAT has experienced good success in the past with national courses that provided some technical assistance as well as training classes. If professors or consultants assigned to a national training course can be on the job one to three weeks in advance of the course, they can give technical assistance to the project and use the information obtained to illustrate lectures or laboratory exercises or in problem assignments. Thus both the project and participants in the course reap benefits.

A third benefit inherent in such a program is that the staff members involved become acquainted with field problems and enhance their own abilities to provide service.

Another of the 1967 Seminar's recommendations was to involve CIDIAT in a program of gathering available information pertinent to land and water development and sending it to each country. The need

for such a program is self-evident. It is hoped that the future program of CIDIAT will fulfill this recommendation and carry it further. The emphasis on research should soon produce a continuing flow of data and information. This information should be collected and made available to interested agencies and people. Researchers and extension specialists should be encouraged to publish their work to increase the flow of data and information on Latin American problems.

In addition to the above, there is a serious lack of up-to-date textbooks and teaching materials in the Spanish language in the land and water field. It is hoped that CIDIAT will be able to develop textbook materials and publish these for dissemination and use by educational institutions and technical personnel.

Another very desirable development that needs to be made is library tie-in with sources in the United States and other countries to keep current with available pertinent information from abroad. This material should be screened and made available in Spanish for use in Latin America.

In summary, a continuing CIDIAT program will require a change in orientation while capitalizing on past experience with, and acquired understanding of, Latin American problems. It should continue to backstop the program at Mérida, Venezuela, but reduce its direct responsibilities as ULA assumes leadership. It should act as a catalyst in other Latin American countries to generate national training centers oriented to national needs. Ideally, the CIDIAT program of national and regional training courses will be continued at an accelerated rate in cooperation with local universities and development agencies. Local universities wishing to strengthen their undergraduate course work or to develop competence in graduate training for work in relevant fields should receive technical assistance, preferably in connection with the sponsoring of a national training course. CIDIAT personnel should instigate and cooperate in research and help to identify problems needing study. In these ways CIDIAT can make an increasing and lasting contribution to the economic, social, and perhaps even the political stability of Latin America.

Tuesday, August 18, 1970, 10:30 a.m.
Oral L. Ballam, Chairman

A CASE STUDY OF A SUCCESSFUL INSTITUTION-BUILDING PROGRAM: TURRIALBA
Dr. Jose Marull

Dr. José Marull is a native of Antofagasta, Chile. He received his degree in agricultural engineering from the University of Chile in 1937. He was associated with the Experiment Station of the Sociedad Nacional de Agricultura in Chile from 1936 until 1948, with interruptions to study at Cornell University, where he received the M.S. in 1941. He also served as Professor of Soils at Catholic University of Chile from 1942 to 1948. In 1948 he returned to Cornell as a teaching fellow, receiving the Ph.D. in soils and economics in 1951.

Since 1953, Dr. Marull has been associated with the Inter-American Institute of Agricultural Sciences (IICA), serving from 1953 until 1960 at Montevideo and from 1960 until 1970 at Turrialba in various capacities, including Assistant to the Director General, Director of Planning, Dean of the Graduate School and Director of the Center.

Since September of this year, Dr. Marull has been Deputy Director General of IICA, stationed in Washington, D. C.

A CASE STUDY OF A SUCCESSFUL INSTITUTION-BUILDING PROGRAM:
TURRIALBA

At the Inter-American Institute of Agricultural Sciences (IICA) we are most grateful to the organizers and sponsors of this meeting for having Turrialba included as a case study. It offers us an unusual opportunity to review the experiences of almost three decades reaping the rich benefit of your reactions to it.

First, I would like to outline the broad framework within which Turrialba has evolved. Although I have tried to confine my remarks to Turrialba itself, some references to the Institute as a whole become rather inevitable, since both Turrialba and the Institute were undifferentiated from one another until 1960.

The idea of creating this new institution was born in the U. S. Department of Agriculture and presented by Secretary Henry A. Wallace to the Eighth American Scientific Congress held in Washington D. C., May 10-18, 1940. His statement before the Congress reads in part: "It is our sincere belief that the establishment of an Institute of Tropical Agriculture is vital if Western Hemisphere agriculture is to develop as it should." Further on in his speech he left no doubt he meant agronomic research on tropical crops of potential growth in Latin American from which the U. S. had been cut-off by World War II.

At the request of the Scientific Congress, the Pan America Union took the first steps to implement such a proposal. A committee appointed for the purpose, recommended a broadening of the scope in order to embrace all of the agricultural sciences. In other words, the guiding image shifted from emphasis on a tropical experiment station to that of an international land-grant college.

The new organism was incorporated as a non-profit organization under the laws of the District of Columbia, USA, in June 1942, beginning operations in October of the same year.

By December the Congress of Costa Rica approved Law 29 formalizing the establishment of the Institute on lands donated by that country close to the town of Turrialba, hence, the nickname.

For a number of reasons, most countries in South America were in no hurry to ratify the treaty of membership in IICA. Not until 1964 was the process completed. On the other hand U. S. interest cooled considerably when access to Asian and African tropical products was restored at the end of World War II. Nevertheless, the U. S. has been the main financial supporter of IICA over the years.

Research activities were launched first, followed by beginning of formal graduate education in 1946. It was the first graduate school in agricultural sciences in Latin America and the only one until 1957. Then others were created in rapid succession, generating pressures for change in Turrialba.

Economic survival was critically aided by research, teaching and service contracts conducted in Turrialba. However, usually they had strings attached, posing problems of coherence and priorities. Financial support came also from projects carried on outside Turrialba, IICA acting as executing agency for the Organization of American States.

Advisory work by IICA staff to all hemisphere countries, irrespective of membership, was conducted from the beginning but has been intensified since 1950. Publications were also part of the picture early in the operations.

With the election of Ormando Samper as Director General, in 1960, a policy called "new dimension," which committed IICA's resources to help strengthen national agricultural institutions was adopted. First priority was assigned to help institutions engaged in graduate education, followed by those in research and last by rural development institution, the latter including land reform.

At the same time, the structure of the Institute was reorganized, segregating the office of the Director General from Turrialba, while absorbing into IICA, field offices that were previously executing various projects for OAS. In turn this meant some adjustment of Turrialba as a backstopping unit for a hemisphere-wide organization.

Along with the marked broadening of political support stemming from full membership of states and the corresponding budgetary expansion, a tendency has developed in the Board of Directors to set a ceiling to the growth of Turrialba.

Recently elected Director Araujo has ratified a general strategy of applying efforts to strengthen national institutions. He is shifting the role of Turrialba towards concentrating on technological change by means of research on tropical areas, with emphasis on Central America.

Being a multi-lateral entity, Turrialba is subject to conflicting and suddenly changing conditions in the countries so as to avoid competition with national institutions. It must also be in tune with evolutions in the Inter-American countries as well as those in the U. N. system.

By now it is probably apparent that Turrialba's relationship to institution building could be discussed from three different yet interdependent angles. First, building of Turrialba itself; second, as a contributor to the building of IICA; third for its participation in helping national institutions achieve improved conditions.

Let's consider now the innovation of graduate education in agriculture as introduced through Turrialba.

Although they were not spelled out, undoubtedly some needs were felt back in 1940 which prompted such innovation, aiming perhaps at the following objectives:

- (1) To start and demonstrate a model of graduate education adapted to Latin American conditions: teaching in Spanish, using local materials, gearing to the requirements of IICA's member states, setting standards both for teaching and allied research.
- (2) To train specialists in fields most needed and/or with a new attitude.
- (3) To conduct research on problems of interest to the member countries, particularly those relevant to the utilization of tropical areas and to the economic and social development of Latin America.
- (4) To experiment with some institutional and technological innovations, such as interdisciplinary activities.
- (5) To assemble a group of experts on different subject matters having good knowledge of Latin America who could carry on advisory missions to the countries.
- (6) To establish a mechanism to attract external resources to Latin America, both technical and financial, in addition to those contributed by member countries.
- (7) To shelter valuable professional people temporarily displaced from their native countries.

In varying degrees all of the above mentioned objectives have been fulfilled, yielding experiences, the highlights of which I would like to mention briefly.

Ideally staff members should have, along with solid training in their chosen field of specialization, a broad outlook plus experience on both Latin America and the tropics. In addition, ability to teach in Spanish is a must. Seldom are these conditions met, so a sizeable investment has been made in the preparation of our own staff by financing doctorate studies abroad.

A non-Spanish speaking expert takes about two years to overcome the language barrier sufficiently well to perform properly in teaching, but this period has been shortened substantially by intensive language training to the exclusion of everything else at the beginning of his assignment.

Most wives of visiting experts adapt themselves well to life in a relatively isolated community, but families having teenagers in their midst are hard to keep at Turrialba due to the preference to avail the youngsters of better educational facilities than those found locally.

Merging of multi-governmental power coming down from the top has been joined with the will of staff members through the assembly of the faculty and its various committees.

There has been a steady upgrading of the students admitted. Theoretically students have come from some 135 colleges scattered over the Western Hemisphere. In the first years, their heterogeneity of background was enormous, posing the dilemma of either offending governments by rejections or by lowering requirements and conducting subsequent remedial training in the absence of an undergraduate division. Actually, a middle course has been steered by raising gradually the entrance requirements while at the same time assisting the colleges to improve their education through a number of means such as courses for professors of specific subjects, seminars on teaching methods, developing libraries, setting self-study groups for the colleges, and promoting accreditation associations.

To counteract unfamiliarity with rural conditions of a student body largely urban in extraction, farm practice has been encouraged as a prerequisite. Intensive English language training combined with emphasis on the use of the library has paid handsome dividends.

Most candidates at Turrialba cannot afford to pay for their education and must come to Turrialba on fellowships from sources such as OAS, FAO, AID, etc. IICA has established a fellowship fund which supports about one-third of the students.

About 40 percent of the graduates have gone back to teach in Latin American universities, 45 percent are in research work and 15 percent in action programs.

Financial resources come from quota contributions by the member countries, plus additional funds from contracts such as those with AID, the U. S. Atomic Energy Commission, the U. N. Development Program, and others. Being limited in relationship to the potential needs, a strict priority in their use has been established through the identification of a "hardcore" of subject matters. These are supported by the ordinary budget of quotas and supplemented by outside financial reinforcements.

In terms of cost-benefit, the Latin American countries are getting in services the equivalent of nearly four dollars for each dollar they contribute to the maintenance of Turrialba.

Finally, I would like to mention that research results from Turrialba have been applied to a local diversification program through cooperation with the municipality of Turrialba, the Peace Corps, and several national institutions of Costa Rica. Turrialba has been declared a national model by the government of Costa Rica and its adoption urged for the rest of the country.

Tuesday, August 18, 1970, 1:30 p.m.
Oral L. Ballam, Chairman

INSTITUTION BUILDING: ITS RELATIONSHIP TO PROJECT PLANNING
Dr. Melvin Blase

A native of Missouri, Dr. Blase studied both at the University of Missouri and Iowa State University where he received his Ph.D. in 1960.

Dr. Blase became Associate Professor of Agricultural Economics and Leader for International Programs at the University of Missouri-Columbia in 1965. Previously he held academic appointments at Iowa State University, Miami University, University of Ohio, Wittenberg University and the Air Force Institute of Technology.

Dr. Blase served for two years in Lima, Perú, while on the faculty at Iowa State.

INSTITUTION BUILDING: ITS RELATIONSHIP TO PROJECT PLANNING

The institution-building concepts presented by Dr. Esman and discussed yesterday will serve as our point of departure here. We will use the Esman model as our initial base and expand upon it in an effort to make it dynamic. This will require the use of a systems analysis approach which should result in a conceptualization of the institution-building process which will allow us to apply conventional principles of economics in the analysis. The objective toward which we are headed is the preparation of a project plan in general and a strategy component of it in particular.

As suggested above, there are two main objectives of this paper. The first is to complete the analytical framework for viewing the institution-building process. The other is project planning per se, with special reference to the development of strategy. In concluding the latter section some comments will be made about implications of the system for a staffing pattern.

The Analytical Framework

As discussed before, the initial functional characteristics are linkages, leadership, doctrine, program, internal structure, and resources. To this list I would like to add a seventh characteristic, technology. By technology is meant the substantive level of competency in individual disciplines. If you will, this is merely a way of viewing the qualitative aspect of what has been previously defined as resources. This refinement is designed to make the rather heterogeneous category of resources more manageable from an analytical perspective.

Now let us turn to the question of the inputs that feed into the functional characteristics and the outputs that result from them. As will be readily apparent in a moment, the functional characteristics are used in the sense of being services generated with the system. That is, there are resources that are consumed in the production of leadership services, for example. Likewise, resources are required in order to develop a program, i.e., generate program services, and similarly for other functional characteristics. By defining these as services, they become variables that can be altered with respect to their level. But how does this alteration take place?

Altering the level of services provided by functional characteristics requires a glance at the resource transformation process that generates these services. This process is defined as sub-system A and has two different categories of inputs. The first of these categories consists of the readily identifiable flow resources that feed into a system at various points in time. The three primary categories of the flow resources are (1) budget, (2) the materials that are provided by the donor, and (3) the technicians that are provided by the donor. In many instances, if not most, the host

institution would probably prefer to have all of the flow resources provided by the donor in the form of cash, i.e., budget. However, most donors insist upon more control over the inputs that flow into the system and hence tend to provide most of their inputs via the last two categories. On the other hand the host government characteristically relies upon the first category as the means of injecting flow inputs into the system. In terms of quantity, the flow resources provided by the host government represent the largest proportion of inputs. However, those provided by the donor are especially strategic due to the flexibility they afford.

But flow inputs do not move into a vacuum. This then raises the question of the stock of resources available in the host institution which interact with the flow resources in order to produce the functional characteristics. These stock variables can and do change over time but in accretionary fashion. Due to their nature they are much less volatile than the flow resources and, hence, have a stock nature. Three categories of stock variables have been identified. These are, (1) the will of the host institution, (2) the opportunities available to the technical-assistance complex (host institution plus technical-assistance team), and (3) the means available to the technical-assistance complex.

Elaboration on each of these three is necessary in order for them to be analytically useful. The composite will of the personnel of the host institution comprises their collective knowledge, desire for and acceptance of the means for change. Clearly, the will variable is a strategic one for initiating change within a project system. In most cases the appropriate strategy will focus on it initially. However, will alone--the human motivation for change--is a necessary but not sufficient condition for efficient system performance. In addition, there must be opportunity for action, in general, and change, in particular. Opportunity is constrained by certain objective considerations which are external to the host institution component of the system. For example, at times restrictive legislation constrains an institution. In addition, however, there are internally perceived constraints which are best identified as being the parameters of the subjective opportunities. That is, host institution personnel may lack the perception of circumstances regulating system performance, among other things. Finally, a host institution comprises a stock of resources here called means. The primary components of this category are strategy, technology, and other resources. The host institution normally has some strategy, albeit not well developed to individual disciplines but also a stock of administrative technology which must be drawn upon in the operation of the institution. Finally, there are other resources, especially of a physical nature in the form of plant and equipment, which are part of the host institution. This stock of resources is the essence of the base into which flow resources are injected. As indicated earlier, the growth of this stock resource base of the host institution can be described as accretionary. While they are slow to change, they become the embodiment of the residual of the technical-assistance effort which, when complete, should result in a host institution which is autocatalytic in nature and adequately supported by clientele groups.

But now let us turn our attention to the other interface of the functional characteristic--the transformation of the functional characteristics. The performance of the functions of these characteristics in the form of services does not result in products which can be injected into and absorbed by the economy which surrounds the boundaries of the system. Rather the services that are produced (as a result of the resource transformation process that results in their production via the interaction of the stock and flow resources) best can be described as intermediate products. These functional services, i.e., intermediate products, in turn, interact and are retransformed to produce the final products of the system. This service transformation process is identified as sub-system B of this multiphased production process. The production that results from this transformation process is identified in the form of three types of final products. These are current services, institution-building outputs, and influence. Each of these will be discussed in turn.

By definition, institution building is concerned with change. If both the quantity and nature of the outputs of the host institution are acceptable ex ante, no need for institution building is present and a technical-assistance team is not appropriate. Usually, however, the desire to change either the nature or the quantity of the outputs of this multi-product system sets the stage for the technical-assistance effort. In some instances, there is a preference for changing the mix of the various types of project outputs. In other cases, desires are vocalized to "upgrade" the quality of the existing institutional output. Quite commonly, many voices are heard and identification of the crucial decision makers may be difficult.

The current services component of the output mix is most readily identifiable. These services include the college graduates, research information generated, and extension education functions performed. All of these have in common the fact that they are prepared by the host institution to make a contribution to the society it serves. In brief, they are designed to be injected into the host economy as "leavening agents" for development. The second category, institution-building outputs, includes the "plowback" made by the system in order to expand the institutional base, i.e., stock resources, upon which it will operate in the future. This reinvestment function is not dissimilar to research and development expenditures made by private firms in themselves in order to strengthen their capacity for future production. In the case of institution building, these outputs find form in such things as host institution staff members sent to other educational institutions for graduate training, reorganization of administrative structures in order to make the system more efficient, formulation of doctrine which will key the institution to the needs of its environment, etc. Emphasis should be placed on the fact that these are the products of the process of changing the levels of services provided by the functional characteristics. Hence, these can be measured in terms of levels rather than in terms of processes. The third class of current services, influence outputs, is closely related to the first two. Influence outputs reflect the deliberate

effort made by the project system to alter its environment in order to (1) provide additional resources for the institution in future time periods and (2) produce a receptive clientele through which the current service outputs of the system can be utilized. Accomplishment of this type of production is closely associated with the linkage function which involves the process of extending this influence to the environment within which the system operates.

Clearly, alteration of the outputs of the system represents the ultimate objective of a technical-assistance effort. However, a word of caution is in order lest the technical-assistance team too aggressively, unilaterally identifies the changes in product output desired. Plans for changing these outputs represent the goals of the institution-building process itself. The process of goal identification, which represents an intricate part of project planning as will be discussed below, requires wide participation if the plan is to be anything more than an academic exercise. I cannot repeat too often the fact that the establishment of the goals of the host institution, both in terms of absolute level of output and mix of the output, cannot be accomplished unilaterally. While they may play a major role, technical-assistance personnel cannot do this job alone. Likewise, representatives of the host institution and the host government cannot unilaterally do this and automatically assume that goals are attainable. Since this is at the very core of the total project system effort, the multi-lateral determination of the goals and objectives is a prerequisite to the deployment and continuation of the technical-assistance effort.

A few final comments are in order with respect to completing the analytical framework before we move directly to the question of project planning. These primarily concern flows and feedbacks. Within this systems analysis formulation of the institution-building process there are flows that need to be emphasized for a given point in time and other flows that are of importance over time. The latter tends to be the feedback mechanism. The characterization of the process with sub-system A and sub-system B, denoting the two primary resources transformation processes that occur, infers a flow of action. Further, the injection of the outputs of the system into (1) its environment and (2) into itself in subsequent time periods completes the flow process. The nature of these flows suggest that there are opportunities for feedback within the system, both from the clientele which it serves and internal feedback. More important, however, is the concept that the institution-building process is an intertemporal one. This means that the system recycles as it moves through time and there are both feedbacks and recursive elements of an intertemporal nature. The former primarily emanate from clientele groups and influence the flow of resources made available to the host institution in subsequent time periods. The latter is primarily the link between the production of institution-building outputs and their embodiment in the stock of resources that grows within the host institution to survive and progress in an autocatalytic nature through time.

Project Planning

The above analytical framework is merely a means to an end and not an end itself. It is only worthwhile if it provides insights into improved methods of project planning and implementation. Hence, attention is now turned to the question of how project plans can be formulated with the assistance of such a conceptual model.

The first item that has become readily apparent as a consequence of use of the model is the very strong tendency for host institution personnel to focus initially on flow inputs rather than on system outputs, which must be changed if institution building is to be meaningful. That is to say, host institution personnel receptive to the idea of having technical-assistance teams primarily because of the availability of the additional resources provided by the donor. In many cases very little realization is made of the consequences of the technical-assistance team with respect to changing the output of the system over time and, hence, the very nature of the institution itself. Consequently, technical-assistance personnel who are involved in the project-planning process will almost invariably find their counterparts have much more difficulty perceiving the ends desired as a result of the institutional-building process rather than the means for bringing them about.

This brings us to the first essential element of the project plan. That is the identification of intertemporal goals with respect to the output of the host institution. If institution building is to occur, a clear understanding must be developed with respect to goals of the system over time with regard to its final product mix. This identification of multilaterally acceptable project goals is a time-consuming process. To expect that this will be accomplished within the first 60 to 90 days of a technical-assistance effort is naive, to say the least. However, within the initial year or 18 months some understanding should be arrived at with regard to output goals. If commonality of agreement cannot be found at this point, serious questions should be raised concerning the continuation of the technical-assistance effort.)

Assuming that a set of agreeable goals with respect to the output mix over time has been reached, the implications of these changes can be traced throughout the system. As indicated in my preliminary remarks, one of the objectives of this system is to enable us to use conventional principles of economics in determining resource allocation. Those of you trained in economics will recognize that we have conceptualized a multi-product, multi-phased, multi-lateral production unit. What is suggested is that the technical-assistance team disturb the host institution's equilibrium with respect to product mix. Subsequent points then can be identified on the production functions in sub-system B and sub-system A. In layman terms this means following the steps: (1) changing preferences of decision makers with respect to the outputs of the system over time, (2) identifying changes that must result in the production of the services of the functional characteristics in order to reach the newly identified output goals,

and, (3) identifying the changes required in the flow and stock resources over time in order to alter the production of functional characteristic services identified previously. In most instances this process can be done in a number of ways. Hence, there is a need for a preparation of a strategy for goal accomplishment, i.e., institution building over time.

In reality two strategies are usually needed in a technical-assistance, institution-building effort. The most important of these is one that must be developed jointly by the technical-assistance team and key decision makers in the host institution. The other is a variation of this strategy in terms of its implications for the technical-assistance team. For example, if personality conflicts among key host institution personnel represent a primary constraint to developing an institution, there are obvious implications for actions to be initiated by the technical-assistance team. If there is a lack of agreement among host institution decision makers with respect to solving such a problem, the technical-assistance team's strategy can hardly be a multi-lateral one, nor can it be publicized. Nevertheless, some strategy will be required if the institution-building project is not to be hamstrung at this point.

Before moving into the heart of the discussion of strategy as an aspect of project planning, the term needs to be defined. Strategy is used here in the sense of being a set of predetermined actions to be taken designed to lead to accomplishment of a given goal. While strategy is a necessary element of project planning, it cannot serve all situations. Institution building must be done in the presence of many stochastic variables. That means a large dose of pragmatism is required as well. However, this does not negate the need for strategy but rather emphasizes the requirement that it be frequently reexamined and updated. In all too many cases technical-assistance teams have attempted to "fly by the seat of their pants" with disappointing results for all parties involved.

In addition to goal definition, one of the emphasis mentioned above is the intertemporal nature of institution building. Since institutional change per unit of time is probably the best speedometer to use in gauging progress, explicit attention should be focused on the time element itself. With the use of the Program Evaluation and Review Technique (PERT) both the time phasing of strategy can be accomplished and the variability with respect to time in the accomplishment of components of the strategy can be considered. That is, each component of the strategy should be identified with regard to the action to be taken and the estimated time to be required for its completion. In light of the probabilistic nature of the time requirement for accomplishing these subgoals, the PERT procedure of weighing expected activity times by optimistic, pessimistic, and most likely estimates has considerable value. Each of these, in turn, can be fitted into the total project system so that expected times to completion by milestone events can be identified. At the same time the components are being fitted into the entire time-phased system, identification of responsibility for the host institution and technical-assistance team can take place.

The end result of this systemization of the strategy selected will result in (1) agreement with regard to project goals, (2) agreement with respect to responsibilities for carrying out actions leading to project goals and (3) time estimates for the completion of components of the total strategy itself.

The type of detail strategizing of the project plan suggested above is not a once-and-for-all proposition. Rather, continuous re-examination is required to determine (1) if superior alternatives are available for the accomplishment of plan objectives, and (2) whether changes in the availability of resources or inputs into the system might alter its optimization. Regularly scheduled opportunities should be made available to both host institution and technical-assistance personnel to re-examine both goals and strategies in an effort to make the project plan a more meaningful road map through time.

Numerous implications of the above analytical framework and the resulting project plan can be called to attention. Just one will be used as an illustration at this point. Characteristically, in the past, personnel requirements for technical-assistance teams have been identified by disciplines. On the contrary, the above conceptualization suggests that disciplinary orientation is merely a means to an end. That is, if a technical assistance person is requested in a given area this may provide him legitimization for both working in his discipline and contributing to the institution-building process. However, if that person continues to merely do the same kinds of teaching, research or extension activities that he has been accustomed to performing in his home institution, the institution-building process will be largely left to chance and intuition. If, on the other hand, the technical-assistance person understands the institution-building process, he will then realize that his primary objectives are not the same things that gave him legitimization. In brief, technical-assistance teams need to be constituted of individuals who are both rich in the substance of their discipline and sophisticated with respect to techniques of institution building.

Summary

The above conceptualization of an analytical framework for viewing the institution-building process was designed to depict its dynamic orientation and its nature as a system. It was depicted as a multi-lateral, multi-phase, multi-product production process. Its implications for project planning and general preparation of strategies for accomplishment of mutually agreed project goals and objectives were developed. The preparation of such strategies, albeit with large doses of pragmatism, are essential of the project plan is to be viewed as more than just a sterile "wish list."

Wednesday, August 19, 1970, 10:30 a.m.
Lyman F. Smart, Chairman

IDEAS AND PROCEDURES FOR THE EVALUATION OF PROGRESS
AND MATURITY IN INSTITUTION BUILDING
Dr. W. N. Thompson

Dr. William N. Thompson is a native of Illinois and is a product of Illinois higher education, earning his B.S. in 1941, his M.S. in 1942 and his Ph.D. in 1952 from the University of Illinois.

He is a professor of Agricultural Economics at the University of Illinois and has served at that institution, with some interruptions for other assignments, since 1942.

He served in the military in World War II in Europe and the Philippine Islands, was a Ford Foundation Fellow at the University of Chicago in 1947-48, served as an agriculturist with the Tennessee Valley Authority in 1954 and 1955, was chief of party and advisor to the Principal of Njala University College in Sierra Leone from 1964-1966 under a University of Illinois/AID contract, and he spent six months in India in 1969-1970 as leader of a joint Indo-American team to develop a method of evaluating agricultural universities.

Beginning in 1966 he assumed leadership for the University of Illinois portion of the CIC/AID Rural Development Research Project. He is joint author of Building Institutions to Serve Agriculture, co-author of Mission Overseas, A Handbook for U. S. Families in Developing Countries; and he assisted in the preparation of A Method of Assessing Progress of Agricultural Universities in India and The Punjab Agricultural University, An Assessment of Progress to 1970.

IDEAS AND PROCEDURES FOR THE EVALUATION OF PROGRESS AND
MATURITY IN INSTITUTION BUILDING

Evaluation of progress and maturity in institution building is a complex process as has been pointed up by Eugene Jacobson: ". . . because the domain of institution building is the domain of human values, beliefs, aspirations and competence, and the tools of institution building include interpersonal influence, human communication, and management of the learning process, it is inevitable that the criteria of success will be complex, difficult to quantify, and measurable only within broad margins of error. Goals and objectives are likely to change, not only in detail, but even in major components, as the institution-building process continues." 1/

In addition to the complexity of evaluation there are many negative attitudes about "evaluation" caused by a variety of reasons: the risk of inadequate performance by those being checked upon being divulged; evaluations being conducted by persons judged by those being evaluated to be less than fully knowledgeable or competent; superficiality in evaluation; many different types of activities being classified as evaluation; and, in the case of technical-assistance projects, the association of evaluations with project phaseout and termination.

With these introductory comments emphasizing the difficulties of evaluation and the negative attitudes toward evaluation, let us take a positive look at the subject. There is widespread recognition of the need for evaluation along with planning at all stages of institution development. The arguments center on ineffective evaluations and how best to attain the objectives sought through improved planning and evaluation. Improved planning and project review were among the ten major recommendations growing out of the CIC/AID Rural Development Research Project. 2/ Their importance is emphasized in the new Institutional Development Agreement, the promulgation of which promises more effective institution-building efforts through improvements in operating arrangements between AID and the U. S. universities. 3/ It is clear that the future holds both more, and hopefully, more

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- 1/ Jacobson, Eugene, "The Institution Building Process and Research," p. 2, paper presented at the 1969 CIC/AID Summer Workshop on Agricultural College and University Development, Purdue University.
- 2/ Baldwin, I. L., et al. Building Institutions to Serve Agriculture, Lafayette, Indiana, Committee on Institutional Cooperation, Purdue University, 1968, pp. 12-14, 95-128.
- 3/ Joint Committee of the National Association of State Universities and Land Grant Colleges and the Agency for International Development, "The Institutional Development Agreement, A New Operational Framework for A.I.D. and the Universities," p. 13.

effective evaluation. Fortunately, we now have the experience of nearly twenty years of a framework for institution building that makes effective evaluation possible.

My objectives are two: First, to report on a recent experience in evaluation and second, to reflect on that experience in a way that may prove useful to others interested in institutional development and evaluation as a tool in improving effectiveness in the institution-building process.

The PAU (Punjab Agricultural University) Evaluation Project. The so-called PAU evaluation project was conducted from November, 1969, to March, 1970, by a joint Indo-American study team, of which I was one of four members. This team was appointed by the government of India with the concurrence of the Indian Council of Agricultural Research and the United States Agency for International Development. ^{4/} The team was external to the institution being evaluated but there was full concurrence and support among the top leadership of P.A.U. on the desirability of the project.

The primary objective was to develop a method and procedures for assessing progress of the several agricultural universities in India that are being established with assistance of USAID. The Punjab Agricultural University (PAU) was used as a case study in developing the evaluation method, thus an important secondary objective was to evaluate the progress of P.A.U. Reports on each of the two objectives were published by the Indian Council of Agricultural Research in April, 1970: A Method of Assessing Progress of Agricultural Universities in India (128 pages) and The Punjab Agricultural University, An Assessment of Progress to 1970 (153 pages).

It was visualized that the development of a method of evaluation of the Indian Agricultural University would require design of a proposed method, testing of the method, and then modification of the method on the basis of experience gained in the testing process. The limitations of testing the method at only one university were recognized; however, it was deemed preferable to make an indepth evaluation at one university instead of sacrificing intensity of evaluation in the interest of testing the method at two or more universities. Given the time constraints, this was a wise decision.

^{4/} Other members of the team were Dr. O. P. Gautam, Depty Director General, Indian Council of Agricultural Research; Dr. J. S. Patel, former India Commissioner of Agriculture and retired Vice Chancellor, Jawaharlal Nehru Agricultural University; and Dr. T. Scott Sutton, Associate Dean Emeritus, College of Agriculture, The Ohio State University. These colleagues, the organizations they represent, the government of India, and the Agency for International Development bear no responsibility for the ideas expressed in this paper.

The evaluation method was designed to give depth of understanding of a university's progress, strengths, weaknesses, and potentialities for future service to society. Development of the method, its testing and evaluation of PAU, and preparation of reports required about twelve man-months of time of the four-man team, spread over a period of four and one-half months. Two team members spent four and one-half months at PAU and one team member three months. The other team member joined the team at PAU for project planning, interviews of university administrators, and preparation of reports. Future evaluations using the method that has been developed will require less time; however, it must be emphasized that the type of evaluation being reported on cannot be done in a few days.

The method was developed to evaluate the progress made by the entire university and its structural components, thus it does not focus on the effectiveness of the AID contract project or other technical-assistance efforts.

The Evaluation Framework. The Esman-Blase institution-building model was used as the conceptual framework for the evaluation. With the recognition of the usefulness of this framework in institution development, it was thought to provide the best available set of guidelines for assessing progress in development of an agricultural university. The elements of this framework are well known to the participants in this conference so it is not necessary to define and discuss the institution variables, i.e., resources, structure, program, leadership, and doctrine, and the four types of environmental linkages--enabling, functional, normative, and diffused. Neither should it be necessary to reemphasize the importance of the relationships between the institution and the environment to be served and the fact that elements in the environment must prize and nourish the institution if it is to survive.

Criteria and Standards for Assessing Progress. The IB model provides a framework for evaluation in the sense that it identifies the broad categories of institution variables and types of environmental linkages to observe. However, it does not, and cannot be expected to, specify the details of the variables and linkages that are significant for a particular type of institution. Neither does it specify criteria for use in testing whether an institution is making an acceptable degree of progress. To illustrate, the program variable suggests undergraduate teaching, graduate level teaching, research, and extension education as programs of an agricultural university. But what criteria are to be used to judge the priority to be given to each of the four programs and to assess progress of each one? What is the desirable internal structure for an agricultural university? And how does one judge whether acceptable progress is being made toward attainment of this structure? Similar questions arise for resources, leadership, doctrine, and environmental linkages.

The criteria and standards problem is a difficult one in evaluation. The solution to the problem for the PAU evaluation project is shown by Chapter 2 in A Method of Assessing Progress of Agricultural Universities in India. This chapter entitled "The Agricultural University--Essential Features" outlines the goals and objectives and specifies the basic elements of an agricultural university under ten headings:

university administration; university development plan; colleges; departments; tenure and promotion policy; resident instruction; research program; extension program; library; and spirit and doctrine.

A careful reading of the report will show that the PAU evaluation team drew on several sources in setting forth the goals and so-called basic elements including government of India reports that reflect policy with respect to higher education and reports of conferences of Indian agricultural educators. Fortunately, India has an identifiable broad policy with respect to development of the agricultural universities. They borrow heavily from the U. S. land-grant university experience. Government reports provide guidance not only in terms of the general objective of establishing the agricultural universities but also in more specific terms bearing on the IB model. Examples are the Model Act drafted by the Indian Council of Agricultural Research which gives guidelines to the Indian States on university structure and methods of operation. These also illustrate the functional linkages between central and state government institutions. Several agricultural university doctrinal elements are well established in India, although not unanimously agreed with or understood: examples are the orientation of research; integration of teaching, research, and extension; internal assessment of students; and practical as well as theoretical training.

The careful reading will also disclose that the team found it necessary to draw on a considerable store of conventional team wisdom in setting up criteria and standards for assessing progress. Furthermore, the criteria are often general and the standards lack quantification. The most desirable timing of development of various aspects of the institution's development is left unspecified. Additional work on this type of evaluation will plug some of these gaps, but I strongly suspect that some of these seemingly apparent shortcomings are both an inherent and desirable part of institution building.

The Evaluation Procedure. The institution-building model and the essential features or basic elements ^{5/} provided the broad outline of important things to look for in assessing progress of the agricultural university. This was followed by development of a plan for gathering the information needed. The facts are that data collection was planned concurrently with the study of Indian government and Punjab Agricultural University documents and reports to establish goals, criteria, and standards.

The data collection and analysis procedures are outlined in detail in Chapter 3 of the report and the eight questionnaires are shown in the appendix so the details will not be repeated here. The general

^{5/} As discussed Chapter 2 of A Method of Assessing Progress of Agricultural Universities.

procedure calls for maximum use of information available from reports with this information to be supplemented by questionnaire data and interview of department, college, and university administrators. Data from faculty and students were obtained by questionnaires. Observations of campus activities were made and off-campus interviews were conducted. Off-campus interviews were conducted with personnel responsible for research stations and extension programs, state and central government officials, research and education leaders, members of the university governing board, and farmers.

Data collection was followed by analysis and interpretation, decisions on recommendations to be made by the evaluation team, and report preparation. The report on Punjab Agricultural University illustrates the type of report that results from this type of evaluation.

Reflections on the Evaluation Experience

Thus far I have only given a brief review of what was done in the PAU evaluation project. The task now is to reflect on that experience in a way that hopefully will be useful to those interested in institution development. This section of my remarks would be better titled "Random Reflections."

Is the Evaluation Method an Effective One? To answer this question requires another evaluation exercise. Having been immersed in the project for five months leaves me in a weak position to argue that I am free from vested interests and bias. The weakness of the method being tested at only one institution has been pointed out. An alternative method was not developed and tested. With these disclaimers and with confidence that the method can be improved upon or displaced by a better one, I shall proceed to defend the method as an effective one. What is the evidence?

First, use of the method at Punjab Agricultural University revealed needs for major improvements and resulted in a number of recommendations of university-wide significance which, if implemented would lead to substantial additional progress in development of the institution. ^{6/} Each of the elements of the institution-building framework is involved in these recommendations. The report also includes a large number of suggestions to the leadership of PAU, some being explicit and others implied with varying degrees of strength.

That the method resulted in recommendations of substantial import at an institution generally recognized to have made excellent progress in its eight years of development and to be among the best of the agricultural universities in India would seem to speak well for the method. In other words, if it effective at a relatively strong institution, it is likely to be fully as effective in identifying needs for improvements at a weaker institution.

^{6/} See the Punjab Agricultural University, An Assessment of Progress to 1970, pp. xi-xiv.

Second, the team was satisfied that the method provided depth of insight into the current status and future needs for institutional development of PAU. While we would not argue that every significant fact was uncovered, the team was confident that most of the major factors were dealt with. Furthermore, the method illustrates a way of looking at an institution that encourages the leadership of PAU to identify needs for improvement that the team may not have discovered or treated adequately. From the standpoint of long-run growth of the institution, this may be more important than the specific recommendations that were made.

Third, other Indian agricultural university leaders have expressed interest in use of the method at their institutions. The Indian Council of Agricultural Research and the U. S. Agency for International Development are encouraging use of the method at other universities and the current plan outlining cooperative work between the two organizations provides for evaluation of this type. One of the members of the PAU team is using the method in evaluation of one of the Indian agricultural universities.

Fourth, the U. S. university that has been assisting PAU under an AID contract has indicated satisfaction with the report on the evaluation of PAU in terms of its accuracy and identification of significant needs for further development of the university. The report is being used in planning for the future of U. S. assistance to PAU.

Essentials for Success of this Type of Evaluation. The degree of success of this type of evaluation is dependent upon a number of things among which I would emphasize the following: institution administrative support; clear understanding of objectives and general procedures; evaluators recognized as qualified; adequate time for the task; evaluators working at the institution; willingness of evaluators to make positive recommendations; and dissemination of a report setting forth the results of the evaluation and making the report available to all within the institution who may want it.

1. Administrative support for this type of evaluation essential. This must include not only support at the top level of the institution but at all levels--university-level officers, college deans, and department heads. In turn, administrators must reflect their support of the evaluation to faculty, staff and students.

2. Understanding of objectives and procedures. There must be an understanding of the reasons for and objectives of the evaluation, the general method and procedures to be followed, and the type of results that are expected. It must be clear that the evaluation is a broad examination of the university, not an evaluation of individual performance.

3. Evaluators recognized as qualified. Obviously, the evaluation team should be competent to do the job, individually and as a team.

But in addition, the evaluators should be recognized as competent at all levels in the institution. This means that team members must have wide experience in development of the type of institution under study. Experience in evaluation is highly desirable, if not absolutely essential for some team members.

4. Adequate time and other resources. This kind of evaluation takes time. As a general guide for an Indian agricultural university we recommend that four team members should spend about nine man-months . . . spread over a period of two and one-half to three months. The time could be reduced somewhat if some of the basic data were pulled together in advance by university personnel. Resources to support the team are important for it to make effective use of its time: stenographic and clerical assistance; office space and equipment; and transportation for off-campus observations and interviews.

5. Evaluators at the institution. The evaluators should live and work at the institution except for the time needed to visit individuals and organizations in the area served by the institution to study linkages, institution impact, and respect and support for the institution. This permits not only the formal aspects of the evaluation but many informal observations and discussions that give a "feel" of the institution's morale and spirit. This is particularly important in forming judgments on the leadership and doctrinal aspects of the organization.

6. Positive recommendations. For the evaluation team to be effective, it must be willing to make positive recommendations for improvement of the institution. It is not sufficient to merely point up problems and leave it to the institution's leadership to devise and implement improvements. At the same time, the team should not feel that it is necessary to make strong recommendations on every conceivable aspect of the university. University leaders can be depended upon to draw their own influences from a careful presentation of the situation. To present a large number of recommendations may detract from the small number of recommendations that deal with major needs.

7. Report on the evaluation. From the beginning of the evaluation, it should be understood that the evaluators are to report on their work and that the report is to be available to anyone within the institution who has an interest. This will alleviate fears that university personnel may contribute to the evaluation but gain little from it or that only a few individuals at the top level of administration will be informed of results. It should also encourage consideration and use of the findings of the evaluation. True, this may expose weaknesses in the evaluation but running this risk is certain to encourage the evaluators to do the best possible job within the time allowed and given other constraints that are inevitably a part of this type of exercise. One can be confident that weakness in findings or recommendations will be detected by institution leadership and the necessary corrections made prior to suggestions for improvement being implemented.

Does widespread availability of the report impose serious constraints on its content? It certainly does not make it easy to write! If the results are to be used to improve the institution, and I assume this to be the major objective, care must be taken that the report is not written in a way that reflects unfavorably on particular persons. Can this be done without omitting major findings that are clearly associated with, for example, one or two key administrators? I think so and would hope that the PAU report would be evidence. It may mean that the full significance of some aspects of the report are not understood by those unfamiliar with the institution under review. It also means some divergence of the report outline from the IB model. For instance, the PAU report does not have a chapter entitled, "Leadership"!

The report should be available shortly after the evaluation is completed and should be reproduced in the best form that available resources permit.

The Complexity of the Method. Some may look at the 75 pages of questionnaires in the report and conclude that the method is overly complex. Could it be done with fewer questionnaires completed by fewer people? Why are essentially the same questions asked of different individuals? Could not some of the information be obtained from reports?

The team was conscious of the need to make the method as simple as possible, and at the beginning of the project, simpler procedures were hoped for. As we proceeded, it became clear that there is no simple way to obtain depth of understanding of a complex institution. One cannot understand a university by reading reports and interviewing the vice chancellor and a few key administrators. I suspect that the biggest problem with evaluations of technical assistance IB projects lies in oversimplification of the task, commitment of few resources, and results that have little positive, and perhaps negative, impact on the planning and future course of development of the university.

The method is not as complex as it may seem, particularly now that the method and procedures are specified. The method does not require an unreasonable amount of time of any individuals. A good share of the data requested from administrators can be supplied by office staff.

Data compilation can be simplified by having faculty and student questionnaires completed by a sample of each group; however, there are advantages in using a 100 percent sample. Some faculty and students feel left out if they are not asked to complete a questionnaire along with their colleagues. Also participation in the evaluation is likely to result in better support of the changes that may be implemented because of it. With clerical staff support, the extra data from a 100 percent sample can be handled without difficulty.

The IB Model. I have considerable enthusiasm for the IB Model as a general framework for the type of evaluation conducted at PAU. Knowing of no equally good substitute framework, we would have been lost without it. It provides a set of variables to look at in evaluating an institution. But as one uses this framework in evaluation of progress of an institution, he finds that the institution variable and environmental linkage boxes are very big. For example, the programs of a university include many output-producing activities, some of which strengthen the university directly while others serve clientele groups in the environment; some do both. Resources include such diverse things as personnel of many kinds, financial resources, technologies, and legal and political authority. Likewise, functional linkages of an agricultural university is a complex network. But if it is recognized that the institution variables and environmental linkages are broad categories, this presents no particular problems in using the institution-building model as a conceptual framework for evaluation. It does indicate the need for specification of the elements within each of the variables and linkage categories.

Applicability of Method beyond Indian Agricultural Universities. The PAU project focused on a method of evaluating agricultural universities in India. Could it be extended? Using the IB Model as a framework gives breadth of application of the general method. Insofar as the "goals, objectives, and essential components" of agricultural universities as set forth in Chapter 2 of the report are applicable to other agricultural universities, the method should not be limited to use in India. For other types of institutions similar guidelines would be needed for use along with the IB model, and data-collection instruments and techniques would require modification accordingly.

External vs. Internal Assessment. One might well ask why nine man-months of time plus use of supporting personnel and other resources should be invested in evaluation of one institution by an external assessment team. The need for pre-project planning to include planning for review and evaluation, the need for internal evaluation on a continuing basis by institution leadership, and the need for evaluation reports for use of technical-assistance agencies where they are involved are strong arguments.

Perhaps the strongest argument for external evaluation is that internal evaluation just does not get done. There are tremendous demands on the limited leadership in newly developing institutions. Evaluation expertise is in particularly short supply. We have not yet given high priority to this type of work, even in educational institutions in the U. S.

The type of evaluation done at PAU should not substitute for internal assessment on a continuing basis. Such continuing evaluation would make the task of an external or joint external-internal team considerably easier. There are, however, some features of an external assessment, beyond making resources available for the specific task, that may be important: A team from outside the institution may be, or may seem to be, more impartial and objective than an internal group. Thus the results may have more impact, both within

the institution and in the environment. Correctly, or incorrectly, the results and recommendations of an external team may have more status, depending, of course, on the stature of team members, performance on the specific evaluation, and the wisdom shown as reflected by the evaluation report. Furthermore, there may be a reluctance on the part of an internal evaluation group to come to grips with important questions. This may be due to being so close to the institution and its operation that there is lack of perception. Or there may be sensitive issues that the internal group may be reluctant to deal with. There is also the possibility that some may be over-anxious to become involved in some issues, important or otherwise, thereby risking internal frictions.

Internal vs. external evaluation probably boils down to the conclusion that it is not an either-or proposition; that internal evaluation is to be encouraged to the maximum extent possible and will be fruitful within the limits of resources; that external evaluations of the type reported on here have a place where in-depth review of an institution is needed for reasons agreed upon by the responsible leadership.

Maturity. The PAU evaluation project provided considerable opportunity for members of the team to think about institution "maturity" that has been defined as a level of achievement essential "to sustain a dynamic, self-generative level of performance." ^{7/} But if it is to be noted that the term "maturity" was not used in either of the project reports. My feeling, following one intensive evaluation effort, is that "maturity" is a very elusive concept if one attempts to apply it to an entire institution, particularly one in a developing nation that is in its first decade after establishment or beginning of an attempt to revamp it along some particular line. Maturity is a moving target as the environmental demands upon the institution change, if the change is innovative and successful.

While the concept of maturity is elusive when applied to the entire institution, it becomes more manageable when used with respect to a college or department or to "leadership" or "resources," or "under-graduate teaching program." It also becomes meaningful if applied to a particular aspect of the institution's work in terms of some particular question such as: "Has department X reached the point that technical assistance of type A (personnel or participant training or commodities) is no longer essential to a 'dynamic, self-generate level of performance?'

The PAU experience impressed upon me the tremendous range in maturity of different aspects of this university, an institution but eight years old that is glibly referred to by some as well developed. To be sure, some departments are well developed in terms of external assistance needs; on the other hand, every department in two of the five colleges has major needs. Some of these variations are due to

^{7/} Baldwin, I. L., et al., op. cit., p. 117.

the variations in priorities that must be established in the time phasing of a new institution. Others are associated with political changes in the environment, specifically changes in the geographic area to be served by the institution.

The Evaluation Method and Technical Assistance. It has previously been emphasized that the PAU evaluation project developed a method of evaluating the entire university, not the technical-assistance component. Clearly this method was not intended to, and does not, give any firm basis for judging the effectiveness of the technical-assistance inputs. One could argue that the basic method might be used to focus on the inputs and returns from the USAID and other assistance efforts within the total university development effort. But this we did not do, and I am not in position to argue that attempting to identify results from one portion (relatively small) of the resource inputs is likely to be a fruitful effort.

I will argue that the method and the results of its use at PAU provides an excellent foundation for planning technical-assistance needs. The current status of Punjab Agricultural University is well documented as are strengths and weaknesses. Those presently supplying or contemplating supplying assistance should be able to use this report and the other knowledge that they have in working with PAU leadership in planning technical assistance for the future.

Wednesday, August 19, 1970, 1:30 p.m.
Lyman F. Smart, Chairman

MAXIMUM BENEFITS FROM OVERSEAS CONTRACTS
Dr. Jackson A. Rigney

A native of New Mexico, Jackson A. Rigney received his Ph.D. in agronomy from Iowa State University. After teaching at West Virginia University for two years, he joined the staff at North Carolina State University in 1938 where he taught agronomy, did research in soybean breeding, and developed an interest in experimental statistics. That interest led to his service as head of the Department of Statistics from 1949 until 1962.

Since 1962 he has been involved in technical-assistance programs for the University, serving two years as the leader of NCSU's agricultural mission in Perú and three years as campus director of the project. Short technical-assistance assignments have taken him to Brazil, Ecuador, Costa Rica and Nicaragua.

In 1963 he organized and headed the U. S. agricultural delegation to the United Nations Conference on the Application of Science and Technology in Less Developed Nations.

He was overseas researcher for the CIC/AID research project in 1966-67 and helped write the final report.

He has been Dean of International Programs at North Carolina State University since 1968.

MAXIMUM BENEFITS FROM OVERSEAS CONTRACTS

When President Truman announced the four-point program for the reconstruction of war-torn countries in 1949, the response from the U. S. academic institutions was typical of their historical commitment to resolving society's problems. Dr. John Hannah was then president of Michigan State University and was also president of the National Association of State Universities and Land-Grant Colleges, and in the name of the Association he pledged the support of the member institutions to a common national effort. The initial Point Four program and the support that was pledged from U. S. universities were predicated on the assumption that the U. S. interests were best served by seeing to it that Europe was quickly put back on her feet as a group of economically strong and independent nations.

Later, when Europe was making its miraculous recovery, the U. S. speculated on the possibility that similarly quick results might come from applying our vast store of science, technology and economic assistance to underdeveloped nations. Few, if any, of our universities seriously questioned at that time the propriety of their involvement in this national commitment. There was little question but that our universities could effect a rather quick transfer of the existing technology in such diverse fields as agriculture, engineering, education, public health and public administration. Perhaps more importantly, it was assumed that this could be done without a major tooling up for the job. It was supposed that if the federal government would pay the replacement costs of the personnel involved and pay for the administrative support, the universities could immediately commit technical personnel who should be able to accomplish the objectives in short order; and the domestic programs would hardly feel the effort.

Now, fifteen years later, as we look back on our accumulated experience, several points become clear:

1. The art, the methodology, and the strategy of "transfer" are much more important than was initially suspected. We simply could not dash out with little preparation beyond individual domestic experiences and be highly effective in the underdeveloped nations. The whole social infrastructure which was still present in Europe after the war simply could not be assumed for the less developed countries (LDC's). But since we did not recognize this fact initially, we did not understand why our efforts were not very efficient.
2. U. S. universities discovered that the cost of their involvement in overseas programs has been much higher than anticipated. Extra costs have resulted because programs on home campuses could not be continued at full speed with temporary replacement personnel while senior staff members were away for more than one season.
3. U. S. universities have been disappointed at the rather

low impact on their domestic programs from involvement in overseas activities.

4. Overseas host institutions have felt that the full potential has not been realized from the participation of such resourceful institutions as our U. S. universities.

These points have been documented in several studies in the past few years, including the CIC/AID study that was reported on here. The next question then is how to improve on the situation. How can the benefits from overseas technical-assistance activities be increased to the recipient host institutions, the funding agencies and the participating U. S. universities? Our task this afternoon is to examine the logical expectations of each of these agencies and to see what alterations in approach in the future might hold promise of greater benefits to all.

The most important set of benefits to be derived from an overseas contract obviously must accrue to the host institution. This is the very reason for a technical-assistance activity in the first place, and it must remain as the major claimant to benefits to be derived. Considerable time on this program has already been devoted to the institution-building aspects of such activities, and Dr. McDermott has made reference to the specific inputs and accomplishments which should be expected from a U. S. advisor's participation. There are many important objectives to be satisfied by technical-assistance activities, but which are not, in and of themselves, direct contributors to institution building. As important as these extracurricular activities may be, they cannot be allowed to obscure nor detract from the institution-building objectives themselves. Thus, we should clearly have in mind, first and foremost, the increased benefits to be derived by the host institution from any alteration in procedure or strategy.

If a U. S. university is the contractor in a technical-assistance activity, there must be some clearly derived benefit to the university if it is to engage successfully in technical assistance over an extended period of time. The CIC/AID study clearly indicated that where institutions are engaged in overseas contracts solely for the overhead income or for the opportunity of using otherwise unemployable staff members there is little long-term benefit either to the U. S. university or to the host institution. Therefore, the university must be able to derive some genuine benefits from participation in overseas contracts that are over and above the administrative and staff costs if such a venture is to be considered successful by all parties concerned.

U. S. universities have found it difficult to entice their most productive staff members into participation in overseas contracts on a long-term basis. The CIC/AID study documented rather clearly what had been observed by other studies; namely, that the professional costs of participating in overseas contracts under previous styles of operation resulted in very little if any professional reward to the individual, with a consequent serious penalty as he attempted to re-enter the domestic professional stream. It is clear that

outstanding work cannot be done with less than outstanding people, and if benefits are to be increased to the entire system, there must be sufficient benefits that accrue to the individual professional involved so that the system can attract some of the best minds in the business.

Finally, the sponsoring agency, whether it be AID, FAO, or a foundation, can only realize maximum benefits if the entire operation is sufficiently rewarding to the recipient institution and to the actors involved so that it becomes an overall success in achieving its objectives with minimum costs. Thus, while it is helpful to analyze the combined set of benefits into the component parts, the fact remains that if the benefits or rewards which accrue to any segment of the system are minimal, it is very likely that the entire system will be found ineffective or inefficient.

Let us examine these individual pieces in light of recent experience and see what alterations in strategy or approach might have reasonable probability of improving overall performance.

Look first at the role of contract personnel. Clearly if their productivity can be increased and benefits to them improved by changes in techniques, this should be one of the first places to look for overall improvement.

In the past the individual professional really had very little to look forward to in an overseas assignment except to satisfy a desire to travel or a missionary urge to help some deserving people. He was able to expand his knowledge of geography, and he became acquainted with different cultures and with different life styles. As desirable as these benefits may be, however, they have little potential for making him a better plant pathologist or agricultural economist. They did not increase his competitive advantage at home since he had little opportunity to extend his knowledge of his own professional field in the overseas surroundings. He was expected to give out information from the fund of knowledge already gained, but he was provided little opportunity for increasing or enhancing that knowledge. If he engaged in activities designed primarily for self-improvement, they were necessarily regarded as outside his main responsibility and, therefore, extra-curricular in terms of time and energy allocated to them. When he returned home, he faced the consequences of the two-year interlude in his professional development. He was able to report to his many friends that he had a wonderfully exotic experience and that he became acquainted with and perhaps even developed a fondness for a new culture and different people. Professionally, however, he had to be vague in describing his accomplishments. He found it difficult to document the short-run progress in the development of an institution. He had little opportunity for his own personal professional development and therefore, his department head found it difficult to reward his performance overseas by promotion and salary increases in competition with those who stayed at home and remained at the forefront of their profession.

The question before us now is whether this overseas experience must be so professionally debilitating or whether it can not, in fact, be converted into a very exciting and professionally broadening exercise.

If we view the experience from the standpoint of the U. S. university department which supplies the services of the professional, we find that the dilemma has been equally difficult. The program in which the professional is participating will either sag seriously or is completely stopped for the duration of his absence. While the department does have his salary with which to purchase replacement personnel, it is virtually impossible to employ short-term people who have the needed background in the particular projects in which he is engaged and who can come in and perform nearly as well as the man who is leaving.

Thus, the CIC/AID study documented the fact that a large portion of home campus projects so affected were either closed out or reduced to graduate student care-taker operations while the senior professional was overseas. The department chairman earns his professional "brownie points" from administering programs which are expertly conceived and which are efficiently executed. It is clear that losing his best personnel for a period of two years during which time they lose their professional sharpness and are replaced domestically by graduate students is not an activity in which a department chairman can engage with a high degree of enthusiasm. Therefore, his cooperation has normally been in the vein of trying to spare someone from the department who was not particularly productive, or someone whose departmental program has reached a logical stopping point. Furthermore, the rather bleak prospects confronting the department head also dictate a very meager backstopping support to the staff member who goes overseas. Normally, where such support has been forthcoming, it has been on a highly personal basis, rather than on the basis of strong departmental support for one of the staff members who has been engaged in the department's responsibility away from home.

Here again the question before us is whether the benefits to such a department can be increased, or whether we must continue to operate on the basis of bleeding the departments and providing little opportunity for them to strengthen their institutional capability through the process of participating in technical assistance.

Given the rather unpromising outlook from the standpoint of an individual professional or from the standpoint of a department supplying his services, it stands to reason that the international agency which has contracted for these services cannot expect stellar performance from this team. In the past, AID has urged that U. S. universities send their better staff members, that they backstop them better, that they reward them better for performance overseas--all of this in the expectation that the actual overseas performance of the team will be improved. This brings us back to our earlier contention, however, that if the professional as well as the department which supplies him can be improved, there is every reason to expect that the contracting agency will also reap handsome dividends.

What have we learned in the past several years which can be applied to this problem? I would like to call your attention to several recent developments and then to suggest how these can be coordinated to the benefit of all concerned.

1. Most of the overseas activities in which U. S. universities and other government agencies become involved on a contractual basis involves institution building of one kind or another. We now know that, in general, this is the central role for our professional personnel going overseas, and that they need orientation and instruction in the process of institution building. It is no longer defensible to assume that just because a person is an excellent agronomist that he is automatically expert in building institutions in an exotic culture that will serve their agriculture efficiently.

2. Most of the areas of the world in which overseas contracts are found today have already experienced considerable development, particularly in the training of some of their own people. Therefore, we are ready for second phase type of technical-assistance activity in many areas. There is no consensus on what the second phase activities are, but there is general agreement that they should be different from those of fifteen years ago.

3. There is widespread documentation of the fact that a purely advisory role is generally unproductive. This is attested to by the changing of the name of the person employed to go overseas. He is now called technician, scientist, collaborator, colleague, visiting professor or what-have-you, but the name advisor is rapidly disappearing from technical-assistance documents. The actual role of the person has not changed as rapidly as the name, but the seeds have been planted.

It has been demonstrated in a variety of circumstances that the person whose advice is sought and followed in an overseas setting is one who has become personally engaged in an activity and has demonstrated his ability to produce results under local conditions.

Such a person's methods are emulated, his ideas are sought at various levels of administration, and host nationals, in general, are pleased to be identified with him. This suggests that the overt assignment of a professional who is engaged in institution building should be a role which gives him technical visibility and acceptability.

4. The old myth has been pretty well exploded which insisted that we now have enough research results in the world to bring less developed countries into the world of modern science and technology. There is now a general realization that a great deal of adaptive research is still required in the introduction of modern science and technology in less developed countries in almost any field of endeavor. This is creating a new outlook on the part of agencies responsible for providing technical assistance. The major foundations insist that they have been of this mind for a number of years. The World Bank has announced that it will

insist on technical-assistance and appropriate adaptive research as essential backstopping for its development loans. The new Technical Assistance Bureau of AID is just evolving a new philosophy and a program of world-wide research networks. This provides opportunity to re-examine old styles of putting professionals in overseas programs--an opportunity not often afforded to bureaucratic systems.

5. U. S. universities are finally realizing that they cannot justify active participation in technical assistance without certain built-in provisions for keeping their participating staff members involved in activities which will enhance their professional capability and will make them better staff members because of such involvement.

We can summarize these recent developments together with the lessons from the past as follows:

A. We must find ways to involve highly innovative and imaginative people in overseas contracts if they are to succeed.

B. Such highly innovative and productive people can neither be spared nor can they be interested in overseas activities except as such activities are made more professionally attractive and more highly rewarding to the departmental programs from which they come.

C. Ways must be found to involve the institutions supplying such personnel at the departmental level to such an extent that the department feels that the overseas program is one of its major responsibilities and that its stature in the professional world is judged by its performance in such activities.

D. In general, research is a key element in almost any exciting overseas activity, and it will often spell the difference between a mediocre, uninteresting and inefficient contract performance versus one that has excitement, good people, and high attraction for host national participation.

E. There must be provision for on-campus activity which parallels and supplements overseas activity if a department is to be attracted into professional commitment to an overseas contract.

There are a number of instances that could be cited in recent history in which many of the above elements have been put together in exciting programs. I would like to describe one in some detail out of our own institutional experiments and to suggest that this experience is capable of generalization to a wide variety of other contracts.

A few years ago, North Carolina State University changed part of the approach in its technical-assistance program in Perú to what was called an "in-depth commodity approach." This involved the identification of a small number of high priority commodities in Perú's agriculture and a concentration of the Peruvian and technical-assistance resources in these programs. It was felt that by so doing the process of institution building could best be served.

One of the commodities of highest importance to Perú was potatoes. The in-depth program in potatoes required the Peruvian Ministry of Agriculture to concentrate a number of its professional people in the potato research, extension and promotion activities. It also required the Agricultural University to direct much of its attention in the Departments of Soils, Plant Pathology, Entomology and Genetics to problems, examples and illustrative materials dealing with potatoes. The North Carolina State University input involved three of its staff in Perú working directly on potatoes. One was a researcher, one was an extension specialist, and one dealt with the problem of production of high quality seed. On the campus of North Carolina State University there was a geneticist, a plant pathologist, and an agricultural economist, all of whom were spending part time on problems directly related to Perú's potato production. Thus, a critical mass was achieved which was strongly reinforcing within the entire group.

The potato program was designed for success in at least three dimensions. It would serve to by-pass much of the local bureaucratic restrictions and management deficiencies in order to achieve sufficient momentum and public visibility to attract public support and a desire on the part of various public agencies to cooperate with a going concern. It was to contribute strongly to institution building by permitting the emergency of new leadership, the adoption of a new doctrine and the employment of a different program--all of which were essential to institution building in the basic areas of research, education and supply services. It was also designed to bring greater competence and commitment to bear on the whole operation from the North Carolina State faculty.

The actual success of this program was so great that within a matter of two years, it attracted tremendous, indigenous support, not only for potato problems *per se*, but also for the institutions which were dealing with these problems, namely; the Agricultural University, the Ministry Research Program, the Ministry Extension Program and the Ministry Development Program. By concentrating on potatoes, there was a minimum of friction or jealousy between representatives of different agencies, so long as they were all working on the same problem and all were being productive. There was little time for petty personalities. Today, after four years of such activity, everyone in the Peruvian government is abundantly aware of the potato program and of the local institutions which have been serving it. There is hardly a politician or a businessman in Perú that does not know of the success of this program and who is not trying to establish a similar result in another commodity area.

On North Carolina State University campus there is similar excitement. New germ plasm has been brought in from Perú into the breeding programs of North Carolina. The plant pathologists are finding exciting new basic relations in the plant pathogens because of the new ecological setting in which they see them. The economists are excited over the opportunity of trying various theories in areas where modern technology is actually being introduced into traditional agriculture and where its impact can be measured.

In addition to the potato program, similar successes were recorded

in rice, beans, and to a lesser extent in forages.

What are the lessons we have learned from this experiment in an "in-depth commodity program"? In the first place we have found that this program has generated more excitement, interest and enthusiasm both in Perú and on our campus than we were ever able to generate under any other approach. Secondly, we have been able to make progress in institution building along many lines much more rapidly than by other approaches. Thirdly, the linkages that have been forged among the Peruvian institutions involved are gaining strength, and this is a welcome change from the spirit of competition and suspicion which prevailed before. Fourthly, the linkages between the Peruvian institutions and counterpart colleagues in the U. S. is much stronger than we have been able to achieve by any other approach, and fifth, individual departments on our campus now regard the Perú project as their own professional responsibility, and they discharge that responsibility with enthusiasm.

Admittedly, the in-depth commodity program in Perú is highly experimental in character and there are many facets yet to be perfected. This does, however, serve as an illustration of my earlier claim that there are lessons which have been learned during the past twenty years and which can now put into operation to provide greater benefits from overseas contracts. I am extremely optimistic that future activities by university contractors will take advantage of these lessons, particularly as new institution building agreements are put into operation.

Thursday, August 20, 1970, 8:30 a.m.
J. Clark Ballard, Chairman

INSTITUTION BUILDING AND THE INSTITUTIONAL
DEVELOPMENT AGREEMENT
Dr. Glen L. Taggart

Glen L. Taggart was born in Utah, and he attended Utah State University where he received his B.S. in 1940. He earned his Ph.D. in Sociology from the University of Wisconsin in 1946.

In 1943, Dr. Taggart became a rural sociologist in the Bureau of Agricultural Economics of the U. S. Department of Agriculture. In 1952 he became chief technical collaborator of the Bureau.

In 1953 he was appointed Professor of Sociology and Anthropology at Michigan State University, and he became Dean of International Programs at Michigan State in 1956 where he served until 1968 when he became President of Utah State University in Logan, Utah.

President Taggart has been active in international programs. He served as Vice-Chancellor of the University of Nigeria from 1964 to 1966, and he has been a consultant for the U. S. Department of State to the governments of Nigeria and Taiwan. He has also served as consultant to the governments of Colombia and Guatemala for the W. L. Kellogg Foundation.

He has been a member of the Board of Directors for International Voluntary Service and the educational advisory board to the African-American Students Foundation.

Recently, he served as a member of the joint committee of the National Association of State Universities and Land Grant Colleges the U. S. Agency for International Development which recommended the new institutional building agreement.

INSTITUTION-BUILDING AND THE
INSTITUTIONAL DEVELOPMENT AGREEMENT 1/

Ladies and gentlemen: I am honored by the invitation of the program committee to participate in this conference. I am particularly glad to be present because of the opportunity the conference provides to become immersed once more in a subject of special interest to me.

My assigned topic, Institution Building and the Institutional Development Agreement, covers essentially the same subject matter of a speech I was asked to deliver last December at an AID-CIC conference in Washington, D. C. and I have drawn from that speech for my remarks today. I understand the proceedings of that conference, including my speech, have been reproduced and distributed to you prior to this regional meeting. I have not, therefore, had my remarks today duplicated, in the belief that those who might be interested can consult the printed proceedings of the December conference.

I'm reminded this morning of a few words by Robert Louis Stevenson: "Everybody sooner or later sits down to a banquet of consequences."

We who live in this age of anxiety have sat down to a menu of varied fare, a bounty of consequences unlike any other in our world's existence. Before us is spread an international table of seemingly unsolvable problems, problems highly complex and divisive whose resolution poses a formidable challenge to all the nations of the world.

Certainly of all the truths we have had to learn, none have been so hard to grasp as the fact that however distant the social and economic disasters that affect other nations and peoples, eventually we ourselves will feel their impact.

America's foreign policy has been geared to helping the less developed nations of the world through a program of international cooperation and accommodation. Institution building by means of technical assistance, sponsored by the Agency for International Development and the foundations and conducted through the universities, may very well prove to be the most significant and productive aspect in advancing our knowledge of the causes of world conflict and--hopefully--their solution and in securing improved living standards for those seeking them. The benefits that have accrued to the host nations are impressive, though I would venture the opinion that the program's real beneficiary has been America itself--and the university community in particular. With the indulgence of our guests from abroad, I should like to make some brief comments directed particularly to my fellow countrymen.

1/ The newly promulgated agreement is the subject of the following paper which is included in this volume for the convenience of readers who may not have access to other publications in which Dr. Taggart has also discussed the agreement.

We in the United States must remember that our nation was created as a great melting pot, a romantic and moral adventure that made our country a "half-brother" to many of the other nations of the earth. In assimilating the world's down-trodden and oppressed, in welcoming those born without fortune or rank, the United States was able to give shape and vitality to the national dream and enrichment to the national culture. But the flow of immigrants has diminished, yet there remains the need to continue an infusion of new ideas and insights. The feedback and experiences we are receiving from our overseas technical-assistance programs help meet this need and provide valuable lessons that can be applied to the remedy of our own domestic problems.

Then, too, our overseas programs have cultivated the international capacities of our universities. They have helped the universities to do a better job in the teaching of other world cultures and in instilling our graduates with an intelligent understanding of the compulsions which animate the varied peoples of this globe. In the process, we have fashioned a mass of manpower competence which is now singularly prepared to serve in the international arena.

But perhaps the most important benefit--at least as the future is concerned--is the likelihood that these programs will be able to bridge the gap that separates the nations, to retain avenues of communication and cultural exchanges even in times of crisis and stress, to expand positive relationships of all kinds.

Now during the past week, this conference has focused considerable attention on the multiple facets of institution building. It has explored the innovative processes leading to social change. It has dissected institution-building models and inspected their components. Among other things, the conference has reviewed the role of institution building in the planning development, operation and evaluation of projects.

Given this background, I propose to discuss today the newly promulgated institution-building agreement, its need and its possible implications for the parties most vitally concerned with the function of institution building: the universities of this nation, USAID, and the host country institutions.

I presume you have already read the report on the proposed institution building agreement. The report, a product of efforts of a joint committee of the National Association of State Universities and Land-Grant Colleges and the United States Agency for International Development, is in response to a mandate from the sponsoring organizations and is the result of committee labors extending over a nine-month period. The committee was requested to weigh and endorse various ways in which operating arrangements between AID and the universities could be improved, including consideration of possible arrangements for experimental types of AID grants to universities for overseas technical-assistance projects.

During their study, the committee members sought the advice and opinion of people of experience affiliated with universities and with AID. The members also met with representatives of the American Council on Education, the Association of American Colleges, the Association of American Universities, the National Catholic Education Association and the American Association of State Colleges and Universities, among others.

The report's conclusions draw from the findings of previous studies and reports, from capacious consultations with colleagues, and from various experiences that have occurred in the management of university-directed technical assistance projects.

As indicated in the report, the committee reached three broad conclusions:

1. The universities and the U. S. government share a strong interest in improving their understanding of the developing world and in cooperation between American and foreign institutions of learning.
2. The universities and AID can each serve their own interests through collaboration on suitable development activities.
3. The development field is rich in opportunities for the pursuit of a great variety of academic career specialities.

In addition, the committee concluded that relationships between the universities and AID should be improved, particularly as they apply to working arrangements. The committee noted that the standard university contract is based on forms used for purchasing operations and that more applicable agreements could assist in raising the quality of performance on joint international ventures.

It became obvious to the committee members that the current AID-university working arrangement had some serious weaknesses. I should like to cite a number of these flaws as perceived by the committee:

The lack of university involvement in pre-project planning activities was considered to be a major handicap. Frequently the university is contracted to do the job after most of the planning has been completed and thus has little choice but to attempt to implement a predetermined, often rather inflexible, plan. This lack of early involvement contributes to the sometimes tragic mismatching of U. S. and host country institutions.

Then, too, there is little or no provision for maintaining post-contract associations. In many, if not most cases, interchange between the U. S. university or college and the host country institution ceases at the time of formal contract termination.

Lack of a definite, firm, long-time commitment to the contracting institution, a commitment that would permit orderly planning and mobilization of human and material resources, is a major drawback.

Although long-time relationships often exist (in some cases for 10 years or more), there is generally a lack of assurance at the time the contract is initiated that, barring unforeseen calamities and contingent upon satisfactory performance, the contracting institution can expect to operate at a certain level for a specified number of years.

The committee felt the inadequacy of present systems to cope with host country government policy changes and the official U. S. reaction to these changes--such as the threatened or actual termination of AID assistance--can be most detrimental to program progress. Changes of government (which can occur with great frequency in the lesser developed countries) often adversely disrupt on-going programs and sometimes cause irreparable damage. This can be true even though the high level changes might not materially affect the operations of the cooperating host country institution and even though many of the personnel at the operation's level remain relatively unaffected by government crises.

Yet another serious problem is the lack of sufficiently flexible authority for universities to implement projects in the most efficient manner. Much more latitude is needed in the management of all types of inputs. University personnel too often find the incountry AID officials--particularly at division chief level--exerting undue control on matters that could best be decided by the university project director and his team. This situation can hamper recruiting of personnel and the purchase of critical commodities, as well as stifling day-to-day operations.

We felt that present contract forms require excessive detail. A shorter form would permit universities to operate more within their regular framework.

The lack of total university commitment to international work was considered to adversely affect performance in institution building. Not infrequently the contracting university considers any program dealing with international activities as something completely alien to normal university life. This often results in recruiting mediocre personnel. Even larger universities often act only as recruiting agencies and field some team members with really no concept of the role which they should play in the host country. Where there is a lack of university commitment, there is almost certainly inadequate campus backstopping for the overseas work. AID-sponsored participants training at these schools too often feel that they have been forgotten and sense that nothing has really been done to make their U. S. experiences more applicable to their home situation.

Lack of continuity of staff, especially of project leaders, is another point at issue. The usual duration of an overseas assignment is two years. In many cases, this is insufficient time for the staff member to make a maximum contribution to the project. Longer terms for key staff members would enhance the prospects for project success. This conclusion seems to be supported by the experience of private industry where we have learned it isn't uncommon to find top officials of many successful business operations having lived in the same

foreign country or in the same general area for 15 to 20 years or more.

The committee concluded that too many staff members serving on overseas contracts have not received adequate orientation prior to arrival in the host country. For some the lack of competence in the country's language is so great that they never really make substantial contribution.

The committee members reasoned that adequate provision has not been made for evaluation procedures and techniques which enable a team to make sound plans and to adjust properly to changing conditions.

Another problem: There have been some instances where the U. S. institution has not been properly matched with the overseas assignment and has not had the capacity to do the job expected of it. In such cases the contract is not conducive to good performance overseas nor does it make a meaningful contribution to the U. S. institution. The overhead that a contractor receives for his work is never of itself sufficient warrant for signing a contract; the real deciding factor must be the symbiotic development that will result from such an undertaking.

Finally, the committee spotted an apathy in, if not prejudice against, research components being incorporated in technical-assistance contracts. Many AID officials in the field feel that there is no place for research, claiming that it takes too long, and cannot be justified. A considerable number of failures can be directly attributed to a lack of incountry research prior to recommendation of a particular practice or program.

There are undoubtedly other deficiencies that could be mentioned, but the ones I have cited are most frequently emphasized by people concerned with university contracts. The very heart of the proposed institution-building agreement is the recommendation for changes which will go a long way toward solving many of the problems enumerated.

Let me briefly call to your attention some of the more important recommendations in this document:

One very significant proposal in the institution-building agreement provides for the early involvement of the university in the institution-building process. Suppose, for example, that a less developed country has approached AID asking for assistance on a project and AID has agreed in principle to it. AID would then make contact with an appropriate U. S. university. According to the planned sequence of some nine steps, the university would do the initial incountry reconnaissance, make recommendations on feasibility, etc. If jointly agreed that the project should proceed, the university's team would return to the field and be involved with AID and the host country in making definitive plans. Key personnel from the three parties would be involved in numerous activities that would contribute toward understanding and desirable working relationships. This might continue for as much as two years. In the meantime, the university could set the stage at home to insure maximum organized support for the project.

Another proposal is meant to facilitate maintaining continuity of post-contract relations between the U. S. university or college and the host country. It is recommended that the initial plans contain provisions for such post-project phase activities as faculty and student exchanges, collaborative research, continued promotion of citizen-to-citizen contacts, follow-up on consulting services and new projects. Joint university, AID, host country and private foundation financing is suggested, and institutional grants for the specific purpose of maintaining post-project relationships are proposed.

The agreement would provide for long-term commitment to facilitate proper planning by the signing of a multi-year operating contract. While it is recognized that five years is the present statutory limit on AID contracts, this agreement would include a forward commitment of funds on a rolling basis (that is, adding another year at the expiration of each year). Funding would be for specific uses as set forth in a previous, jointly developed plan of work. The agreement would state the intention of AID and the university to continue the contract as long as progress warrants it. Mission proposals to deobligate the funds or terminate the project would be subject to review at the AID/Washington senior policy level. This type of agreement would provide an ideal opportunity for universities to provide excellent field teams, proper campus backstopping, and to develop their own capacities to serve international programs. Let me quote from the report: "The critical technical-assistance relationships between host institutions and American colleges and universities also can be expected to improve under these conditions, and this, of course, is the ultimate goal of the proposed changes."

Recognizing the damage to development efforts when AID programs are terminated in response to adverse host country actions, the institution-building agreement emphasizes, again in the report's language, "the value to U. S. foreign policy interests of the people-to-people aspects of development assistance, and the special value in this regard of university-to-university projects. Some disruptions in joint development ventures by U. S. and foreign universities caused by current difficulties between their governments are probably inevitable. Every effort should be made to minimize such disruptions and to avoid aborting the university-to-university relationships. The latter result may both damage immediate U. S. interests and, over the longer term, discourage American universities from making their best efforts overseas."

To satisfy the need for greater operational flexibility, the new institution-building agreement includes provisions which in effect substitute program budgeting for the traditional line-item-type budget. Under this proposed system, the university--without prior AID approval--could adjust the timing and amounts available for the pre-approved list of inputs and activities. Thus the university could much more efficiently manage the commitment of professional services, the purchase of commodities, the scheduling of participant training, etc., in response to local needs as determined by the university field staff and host institution personnel. Entirely feasible under this agreement would be a grant to build an institution

to a certain level of measurable quality and quantity in a specified time.

The agreement also anticipates "further flexibility in operating arrangement," to be provided by having each university manage, according to its own regulations, such items as starting salaries, promotions and salary increases, leave, travel, transportation and charges for training services. The university would advise AID of--and the agency would decide whether to accept--the policies and procedures to be used. Salaries or increases above normal AID ceilings would be adequately justified for the record.

The importance of a fundamental commitment of the university to international work and to the specific project is emphasized in the institution-building agreement. This means that before the decision is made to undertake major overseas programs, the principal officers of the university and the appropriate trustees would give the proposed undertaking the same or even more careful review that any other major program would receive. The principal department leaders must also be involved in rendering decisions and making plans. A strong commitment would include developing the departments' activities to support the overseas work. Conversely, the overseas work would enhance the development of the important interests of the departments involved.

Several proposals were made in the agreement to promote greater staff continuity, to encourage superior staff members to become involved in international programs, and to minimize the difficulty encountered by staff members when they return to campus after an overseas assignment. It was suggested that a long term project leader might alternate his time on campus and in the field with one or more competent counterparts, that international program appointments must receive as much recognition as does on campus work, and that continued university employment--either on campus or overseas--must be assured for competent staff members whether they are recruited on campus or from another institution.

To provide better oriented personnel for overseas assignments, the institution building agreement proposes that AID provide universities with funds for adequately training and orienting staff members embarking on overseas assignments. It also suggests that AID contribute to the development of central training facilities to be established at the universities.

Recognizing the tremendous needs for improved evaluation procedures and feedback, the new working arrangements in the institution-building agreement from the start of the project would provide for an adequate memory system. Under this recommendation the American university would include a plan for evaluating work in progress in its original proposals. It would coordinate this plan with the setting of project goals, identifying suitable base line data from which progress would be measured, the data needed as the project proceeds, and procedures for collecting and evaluating data. Provisions would thus be made for maintaining a record of the strategies used and the results achieved.

To help eliminate as much as possible the occasional mismatching of U. S. and host country institutions, the agreement describes in some detail specific criteria that should be used in matching partners of overseas projects. Time does not permit mentioning all of these here today, but one point of particular significance, I believe, states that the U. S. university should have a substantial on-going program in the area it will be working in the host country which will receive benefit from the relationship. It is proposed that the university continue to make a sizeable investment to improve its capacity and that AID, by means of institutional grants and project funds, reinforce the institution's efforts. Obviously this will benefit all parties concerned.

There is also a provision in the new institution-building agreement for incorporating project related research into the original work plan. The contributions of properly oriented research are described in the agreement, and operating arrangements are outlined in some detail.

The institution-building agreement affords the basis for a much better university-AID working relationship. It is not the complete answer, of course, and the committee suggests an experimental phase where the basic levels can be tested. Modifications are anticipated. AID appears ready to move. As Dr. John A. Hannah, AID administrator, said last November, "New arrangements are being integrated in the institutional development agreement to replace the standard university contract. It is felt that the new agreement is more suitable than the old for joint long-term institution-building.

"In the beginning, the new agreement will be introduced in a limited number of institution programs while both AID and the universities perfect arrangements agreeable to both."

Dr. Hannah succinctly summed up the challenge to universities when he said, "At the same time that the new institution-building agreement gives the universities more authority and more elbow room, it increases their obligations to invest their best talent and management skill to assure the successful attainment of the agreed upon objectives."

Certainly the agreement takes into account the fact that numerous innovations are necessary if the social changes associated with accelerated progress in the lesser developed countries are to be produced. It offers to the universities a greater freedom to be imaginative and creative in facilitating growth and development in these countries.

Having acquired valuable background and experience, much of it through technical-assistance programs, our nation's universities and colleges are now prepared to render beneficial service for America in the international arena. This new agreement will make overseas work more meaningful to the universities in forwarding their own programs of international education and in the institution-building processes abroad.

Whether by design or by accident, every institution is inescapably a part of the international scene. The only real question is: How well prepared are they to meet the challenges offered?

Thursday, August 20, 1970, 7:30 p.m.
Bruce H. Anderson, Chairman

INSTITUTIONAL CHANGE--THE ROLE OF THE ORGANIZATION OF
AMERICAN STATES

Dr. Walter J. Sedwitz

Dr. Walter J. Sedwitz is an economist and Assistant Secretary for Economic and Social Affairs of the Organization of American States (OAS) and also serves as Executive Secretary of the Latin-American Economic and Social Council (IA - ECOSOC) and of the Inter-American Committee on the Alliance for Progress (CIAP). He first joined the OAS in 1961 as Director of Economic Affairs.

Dr. Sedwitz began his professional career in 1949 with the United Nations and later with the United States government. He served as Director of Latin American Studies of the Council on Foreign Relations. Between 1953 and 1959, he directed the research department of the Federal Reserve Bank of New York, in which capacity he also served as adviser to several Latin American countries in economics and finance.

He has also lectured at the State University of New York and Columbia University, and he is the author of numerous publications in economics, finance and on Latin American development problems.

A native of Vienna, Austria, Dr. Sedwitz served in the U. S. Air Force during World War II, and he was educated in Europe and at Columbia University where he received his doctorate.

INSTITUTIONAL CHANGE--THE OAS ROLE

With the signing of the Charter of Punta del Este in 1961 a new era of development was envisioned for Latin America. Social and economic goals which stressed basic structural reforms were outlined in the Charter, and an increased flow of international financial assistance--both public and private--was intended to serve as the catalyst to bring about these desired changes.

Educational systems were to be expanded to provide primary and even secondary education to all children; preventive health and sanitation measures were to be spread throughout the continent; systems of land tenure and use were to be revamped; taxation systems were to be made more useful and equitable; low-cost housing was to be provided for the needy; and all of this was to be accompanied by a 2.5 percent per capita annual economic expansion.

The Charter recognized the need to develop strong, dynamic national institutions if these ambitious objectives were to be carried out. Article II, Chapter I stipulates "That institutions in both the public and private sectors, including labor organizations, cooperatives, and commercial, industrial, and financial institutions, be strengthened and improved for the increasing and effective use of domestic resources."

Immediately after the Alliance for Progress was launched, it became apparent that the absence of suitable administrative machinery in Latin America constituted a major obstacle to effective implementation of its goals. Agencies appropriate to development activities often did not exist. With few exceptions, the key instruments such as planning boards, development banks, systems of cooperatives, etc., were yet to be established.

As for the traditional institutions which were already in operation, a seemingly adequate outward apparatus in no way guaranteed effectiveness in formulating, or more important, in carrying out socio-economic development plans. Among the factors weakening existing institutions were lack of trained human resources, particularly middle-level personnel; excessive politicizing of public services; widespread nepotism; multiple logistical difficulties encountered in the realization of projects in rural areas; frequent changes of personnel and policy due to political instability; and the mushrooming size and often confusing configurations of public institutions. All of these factors led to a temptation to use stop-gap measures to answer immediate problems at the expense of systematic long-range planning.

Another problem arose from uncritical acceptance of foreign institutional forms which were not readily viable in the Latin American setting. An example was the attempt to transplant to Latin America the social security schemes which had flourished in the industrially more advanced nations, but which functioned inadequately in countries where financial resources were limited, and where certain groups managed to draw most benefit from the system, and accounting and actuarial practices were poor or archaic.

OAS Activities in Institutional Development

Let me turn now to the role of the Organization of American States in helping to alleviate these institutional obstacles in the development process.

Probably one of the most important developments in recent years has been the creation, under OAS auspices, of the Inter-American Committee on the Alliance for Progress (CIAP). This Committee, created in 1963, is responsible for conducting an annual series of country reviews designed to pinpoint major development problems in each country, evaluating performance and coordinating the lending programs of the external financial agencies and international organizations. In each country review, an appraisal is made of domestic efforts designed to promote the development process, together with an estimate of external financial needs related to stated goals. In this exercise, CIAP brings together the external lending agencies including the World Bank, the International Monetary Fund, the Inter-American Development Bank and the Agency for International Development, as well as certain other international organizations operating in the development field such as the Food and Agriculture Organization of the United Nations, the International Labor Office and the Pan American Health Organization. These agencies actually participate with the OAS Secretariat. In addition the one-week sessions are attended also by representatives of non-member European countries and Japan and Israel with an interest in a particular country.

During the course of the country reviews, the problems of institution building were explored with particular emphasis on those aspects which may constitute obstacles to the provision of adequate levels of foreign assistance for national development programs.

For example, a loan for a water supply project may be deemed bankable and self-liquidating with subscribers capable of providing sufficient revenue to meet both basic water costs and the added costs of amortization of the external loan. However, the loan may be held up or postponed indefinitely if the lending agency feels that the institution entrusted with the execution of the loan is unable to supervise construction activities, provide adequate service or collect revenues on a timely basis.

In cases such as this, technical assistance may well be provided for an administrative overhaul of the local water supply agency by introducing modern management and operating techniques such as computerized billing and other procedures commensurate with lending agency requirements.

Indeed, at the present time considerable thought is being devoted by CIAP-participating agencies to a closer tie between capital assistance for development projects and technical assistance directed specifically to institution building. One major

area of concentration has been raising the level of technical expertise in the planning boards of various member states with a view to creating a capability in the area of project formulation which is especially important since most capital assistance is now provided on a project basis. In the area of program lending, even more stress is placed on the need for well-developed national institutions since the burden of decision making in such instances is borne by the recipient government.

This new approach to institution building as it relates to external financial assistance is consistent with recommendations set forth in the recent Pearson Commission report prepared at the request of the World Bank and is only one example of continuing concern to maximize the effect of technical-assistance programs in the area of institution building.

It is precisely in this area of institution building, perhaps more than in any other aspect of OAS operations, that we have been able to play a significant role in the socio-economic development of Latin America. At the present time, most OAS technical-assistance activities are not directly related to the flow of funds from international lending agencies to member states, but rather are channeled into an attack on administrative bottlenecks which impede the implementation of specific structural reforms considered critical to the process of socio-economic progress.

The OAS is not, then, a lending institution but is an important supplier of technical assistance for institutional development. Two main types of technical cooperation are provided by the OAS: advisory services and training of personnel.

The advisory services consist of technical missions of three months to a year or more duration as requested by the member states to deal with specific development problems. Experts work directly with the ministry or specialized agency in which the request was originated in formulating action plans or in suggesting needed administrative reorganization.

Among the various specialized teams which have been established to give direct technical assistance to national institutions is the Joint Tax Reform Program of the OAS and IDB. That program has been working both to improve tax policies and administrations and the substantial expansion in fiscal receipts.

Compared with other autonomous agencies, social security institutions in Latin America are generally characterized as being quite powerful. Nevertheless, because of poor administrative practices, the collection of contributions from both employers and workers have been adversely affected. In addition the failure of governments to pay their contributions has further contributed to the financial insolvency that confronts many systems today.

Technical assistance to create efficient institutions is being given by the OAS Secretariat and now covers administration, including mechanization, actuarial calculations needed for the drafting of legislative amendments, personnel administration, medical care, public relations, accounting and budget control, planning and statistics. Assistance in these fields is coupled wherever possible with in-service training in the form of lectures and seminars, and the lasting impact of these measures is determined through routine follow-ups.

Another traditional area of institutional weakness in Latin America has been labor organization. More effective labor organization will contribute to raising the skill level of workers through vocational training programs; to the operation and expansion of health and social security programs; to organization of cooperatives, workers' banks, and housing projects; to help rural migrants to make the adjustment to an industrial-urban environment; and to serve as a training ground for leaders in community development and civic affairs.

The OAS has been working with labor ministries, trade unions, and vocational training institutions of member states to try to achieve these goals. In 1969 the OAS Labor Program held a ten-week seminar for participants from twelve countries, designed to enable the Ministries of Labor to establish effective planning units so that they can play a greater role in integrating human resource development with other aspects of national development. In addition, the Program sponsored a conference on unemployment in Bogotá in conjunction with the two major trade union federations in Colombia. The conference was part of a special OAS effort to upgrade union research and education departments and general staffs to provide the technical support so badly needed by labor representatives. Another branch of activities is the development of teaching and research capabilities in labor economics and related fields in Latin American universities.

Other technical assistance provided by the OAS in the field has included evaluation of proposed legislation for a workers' bank in Costa Rica, a special study of savings possibilities in Honduras, a feasibility study for a life insurance cooperative in conjunction with the Honduran workers' banks in Guatemala, Argentina and Venezuela.

In other areas of technical assistance to member states in 1968-1969 there were five advisory missions on housing and urban development, sixteen on social sector development, three on cooperatives, twenty-two on labor, and fourteen on community development and social welfare.

A few examples of these technical missions intended to strengthen national institutions may be cited:

In Brazil technical assistance was provided to the Ministry of Social Welfare of Sao Paulo in order to get up a project coordination unit, and a seminar was held for twenty Ministry technicians on coordination of programs.

In Colombia the Ministry of Government was assisted in preparing a National Plan for Integration and Community Development, and the Social Security Institute was aided in an administrative reorganization.

In Nicaragua an advisory mission worked with the Ministry of Education in an administrative reorganization and with the Social Security Institute in revamping its system of storage and supply.

A technical mission of fifteen Italian experts aided the Venezuelan government in studying the current situation of and future possibilities for developing tourism in the country. And a similar mission in Costa Rica was carried out with the aid of the government of Austria which sent a team of experts to work with the Institute of Tourism in tourism administration and promotion and hotel administration.

The other major category of technical assistance offered by OAS is the direct training of personnel involved in the development process.

Some two-thirds of the three thousand professionals trained in fiscal 1968-1969 studied in twenty inter-American and sixty-one national courses of the Inter-American Regional Centers. Eight programs were in operation that year with headquarters in Argentina, Brazil, Perú, Colombia, and Venezuela, and a ninth program was approved to begin services. Among the courses offered were Integrated Social Development, Urban and Regional Planning, Rural Development and Agrarian Reform, Formulation of Development Plans, Integrated Development of Water and Land Resources, Public Administration, and Tax Studies. Of the total of 2,442 professionals trained under this program, 35 percent worked in economic development, 30 percent in agriculture, 12 percent in social development, and 14 percent in fiscal policy and administration.

The Extracontinental Training Program provides access to special training programs offered through non-member states, for which the OAS provides travel grants and the host country covers all other costs. Between 1965 and 1969 eighty-six projects were carried out in eleven European countries. These include, for example, educational administration in Great Britain, low-cost housing in Israel, and export promotion in Belgium.

The Special Fellowship Program grants individual fellowships for study or research at the postgraduate level at a university in an OAS country in a case where a government desires personnel training in some specialization not covered by a regular course.

In addition to institution-building services provided by the General Secretariat of the OAS, much has been done through associated OAS specialized agencies such as the Pan American Health Organization and the Inter-American Statistical Institute.

In the field of health, the Pan American Health Organization, which is both a specialized agency of the OAS and the regional office of the United Nations World Health Organization, has worked to strengthen the institutional capabilities of national public health ministries. This institution strengthening has resulted in dramatic reductions in the incidence of deaths due to preventable communicable diseases.

Looking towards the future, it is obvious that OAS activities in the field of institutional development will both expand and become more diversified.

This diversification is apparent in a greatly expanded program for strengthening institutional development in the field of education, science and culture. This expanded endeavor is an outgrowth of the meeting of Latin American chiefs of state in 1967 and is embodied in the new charter of the Organization which created an Inter-American Council on Education, Science and Culture, in addition to the pre-existing Inter-American Economic and Social Council and the Permanent Council of the OAS. All three councils now operate at the same level within the organization.

This new program functions mainly through multinational projects to strengthen and develop existing Latin American educational institutions. One branch of its activities is to provide visiting professors to reinforce existing staffs, and fellowships for staff members to upgrade their knowledge and techniques so that they can replace the visiting professors when they leave. Modern equipment is provided where necessary. Each multinational center offers advanced training to other Latin American specialists in the field and promotes research, experimentation and innovation. In addition to the support of the multinational centers, the programs provide grants to strengthen research institutions in selected fields.

This year the Regional Educational Development Program is carrying out about twenty projects in four major fields: educational planning and administration, curricula improvement, vocational training, and modern educational technology, including educational television.

A comparable number of projects is being carried out with the intention of strengthening postgraduate training in the basic sciences and engineering and expanding research on raw materials and applied technology.

It is likely that future institution-building activities of the OAS will not be restricted to programs in individual member states, but will also stress economic and social action at a regional or multinational level in order to encourage the growth of institutional mechanisms leading to programs of economic integration such as the Central American Common Market and the Latin American Free Trade Association.

It is also anticipated that closer cooperation will develop between the OAS and other international agencies, such as those of the United Nations in order that a concerted attack be made on major development problems such as the staggering rates of unemployment and underemployment facing most member states.

In conclusion, I feel that the full impact of OAS activities in the first nine years of the Alliance for Progress with regard to institution building will probably not become apparent until the latter part of the present decade. This is especially true with respect to our training activities. Earlier in my remarks, I cited specific examples of the kinds of assistance we have provided to member states in this regard. In the case of programs of direct technical assistance, the degree of effectiveness of our efforts becomes fairly clear in the short term, but those programs principally designed to foster institutional development through the training of human resources are likely to have a much more extended pay-out period since these programs presuppose a spread of effect. That is to say that financially, neither we, nor for that matter all international agencies combined, are in a position to provide for the training of all those persons needed to staff new development-oriented institutions to strengthen existing national agencies dealing with development problems. Thus, our training programs have been deliberately selective in scope in order to be as representative as possible. It is felt that providing specialized training to key personnel within a given institution will result in a beneficial multiplier effect on other personnel within the agency who otherwise would not be reached through the mechanisms of international training programs.

I have tried to give you here briefly an idea of our current and projected activities in the development of Latin American institutions. All of this is but a part of the total effort being made by the OAS to promote development of the human resources that are building an institutional framework for an altogether new social order for Latin America. It is a task almost staggering in scope, but one which is a necessary precondition if the goals of Punta del Este are to be converted into reality in our lifetime.

Friday, August 21, 1970, 8:30 a.m.
Dee W. Flitton, Chairman

SELECTION, ORIENTATION AND PREPARATION OF THE OVERSEAS WORKER
Dr. Bruce H. Anderson

Bruce H. Anderson was born in Raymond, Alberta, Canada. He received his early education in Canada and served in the Royal Canadian Air Force during World War II.

Dr. Anderson earned his B.S. in Agricultural Engineering in 1950, his M.S. in Irrigation Engineering in 1954 from Utah State University and his Doctor of Engineering degree at the University of California, Davis in 1963.

While in Canada Dr. Anderson worked for the Canadian Sugar Factories Ltd. and served as agricultural engineer with Dominion Experimental Farms.

He became agricultural engineer for the Utah State University Iran Contract, and between 1951 and 1954 he was chief of the agricultural section and regional director for the Province of Fars of the Point Four program.

Between 1954-1956 he was head of the Agricultural Engineering Department for the International Cooperation Administration (ICA). He then returned to the Logan campus for a year before being assigned to the position of senior adviser to the Ministry of Agriculture Engineering Department, Utah State University Iran Contract, from 1957 until 1960.

In 1963 Dr. Anderson became water use specialist for the Utah State University Extension Service, and in 1965 he became director of the Inter-American Center for the Integral Development of Water and Lands (CIDIAT) located at Mérida, Venezuela.

In June, 1970, Dr. Anderson was named Director of International Programs at Utah State University.

THE SELECTION, ORIENTATION AND PREPARATION
OF OVERSEAS PERSONNEL

Selection:

The identification and selection of individuals for overseas assignments is usually a series of compromises. Rarely does one find in any one individual all of the qualities, capabilities and characteristics sought for and expected in a staff member selected for overseas work. Such a statement can be applied to work at home as well, but it has special meaning in the context of technical assistance overseas.

Universities involved in overseas programs have two sources for personnel. One is within the university system itself, with preference for home campus staff, augmented by recruitment from other universities, either through consortium agreements or by direct contact with known competent staff. The second source is the private sector, such as consulting firms, independent operators, and personnel in business and industry. Experience indicates that problems may arise when a university acts only as a recruiting agent and does not involve its own staff in a major way in an overseas program.

Selection of staff for overseas programs presents the university and potential overseas staff members with a host of problems. Staff must be replaced or their work load absorbed by colleagues. Those heavily involved in research face interruptions and/or delays which may present insurmountable problems. Replacements take time to find and consume the resources of the department or college concerned. Program continuity suffers and contracts are sometimes lost with a change of personnel. Sabbatical leaves, however, may provide opportunity for recruitment without too much disruption of continuing programs for the universities or interruption of career for staff members.

The identification of staff for overseas assignments raises a whole series of questions. How will the prospective overseas worker fit in the situation to which he is assigned? What is his attitude about working abroad? These questions may be influenced by the candidate's talking with others who have served abroad and whether he can be assured an opportunity to render a contribution of value. Attitude may also be affected by whether any undue pressure is exerted to have him take the assignment. Answers to the question of what effect taking an overseas assignment will have on the staff member's status, salary, promotions, etc., on his return to the home campus will have a profound influence on his attitude.

Does the technical competence of the potential overseas worker fit the job to which he is to be assigned? Does he know the language of the country or can he and will he learn it if he doesn't know it? Ofttimes a man's usefulness is destroyed because of his inability

to communicate in the native tongue. Will the change in cultural values work against the individual and render him ineffective or even make him a liability? The list is long and can be added to but the above questions are typical of those that must be answered in seeking and selecting staff.

Many of the above questions also apply to the family of the staff member. They are important members of the team and must be considered in the selection. Will the lack of the cultural advantages be too great for them to overcome? Can they adjust to the new culture and be content with its offerings? Attitude of the family--the wife, the children--is a major factor in providing support and peace of mind to the staff member. Health hazards and educational opportunities for their children naturally loom large in the minds of mothers. Can they cope with these in the new situation?

The job to be done usually is defined in some sort of job description. This may not mean that the job description is what the staff member will actually do. Priorities change and the perception of the job may vary between those who write the description and those for whom the work is to be done. The better the preplanning, however, the less likelihood of having large discrepancies arise between what the man is hired to do and what he actually does.

Orientation:

The orientation of staff for overseas work again poses a series of problems for universities. It is difficult to mount an orientation program for a small staff of one or two people. If a large number are going abroad, the funds available may be sufficient to help provide an adequate orientation program. If the Agency for International Development is the program sponsor, full advantage should be taken of its orientation programs.

Some of the areas that should be considered in orienting the staff member will include factual information about the country itself. Information on geography, climate, type of government, customs and regulations, diplomatic privileges, population, schools, power supply, water supply, transportation alternatives, shopping limitations and also new products and foods will be useful knowledge to the staff member and his family.

The question of how to cope with the cultural differences and living conditions should be discussed, preferably by one who has lived in the country. If firsthand knowledge is not available, then post reports and other written materials provide a source of information. It should be pointed out that personal observations always contain bias, and several sources of information are preferable where available.

Families going abroad are concerned about what they can take with them. The shipping of personal belongings by air freight or surface carriers, weight allowances, storage allowances, whether to

ship a car (and whether the car should be new or used) are questions that need to be answered. Information about passports, visas, vaccinations and shots for health protection must be provided in a way that staff and family can meet the requirements of the country. Usually good factual information can be provided to staff to cover the administrative problems of servicing overseas staff and family. These should all be clearly outlined, however, before the staff member leaves for overseas.

The staff member is entitled to know why he is going overseas and what is expected of him when he arrives in the country. This information can usually best be given by someone who has worked in the country and/or who knows about the work to be done. If the work is new, the staff member may not find much help on campus other than what he can gain by correspondence. If possible, a short term assignment for planning and orientation in the host country is highly desirable. Early contact with the country and the work and with those with whom he will work provides bonus benefits. Film or slide presentations about the country, the work, and the culture of the people are useful tools for orientation programs.

Orientation should also include a thorough discussion of the staff member's continuing relation with his home institution. For example, salary and other compensation are important factors in recruiting competent staff. Extra pay and housing and educational allowances are common inducements used to attract good staff, and these have the effect of increasing salaries when overseas assignments begin and reducing salaries when overseas assignments are ended. The formulas for computing such differentials should be clearly understood by all parties and great care should be exercised to see that all agreements are duly implemented.

Other matters such as salary increments, leaves of absence, retirement provisions, fringe benefits, insurance, medical care, membership in credit unions and the like should be discussed.

University administrators and technical personnel should be included on the orientation program so that the staff member has the opportunity to receive information and to ask questions about such matters.

Verbal commitments on matters of importance are not sufficient. Important policy and procedures should be in writing, either in official university policy statements or in memoranda of understanding between the institution and the person involved.

Leadership in the overseas staff member's department should also be in on the orientation. In fact, procedures should be set up to assure that active contact between the overseas worker and his department is maintained. The department should be prepared to provide timely professional assistance when required, and the staff member must be stimulated to keep up to date on new developments in his professional field and in related areas.

The staff member should be provided with adequate contacts in the country. This may be through his chief of party, AID officials,

host country officials. He should have access to those who can help continue his orientation upon his arrival in the field. He will need to know how business is conducted in the host country, since work patterns and procedures are different. The organizational structure and the logistic support will be different from what he had back home, and he must understand this. The entire process of problem solving may be different and should be understood. He must be oriented to a different time base for getting the job done. Generally he won't be able to obtain results as rapidly as at home.

Some parts of the orientation period apply to the family as well. They should be involved to the extent possible, but special efforts must be made to see that they clearly understand the problems of schooling, health and sanitation, clothing, household peculiarities, including the hiring, remuneration, supervision and dismissal of domestic help.

There may be restrictions imposed which are not a part of life at home, and these should be understood by all members of the family. The more they can absorb about the culture and customs the easier will be the transition. Visiting with students from the host country and those who have lived there are good methods of becoming acquainted with cultural differences and learning about the host country.

Preparation:

Perhaps the area of language training has in the past been the most neglected factor in preparing staff for an overseas assignment. Experience dictates that American staff members must become conversant with the host country language to make a maximum contribution. The day is past when the staff member can get by with English as his only language. Ofttimes the lack of language competence completely destroys a staff member's ability to contribute.

Learning a new language requires time and effort. Time must be made available to a staff member for language training. This is best handled as part of the contract costs. Good results can be obtained by an intensive course at home before leaving, followed by continuing lessons in the host country. If staff can be selected far enough ahead of their departure date, they can be enrolled in ongoing classes on the home campus. Usually, however, the competition for time is too great to accomplish much with this approach. There are exceptions, however, and some prospective staff take it upon themselves to obtain language training in advance. If time commitments are such that the language must be learned in the host country, resources should be made available to do this. Every opportunity should be given to staff to increase competence in using the host country language. Some type of intensive training, in which the staff member is immersed in the language followed by continuing learning opportunities, seems to produce the best results.

Preparation of the staff member in technical matters should proceed as rapidly as possible. The more factual information that can be obtained and absorbed prior to arriving in the host country,

the more effective he will be. Technical material, such as books, journals, slides, microfiche, and other sources of collection and storing information for use in the host country should be acquired well ahead of departure for the host country, and arrangements made to receive new publications on a continuing basis.

The burden of moving and setting up a household in a new country is both exciting and frustrating. Home campus personnel should absorb as much of the burden of getting the family on its way as possible. A happy staff member and family will be reflected in the work he does.

The points made above are not intended to be exhaustive, but they do cover some of the major problems facing universities and their staff members going abroad. Care should be taken that there is adequate support built into the program to carefully select, orient, and prepare staff for overseas assignments. Getting by on a shoestring usually results in neglect of many important phases of orientation and preparation. A total commitment by the university, augmented by outside help, is usually required to carry out an adequate orientation program.

As a final word of wisdom, may I pass on the words of advice given to me twenty years ago by a knowledgeable host country professor. He said, "Do not look at the job, the culture, and people with whom you are going to work like the horse with blinders on his bridle, which focus the eyes straight ahead. Rather remove the blinders, broaden your vision and your understanding of what is around you. Then you can be effective."

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APPENDIX A

SOME DEFINITIONS OF INSTITUTION-BUILDING TERMS AND CONCEPTS

The definitions of the terms and concepts in the selected glossary which follows are adapted from writings of Milton Esman, J. K. McDermott, R. W. Roskelley, and Bruce Anderson. Both published and unpublished sources are used.

More than one definition is given for those terms about which there seem to be substantive differences of opinion in meanings.

Change Agent

One who deliberately works toward inducing change through creative thinking and innovations. (Anderson, and others, unpublished).

Diffuse Linkages

Relationships with individuals and groups who are not aggregated in formal organizations or collectivities but influence the standing of the innovative organization in its environment. An example might be the parents of present or prospective students in an educational institution or the "clients" of a tax collection agency. (Esman, "Institution Building as a Guide to Action," Proceedings of the Conference on Institution Building and Technical Assistance, Washington, D. C., December 4, 1969).

Those relationships with generalized interest groups--such as farmers, bankers, students--which are not organized in recognizable, concrete entities. This linkage may be considered as the "public," in the unspecific sense of the word "public" when used in "public relations." (McDermott's definition, modified by Roskelley).

The expression of what the institution stands for, what it hopes to achieve, and the styles of action it intends to use. (Esman, op. cit.).

That combination of themes which can be and are manipulated by institutional leadership to enhance internal cohesion and unity and to make the institution more acceptable in the external environment. (Fred Bruins in Milton Esman's, Some Issues in Institution Building Theory, Cornell University, Ithaca, New York, 1969, p. 23.) Encompassed in that combination are those values, standards, and philosophies which proclaim the identity and legitimacy of the institution, its goals and the means of attaining them, and its service and progress orientation. (Roskelley).

Doctrine of the organization is made up of the values, standards, philosophies, and mentalities that prevail in it. Doctrine is reflected in policies, programs and operations of the organization. (McDermott)

Those organizations through which the society provides the institution with both the authority and the resources that enable it to function. This almost always includes a legislature, but it may be a state or federal legislature. It probably includes elements from the executive branch of government, perhaps several elements. Involved will be charters and regulations as well as appropriations, contracts, and grants. (McDermott)

Relationships with organizations that control the allocation of authority to operate or of resources. (Esman, op. cit.)

Enabling Linkages

Those relationships which the university as an organization must build with other organizations and social groups which control and have the power to allocate authority and resources which the organization must have to function. (Roskelley, unpublished).

Functional Linkages

Those relationships with other organizations which make use of the target organization's output in serving the society. These include agencies and organizations that hire graduates, that diffuse or use directly the new technology or products, that send personnel to be trained by or seek counsel from the target organization. It also includes other similar organizations with which cooperative programs are developed. (McDermott and Roskelley).

Relationships with organizations that supply needed inputs or which take outputs. (Esman, op. cit.).

Innovations

New technologies, new patterns of behavior, or changes in relationships among individuals or groups. (Esman, op. cit.).

Institution

A set of integrated and complementary ideas, concepts (intellectual blueprints) covering the broad areas of elemental and essential variables and linkages which give direction to behavioral patterns designed to achieve the goals defined by society in such areas as education, family, economics, politics and religion. (Roskelley, unpublished).

A new or remodeled organization which induces and protects innovations. (Esman, op. cit.).

Institution Building

May be defined as the planning, structuring, and guidance of new or reconstituted organizations which (a) embody changes in values, functions, physical, and/or social technologies, (b) establish, foster, and protect new normative relationships and action patterns, and (c) obtain support and complementarity in the environment. (Esman and Blase, Institution-Building Research--The Guiding Concepts, Inter-University Research Program in Institution Building, Pittsburg Pennsylvania, Mimeo, 1966).

Planning and guiding organizations which induce and protect innovations, gain support, and thus become viable in their society. (Esman, op. cit.)

Institutionality

The end-state of institution-building efforts characterized by the following conditions: (a) a viable organization has been established which incorporates innovations; (b) the organization and the innovations it represents have been accepted and taken up by relevant groups in the environment. (Esman, op. cit.).

Internal Structure

That organization of resources into formal and informal patterns of authority, division of responsibility among the different units of the organization, channels of communication, and means of resolving differences and formulating consensus on priorities, policies, and procedures. (Thompson, W. N., et. al., A Method of Assessing Progress of Agricultural Universities in India, Mimeo, 1970, pp. 3-4).

The technical division of labor, and distribution of authority, and the lines of communication within the institution through which decisions are taken and action is guided and controlled. (Esman, op. cit.). See Variables.

Refers to how individuals inside the organization relate to each other, who has freedom to make decisions and take action, how decisions are made, who gets rewarded and by what criteria, and other items of this sort. (McDermott)

Leadership

Those persons occupying the functional positions of authority and responsibility at the several levels of a complex organization who are concerned with the internal organizational matters and the external environmental relationships expressed through linkages. These persons actively engage in structuring the organization, formulating policies and programs, cultivating resources, translating and manipulating doctrine, delegating authority, clearing channels of communication, managing all linkages of the organization, and implementing all of its activities. (Roskelley, unpublished)

The group of persons who direct the institution's internal operations and manage its relations with the external environment. (Esman, op. cit.).

The persons who actually participate in or influence the formulation of policy and program of the organization and in its operation. This may include some persons not apparently a part of administration. This group of persons becomes the effective management entity of the institution or organization. (McDermott). See Variables.

Linkages

Patterned relationships between the institution and other organizations and groups in the environment. These relationships comprise the exchange of resources, services, and support and may involve various degrees of cooperation or competition. (Esman, op. cit.).

The organization or institution must be tied into the society or environment. It must be an integral part of a bigger mechanism, which includes other similar parts, i.e. other institutional organizations. In the Pittsburgh concept, linkages refer to other institutions through which the target institution or organization is tied into the total society or economy. (McDermott). See Enabling, Functional, Normative, and Diffuse Linkages.

Normative Linkages

Those relationships with other organizations in the society which act as guardians of the society's values, norms, and standards. This would include churches, political parties, and ideological groups. (McDermott's definition, modified by Roskelley).

Relationships with other organizations which share an overlapping interest in the objectives or the methods of the new institution. These

may be reinforcing or hostile. Thus, a family-planning institution may have a normative link with a church group which be either supportive or hostile and a school of public health may have normative linkages with the organized medical profession. (Esman, op. cit.).

Organization

A social unit having a complete stratified structure of positions that is systematically coordinated. It is goal-directed and task-oriented as enunciated by its doctrine. It is characterized by a hierarchy of positions and roles, the performance of which is socially regulated according to the goals and tasks undertaken. (Roskelley, unpublished).

A body of persons organized for a specific purpose. (Anderson, unpublished).

Program

Those planned and organized actions that are related to the performance of functions and services, i.e. the production of the outputs of the institution (teaching, research, extension). Programs are designed to fulfill the goals of the organization as set forth in legal mandates, official doctrine, and needed and demanded by the environment to be served. (Thompson, W. N., et. al., A Method of Assessing Progress of Agricultural Universities in India, Mimeo, 1970, pp. 3-4).

The activities performed by the institution in producing and delivering outputs of goods on services. (Esman, op. cit.).

Constituted by the output of the organization. This is usually services, such as education or training, but it could be translated into numbers of students graduated, publications issued, new crop varieties developed and seed stock produced, or simply information on new technology. In some cases it would be an actual commodity, such as seed. (McDermott). See Variables.

Resources

Those inputs of the institution that are converted into products and services and into increases in institutional capability. These include financial resources that can be used for construction of physical plant, equipment, facilities, and employment of personnel services, and also such intangibles as legal and political authority, individual and collective knowledge of staff members, and information about technologies and the external environment. (Thompson, W. N., et. al., A Method of Assessing Progress of Agricultural Universities in India, Mimeo, 1970, pp. 3-4).

Include the inputs into the organization. Just as program is what the organization provides for society (or the environment), resources are what the organization receives from the society to be used in producing the outputs. (McDermott). See Variables.

Transactions

In the Pittsburgh conceptualization, linkage refers to another institution that has a relevant relationship with the target institution. The linkage concept does not refer to the actual inter-personal contacts and interactions that occur between and among individuals who represent the groups. These contacts and interactions are included in a sub-category of concepts labelled transactions.

Transactions are the actual concepts which representatives of the institution have with representatives of the linkage institutions. In these contracts goods and services are exchanged or power and influence are exchanged. Transactions serve at least four functions:

1. They strengthen or create bases of support for the institution and its program.
2. They acquire resources for operation.
3. They seek to bring changes in other organizations which enhance the chances of the institution in achieving its objectives.
4. They seek to transfer values and norms of the institution to institutions.

Universe,
Institution-Building

The institution in its environment has been designated the IB Complex or Universe, or as McDermott described it, the Host Country Complex. Different writers have prescribed minor differences, but the IB Universe is usually rendered schematically as follows:

<u>Host Institution</u>	<u>Other Institutions</u>
<u>Institutional Variables</u> Leadership Doctrine Program Resources Internal Structure	<u>Linkage Variables</u> Enabling Linkages Functional Linkages Normative Linkages Diffuse Linkages
Transactions	

Variables

The various ingredients or elements that identify each institution in varying degrees are referred to as institution variables, which are essentially concerned with the organization itself, and the linkage variables, which are mainly concerned with external relations.

The operational relationships of the model have been described as follows:

"We see leadership as being the intervening variable between institutional variables and their environmental linkages. The function of leadership is to translate and manipulate doctrine to normative linkages which, in turn, activate enabling linkages to provide the resources with which internal structure is built and programs are provided for the functional and diffuse linkages thus building relationships in the environment which provide identity, legitimacy, and support for the institution." (Roskelley)

APPENDIX B

SUGGESTIVE KEY CONCEPTS THAT ARE ILLUSTRATIVE
OF THE DIFFERENT VARIABLES AND LINKAGES
OF THE INSTITUTION-BUILDING MODEL

R. W. Roskelley

To assist conference participants to become familiar with the institution-building model, Dr. R. W. Roskelley of Utah State University with the assistance of Mrs. Lila L. Garr developed a conceptual elaboration of the model. They in cooperation with several graduate students examined the historical record of a land grant university in terms of its components.

The statements used to flesh out the outline were paraphrased by Roskelley and his co-workers from official records, board minutes, speeches, newspaper accounts, etc., and were chosen to demonstrate the basic concepts that served as guidelines in giving direction to what and how things were done during the formative years of the university.

Modern scholars can observe, in retrospect, how the institution builders anticipated IB theory and how they might have been more effective.

SUGGESTIVE KEY CONCEPTS THAT ARE ILLUSTRATIVE
OF THE DIFFERENT VARIABLES AND LINKAGES
OF THE INSTITUTION-BUILDING MODEL

Note to Committee Members

The major variables and linkage concepts reported by Esman and Blase ^{1/} may be thought of as characteristics of any institution. Many of them have numerous attributes in common. Dissimilar ideas about the variables and linkages are the real basis of differentiating one kind of an institution from another.

In the material presented on the attached sheets are suggestive concepts of those that characterized the development of the land grant type of university during the early period. Committee members are requested to suggest other ideas which reflect the land grant university concept or present ideas about other institutions such as health, business, industry, agricultural production, marketing and processing. In other words, the chairmen of the different committees are encouraged to help the discussants share their ideas about any type of institution that the group would like to discuss.

The material presented on pages one through six of the attached section is illustrative of the detailed conceptual elaboration outline presented in an enclosed paper of that title. The remainder is not classified by minor sub-topics, even though the categories which they illustrate seem, for the most part, fairly self-evident.

R. W. Roskelley

I. LEADERSHIP

A. Internal Functional Characteristics

1. Competence

Leadership of an institution should:

Have an understanding of the development of scientific facts bearing on all the phases of agriculture and industry.

Be capable of taking the critical and pivotal steps in organizing the institution, that is, defining the

^{1/} Esman, M. J. and Blase, H. C., Institution Building Research: the Guiding Concepts, (Mimeograph) Graduate School of Public and International Affairs, University of Pittsburgh, 1965.

character of the work to be done by the institution.

Have a breadth of vision of the relationship between agriculture and the natural, mechanical, physical and social sciences, and economics and engineering which will enable them to map out programs to demonstrate the beneficial effects of practical knowledge.

2. Commitment

Leadership of an institution should:

Be enthusiastically committed to innovation as a means toward achieving recognized goals of the institution.

Have the dedication and foresight to lay a foundation broad enough to provide for the future needs of the institution and the public it serves.

3. Style

Leadership of an institution should:

Be capable of resisting pressure toward specificity in favor of flexibility in decision making.

Strive to achieve a balance between authoritarianism, democracy and permissiveness in internal management which will best serve the purposes of the institution at the time.

4. Tactics

Leadership of an institution should:

Provide a free-flowing, two-directional information system within the organization of the institutional staff.

Provide an opportunity for young professionals to actively participate in institutional policy making.

Provide an opportunity for young professionals to demonstrate, in productive use, their newly acquired knowledge.

5. Continuity and Succession

Leadership of an institution should:

Provide that leadership responsibilities, and thus leadership status and reward, be shared by all members of the leadership group.

Continually recruit for leadership positions in the institution those individuals recognized as the most progressive scientists.

Assume the responsibility and obligation to put into effect an explicit program for the selection, training, and placement of new cadre of leadership.

B. External Functional Characteristics

1. Linkage Management

Leadership of an institution should:

Be articulate in voicing the goals of the institution, and the means by which they are to be achieved.

Be able to mobilize the natural, human and service resources of the environment to the support of the institution.

Provide a free-flowing, two-directional information system with environmental linkages.

2. Style

Leadership of an institution should:

Develop a sensitive balance of aggressiveness and accommodation in its external relations in such a way as to achieve maximum cooperation and support from the environmental linkages.

Preserve the peculiar emphasis and point of view of the institution, that is, its unique "character."

3. Tactics

Leadership of an institution should:

Increase the prestige of the institution and if it is already extremely high, ensure maintenance of that prestige.

Manage programs so as to keep costs as low as possible through efficient use of time and space, reduction of duplication in courses, experiments, research, etc. to illustrate to environmental linkages the best use of resources.

4. Doctrine Manipulation

Leadership of an institution should:

Be capable of the elaboration, expression, and manipulation of doctrine so as to maximize environmental acceptance of the institution and its innovations.

II DOCTRINE

A. Internal Themes

1. Themes directed toward Staff Members

The institution:

Should protect the faculty's right to academic freedom.

Should make sure that on all important issues (not just curriculum) the will of the full-time faculty shall prevail.

Should ensure that faculty and/or staff members have maximum opportunity to pursue their careers in a manner satisfactory by their own criteria.

2. Themes directed toward Students

The institution:

Should provide a full round of student activities.

Should offer top quality in all programs offered to the student.

Should keep up to date and responsive to professional trends so as to prepare students for available positions upon completion of degree program.

B. External Themes (Directed to the external environment)

1. Identity Themes

The institution:

Should provide a substantial education to men and women--general information and the discipline of the mind and character to make intelligent and useful citizens.

Should maintain an educational policy, in spirit as well as in form, which is consonant with the language of the legislative acts which defined the purposes of the institution.

Should devote itself to the special needs of the state: to discover its natural resources and to train men to successfully develop those resources.

2. Purpose Themes (Goals)

The institution would see its purpose as being to:

Provide an education aimed at preparing men and women for the real work of the world.

Teach the application of science to the common purposes of life.

Work increasingly in behalf of the advancement of the state.

Educate to his utmost capacity every high school graduate who meets the basic legal requirements for admission.

3. Program Themes (Ways and Means)

The institution:

Should engage in research that is problem-oriented.

Should teach courses of study in which subject matter is related to the important problems in the basic sciences.

Should provide that new methods of presentation, stimulation, and examination are used in the classroom and laboratory.

Should provide programs to resolve the problems of the rural and industrial sector of the community and to communicate the solutions of the problems back to the community.

4. Service Themes

The institution:

Should provide special training for part-time adult students through extension courses, special short courses, correspondence courses, etc.

Should offer cultural leadership for the community through university-sponsored programs in the arts, public lectures by distinguished scholars, etc.

Should assist citizens directly through extension programs, consultation services and by providing useful and needed facilities and services other than teaching and research.

5. Progress Themes (Change and Growth)

The institution:

Should be continually alert to the challenge to improve existing conditions.

Should work continually to maintain top quality in all programs in which it engages.

Should keep up-to-date and responsive to progress in scientific fields.

III PROGRAMS

A. Internal Programs

1. Teaching Programs

The program of the institution should provide that:

The relationship between the teacher and the student be conducive to study, inquiry, and thoughtful scholarship.

Students learn to apply principles of scientific methods under actual farm, community, and industrial conditions.

Discussion group techniques be used within the classroom and time be allowed for groups to function as part of the instructional program.

Teachers schedule regular and frequent office hours when they are available to students who wish to discuss problems of mutual interest.

2. Research Programs

The program of the institution should provide that:

Research be problem-oriented with high priority being given to the most urgent problems of the region served.

Research staff shall have had a significant research experience as a major qualification for a position in research.

Experimental research be promptly completed, the data recorded, details and results or findings reduced, reported, published, and distributed to the farmers.

3. Innovative Programs

The program of the institution should provide that:

All departments, even those least concerned with agriculture and industry, be encouraged to develop programs of service to the rural and industrial communities.

Individual staff members be encouraged to develop "pay dirt" projects having a direct effect upon increasing productivity, creating wealth, and making contributions to the community in other ways.

4. Evaluative Programs

The program of the institution should provide that:

The courses or projects be evaluated from a practical, usable point of view.

The programs be evaluated in terms of the impact resulting from the information-dissemination processes.

5. Service Programs

The program of the institution should provide that:

The institution assume the responsibility of providing on-campus housing for students where necessary.

The institution offer medical care for minor health problems of students.

B. External Programs

1. Extension Programs

The program of the institution should provide that:

Teaching methods used be tailored to specific jobs to be done.

All teaching procedures be continuously evaluated and improvements made in light of the evaluation.

Adequate materials and support be given local leaders to deal with the growing complexity of problems it encounters.

Other agencies be given the opportunity to become fully familiar with Extension personnel and programs.

2. Service Programs

The program of the institution should provide that:

The staff of the institution stimulate the development of adequate community or area organizations and provide guidance and assistance to such organizations.

Staff of the institution cooperate with local people, other public agencies and lay organizations in community improvement and resource development.

The staff of the institution assist community groups in obtaining information and other assistance needed from organizations.

IV RESOURCES

A. Internal Resources

The institution:

Should seek staff personnel with the precise skills, knowledge, and program commitments that effective performance requires for an innovative organization.

Must recruit and retain different kinds of personnel as the institution changes and matures.

In order to expect real performance, must provide the necessary resources for the educational task including physical plant, land, apparatus, and a library.

Should seek to acquire the best trained and most knowledgeable scholars and scientists for staff positions.

B. External Resources

The institution:

Should guarantee the financial support of federal and state legislative bodies by fulfilling its legislative mandates with industry and integrity.

Should mobilize the natural, human, and service resources of the state by giving the degree and kind of service that will enhance the community as well as the institution.

Should meet with industry and integrity the conditions under which government grants are made.

Should continually seek new resources and should maintain present financial resources by continually developing the capacity for service of the institution and its staff.

V INTERNAL STRUCTURE

A. Design of Organization

The internal structure of the institution should provide that:

The governing body of the institution organize itself into a working group for the division of responsibility and tasks.

The governing body of the institution establish positions in the organization and define their relationship to one another.

The departments be complete in themselves and autonomous in their operations and programs.

B. Delegation of Authority

The internal structure of the institution should provide that:

Department heads and through them, the staff members be placed in charge of, and made responsible for, all work of their respective departments.

Committees of faculty members be assigned to study and make recommendations concerning questions of importance relating to the educational work and policies of the institution.

C. Division of Labor

The internal structure of the institution should provide that:

Patterns for the division of labor be practiced at all levels and among all staff personnel.

Each staff member have a clear and definite understanding of the nature and extent of his task obligations.

D. Staff Orientation

The internal structure of the institution should provide that:

The teaching staff all be specialists in their lines: men and women whose interest extends beyond the mere consideration of salary to the important question of professional success.

The ambitions of teachers be to accomplish all that is possible for the individual students under their charge, as well as to succeed in the field of research and of investigation.

The internal administrative attitudes and relationships reflect its dedication to the production of useful people and useful information.

E. Staff Requirements

The internal structure of the institution should provide that:

The administration understand and accept its role as that of facilitating productivity of the staff members.

Staff members participate in the development of the policies and programs of the institution and of their respective departments.

Staff members be obligated to participate in the development of the budget for their respective departments.

F. Staff Development

The internal structure of the institution should provide that:

Very excellent teachers and/or research workers receive a salary equal to or greater in amount than that of administrators.

Administration provide stimulation for professional improvement on the part of the staff.

Staff members participate in the selection of staff members for their respective departments.

Staff members be encouraged to exercise initiative in securing opportunities to participate in professional improvement activities.

Order and discipline be exercised in order that institution's work may proceed effectively.

G. Staff Evaluation

The internal structure of the institution should provide that:

Teachers be evaluated according to their ability to stimulate intellectual curiosity and the quest for new and more knowledge on the part of the student.

Teachers and other staff not be shown partiality or preference because of race, religion, or political affiliation.

Staff members not feel that exercising their own initiatives will jeopardize their positions.

H. Performance Rewards

The internal structure of the institution should provide for:

The institution issuing a firm and explicit policy statement regarding its principles and practices of staff advancement.

Conditions under which staff members qualify for "merit promotions" be well defined.

The possibility for junior staff members to advance in rank within their departments strictly on a merit basis.

Staff members being rewarded directly for excellent performance.

VI LINKAGE VARIABLES

A. Enabling Linkages

The institution should sense its responsibility to develop enabling linkages by:

Identifying with well established themes, symbols, and slogans so that the institution can maintain maximum legitimacy.

Seeking through proper channels, the financial support from legislative bodies granted by legislative acts.

Seeking information and support from the National Congress and the State Legislature when they are in session to represent the interests of the institution.

Sending a representative to the National Congress and the State Legislature when they are in session to represent the interests of the institution.

Inviting the legislative assembly to visit the university, giving the grand tour and treating them royally.

Making effective use of the mass media--press, radio, television--to advertise the institution, and gain interest and support of public.

B. Normative Linkages

The institution should sense its responsibility to develop normative linkages by:

Inviting prominent church and civic leaders, elected officials and successful businessmen to be platform guests and speakers at the officious occasions of the university.

Accepting community standards of morals as a criteria for behavior and upholding these standards in institutional regulations.

Assuming the duty to look after the intellectual and emotional welfare of the students.

C. Functional Linkages

The institution should sense its responsibility to develop functional linkages by:

Maintaining genial relations with city and county officials.

Graciously accepting the very real material commitment of property and water offered by local community.

Allowing and encouraging staff members to attend and participate in professional organizations' meetings.

Maintaining an open forum for discussion of problems relating to the community.

Conducting all business legally and using courts and other legal means of settling disputes when necessary.

Bringing acknowledged scholars and scientists to the university as visiting lecturers for students, faculty and interested townspeople.

Encouraging staff members to visit different parts of state to speak in the interest of the institution.

Cooperating with businessmen of community in advertising the community and the institution in a brochure.

Conducting a survey of schools in the state to determine future enrollments.

Contacting individual teachers at high schools etc. to identify possible college students.

Sending an explanatory pamphlet and a catalogue of courses offered to possible students of institution.

Cooperating with the local Chamber of Commerce in matters that affect the institution.

Soliciting and accepting material and financial gifts from individuals, businesses or industries.

Cooperating with Federal, and state and community agencies in community welfare.

Utilizing the mass media (radio, press, and television) in publicizing the activities of institutional staff.

D. Diffuse Linkages

The institution should sense its responsibility to develop diffuse linkages by:

Maintaining a thorough, non-sectarian, non-partisan character in the administration of the institution.

Advertising the institution as a people's university in the newspapers of the state.

Acquainting the public with the activities of the institutional staff by offering speakers for civic, educational, and cultural groups.

Advertising the institution by sending exhibits of the products of its programs to county, state and world fairs.

APPENDIX C

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