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9. ABSTRACT

The basic aim of the A.I.D. grant is to strengthen competence within the Midwest Universities Consortium for International Activities (MUCIA) to (a) perform R&D work concerning the process of institution building; (b) perform R&D concerned with adapting the experimental method to technical assistance; and (c) perform R&D leading to better working relations between technical assistance advisors and their counterparts, including better selection and training of technical assistance personnel. During 1974-1975 results of research and analysis have started to appear. Grant activity has shifted focus toward processing, dissemination, and utilization of results. No new subgrants were made for research-analysis activity during the year. A few established projects were extended, and one voluntarily discontinued. Small-scale funding has been provided to support work in the fields of evaluation as an aspect of technical assistance methodology; systems tools for project planning and management; and theory, principles, and techniques for institutional development and action system design. The Documentation and Analysis Center was reorganized. A newsletter was established, and a Design Notes series was started. Each Design Note presents a "lesson" about a particular issue, concept, or technique useful to an institution-building technical assistance effort. Two of the first four Notes are based upon PASITAM projects. During the year four PASITAM studies were published. Nine more are in preparation. The MUCIA schools have been surveyed to determine what, if any, impact the project has had so far upon their academic efforts. At least eleven courses or seminars have been established or adapted at three MUCIA schools as a result of the grant.

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211(d) Annual Report
Due: October 30, 1975
Submitted: October 3, 1975

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

Grantee: Midwest Universities Consortium
for International Activities, Inc.

Director: William J. Siffin

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

Statistical Summary:

Grant Period: 28 May 1971 - 27 May 1976

Amount of Grant: \$1,000,000

Expenditures:

Report year: 203,000

Accumulated: 773,300

Anticipated for 215,400
Next Eight Months

B. Narrative Summary

1974-75 has been The Year of Transition in this 211(d) project. Results of research and analysis have started to appear. Grant activity has shifted focus toward processing, dissemination, and utilization of results.

No new subgrants were made for research-analysis activity during the year. A few established projects were extended. One was voluntarily discontinued. Small-scale funding has been provided to support work in the fields of: Evaluation as an aspect of technical assistance methodology, Systems tools for project planning and management, and "Theory, Principles and Techniques for Institutional Development and Action System Design."

The Documentation and Analysis Center (DAC) was reorganized. A Newsletter was established and a Design Notes series was started. Each Design Note presents a "lesson" about a particular issue, concept, or technique useful to an institution-building technical assistance effort. Two of the first four Notes are based upon PASITAM projects. Other Notes present lessons about the effects of alternative organizational arrangements, and describe one model of a Management Information System for agricultural and rural development projects. Both are based upon AID-generated documentation.

During the year four PASITAM studies were published.* Nine more are in preparation.**

The MUCIA schools have been surveyed to determine what, if any, impact we have so far had upon their academic efforts. At least eleven courses or seminars have been established or adapted at three MUCIA schools, as a result of the 211(d) grant. A PASITAM project at Wisconsin has helped stimulate reorganization of the Industrial Engineering curriculum of that University. It is too early to assess the impact of PASITAM's published products. But DAC surveyed the use of the earliest PASITAM publication--the Institution Building Source Book published in 1973, to get information for current and future dissemination strategy. Between June 1974 and 14 September, 1975, 196 copies were requested, including 101 from overseas. Domestically, the volume was being used in several courses, in a dissertation on administrative reform in Pakistan, as the source of a checklist for an AID-funded water management research team in Pakistan, and otherwise.

The utilization thrust is reflected in a training contract with AID,

*Harbans S. Bholra, The India Education Project: A Case Study of Institution Building and Organizational Conflict. (July 1975)

Michael J. Moravcsik, Science Development: The Building of Science in Less-Developed Countries. (July 1975)

Betru Gebregziabher, Integrated Development in Rural Ethiopia: An Evaluative Study of the Chilalo Agricultural Development Unit. (September 1975)

Amy Mann and Jan Miracle, eds. Rural Development: The Interplay of Analysis and Action. (September 1975)

**Mann(Reader), Swanson (Agricultural Technology Transfer), Blue et al, (Analyzing Agricultural Projects), Job (Quasi-Experimental Design), Hoole (Developmental Design in International Health), Thornton (Organizational Change) Loveman and Ostrom (Development and Institutional Design), Siffin et al (Action Systems: Problem Approach to Design and Management), and Delp and Thesen (Systems Tools for Developmental Design).

made by MUCIA in June, 1975, and in a personally tailored training program at PASITAM headquarters, September--November, 1975, for a member of the professional staff of the Interamerican Institute of Agricultural Sciences.

At the end of this reporting period, the 211(d) project has moved beyond its initial phase--the establishment of a viable strategy and a sound knowledge base. Some knowledge-building necessarily continues, but main emphasis is upon transforming the products of research and analysis into materials for use, within MUCIA and outside. Overall, the project is at least a year from full pay-off, partly because of initial difficulties in shaping a practical strategy, and because meaningful efforts to build, test, and deliver capacities take time.

C. Detailed Report

1. General Background and Description of Problem

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

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

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

2. Purpose of the Grant

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

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

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

(c) the existence of practical tools of demonstrated use in institution-building technical assistance efforts;

(d) the existence within MUCIA of consultative capability that can be applied to institution-building technical assistance efforts as a consequence of this program;

(e) the existence of a documentation and analysis center capable of providing selected and evaluated information pertaining to the concerns addressed in this program; and

(f) an on-going set of linkages with institutions engaged in technical assistance, and in training, education, and research pertaining to institution-building technical assistance, through which useful knowledge is generated, disseminated, and applied.

3. Objectives of the Grant

The basic aim of the grant is to strengthen competence within MUCIA to:

- (a) Perform R & D work concerning the process of institution building;
- (b) Perform R & D work concerned with adapting the experimental method to technical assistance;
- (c) Perform R & D work leading to better working relations between technical assistance advisors and their counterparts, and to better selection and training of technical assistance personnel.

The grant also anticipates the dissemination and application of the results of capability-building efforts, through educational activity within MUCIA, through training, publications, and consultancy services.

The grant objectives include the collection, cataloging and dissemination of relevant research findings.

Review of Objectives: The original statement of objectives reflects a large array of concerns, ranging from the most general (e.g., development of advanced models of the institution-building process) to the highly particular (e.g., "comparing the effectiveness of various approaches to the selection of technical assistance personnel"). The objectives were initially matched with a projected \$4,000,000 budget. Although the objectives were generally unmodified, the budget was not. Grant objectives were translated into a series of eleven categories of program activities, and a five-year plan of action was sketched. After about a year and a half, MUCIA arrangements for managing the program were reorganized. Current efforts emphasize studies of aspects of the process of institution building, the application of the experimental method, the training of technical assistance (and other development) personnel, and the strengthening of analysis as a key ingredient in technical assistance methodology. The following table summarizes the current status of relationships between initial objectives and program focus:

Initial Grant Objectives,
as Indicated by the Program Stated in the Grant Document,
Compared With Current Program

Initial Program Aim

Current Program Aim and Activity

1. "Study the Process of
Institution-Building"

General studies have been undertaken. But most of our efforts reflect the fact that the IB process must be "disaggregated" in order to produce practical knowledge.

Relatively general studies include: The preparation of a Reader on institution building; the Ostrom-Hennessey seminar on the analysis and design of institutions; the work by Siffin and associates on problem-solving approaches to the design and implementation of development efforts; and the Loveman-Ostrom work on "Thinking About Development and Institutional Design."

Institution-building perspectives have been applied in case studies, including Bhola's work in education, Betru's study on CADU, the Thornton study of Organizational Change in Bolivia, and in some unpublished and externally published papers listed elsewhere in this report. The Moravcsik study of Science Development is an important IB contribution in a particular field.

2. Adapt the scientific
experimental method to
the special require-
ments of technical
assistance and incor-
porate the adaptation
into the design of
technical assistance
projects.

Significant work has been done. Publications are forthcoming, and some results have already been applied. A major activity is a project conducted by Professor Brian Job at Minnesota and Professor Frank Hoole at Indiana. Job has prepared a paper, "Quasi-Experimental Design Methodologies and their Applicability to Foreign Assistance Projects." It is currently under review and scheduled for publication in the winter of 1975-76. Hoole is preparing a parallel study, based on examination of the work of multi-lateral technical assistance agencies. Job has provided consultancy service to AID's evaluation office, and a module for the Development Training Program of AID's Manpower Development Division. An "Evaluation Panel" of MUCIA scholars is being developed. This panel is scheduled to assess an evaluation strategy developed for AID by a private contractor. (In October, 1975). PASITAM has been asked to explore with AID's evaluation office in PPC and the Office of Science and Technology in TAB the possible design of a comparative evaluation of two institutions for technology transfer, one

Initial Program Aim

Current Program Aim and Activity

in Korea and the other in Latin America. All these efforts involve application of the "scientific experimental method."

Given the nature of a 211(d) grant, no direct action has been taken to "incorporate the adaptation into the design of technical assistance projects."

3. Researching relationships and patterns of interaction between technical assistance personnel and their local counterparts.

One PASITAM project analyzes aspects of this objective, as do three case studies. The Bhola case, the Betru case, and the Thornton case offer lessons about aspects of advisor-counterpart relations. Swanson's analytical work presents findings about the effects of certain patterns of relationships between technical assistance personnel and host country trainees. (The now defunct Methodology Division of TAB had mounted certain studies of advisor-counterpart relations, and we did not wish to duplicate them.)

4. Comparing the effectiveness of various approaches to the selection, training, and preparation of personnel.

No work has been done on personnel selection. Significant work has been done to compare the effectiveness of alternative approaches to training and personnel preparation. The above-cited Swanson project makes significant contributions to knowledge of training as it pertains to institution building and technical assistance methodology. "Preliminary explorations with the Manpower Development Division of AID may lead to redesign of the Division's program of orientation training for contract personnel.

5. Investigating means of incorporating reciprocal arrangements into technical assistance agreements and projects, to promote collaboration.

"Reciprocal arrangements" depend upon ability to reciprocate on the basis of a common level competence. If aid recipients have well-developed capacities to delineate problems and participate in designing responses, collaboration becomes possible. A Number of PASITAM projects contribute to increased analysis and design capacity, and future objectives include collaboration with LDC institutions and training of LDC personnel to help build capacities. (Particularly germane projects include the Delp-Thesen work on Systems Tools for Development, the work of Blue and I

Initial Program Aim

Current Program Aim and Activity

colleagues on the analysis of agricultural projects, the above-cited Job-Hoole work, the Loveman-Ostrom project, and the work of Siffin and associates. Also, Design Note 3 deals directly with techniques of collaboration in the field of rural development.)

6. Development of standards, procedures for socio-cultural analysis of project environments as part of planning.

Several Design Notes scheduled for issuance from October, 1975, address aspects of this aim. The Thornton, Bholá, and Betru cases cast some light on the subject. The Loveman-Ostrom study offers a basis for formulating standards. Most important, the previously cited on-going work on Evaluation addresses important issues concerning standards and procedures for socio-cultural analysis.

7. Systematizing the pragmatic knowledge of and skills in technical assistance processes and relationships achieved by experienced technical assistance advisors and practitioners.

The forthcoming study by Blue and associates examines ways in which pragmatic knowledge and skills are used in developing agricultural projects. The Design Study of Rural Development: The Interplay of Analysis and Action (September, 1975) systematically describes some of the techniques of skilled practitioners. An as yet unpublished paper on "the inner environment of technical assistance" presents a systematic framework within which pragmatic skills and knowledge function. It is being reviewed and revised for probable issuance as a PASITAM Design Study.

8. Comparing the effectiveness of various channels and techniques of communication involved in technical assistance.

Swanson's work on the alternative behavioral effects of different techniques of training, bears upon this aim. The PASITAM Design Study: Rural Development: The Interplay of Analysis and Action also examines important techniques of communication. Design Notes present lessons about the effectiveness of various channels and techniques of communication. PASITAM's Analytical Skills Training Program will present a series of techniques for effective communication in technical assistance, and the Delp-Thesen work will also produce valuable materials.

Initial Program Aim

Current Program Aim and Activity

9. Refining evaluation procedures.

Significant contributions are being made and there has been close collaboration with AID's evaluation division. As of September 30, 1975, five PASITAM scholars had participated in AID's Evaluation Seminar. One more participant is scheduled. Informal consultation service has been provided to the division. The Agency's Development Training Program includes a module on design and evaluation produced through PASITAM. A PASITAM paper on "Factors Involved in the Evaluation of Management Training Institutions" has been used in training programs at the Asian Centre for Development Administration, (ACDA), a UN-sponsored regional institution at Kuala Lumpur, and by CAFRAD, the African regional training organization in Tangier. ACDA has published the statement, in Inayatullah, Management Training for Development: The Asian Experience, 1975. Current efforts--the Job and Hoole studies and the work of the PASITAM evaluation panel--will add capacity to design and implement sound evaluation strategies as a key feature of technical assistance. Several memoranda have been prepared for that office, and most were found useful. Design and application of a practical evaluation of institution building for technology transfer is being explored with an office of AID.

10. Analyzing effectiveness of technical assistance selection procedures.

On the basis of examination of procedures for selection of technical assistance contract personnel, we have begun to work with AID, to try to increase the effectiveness of orientation training for such personnel.

11. Evaluating alternative ways of exploiting publications, equipment, and other commodities as aids to technical assistance.

We have devised a distinctive and innovative way of exploiting publication as an aid to technical assistance in the Design Notes initiated this year. The Notes, and the PASITAM newsletter, will be evaluated for effectiveness in April, 1976.

Given the sheer scope of the objectives of this grant, and the program outlined in the grant document for pursuing those objectives, devising a reasonable strategy of action has not been easy. More than a year and a half elapsed before the present program strategy was devised. That strategy has three elements: (1) To undertake analyses to build knowledge about major grant objectives--and thus to also build capabilities within the MUCIA schools; (2) To convert the results of those analyses into useful tools and statements; and (3) to put the results to use--by practitioners outside MUCIA and by scholars within MUCIA, so that capacity building could continue within the Consortium and products could be used externally. At this point, eight months prior to the scheduled termination of the grant, Phase I is substantially complete, and significant contributions to Phases II and III have emerged.

4. Accomplishments

(a) Subgrant Projects

During the year ending September 30, 1974, seven projects totalling \$209,978 were funded to serve program objectives. At the end of this year (September 30, 1975), the status of those projects was as follows:

(1) Evolution of Organizational Goals in institution building technical assistance efforts: Haberstroh/Wisconsin. \$26,800. As this project evolved, the interests of the investigator focused increasingly upon development of a sophisticated methodology of organizational goal analysis. This inherently interesting social science effort outran the framework of our objectives. Two unpublished papers were issued, and the project reached termination with no plans for further exploitation.

(2) The Design of Effective Public Enterprise Institutions: Abel, Hurwicz/Minnesota. \$49,000 (two years). The project was slated to operate through December, 1975, but was terminated in the summer of 1975 with a reversion of approximately \$38,000. An international seminar at the University of Minnesota was held in the spring, 1975, and a number of papers were presented. It became clear that project leaders were moving into sophisticated theoretical studies. While these address questions which underlie institution-building concerns, the immediate products are rather remote from the utilitarian interests of practitioners. Also, other obligations of the project leaders led to a slow start in the project. These factors led to an amicable ending of the work.

(3) Quasi-Experimental Design for Technical Assistance: Job/Minnesota, and Hoole/Indiana. \$28,600. Significant results were obtained during the year. A Design Study by Job was completed in draft and is being reviewed, prior to publication during the coming winter. Field work by Hoole has been completed, and he is also drafting a Design Study. Both Job and Hoole presented findings in informal seminars at PASITAM headquarters. Job provided consulting service to AID, and participated in the Agency's Development Training Program during the year.

(4) International Intermediaries in Agriculture, Programs and Effects: Swanson/Wisconsin, Illinois. \$26,740. Significant products have been produced and there is informal evidence of their perceived value and influence. A Design Study is in press, to be issued in October, 1975. Two other papers are in draft form. Swanson provided advisory assistance to several of the International Intermediaries for agricultural technology transfer.

(5) Systems Tools for Development Planning: Delp and Thesen/Wisconsin. \$32,930. This effort to apply the perspectives and tools of industrial engineering to design needs within the field of technical assistance achieved a major breakthrough, and a unique enlargement of capacity. In September, 1975, a draft report was submitted. Contents will be developed during the 1975-76 year. Some will be used in training scheduled for the winter, 1975-76, under an AID contract. Other significant applications are anticipated.

(6) Workshop on Agricultural Development: Herzog/MSU. \$33,040. A number of advanced graduate students from LDCs participated in this pilot workshop. One product was a case study of the CADU project in Ethiopia, by an Ethiopian participant in that project, published by PASITAM. Another is a Design Study--Rural Development: The Interplay of Analysis and Action, edited and published by PASITAM. The study offers useful insights to practitioners and students of technical assistance and development. It also draws upon material from a previously funded PASITAM project on institution building in agricultural development (Blue-Schmid-Coyer-Wynia project, begun in 1973).

(7) Educational Reform and Development: Institution Building as Focus: Bhola/Indiana. \$11,768, plus supplement of \$6,901. A case study of the India Education Project was published during the year ending September 30, 1975, and a number of unpublished papers were prepared and submitted. A case study of organizational change, the reorganization of the educational system of Bolivia was completed and is being edited for publication during the winter of 1975-76. The latter case was partially funded with headquarters funds.

To sum up, all but two of seven projects funded during the previous year had produced significant results by the end of the reporting year.

Accomplishments were also obtained from three projects initiated in 1972-73:

(1) Institution Building in Agricultural Development, factors in the design of agricultural development projects: R. Blue/Minnesota et al. \$22,247. A draft of most of a final report is in hand. Inputs have been made into another MUCIA project, the MSU workshop and the published product growing out of that workshop. And the project leader moved into a two-year appointment with AID.

(2) Design of Health Delivery Systems for rural areas in poor countries: Wallace/Wisconsin. \$19,000. This project helped stimulate the creation of a Center for International Health within MUCIA. A number of working papers have been produced. Project funding has ended, but PASITAM headquarters continues to cooperate with Dr. Wallace, head of the Center, in efforts to produce improved designs for effective health delivery.

(3) Institutional Analysis and Design: Ostrom/Indiana and Hennessey/Michigan State. \$36,888. The initial project involved a year-long graduate seminar. A number of unpublished papers was produced. During the summer of 1975, Professor Brian Loveman used products of the project, plus other materials, to produce a draft Design Study, Thinking About Institutions and Development. This work, now being reviewed, is scheduled for publication during the winter of 1975-76.

The general progress of this 211(d) grant program is illustrated by the shift away from Phase I, with its focus upon grant-based activities:

Grants for PASITAM Projects

1972-3
\$69,800

1973-4
\$214,400

1974-5
\$23,900

Grant activity during the current year consisted entirely of supplemental funding for prior grants. The MUCIA Board authorized Professor H.S. Bhola to continue to develop a set of generalizing papers on "Configurations of Change: Institution Building as Focus." Drafts of several were produced during the initial period of the grant, and materials are to be tested in classroom use. Authorization terminates 30 April, 1976.

Professor Francis Hoole was granted \$7,213 by the MUCIA Board for completion of his Design Study, "Application of Experimental Method to the Design and Evaluation of Technical Assistance Projects." Authorization terminates 31 January 1976.

Professor Brian Job also received \$4,034 from the MUCIA Board for this purpose. Authorization terminates 31 January 1976.

Additional funds totalling \$5,762 were awarded to Professor Edwin Wallace for continued work on his project, "Workshop and Training on the Design, Management and Evaluation of Rural Health Projects." Authorization terminates 27 May 1976.

The Bhola project may produce an interesting manuscript concerning institution building and social change. The Hoole/Job work will wind up work on Quasi-Experimental Methods including applications to evaluation. The Wallace funding will hopefully afford a basis for the development of publishable products from substantial prior efforts in this project.

(b) Other Activities Within the Consortium

PASITAM's capacity-building efforts have led to the establishment and adaptation of various courses and seminars within MUCIA. Our evidence is not complete, nor is it yet conclusive: We anticipate that products from Phase II of the program will be used in teaching and training within MUCIA and elsewhere, as one element of the third phase of this program.

The following table indicates the courses and seminars which have, to our definite knowledge, been developed or adapted as a direct result of PASITAM activities. Some of these are direct outgrowths of PASITAM grants. Examples are Professor Bhola's courses in education, the graduate course on Design presented by professors Thesen and Delp, and the Blue-Brauer-Wynia course on U.S. Foreign Assistance (which uses a simulation devised by Blue in the course of work on a PASITAM grant). Graduate seminars at Indiana, in political science and sociology, stem from our project in Quasi-Experimental Design and from headquarters activities concerned with the process of evaluation. The Mikol-Dresang course is an outgrowth of work on our Advisory Committee. The rural development seminar at Indiana will include MUCIA faculty as visiting participants, and will produce a Strategy Paper on key problems of agricultural and rural development. This paper is intended as the basis for organization of an Agricultural and Rural Development Panel within MUCIA in the spring of 1976.

Summary of Course and Seminar Development within MUCIA Schools Supported or Stimulated by PASITAM

INDIANA

- | | | | |
|--------------------------|-------------------|---|--|
| (1) 73-74 Fall/Spring | Political Science | Graduate Seminar: "The Analysis and Design of Institutions" | Vincent Ostrom (IU) Timothy Hennessey (MSU) |
| (2) Fall 73 | Political Science | Graduate Seminar: "Institution Building and the Politics of Social Change" | William Siffin |
| Fall 75 | Political Science | Graduate Seminar: "Political and Administrative Development: World Poverty, Food Needs, and the Aims of Agricultural and Rural Development" | William Siffin E. Philip Morgan |
| (3) Fall 75 | Political Science | Graduate Seminar: Systematic Evaluation of Social Action Programs | Frank Hoole |
| (4) Fall 75 | Sociology | Advanced Topic Seminar: Evaluation | Ilene Bernstein |
| (5) Fall 74 Fall 75 | Education | Graduate Course: Diffusion and Adoption of Educational Innovations: Models, Techniques and Applications | H.S. Bhola |
| Spring 75 | Education | Graduate Course: Introduction to Diffusion and Adoption of Educational Innovations | H.S. Bhola |
| | | (These three courses devoted substantial segments to institutional building and the design of social change projects) | |
| (6) Fall 75 | Education | Graduate Seminar: Educational Policy Series: Systematic Examination of IB and other Change Strategies, (national policy level) | H.S. Bhola |
| Spring 76 | Education | Graduate Course: Offering centered on work completed under PASITAM subgrant | H.S. Bhola |

Summary of Course and Seminar Development within MUCIA Schools Supported or Stimulated by PASITAM

UNIVERSITY OF WISCONSIN

| | | | |
|---------------|----------------------------------|--|--------------------------------|
| (7) Spring 75 | Political Science Engineering | Undergraduate Course: Design of Technology Transfer | Dennis Dresang Edward Mikol |
| Spring 76 | Political Science Engineering | Projected Course on Design of Technical Assistance Projects | Dennis Dresang Edward Mikol |
| (8) Spring 75 | Industrial Engineering | Graduate Course: Information System Design | Arne Thesen Peter Delp |
| (9) Fall 75 | Industrial Engineering | Graduate Course: Theory and Design | Arne Thesen Peter Delp |

(Thesen and Delp note that their involvement in the PASITAM subgrant contributed to a reorganization of the Industrial Engineering Department with a new course sequence in system analysis.)

UNIVERSITY OF MINNESOTA

| | | | |
|----------------|------------------------------|--|-------------------------------|
| (10) Spring 75 | Economics | Seminar on Water Management and Rural Development | Martin Abel |
| (11) Fall 74 | Political Science History | Graduate Course: International Relations: "U.S. Foreign Assistance" | Richard Blue Kinley Brauer |
| | | (Developed a simulation based on a PASITAM research grant for this course) | |
| Spring 76 | | Above will be taught by Gary Wynia (Political Science) | |

MICHIGAN STATE UNIVERSITY

| | | |
|-------------|--|--|
| Summer 1974 | Workshop on the Design of Rural Development Projects (Involved five LDC graduate students at Michigan State University) | PASITAM Staff William Herzog Glenn Johnson Ralph Smuckler |
|-------------|--|--|

We are assured that other academic spin-offs have resulted from PASITAM activity, and are reflected in the content of courses within MUCIA schools. This is probably true. In the absence of clear evidence no claims are made. Even so, an impressive amount of capacity-building through courses and seminars has occurred. As published materials emerge in coming months further impact within MUCIA can be expected.

(c) Accomplishments at Headquarters.

The evolution of PASITAM is illustrated by the changing allocation of funds to project grants. A corollary growth in emphasis upon headquarters activity is also indexed in financial terms.

| | <u>Headquarters Expenditures</u> | | | |
|---------------------|----------------------------------|---------------------------|---------------|-----------------------------|
| | <u>1972-3</u> (actual) | <u>1973-4</u> (actual) | <u>1974-5</u> | <u>1975-6</u> (budgeted) |
| Total: | \$67,937 | 124,600 | 179,000 | \$202,000 |
| Salaries Fringes | 48,762 | 76,556 | 127,000 | 140,000 |

During the first phase of the program, headquarters activity was concerned with shaping an action strategy, establishing and monitoring projects, and related administrative activities. First steps were taken to establish a Documentation and Analysis Center, and some small-scale project-type activity was undertaken. (An example is the work resulting in the Moravcsik study of institution building in the field of science. Another is the work of Siffin and some consultants, aimed at establishing the basis for a "new synthesis" in the form of a monograph on problem solving approaches to the design and implementation of action systems.)

In the year ending September 30, 1975, headquarters activity became more pronounced and extensive. A Publications Staff was assembled, to produce materials from the reports emerging out of the various activities funded by PASITAM. Three important aims of this direct approach to preparation and dissemination are: flexibility, control, and economy. Our composition and manufacturing costs are exceptionally favorable in comparison with known alternatives (E.g., a per page composition cost of about 50% of the charges of external composers). Flexibility and control enable us to act quickly, with minimum lead-times and with in-house responsibility for error avoidance.

During the current year, after numerous difficulties, the Documentation and Analysis Center was developed into a viable and useful enterprise. It now monitors all of the important sources of relevant published materials known to us. It monitors the flow of materials into a number of information systems including the AID documentation system. It has achieved a reference service capability, and has established a comprehensive distribution system for PASITAM products. The Documentation and Analysis Center, working in

collaboration with all of the professional headquarters staff, is also responsible for the issuance and dissemination of Design Notes.

Design Notes. A Design Note is the brief statement of a "lesson" about institution building, technical assistance methodology, or some related development topic. The lesson is to be of practical use to some of the people who design, implement, evaluate, or study in the field of international development. A lesson may state a causal relationship, describe a practical concept or idea, or present a useful technique.

Design Notes are drawn from three sources: PASITAM studies, the reports of agencies involved in development efforts, and the published findings of research. They are distributed widely, within AID and other donor agencies, to institutions and individuals overseas, and to a selected list of individuals within MUCIA. The first two Notes were published in September, 1975. A third was in press on September 30, and a set of about eighteen is projected for the next six months. After this batch of notes is distributed the value of the Design Note technique will be assessed to determine their usefulness to practitioners, trainers and others.

Newsletter. Late in the current year PASITAM's program advanced to the point at which published products began to appear. To disseminate information about them and other PASITAM capabilities a newsletter was started. It is distributed to about 1,000 organizations and individuals in the United States and abroad.

Training. Training has long been regarded as an important means for applying the capacity built through the PASITAM program. In June, 1975, the MUCIA Board entered into a three-year contract with AID, under which PASITAM will develop and conduct an Analytical Skills Program of training. A pilot program is scheduled for January, 1976, to be followed by two programs at overseas sites during the first half of 1976.

In keeping with the initial program aims of the 211(d) grant, we are exploring with AID's Manpower Development Division the possibility of helping the Agency develop its existing orientation training program for contract personnel. Substantial reliance upon contractors and a persistent decline in direct-hire field personnel increases the need for orientation training to enlarge the effectiveness of individuals carrying out AID-funded missions. One activity projected for 1975-6 is the collaborative development of a proposal for supplementing AID's present orientation program.

PVOs, PHAs or Volags. Emphasis upon the use in technical assistance of "private voluntary organizations," or "private humanitarian agencies," or "voluntary agencies" has been growing, along with emphasis upon technical assistance for the rural and urban poor. During the present year, AID personnel informally suggested that there might be opportunities to help these organizations strengthen their capacity to participate in technical assistance.

PASITAM began the preparation of a "Strategy Paper," a first-draft description of characteristics of these organizations as participants in technical

assistance. The paper, scheduled for completion in October, 1975, will be the basis for informal discussions within MUCIA, and with relevant AID personnel.

Depending upon the value of the paper and the outcome of discussions, a Panel of MUCIA experts will be organized, to further study needs and opportunities for strengthening PVOs as technical assistance. It may be opportune to provide tools to these organizations for improving the design and evaluation of projects. Training could be an appropriate means to this end.

Panels. The concept of "linkages" is the most popular feature of the original Institution-Building model. The question of linkages between PASITAM and MUCIA is one of the most important issues before us.

In the first phase, linkages were promoted through announcements of PASITAM's program, through on-campus meetings, and through the establishment of projects on the various campuses. Now most of those projects have reached the pay-off stage. Can their products, and other PASITAM outputs, be used to further enlarge a set of focal, practical capabilities within MUCIA? This is the important internal linkage question at this point. Panels are one prospective element of an answer.

PASITAM has developed major thrusts in several topical areas pertinent to institution building and technical assistance methodology. These include: agricultural and rural development, health delivery for the rural poor, the design and evaluation process as it applies to technical assistance (including quasi-experimental methods, the use of systems tools for analysis, and the practical methodology of evaluation in technical assistance), and the application of organization theory to technical assistance design and implementation. Important foundations have also been laid for considering strategies of institutionalizing science in developing countries, for strengthening private voluntary organizations as instruments of technical assistance, and for addressing some problems of institutional development in the field of education.

Capacity has been built in these fields, but it is small in volume and potentially ephemeral.

During the 1975-6 we aim to maintain and develop some of this capacity. The method is to establish a series of Panels, comprised of MUCIA scholars able to make a special contribution to one of PASITAM's topical areas.

A Panel consists of a multidisciplinary group of four to ten individuals, drawn from more than one MUCIA school. A Panel examines and assesses material prepared through PASITAM, which defines problems, sketches needs, and helps shape potential action strategies. A Panel functions through workshops. Its members are expected to respond in substance to statements and questions laid before them.

In some instances the basis for a Panel's work is a Strategy Paper of the sort being prepared about Private Voluntary Organizations. A Panel on the evaluation process, being shaped as this year ends, will work with

*An Annex to this report sums the current status of PASITAM linkages.

a somewhat different collection of materials, including products of the Job-Hoole project and memoranda from a MUCIA scholar, Professor Ilene Bernstein of Indiana University. The main point is this: A Panel is not a general discussion group; it is a seminar of experts. Its aim is to arrive at judgments through study and discussion of practical aspects of institution building and technical assistance methodology.

The Panel process will draw PASITAM products into use within MUCIA. It will also promote incrementally enlarged expertise in several topical fields. It is assumed that this expertise and knowledge of our materials will be reflected in teaching, in consultancy, and in other forms of participation in international development.

Plans for 1975-76 call for the establishment of such panels on several subjects: Agricultural and rural development, the evaluation process, the role of private voluntary organizations, and possibly in four other fields: Science development, educational strategies, knowledge of the design process for technical assistance and development, and health delivery.

Panels provide intensive linkages within MUCIA. They are supplemented by more diffuse arrangements, including a Newsletter and the selective distribution of other PASITAM products. In addition, linkages are provided by our Advisory Committee, liaison officers on each campus, and ties to the MUCIA Board.

5. Impact of Grant Supported Activities in Achieving Grant Purpose

As noted, a few grant supported activities failed to contribute to grant objectives in keeping with initial hopes and intentions. Given the ranging and relatively diffuse purposes of this 211(d) grant, these defections are not surprising. In general, it is our opinion that grant supported activities have made impressive contributions.

6. Other Resources for Grant-Related Activities

Other resource contributions include:

(a) Contribution by Indiana University and other MUCIA schools of overhead support. If the going rate of overhead charges for a campus-based research project were allocated to PASITAM, those charges would have amounted, in 1974-75, to approximately \$75,000. (42.1% on headquarters expenditures of \$179,000). Applying the same overhead rate to project grants within MUCIA of \$23,900 produces a figure of \$9,000. This indexing of the value of supporting services provided, at no charge, in support of grant-related activities is, if not precise, consistent with established conventions.

(b) Contribution by MUCIA headquarters of administrative and program support. Indexing the value of this support, which includes the maintenance of control accounts, at the modest rate of five percent, produces a figure of \$10,000.

(c) Two members of our headquarters staff (accountant and principal secretary) are paid from other sources, although at least 75% of their work is devoted to this program. As a partial trade-off, our Publications Director provides occasional service (estimated at 20% of time) to non-PASITAM activities at the International Development Research Center at Indiana University. The net contribution to PASITAM in 1974-75 was approximately \$10,000.

(d) An Annex to this report allocated estimated costs to the various activities in PASITAM's current workplan. For the 1975-76 year the total projected 211(d) expenditure is \$202,000, almost identical with the \$203,000 for 1974-75. Two types of "Other Resources" are involved: Contributions of professional and technical time by MUCIA staff, and others; and revenues from the sale of skills and services. Here we make a rough estimate of the value of these resources:

(1) Contributions of professional inputs, 1974-75:

- | | |
|--|---------|
| (a) Seminar, political science, Indiana, one semester, one-fourth of f.t.e. professor | \$8,000 |
| (b) Graduate courses, education, Indiana, two semesters, one-half time of assoc. professor | 8,000 |
| (c) Undergraduate course, engineering and political science, Wisconsin, one-fourth f.t.e., two assistant professors | 10,000 |
| (d) Graduate course, Wisconsin, industrial engineering, one-fourth f.t.e., two assistant professors | 7,000 |
| (e) Graduate seminar, economics, Minnesota, one-sixth of f.t.e., professor | 4,000 |
| (f) Graduate course, political science and history, Minnesota, one-sixth of f.t.e., associate and assistant professor | 3,000 |
| (g) Estimated value of non-remunerated contributions to all PASITAM project, 1974-75, at an average of \$80 per day for faculty and other professionals participating in conferences, workshops, committee meetings, and similar program activities: approx. 100 person-days | 8,000 |

(2) Earnings from sale of skills and services: None in 1974-75. (At least \$53,000 projected for 1975-76, of which \$43,000 was firm as of September 30, 1975.)

Estimated total value of other resources contributed to grant-related activities, 1974-75 operating year:

\$153,500

In sum, approximately 40 percent of the resources applied to grant-related activities came from other than 211(d) grant sources.

6. Requests for Assistance, October 1974-September 1975

For detail see Table III. Requests included informal consultation in the design of AID's Development Training Program; consultation with AID's evaluation office and inputs into the Development Training Program on the topic of the evaluation process. A request was also received to assess an evaluation scheme developed for AID by a private contractor, and responses are being made to that request. Currently, from 20 to 30 requests per month are being received by DAC for information and materials. In addition, UNESCO has requested 100 copies of the Moravcsik study of Science Development.

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

See separate attachment.

9. Involvement of Minority Personnel and Women.

A key member of our professional staff, our Publications Director, is a woman. The Assistant Director for Administration is part American Indian.

PUBLICATIONS

The following publications have been produced by PASITAM during 1974-75.

William J. Siffin. Two Decades of Public Administration in Developing Countries: An American's View. (July 1974) Free

William N. Thompson, Lawrence E. McKibben and Choop Karnjanaprakorn. NIDA: A Case Study in Institution Development. (June 1974) Free

Harbans S. Bholra. The India Education Project: A Case Study of Institution Building and Organizational Conflict. (July 1975) \$3.00

Michael J. Moravcsik. Science Development: The Building of Science in Less-Developed Countries. (July 1975) \$6.00

Betru Gebregziabher. Integrated Development in Rural Ethiopia: An Evaluative Study of the Chilalo Agricultural Development Unit. (September 1975) \$3.00

Amy Mann and Jan Miracle, eds. Rural Development: The Interplay of Analysis and Action. (September 1975) \$3.00

PASITAM. Design Notes No. 1-3. (September 1975) Free

Forthcoming:

Amy Mann, ed. Institution Building: A Reader. (October 1975) \$5.00

Burton E. Swanson. Organizing Agricultural Technology Transfer: The Effects of Alternative Arrangements. (October 1975) \$3.00

Richard Blue, et. al. Analyzing Agricultural Projects. (November 1975) \$6.00

Brian Job. Quasi-Experimental Design Methodologies and Their Applicability to Foreign Assistance Projects. (November 1975) \$6.00

Lewis Thornton. Organizational Change: A Bolivian Case Study. (November 1975) \$3.00

Brian Loveman and Vincent Ostrom. Thinking about Development and Instructional Design. (December 1975) \$5.00

PASITAM Materials (Other than PASITAM Publications)

Unpublished Working Papers

- Abel, Martin "Irrigation Systems in Taiwan: Management of a Decentralized Public Enterprise," Preliminary Draft
May 21, 1975. 27 pages.
- Bhola, Harbans "A Policy Analysis of Nonformal Education: The Case of Bolivia", Working draft. Spring, 1975. 40 pages.
- "Notes Toward a Theory: Cultural Action as Elite Initiatives in Affiliation/Exclusion", 1975. 35 pages.
- Institutional Approaches to Innovation and Change: A Review of the Esman Model of Institution Building",
1975. 30 pages plus refs.
- Blue, Richard with Brian Coyer, Allen Schmid, and Gary Wynia.
"Problems of Institutional Design in Agricultural Development Projects. A Draft Report to PASITAM".
August, 1974. 136 pages.
- Delp, Peter with Arne Thesen, Neelakantan Seshadri and Juzar Motiwalla
"Systems Models and Tools in Institutional Development",
Paper presented at the II Congreso Interamericano de
Sistemas e Informatica, Mexico City, November, 1974.
- Haberstroh, Chadwick J. A System for Analyzing Organizational Goals
and Programs. December, 1974. 17 pages.
- Evaluation and Design of Organizational Systems.
Early 1975. 29 pages plus refs.
- Hoole, Francis W. and Brian L. Job. Summary Report: Meeting on Application
of Experimental Method to the Design and Evaluation of
Technical Assistance projects. July, 1974. 15 pages.
- Working Papers and bibliography for above meeting. July
1974. Approx. 30 pages.
- Progress Report on MUCIA Project on the Application of
the Experimental Method to the Design and Evaluation
of Technical Assistance Projects. March, 1975. 25 pages.
- Jerison, Michael "The Theory of Second Best and Public Enterprise Policies"
Symposium on Economic Principles of Decision Making in
Public Enterprises. May 31-June 1, 1975. (Summary, 5
pages) Paper: 31 pages.
- Job, Brian L. Memo Concerning the USAID Seminar on Program Design and
Evaluation. Summer, 1974, 8 pages.

- Landau, Martin "Notes on Organization Design", 5/75, 28 pages.
- Leone, Susan "Institution Building Conferences: Review and Relationship to Knowledge Dissemination and Utilization Theory", September, 1973, 66 pages.
- "Institution Building: the Danfa/Ghana Comprehensive Rural Health and Family Planning Project", August, 1974, 45 pages.
- Ostrom, V. with T. Hennessey. "Bibliography: Theoretical Foundations for Institutional Analysis and Design", 1974, 8 pages, plus related materials.
- Draft book-length mss: same title as above. 1974-75.
- "Institutional Structures, Territoriality and Development," Paper delivered at the VIII World Congress of Sociology, Toronto, Canada, August, 1974.
- Ostrom, V. "Culture, Science and Politics." Draft chapter, 13 pages, 1974.
- Roth, David F. "Political Structure, Policy Adaptation and Rural Change: The Cases of Thailand, Malaysia and the People's Republic of China." January, 1975. 87 pages plus supplemental material.
- Siddiqui, M. Raziuddin "Genesis and Early History of the University of Islamabad (Pakistan)", 1974.
- "Policies and Procedures of a New University (With Special Reference to a Developing Country)", 1974.
- "Problems of Foreign Aid and Technical Assistance for Higher Education", 1974.
- ✓ Siffin, W.J. "Visions and Ventures: A Nonlinear Traverse from Social Science to 'Real-World' Action: The Case of Institution Building in Technical Assistance: The Design Perspective and some Implications for Research and Development in International Education".
- "Analytical Skills Training for AID Technical Generalists", 9/74, 5 pages.
- "Public Technical Assistance--The Effects of the Inner Environment Upon the Process", Draft IV, August, 1974, 26 pages.
- "Two Decades of Public Administration in Developing Countries", various drafts, including PASITAM pamphlet of 7/74 (18 pages), and revised draft, 1/75 (27 pages). (Accepted for forthcoming publication in Public Administration Review.)

Siffin, W.J.

"Factors Involved in the Evaluation of Management Training Institutions", 2/74, 28 pages plus bibliography. (Also published by the Asian Center for Development Administration, Kuala Lumpur, Summer 1975.)

"Institution-Building and Science/Technology Transfer to Developing Countries", 1/74, 12 pages.

"Institution-Building: Comments Concerning MUCIA Program Strategy", 6/73, 25 pages.

"Public Administration, Comparative Administration, and Organization Theory: A Perspective", October, 1973, 15 pages.

with Robert W. Backoff and C.H. Levine, "Problems for Organizational Design in the Public Sector", 8 pages, 6/75

with Grafton Trout, "Development Administration and Organization: An Illustration of a Perspective", 7/75, 12 pages.

with Robert Backoff and C.H. Levine, "Problems and Prospects for Organizational Design in the Public Sector", Draft 11, 9/74, 34 pages.

Swanson, Burton E.

"The Interplay of Research Strategies and Institutional Requirements in Technology Transfer: The Case of Potatoes", April, 1975. Working draft, 23 pages.

"The International Agricultural Research System: Issues of Institutional Design". Working Draft, Summer 1975, 24 pages.

Utterback, James

"The Role of Applied Research Institutes in the Transfer of Technology to Latin America", 1973, 36 pages.

Wallace, Ned

"Study of Institutionalization of Rural Health Services", Draft 1, May, 1973. 7 pages plus supplemental material. (With MUCIA Council on International Health.)

Warr, Peter G.

"Shadow Pricing for Public Enterprises", Symposium on the Economics of Public Enterprises, May 31-June 1, 1975.

II. Externally Published Papers:

C.H. Levine, R.W. Backoff, A.R. Cahoon, W.J. Siffin, "Organizational Design: A Post Minnowbrook Perspective for the 'New' Public Administration," Public Administration Review, V. 35, no. 4, July/August, 1975, pp. 425-435.

W.J. Siffin, "Institution Building in Technical Assistance: The Design Perspective and Some Implications for Research and Development in International Education," Center for Vocational Education, Ohio State University, September, 1975.

_____, "Modernization, Management, and the Large Problem of System Design," Viewpoints, Bulletin of the School of Education, Indiana University, 50, no. 2, March 1974, pp. 1-14.

_____, "Institution Building and Development: A New Perspective," International Development Review/Focus, 1, 1975, pp. 30-32.

_____, "Factors Involved in the Evaluation of Management Training Institutions," in Inayatullah, ed., Management Training for Development: The Asian Experience, Kuala Lumpur: The Asian Centre for Development Administration, 1975, pp. 251-283.

_____, "Two Decades of Public Administration in Developing Countries," forthcoming, Public Administration Review.

Institution Building and Technical Assistance Methodology Headquarters

PASITAM 1974-75 Colloquium Series

| | | |
|--------------|---|---|
| November 19 | Gerald Sussman, University of Michigan | "From Pilot Project to National Program" |
| February 18 | Louis Dupree American Universities Field Staff | "Foreign Aid to Afghanistan: General Comments and a Case Study" |
| February 27 | Edmond J. Keller Indiana University | "Issues in the Development of Policy for Rural Edu- cation" |
| March 18 | H.S. Bhola Indiana University | "CLER meets IB: The Meeting of Models" |
| April 16 | Albert Ravenholt American Universities Field Staff | Agricultural Projects: Successes and Failures |
| April 29 | Burton Swanson University of Wisconsin | Agricultural Development: IRRI and CIMMYT |
| June 17 | Ilene Bernstein Indiana University | The Evaluation of Evalu- ation |
| June 19 | H.S. Bhola Indiana University | Elites, Educational Policy and Nonformal Education |
| August 14 | Special Film Review | Bolivian Social Structure |
| August 15 | Frank Holmquist Hampshire College | Bureaucrat-Peasant Relation- ships in Social Amenity Development: Tanzania and Kenya |
| July 28 | Jairo Arboleda Vicky Arboleda Colombia | Rural Development in Colombia |
| September 10 | Frank Hoole Indiana University | Quasi-Experimental Analysis of International Agency Development Projects |
| September 18 | Peter Delp University of Wisconsin | Framework for the Analysis of the Design of Development Projects |
| September 25 | Brian Job University of Minnesota | An Approach to Teaching Evaluation Techniques to Development Practitioners |

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

Reporting Period 1 October 1974 to 30 September 1975

| 211(d) Expenditures | | | | | |
|-------------------------------------|----------------------|--------------------|--------------------------|-------------------------------------|---------------------------|
| Grant Objectives | Period Under Review* | Cumulative Total** | Projected to 27 May 1976 | Projected 1976-1977 | Non 211(d) Funding Amount |
| Administration & Program Activities | 85,941 | 277,987 | 76,300 | | 42,745 |
| Documentation Center | 48,003 | 106,965 | 72,500 | 13,289 remaining plus approximately | 19,910 |
| Research Indiana (opr.) | 17,363 | 46,049 | 2,700 | 74,000 in | 7,139 |
| Subgrants | <u>23,910</u> | <u>308,083</u> | <u>13,368</u> | expected | <u>9,555</u> |
| Total | 41,273 | 354,132 | 16,068 | reversions from sub-grants | 16,694 |
| Training | 25,526 | 32,259 | 50,500 | | 10,098 |
| TOTAL | 200,743 | 771,343 | 215,368 | 87,289 | 89,447 |

*Includes best estimates of expenditures for September, 1975.

**Does not include any revisions from completed subgrants.

TABLE II - A

211(d) Expenditure Report

Actual and Projected Summary

Under Institutional Grant #AID/csd-2958

Reporting Period: October 1, 1974 to September 30, 1975

| | Expenditures to Date | Projected Expenditures | | Total |
|--|-------------------------|---------------------------|----------------|----------------|
| | Reporting Period | Cumulative Total | Year 5 | |
| 1. Salaries & Benefits | 41,510 | 492,925 | 151,000 | 643,925 |
| 2. Graduate Student Stipends | 9,322 | 61,986 | 10,050 | 72,036 |
| 3. Consultants | 13,876 | 31,875 | 7,700 | 39,575 |
| 4. Travel | 21,300 | 131,439 | 16,368 | 147,807 |
| 5. Equipment | -0- | 1,999 | 500 | 2,499 |
| 6. Materials, Supplies Publications | 14,235 | 51,119 | 29,750 | 80,869 |
| TOTAL | 200,743 | 771,343 | 215,368 | 986,711 |

TABLE II - B

211(d) Expenditure Report

Reporting Year Detail

Under Institutional Grant AID/csd-2958

Reporting Period October 1, 1974 to September 30, 1975

I. Salaries

A. Academic

| Name | Period of Employment (if not Report Period) | % of Time | Amount |
|-----------------------|--|-----------|------------|
| <u>Headquarters</u> | | | |
| Wm. Siffin* | | 70 | \$ 24,834 |
| Russell Stout | 7/1-9/30 | 100 | 4,000 |
| Grafton Trout* | | 50 | 8,775 |
| Ilene Bernstein | 6/15-8/15 | 100 | 2,420 |
| Dennis Falck | 6/1-9/30 | 100 | 3,583 |
| Hal Kibbey | 10/1-6/30 | 100 | 6,615 |
| Dan Levin | 2/1-9/30 | 100 | 12,416 |
| Charles Levine | 6/15-8/15 | 100 | 4,160 |
| R. Axel Magnuson** | 11/22-9/30 | 100 | 7,568 |
| Amy Mann | 10/1-7/31 | 100 | 5,000 |
| Aleatha Miracle | 10/1-12/31 | 100 | 2,250 |
| E. Philip Morgan | 8/1-9/30 | 100 | 1,500 |
| Marianne Platt | 3/9-9/30 (10/1-3/8:hrly.) | 100 | 6,997 |
| Lewis Thornton | 8/18-9/30 | 100 | 1,968 |
| <u>Subgrants:</u> | | | |
| Harbans Bhola (Ind.) | 10/1-8/30 | 50 | 11,674 |
| Francis Hoole(Ind.) | 10/1-8/30 | 100 | 17,340 |
| Vincent Ostrom(Ind.) | 1 mo. | | 1,853 |
| Brian Job (Minn.) | 2 mos. | | 1,442 |
| Leonid Hurwicz(Minn.) | 1 mo. | | 3,455 |
| Martin Abel (Minn.) | 1 mo. | | 1,234 |
| Chad Haberstroh | 10/1-12/31 | 35 | 5,480 |
| Peter Delp (Wisc.) | 10/1-8/15 | 50 | 8,677 |
| Arne Thesen (Wisc.) | 10/1-5/30 | 50 | 6,578 |
| Burton Swanson(Wisc.) | 10/9-9/30 | 100 | 13,636 |
| | | | \$ 163,455 |

*Remaining salary paid by Indiana University

**Transferred from graduate assistant to staff payroll

Table II-B

Reporting Period Period October 1, 1974 to September 30, 1975

Page Two

| | | | |
|---------------------------------------|---------------------------------|-----|---------------|
| B. Other | | | |
| Library | None | | |
| Clerical | Arlene Hall 10/1-2/8 | 100 | 2,337 |
| | Barbara Cambron 6/15-9/30 | 100 | 1,506 |
| | Anita Ping 3/11-9/30 | 100 | 2,845 |
| | Subgrant Clerical | | 5,665 |
| Other Non-Professional (Headquarters) | | | 11,401 |
| Subgrant Non-professional | | | 12,201 |
| | | | <hr/> |
| | | | 35,955 |
| C. Fringe Benefits | | | 25,010 |
| II. Student Support | | | |
| | Paul Cunningham 7/14-9/30 | | 962 |
| | R. Axel Magnuson 10/1-11/22 | | 1,751 |
| | Sohrab Shahabi (Iran) 10/1-5/15 | | 2,608 |
| | Lewis Thornton 10/1-8/9 | | 4,134 |
| | Lawrence Ullian 9/1-9/30 | | 367 |
| <u>Subgrant Director</u> | | | |
| Abel, Hurwicz (Minn.) | Mongi Boughzala (Tunisia) | | 828 |
| Abel, Hurwicz (Minn.) | Eliawira Ndosoi (Tunisia) | | 414 |
| | | | <hr/> |
| | | | 11,064 |
| III. A. Consultants | 9 Total | | 13,876 |
| B. Guest Lectures | | | |
| Visitors, etc. | None | | |
| IV. Travel | | | |
| A. Domestic | 150 Total | | 24,626 |
| B. Foreign | 8 Total | | 5,337 |
| | | | <hr/> |
| | | | 29,963 |
| v. Equipment | None | | -0- |
| VI. Library Acquisitions | | | 395 |
| VII. Publications | 1 PASITAM Brochure | | |
| | 1 Flyer | | |
| | 2 Completed Books | | 5,062 |
| VIII. Other | | | |
| (Telephone, Postage, Computer) | | | 11,673 |

N.B. This table is based upon accounting reports for the period October 1, 1974 through August 31 in the case of headquarters expenditures, and through July 31 in the case of subgrant expenditures; Plus projections for

Table III -- A

Requests For Assistance Received During Reporting Period Oct. 1, 74 to Sept. 1975

A. Requests Attended

| Description of Request for Assistance | Whom did you Assist? | Who Requested Assistance | Who Funded Assistance | Size of Effort | | Results of Assistance |
|--|-------------------------------|---|-----------------------|----------------|----------|--|
| | | | | Dollars | Man Days | |
| Work on Thai Agric. Study for MUCIA | | World Bank contract | | 400 | 5 | Incorporated in report |
| Request for comment on Montgomery Schwartz/Murray Report | Harvard U. John Montgomery | same | 211 (d) | 40 | 1/2 | Use of report in evaluating effort to design AID Analytic Skills Program (ASP) |
| Training for IICA technician | IICA | Wm Herzog, MUCIA Ass't. Exec. Dir. Sr. Herrera IICA | 211 (d) | 3500 | 40 | In progress |
| Comment on Ambassador Hall Task Force Report | AID | Amb. Hall | 211 (d) | 40 | 1/2 | Some items reflected in report |
| Comment on agency (CODEL) brochure data system | CODEL | 211 (d) | | 20 | 1/4 | Unknown--possible revision of planned action |
| Training in Analytic Skills | AID | D. Creedon | Contract | \$43,836 | 150 | Program in preparation. Pilot scheduled for Jan. 76. Contract to run through 1978. |

Table III - A

Requests For Assistance Received During Reporting Period Oct. 1, 74 to Sept. 1975.

A. Requests Attended

| Description of Request for Assistance | Whom did you Assist? | Who Requested Assistance | Who Funded Assistance | Size of Effort | | Results of Assistance |
|--|-------------------------------|---|-----------------------|----------------|----------|--|
| | | | | Dollars | Man Days | |
| Work on Thai Agric. Study for MUCIA | | World Bank contract | | 400 | 5 | Incorporated in report |
| Request for comment on Montgomery Schwartz/Murray Report | Harvard U. John Montgomery | same | 211 (d) | 40 | 1/2 | Use of report in evaluating effort to design AID Analytic Skills Program (ASP) |
| Training for IICA technician | IICA | Wm Herzog, MUCIA Ass't. Exec. Dir. Sr. Herrera IICA | 211 (d) | 3500 | 40 | In progress |
| Comment on Ambassador Hall Task Force Report | AID | Amb. Hall | 211 (d) | 40 | 1/2 | Some items reflected in report |
| Comment on agency (CODEL) brochure data system | CODEL | 211 (d) | | 20 | 1/4 | Unknown--possible revision of planned action |
| Training in Analytic Skills | AID | D. Creedon | Contract | \$43,836 | 150 | Program in preparation. Pilot scheduled for Jan. 76. Contract to run through 1978. |

Table III - B

Requests For Assistance Received During Reporting Period 1 Oct.74 to 30 Sept. 1975

B. Requests Not Fulfilled

| Description of Request for Assistance | Whom did you Assist? | Who Requested Assistance | Who Funded Assistance | Size of Effort | | Why not met? |
|--|--------------------------------|--------------------------|-----------------------|----------------|----------|--|
| | | | | Dollars | Man Days | |
| Develop evaluation methodology for agricultural projects | MSU School of Animal Husbandry | R. Deans | | | | Tied to AID Evaluation Methodology Development Not completed |
| Comment on Philippines Evaluation project | Unfulfilled | AID informal | | | | Still pending. |
| Methodology for engineering technology transfer | U. of Wisc. | M.R. Barry | | | | Still pending. |
| Graduate student support. | MSU | J. Useem | | | | Not within grant purview. |
| Participate in Manpower Survey Botswana, Lesotho, Swaziland | Unfulfilled | AFR/ESA, AID | | | | Insufficient resources, located other personnel to assist. |
| Help revise Kenya DAP-participate in planning rural development. | Unfulfilled | AFR/OOS, AID | | | | Insufficient resources. |
| Evaluate Bangkok Training Seminar | Unfulfilled | SER/MD | | | | Insufficient resources. |

Activity: R & D

| Topic: | 1975: October | November | December | 1976: January | February | March | April | May | Post-grant Period |
|---|------------------------------------|----------|---|------------------|----------|---|-----------------------------------|-----------------------|--|
| Agric & Rural Development Siffin, Morgan | Agricultural & Rural Devt. Seminar | | | | | | | | <u>Summer:</u> Disseminate materials Hold internatl Conference to establish basis for collaboratn <u>Fall-Winter:</u> Training of trainers, educators, pre-course installation Publish format of Basic Course on Design, Mgmt, & Org. in Ag. & Rural Devt. <u>Winter-Spring:</u> Pilot applic of course, training, 2 or more external instns. |
| | | | Draft strategy paper, Design, Mgmt, & Org. in Ag. & Rural Devt. | | | | | | |
| | | | Organize MUCIA workshop | | | MUCIA workshop Organize Panel | DC Conference, Panel, AID, others | | |
| | | | | | | (Revise Strat. paper) | | (Revise Strat. paper) | |
| | | | Edit Blue et al: Analyzing Agric. Projects | | Publish | Dissemination of Blue et al | | | |
| | | | Begin exploration of funding possibilities | | | Begin Planning of international conference on Design, Mgmt, & Org. in A & RD Educ'l & Training Approaches | | | |

Activity: R & D

| Topic: | 1975: | | 1976: | | | | | Post-Project Period | |
|--|--|--|--|--|------------|---------------------------------------|--|-------------------------|-----|
| | October | November | December | January | February | March | April | | May |
| The Evaluation Process Trout, Magnuson, et al | Job Ms: Quasi-Experimental Design out for review | complete editing | publish | Job: Ms of DANFA Project Study begin distribution | | (tentatively) Publish as Design Study | (if appropriate) Distribute | | |
| | Hoole project: Draft Ms. | | | out for review | edit Hoole | publish Hoole | begin distribution | | |
| | Late Oct: AID meeting re Org. Viability Evaln. Scheme AID Meeting re evaln. design for 2 OSI projects | Formalize organ- ization of Panel | Formal conf. w/ AID Evaln Office re Evaln.Seminar (might slip to Jan.) | In conjunction with Panel establish inventory of consultative services re evaln. available in MCCA | | | Possible Wkshop: Panel, AID, CIDA, IBRD, others, re evaln. strategies & techniques | Workshop report written | |
| | Schedule meeting w/ PEA group re design of evaln. techniques (Cf PEA project) | Hold meeting; explore training needs. Follow on as appropriate | | | | | | | |
| | | | Trout, Magnuson draft paper, "Thinking About Evaluation" | | | | Prepare "Final Report" on Evaln Strat & Tech, incl. consultancy information | Publish & distribute | |

Activity: R & D

| Topic: | 1975: | | 1976: | | | | | Important period | |
|--|---|--|---|---|--|--|---|------------------------|--|
| | October | November | December | January | February | March | April | | May |
| Public Humanitarian Agencies (aka PVOs, Volags) Magnuson, Levin, et al | Complete 1st draft of strategy paper; informal copy to Ulinski, AID | Revise, distribute to MUCIA group, AID, Selected PHA reps. Estab. info. linkage w/ Evaluation project | MUCIA/PHA rep workshop Revise paper, Distrib. to AID, PHAs, MUCIA group, IBRD, & others as appropriate | | Conference w/ AID & PHA reps, as appropriate | If appropriate, plan training program re PHA project design & evaln. | | | Summer, Fall: Training activity if appropriate & funded |
| Science Development (IB in Basic Science) Siffin | Circulate material and memo within MUCIA schools, ascertain interest in establishing panel | | | If appropriate, hold panel meeting | | If appropriate, conduct workshop w/ AID, NSF, UNESCO, Panel membership | Prepare workshop report | Reproduce, distribute | |
| IB in Education for Development Bhola | Writing, revising, and "testing" a series of papers, using them in courses | | | Review and advise on possible revisions (Seek to format as a possible course) | | | Editing, if appropriate Publication if appropri. | Distribute if possible | |
| "New Synthesis" Problem-solving Approaches to Developmental Design & Mgmt. Siffin, Backoff, Levine, Landau as consultant) | Discussions w/ Landau, week of 13th Levine & Backoff writing papers, w/ Siffin interacting | Develop plan for design | notes, implement | Review Session, Levine, Backoff, Siffin, Landau | Members of group prepare materials in form of a textbook | | Possible Panel | | Fall-Winter: Review, editing, publishing, distribution |

Activity: R & D

| Topic: | 1975: October | November | December | 1976: January | February | March | April | May | Post-grant period |
|--|--|---|--|---|---|--|--|---|--|
| 7 Design Tools for Development Planning & Implementn. Delp, staff | Oct. 15: Delp appointed to PASITAM staff Initial in-house review of Delp-Thesen text/manual | Begin editing, continue review of tools; identify mtl. for use in training program (Relate to other PASITAM activities as appropriate. PHA training) | Publish text/manual Begin preparation of multi-media training materials (use in AID training) | | | Begin distribution | Determine possible LDC institution interest in collaboration in course, training development | | <u>Summer, fall:</u> Possible workshop w/ LDC institutions, re joint course, training efforts <u>Fall, Winter:</u> If appropriate, collaborate w/ 2-3 LDC organizations to establish their ability to use these materials |
| 1.8 Rural Health Delivery Trout, Ullian, collabor'n w/ MUCIA Center for Int'l Health (Wallace) | Produce, review, edit, publish, distribute a set of about 5 Design Notes on organizational aspects and techniques for rural health delivery projects Draft Strategy Paper Plan joint wk-shop w/ MCIH on design, mgmt, evaln. of rural health projects Develop appropriate materials (Explore Design Tools for use) Trout to MCIH metg, Chi. (9 Oct) Trout + 1 to 3d Intl Hlth Conf., D.C. | Organize MUCIA Panel (If appropriate, package "Systems Tools for Health Delivery Design") | Jt. meeting, Panel & MCIH group, Chicago (If appropriate, package "Systems Tools for Health Delivery Design") | | Possible: Participate in Central Am. conf. on rural nutritn. (re: design, mgmt, evaln. of rural nutritn. projs) | If appropriate, 3 day workshop on Design of Rural Health Projects, w/ PHA reps, donor agency reps. | Prepare Workshop report Reproduce training-type materials, if prepared | If approp., reproduce, distribute If approp., distribute | <u>Summer, Fall:</u> Development of training activity if funded & appropriate |
| | | | Draft paper on PHA activity in rural health delivery | If appropriate, draft paper on community participation in rural health projects | | Link up with PAHO and WHO, IDRC/Canada | | | |

Activity: Training

| Topic: | | 1975: | 1976: | | | | | | |
|--------|--|--|---|----------------------|--|--|-------|-------|-----|
| | | October | November | December | January | February | March | April | May |
| 2.1 | AID Contract: Analytical Skills Program Stout, staff asstnce. | Continue development of program materials and format in collaboration w/ AID officials | Present revised package to AID/MD Set firm plan for pilot run, DC | | Pilot run of 2 week program, Washington (probably condensed version) | Jointly w/ AID/MD, conduct 2 two-week training programs, overseas As appropriate, engage in program development, w/ AID Begin explorations of prospective collaboration in ASP training w/ overseas institutes | | | |
| 2.2 | Orientation Training of AID Contract Personnel Morgan, Stout, et al | Review materials re existing approach First cut of possible adaptations of present approach | Initial discussions w/ AID/MD | | As appropriate, begin development of multi-media materials for AID/MD use, & collaborate in installation | | | | |
| 2.3 | PASITAM Training Environment Morgan, staff | Continue work w/ of IICA | Sr. Araujo Begin exploration of arrangements to bring donor agency personnel, others, to the EE. | Involve Delp in this | Outside promotion | | | | |
| | Design Tools for Development Planning & Implementn. | See p. 4. N.B. | Note other training aspects of | | R & D Projects | | | | |

Activity: Documentation, Dissemination, Publication

| Topic: | 1975: | | 1976: | | | | | | Post-graduate period |
|---|---|---|--|--|----------|---|-------|--|--|
| | October | November | December | January | February | March | April | May | |
| 3.1 Publication of Studies Platt, staff | Swanson Design Study Mann: IB Reader | Blue et al: Analyzing Ag. Projects Thornton: Bolivian case study Brian Job Design Study | Analyzing Bolivian case study Loveman: Re Instns. & Devt. Delp-Thesen Manual Strategy Paper re PHAS & Tech. Asstnce. | Possibly Publish: DANFA Study, Job (Possible: Siddiqi study of Educational IB, Pakistan) | | Hoole: Design Stddy Training materials | | Ag & Rural Devt. Strategy Paper; course design(s) If appropriate, Bhola mtls. Study: Thinking About Evaluation Any other final report mtl. If appropriate, Rural Health Delivery Rept. If appropriate, Science Devt. report Evaluation of Newsletter | Fall, Winter: "New Synthesis" study Capacity to monitor, abstract, synthesize, edit, publish, & disseminate terminates 27 May, unless funded & extended |
| 3.2 Design Notes Falk, Platt, staff | Distrib. #3 Continue w/ preparation, editing, review, publication, dissemination | | | | | | | | |
| 3.3 Newsletter Falk, Platt, Staff | Issue monthly | | | | | | | | |
| 3.4 Monitoring, Abstracts, | | | | | | | | | |
| 3.5 Reference service Other Dissemination Falk, Staff | | | | | | | | | |