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**Comprehensive (Fourth Year) Review of
Sec. 211(d) Grant AID/csd 2958,
May 28, 1971**

Prepared for

Agency for International Development

under

**Contract No. AID/otr/C-3178
(Work Order No. 2)**

Prepared by

**Dr. Guy Harold Fox with A. E. Farwell, Consultants;
With Review Team Guidance From:
Harlan H. Hobgood, Team Chairman;
Thomas L. Eliot, Member and
Kenneth L. Kornher, Project Manager.**

**Checchi and Company
1730 Rhode Island Avenue, N.W.
Washington, D.C. 20036**

October 24, 1975

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Comprehensive (Fourth Year) Review of Sec. 211(d) Grant AID/csd
2958, May 28, 1971

MUCIA/Program of Advanced Study in Institution Development and
Technical Assistance Methodology (PASITAM)

I. INTRODUCTION: PURPOSES OF EVALUATION

Pursuant to MO.O. 1026.3, a comprehensive review of the grant activity was undertaken to review the grantee's performance and accomplishments with emphasis on knowledge developed and the opportunities, linkages and actual and potential use of institutional capacity developed under the grant. The review was undertaken by Harlan H. Hobgood, AFR/DS, review team chairman, and Thomas L. Eliot, TA/PPU. They were assisted by A. E. Farwell and Guy H. Fox, outside consultants. Kenneth L. Kornher, the grant project officer, served as Executive Secretary.

The conclusions of the review are based on examination of project files over the life of the project, on documents prepared by the Grant Project Officer and the directorate of the grant activity (PASITAM), and on a visit to the directorate's headquarters on October 6 and 7, 1975, at Indiana University. In the course of this visit, the Review Team had the opportunity to obtain the views of the President and Executive Director of MUCIA, Inc., as well as those of the Chairman of MUCIA's Advisory Committee

to PASITAM.

The Review Team's findings are in substantial measure keyed to the terms of the original grant. Beyond this, however, the Team took note of prolonged exchanges between the directorate of the grant activity (PASITAM) and a succession of AID grant project officers. In the course of such interchanges PASITAM proposed an interpretation of the grant agreement, and a workplan based on that interpretation, which in some measure narrowed and gave a new focus to the course of action detailed in the original grant agreement. AID grant project officers requested modifications of the PASITAM approach; their proposals were adopted; and the revised PASITAM work plan was accepted in writing. Succeeding workplans, including the plan for the final "project year," are extensions of the plan presented in 1973 and approved in 1974; these plans and the focus which they represent have constituted an AID-accepted PASITAM approach to its tasks. Accordingly, the Team has also considered PASITAM's performance and accomplishments against these agreed aims which did not directly address all of the targets established in the original grant.

II. SUMMARY OF FINDINGS AND RECOMMENDATIONS

A. Significant Findings

Some of the significant findings are set

forth below, followed in the next heading by recommendations based on the findings.

(1) After an initial year and half of uncertain effort under a university manager who apparently misunderstood both AID and MUCIA's intents, a new manager was appointed. Substantive work was begun forthwith. Now, in the third year of this new effort the project is beginning to pay off in useful products for development, supports for institution building and technical assistance methodology.

(2) After the first ineffective year and a half of the grant calendar, the time remaining for the project to meet goals set initially in a five year context became grossly inadequate. But since the grant document was not amended then to reflect the new reality, unrealistic expectations for quick, impressive results remained.

(3) AID was less than clear in defining the purposes of the program either in the grant document or in the course of its execution.

(4) The wide-ranging scope of activities in the grant document, formulated in 1970-71 with the expectation of a \$4,000,000 budget, was never adjusted to the funding realities limiting the project to the initial \$1,000,000 authorization.

(5) Since late 1973 project management by AID has generally been spotty and inadequate, and at times clearly misleading to the grantee.

(6) The highly critical PAR of April 1975, although a rude reflection of the lack of timely feedback by the AID monitor, had the salutary effect of substantially accelerating PASITAM's performance.

(7) Regarding the relevance, quality, quantity and outreach of PASITAM's products:

(a) The products are devoted to important phases of the institution building, technical assistance methodology; and other aspects of social and economic development, and they are within grant purposes.

(b) The quantity of outputs has become quite satisfactory.

(c) The team views the products as variable in quality -- from excellent to fair, with the average of sufficient utility to justify the efforts and expenditures involved.

(d) PASITAM has developed a systematic process for the distribution of its products but the marketing system of both PASITAM and AID is inadequate. PASITAM products are being utilized in accordance with grant aims but

the extent of utilization is uncertain.

(8) PASITAM is not making full use of MUCIA resources; nor is MUCIA adequately using PASITAM as a potential consortium clearinghouse in development operations.

(9) PASITAM has achieved sufficient recognition and visibility to attract the interest of potential clientele to itself, MUCIA and its member institutions.

(10) PASITAM is operating increasingly as an organization in its own right and less as an instrument of MUCIA.

(11) The perception of PASITAM, as expressed by the Chairman of MUCIA's Advisory Committee, was distinctly favorable; that of the President and Executive Director of MUCIA, who would like a more decentralized operation, was less favorable (though not unfavorable).

B. Recommendations (To AID and Grantee):

1. To AID:

(a) Provide no additional 211(d) funding to the grant as now conceived; but extend the time frame for full utilization of funding by one additional year. Funds now available through internal grant recycling would provide support during a sixth grant year for key product preparation, "marketing," and utilization.

(b) Require PASITAM to submit a work plan similar to that which the Team reviewed for the fifth year before AID approves extension of the grant through a sixth year without additional funding. (For PASITAM's work plan for 1975-76, see Annex A.)

(c) Should future additional funding be contemplated by AID for use by PASITAM, MUCIA or its successors, the evaluation panel would urge that it be for a clearly defined service or product under an appropriate contractual arrangement.

(d) Modify the terms of the existing grant to eliminate both the glaring discrepancies between grant requirements and resource availabilities and the lack of realism in the initial time frame; and, in particular, to correct the lack of specificity of the tasks which AID wishes the grantee to perform.

(e) Recognize that the character of this grant -- coordinating and drawing on the efforts of seven universities and producing an innovative, and therefore controversial, product -- requires continuing attention and management by AID as well as by the grantee; and, in light of this, assign an officer to devote not less than quarter-time to the activity during the period of AID grant support.

(f) Record AID's considered views with respect to subsequent annual work plans under the grant, together with AID approval (to PASITAM) of its possibly modified final plan.

(g) Recognize its own responsibility, along with the responsibility of PASITAM, in identifying and exploiting the potential market for PASITAM publications and services; and utilize appropriate elements of the PASITAM produce line (particularly the new, innovative series of Design Notes) as a ready reference series for AID's senior field personnel.

(h) AID undertake a selective overseas distribution of PASITAM's publications.

(i) Take fuller advantage of PASITAM as a focal point of knowledge of the total resources to be tapped within the MUCIA complex (as contrasted with any single university within MUCIA) with respect to the identification of solutions to problems (or, indeed, the staffing of contract teams) in appropriate areas of AID concern.

(j) Consider various new ways of maximizing the resources and expertise in MUCIA/PASITAM in the orientation of contractor personnel for technical assistance work.

2. To Grantee:

(a) Consider establishing an administrative override fee (illustratively, 5%) on each grant to or contract undertaken by a MUCIA university in the field of overseas development assistance to provide core support for PASITAM -- which will, in its turn, provide the focal point for nurturing a growing network of inter-institutional capability to service such activities within the MUCIA universities.

(b) Develop at PASITAM headquarters an effective method for identifying within the seven universities of the consortium, the multi-disciplinary personnel and materials that may be useful in overseas development efforts and in continuing research on development issues.

(c) Clarify future relationships between MUCIA -- the larger, prior, more comprehensive consortium effort -- and PASITAM -- the more operationally and product-oriented coordinating and marketing mechanism.

(d) PASITAM publications should acknowledge the AID support which made the publication possible.

(e) Designate a specific person, office or committee on each MUCIA campus to act as ongoing liaison with PASITAM so as to assure dissemination, channel inquiries and proposals and stimulate knowledge of and concern for PASITAM's scope of endeavor.

(f) Utilize more fully MUCIA resources in responding to requests for PASITAM services -- as against PASITAM's serving as an action agent in its own right and using its own staff.

III. BACKGROUND AND CURRENT STATUS

A. Project History and Evaluation

In 1971 AID made a Section 211d grant of \$1,000,000 to the Midwestern Universities Consortium for International Activities, Inc. (MUCIA) ^{1/} to enable that organization to pursue a program of advanced study in institution development and technical assistance methodology -- the first such grant to a consortium as contrasted with a single institution of higher learning. The grant was undoubtedly among the least definable (with respect to the metes and bounds of activities appropriate to the purposes of the grant) of any in which AID was engaged.

The grant, as initially conceived (and still stated in the grant proposal), was

^{1/} The consortium consisted of five universities - Illinois, Indiana, Michigan State, Minnesota and Wisconsin. Ohio State and Purdue joined the consortium in 1975.

"to strengthen the expertise of the Midwest Universities Consortium for International Activities, Inc., in institution building and technical assistance methodology. This was to be achieved through (a) a coordinated program of research and training concerning overseas institution building and technical assistance methodology among the five major public universities which comprise MUCIA; and, (b) creation of a document repository of the literature relevant to these areas which will make its information readily available to scholars and practitioners in concise and useable form."

The objectives were further defined by reference in the grant to facilitating the synthesis of previous research and the further advancement of theory and practical application of institution building (1B) and technical assistance

methodology (TAM). The document speaks of "long-term active and vigorous, innovative, and coherent leadership" to an academic core program of research, integrated research products and operations, training and a document depository, and of a simultaneous availability of materials, training and services to the LDCs.

Like other Section 211d grants, the MUCIA grant was predicated on the assumption that, while AID and the university community were different with respect to their reasons for existence, their approaches to their several tasks, and the nature of the end-products which would justify their existence, each had something to contribute to the other in terms of attaining their separate goals. The grant, in short, symbolized a marriage of convenience from which both sides expected to benefit.

The marriage contract, willingly accepted and in fact jointly drafted by AID and MUCIA, took the form of a "final proposal" from MUCIA which AID approved on May 28, 1971. This document represented the high initial hopes (not to say naive optimism) of the marriage partners; AID provided the dowry (\$1,000,000), while MUCIA committed itself to carry out over a five-year time-span, a scope of work which was ambiguous

as to the appropriate subject matter but detailed as to the time schedule within which end-products useful to AID (or other potential users in the field of international economic development) were to be developed, and equally broad with respect to the range of activities to which funds were, mandatorily in part, to be devoted. In the absence of a name to describe this somewhat amorphous project, it was termed PASITAM -- an approximate acronym for the descriptive title of the grant: The Program of Advanced Study in Institutional Development and Technical Assistance Methodology. Over time, PASITAM was to become not only a program under MUCIA, but an operating entity with its own logo!

Parenthetically, it should be observed that neither AID nor the American University Community are monolithic in this structure or in their views. Neither are organizations in which doctrine remains static. And, finally, neither are organizations noted for continuity in the tenure of staff responsible for the conduct, or the oversight, of particular functions. It is not surprising, therefore, that both AID's expectations and those of the MUCIA community tended to vary depending on the eye of the several beholders. Thus, it was quite possible for Dr. James N. Green, the head of AID's Methodology Division, to urge in 1973 that MUCIA (through PASITAM) should identify areas in need of study and synthesis, and then commission the necessary research (an entirely

reasonable approach in view of the scatteration which at that time characterized the project.) Two years later, Dr. Green's lineal successor, author of an AID Project Appraisal Report, found that the "subcontracting approach," urged by his predecessor and adopted by PASITAM, "weakens the linkages between the PASITAM directorate and the academic community by reducing the latter's interest in the principal benefit they sought from PASITAM -- financial support for their research endeavors." In addition, he found the subcontracting approach to be unduly burdensome and beyond the managerial capacity of the PASITAM staff. In short, the guidance provided to PASITAM's leadership has been inconsistent.

On the MUCIA side, the first Grant Program Director of PASITAM was Dr. Davis Bobrow, then of the University of Minnesota. Perhaps understandably, he appears to have had little understanding of the expectations of AID in the grant arrangement, although he appears to have understood what the MUCIA schools had in mind at that time. In any event, he made even-handed sub-grants to applicants throughout the MUCIA universe which did not, to AID observers, represent an appropriate use of funds, although there is no written evidence that the grantee, MUCIA, Inc. was initially disturbed by the nature of the sub-grants or lack of relevance to the

terms of the basic grant. In any event, Dr. Bobrow survived as director for less than a year and a half.

His successor, Dr. William J. Siffin, had done service both as an academician and as a former senior AID official. He recognized that he was starting out in the second half of the second segment of a five period game, already with a negative score.

Lacking an original game plan, he created one from a new scrimmage line. Many of his predecessor's original sub-grants were modified or cancelled. He chose to ignore the less realistic provisions of the time and activity prescriptions of the original grant agreement, to concentrate on development of a utilitarian product before seeking the rather grandiose outreach originally envisioned, and in fact to develop a production capacity before he started a major sales campaign. He appears to have shared his approach with AID, and the files reveal approval of, or at least an absence of objection to, his work plans for 1973-74 and 1974-75 and 1975-76. He did not, however, seek amendment of the original grant agreement to bring about a modification of time-targets or a more precise definition of appropriate lines of project activity, although that document had already been amended to encompass a far less consequential change. Neither, it should be noted, did the AID officers who communicated to PASITAM

their lack of objection to (and, presumably, their approval of) PASITAM work plans for the fourth year, although Dr. James W. Green had suggested, in his constructive comments on the work plan for the third year of the program, that it would be entirely appropriate to request such modification.

By 1974, Dr. Siffin was sufficiently encouraged by the volume and kinds of end product already published or well along in the pipeline, and by the products of seminars conducted and the content of others in the planning stage, to expand the PASITAM staff and to initiate his efforts to secure broader public recognition of PASITAM and to establish a market for potential PASITAM services. Although the MUCIA advisory board for PASITAM was concerned to learn (post facto) of PASITAM's staff growth, it not only approved the expansion but endorsed, without criticism, the PASITAM program and work schedule for the fifth year of the grant. It should be borne in mind that the fifth year of the grant corresponds to only the third year for which the current PASITAM director has established his own work-plan. Moreover, much of the staff expansion was to economize on publication costs through more responsive in-house operations in lieu of a less flexible and more costly sub-contracted publishing venture.

The original grant document not only prescribed

outputs in a wide range of activities (e.g., research and development products; MUCIA course design and curriculum development; training and consultative capacity; documentation center services; MUCIA/LDC collaborative work in "IB" and "TAM"; capacity for services to LDC's, AID and international organization(s)); i assumed a continuation of the capacity generated during the life of the grant, without specifically defining the organizational mechanism through which such continuity was to be achieved. MUCIA, as such, is not staffed to provide such continuing service functions, nor does it appear to have contemplated how to do this at the end of the AID grant for the PASITAM operation.

The PASITAM director has conceived of PASITAM itself as the focal point for assuring a continuity of interest in international affairs on the several MUCIA campuses, for identifying the sources of expertise on the campuses; and for drawing on all such sources, for servicing the interests of the MUCIA universities, for servicing as a point of identification and visibility for those outside MUCIA, and for undertaking certain money-earning activities which would enable PASITAM to serve as the operational arm of the larger consortiums. AID has been aware of this emerging pattern, and does not appear to have discouraged it. Indeed, it is apparent that PASITAM must develop and expand its earning capacity or must be conceived by the MUCIA universities as having a value to them

which will repay its (future) cost to them, if it is to survive beyond the period of AID subvention.

At the moment, there is no assurance, or even indication, that MUCIA plans to finance PASITAM beyond its presently scheduled life; in fact, apart from the substantial but non-financial commitment of administrative and technical direction, consultation and participation of faculty members not directly supported by the grant, office, classroom and auditorium space and access to support facilities, the MUCIA schools make no direct financial outlays for PASITAM. Nearly all salaried work for the PASITAM program is paid from the AID grant. It is understandable, therefore, that PASITAM's director is seeking visibility for PASITAM as such, with a consequent down-playing of its role as a creature of MUCIA. He is achieving a marked degree of success. AID has made a contract with MUCIA to procure services from PASITAM for training of AID (and perhaps contractor) personnel; UN agencies are seeking PASITAM services; PASITAM is asked to participate in a manpower survey; PASITAM is asked to identify capacity throughout the MUCIA universe of expertise to undertake contract functions (all of these would appear to be roles that MUCIA should want to have played out by PASITAM or some worthy successor).

Whether or not PASITAM can staff and manage this kind of contract work in its own right is open to question; but

PASITAM most certainly has access to a major resource of talent in the MUCIA universities. PASITAM will be well-advised to draw to the maximum extent on such talent; its own staff is too limited to handle extensive contract work -- a fact of which Dr. Siffin is fully aware.

One final observation: within the MUCIA community, it appears inevitable that there will continue to be pressure for a distribution of honors and titles. The present President and Executive-Director, Dr. George H. Axinn, is from Michigan State University; his successor will come from another MUCIA school, and MUCIA's headquarters will move accordingly. The suggestion that PASITAM should be collocated with the MUCIA presidency, advocated in the PAR of April 1975, disregards the destructive effort of moves on the institutionalized workings of PASITAM, e.g., turnover of PASITAM personnel, movement of its properties and need to reestablish visibility whenever there is a change in MUCIA location and leadership. Whether or not PASITAM's optimum location was Indiana is a moot question; it is Indiana, and it has its copyright authority (and therefore, a portion of its earning capacity) through Indiana University's International Development Research Center, of which Dr. Siffin is, by no means coincidentally, the director. Nonetheless, as now structured, the need for full understanding and close cooperation between MUCIA and PASITAM is unquestionable.

From AID's standpoint, there appears to exist

a very real advantage in the continued existence of a mechanism for coordinating the talents of the MUCIA schools in support of activities of interest to AID, whether such interests lie in the fields of training, research, or staffing of contracts (even outside the domains of IB and TAM). That such an AID interest may be served by a grant which is, or has been perceived in such different terms by AID and by the grantee may be an exercise in serendipity. But it may influence the final AID decision with regard to the present PASITAM request (so far, endorsed orally to the evaluation team by MUCIA leadership but not yet formally approved by MUCIA) that the five-year grant be extended, without the injection of any additional AID funds, for a sixth year, to enable realization of and capitalization on the benefits of work initiated during the original five-year life of the grant.

It is significant that PASITAM projects for 1976-77 call for an expenditure, roughly, of \$175,000, of which only about \$85,000, (48%), represents residual AID grant funds, and that of this latter figure, \$60,000 constitutes unspent funds from the cancellation of some of the fluffier early sub-grants.

B. Current Status - New Approach and Organization

In recent months PASITAM has entered upon a new phase of strategy and activities. Emphasis has been shifted, in the words of the Director, from "knowledge-building to that of

transforming the products of research and analysis into materials for use, within MUCIA and outside." ^{1/} PASITAM has ceased to make sub-grants and has hired a professional staff whose individual members have been assigned responsibilities in selected areas that will contribute to the IB and TAM needs of the development community including AID. PASITAM has also narrowed its focus on building capabilities, mainly to five topical areas: (1) rural development; (2) health; (3) private humanitarian organizations; (4) evaluation; and (5) action system design. In addition, PASITAM is devoting a small amount of attention to IB in the field of science; has funded a project to ascertain the factors that determine the use of public enterprise forms of organization as instruments for development; and PASITAM's Document and Analysis Center will soon start a series of studies on organizational factors in technical assistance. Another activity of the new approach calls for the extensive use of MUCIA personnel to serve as multi disciplinary subject-matter panels, and to participate in workshops, and perhaps in training and consultation. PASITAM expects these panels and workshops to establish important linkages among MUCIA institutions, among academic disciplines within the institutions as well as between MUCIA and PASITAM.

^{1/} Annual Report, 1975, p. 3.

PASITAM's prime aim has become the development, by its own staff and MUCIA expertise, of a continuous process of pragmatic problem solving plus an innovative technique of designing action systems. The process involves identification of problems, design of action systems, and dissemination to ultimate users (AID, LDCs, UN agencies, etc.) of a combination of empirically derived information that is intended to help the development planner and the practitioner. The results are techniques for solutions rather than the comprehensive, definitive answers that the original grant served to contemplate in its emphasis on universal "models" for development.

PASITAM's directorate envisages the program as falling into three somewhat overlapping phases. Phase one is knowledge-building, consisting of the identification, development and analysis work that produces pertinent knowledge with potential practical utility. Phase two assesses, synthesizes, and adapts the products of the first phase, imposing professional judgements upon them, and putting them into forms appropriate for outside use. This essential analysis function is largely a PASITAM in-house effort, involving continuing association with consultants and advisors in MUCIA institutions, in AID, and elsewhere. Phase three is dissemination and application. This is the pay-off phase in which products are put to use. The vehicles are training, education, consultation, and the distribution of materials. The project has just moved into the third stage this

year.

The Documentation and Analysis Center (DAC) has the responsibility for analyzing, distilling and disseminating products. Following -- and probably, in a large measure as a result of -- the April 1975 PAR, PASITAM has taken the much-needed step of reforming its Documentation and Analysis Center and has given it the important new duties of preparing and disseminating new publications called the Newsletter and the Design Notes.

Because of the large workload entailed by the new project thrust, PASITAM has increased its staff. The office now consists of a director (9/10 time, 71% funded from the AID grant), associate director (1/2 time), assistant director for administration, information officer, information management specialist (1/2 time), publications director, editor (1/2 time), distribution manager and twelve other employees. Of the twelve other employees, two (accounts officer and office manager) are on the IRDC's and not PASITAM's payroll; four are part-time graduate assistants. (For a complete personnel roster of PASITAM as of October 1, 1975, See Annex B).

C. Factors Influencing Evaluation

How well has PASITAM accomplished its

objectives thus far? How productive is it likely to be during the remainder of 1975-76? And if the time frame of the project is, as the Team recommends, through a sixth year without additional funding, what would be the payoff? The answer to the first question depends upon whether or not the basis for judging PASITAM is the extent to which it is accomplishing in toto the aims of the original grant document. We have concluded it is not reasonable to expect such full compliance for four main reasons. First, as indicated earlier, the scope of the project, as set out in the grant document, was far too sweeping for PASITAM's resources. Almost any one of the program activities -- for example, "systematizing the pragmatic knowledge of and skills in technical assistance processes and relationships achieved by experience technical assistance advisors and practitioners" -- is itself sufficiently comprehensive to be a full-time project. Second, even the grant's basic aim, "to strengthen the expertise of the Midwest Universities Consortium for International Activities, Inc., in institution building and technical assistance methodology," is unclear. The terms "institution building" and "technical assistance methodology" have no accepted meanings either among academicians or practitioners.

Third, to confound the situation, Institution Building (IB) and Technical Assistance Methodology (TAM)

are no longer in vogue. IB has lost much of its currency and regard and is widely regarded today as a "dream of the sixties" (extending over for a year or so into the 70's). A prime purpose of the grant was to develop advanced models of the process of institution building. But, since the signing of the grant, both academicians and practitioners have increasingly lost faith in the efficacy of building global, general models that purport to be prescriptive and predictive. The variables, in such efforts, they discovered, are so diverse as to suggest that a "models" approach begs for a "reduction and absurdum". Although there are still a few who have not despaired of constructing bigger, better generic models, most of those who are seriously studying development processes nowadays agree that IB can have practical value primarily if it is used as an analytical tool, rather than as a prescriptive one for particular countries or regions, at given times, and under specific circumstances.

Likewise, there has been a disillusionment with global TAM models. The abolition of AID's Technical Assistance Methodology Division in 1975 may be construed as a dwindling interest in TAM by AID.

In any case, if AID wished to have a very specific product such as a new generic IB model, the use of a 211(d) grant would not appear to be the best means to procure it. A university contract, which would have more precisely spelled out

AID's expectations and its review authority would be preferable.

Fourth, as noted above, the time horizon of the project was faulty. Even if PASITAM's initial management had not wasted the first year and a half, the time frame would have been insufficient to achieve the original project design. Dr. George H. Axinn, President of MUCIA, has said that he and others in MUCIA were "naive" in believing useful, tangible production would be forthcoming quickly. The consortium is, he pointed out, a large, pluralistic organization, and universities do not readily collaborate. Time was needed to develop a spirit of trust among MUCIA members -- which must, perforce, compete with one another in many ways, such as obtaining foundation, government and other grants as well as gifts from private donors; in attracting faculty, honor students, football players, etc. Moreover, each is accountable to its own governors and clientele, such as state legislatures which are less than eager to underwrite international ventures when the home folks want less costly university functions.

A spirit of mutual trust and confidence, essential to collaboration, Dr. Axinn said, is just beginning to emerge, and only now does each consortium member not insist upon getting "the largest possible piece of the cake" for itself. The objective of increasing capabilities within MUCIA to serve AID and others concerned with "institution building" and "technical assistance methodology" has required much more time

than was estimated for delineating aims and concepts that were indefinite, for planning, making contacts within and outside MUCIA, developing strategy and building the requisite foundation of knowledge.

The Team believes that the unrealistically broad field of activities, its ambiguous aims, the partly obsolete conceptions in the original mandate, and its underestimated time frame must be factors in evaluating PASITAM. None of these, of course, are legitimate excuses for the debacle which precluded progress for almost one-third of the entire grant period while the project was at its initial location on the University of Minnesota campus. Beginning virtually anew at Indiana University in late 1972 under the present director, the project has finally -- and especially since mid-1975 -- begun to show substantial results. But the results are within a deliberately narrowed focus and do not extend fully over the array of activities prescribed in the grant. PASITAM has continued to pay lip service to the original grant agreement, and its most recent annual report shows at least a token performance against the targets originally established. In fact, PASITAM expected to be measured against the quite different objectives set up in its workplans. Its expectations were not unreasonable. For a frank, essentially accurate comparison between PASITAM's present program and the program stated in the grant document, see Annex C.

From the point of view of achieving meaningful results and avoiding scatteration, the director's decision to focus on selected key areas within the grant rather than attempt to implement fully the initial grant objectives, makes good sense. But it is mystifying that no one either in PASITAM or AID sought to amend the grant document so that it would correspond with emerging realities and needs. AID project managers after 1973 have evidently concurred with PASITAM's switch to a narrowed focus for they have formally approved, or have not voiced objections to, any of PASITAM's regularly submitted workplans which clearly provided for contraction of the initial grant activities.

Nor are there in either AID or PASITAM files any criticisms of, or expressions of, dissatisfaction with PASITAM's operations at Indiana University after James Green's letter and comments in late 1973 ^{1/} until the April 1975 PAR, which was written, unfortunately, just before a sharp increase in the project's productivity. Unquestionably, many

^{1/} In October 1973, James W. Green, Chief of the Methodology Division, attached to his letter to Drs. Axinn and Siffin several pages of critical remarks about PASITAM's 1973 Annual Report. PASITAM embodied a good number of Green's suggestions in its 1974 workplan, which AID approved.

of the adversely critical remarks in the PAR were justified, especially at the time they were made. Moreover, the PAR, which was followed by an accelerating flow of products in the pipeline, was probably an important fact in prompting PASITAM to overhaul the organization and personnel of the Document Center.

The Team believes, however, that the fear expressed in the 1975 PAR by Dr. Hirsch that his "judgments ... might prove to have been overly harsh" seems to have been well-founded, not only in the research area in which he was specifically referring but also in other areas. No attempt will be made to take up item by item the points made in the PAR since we will present, though from somewhat different terms of reference, our views on the same critical areas. One fact regarding the PAR deserves attention, however. Although Dr. Hirsch was author of the PAR, there were two reviewers, the other being Ms. Mary E. Mozynsky. When interviewed by a representative of the Team, Ms. Mozynsky said it was her impression that the PAR was perhaps "overly harsh" and that in her view Dr. Siffin had "turned the project around" in a productive direction. One of the problems with the project, she said may have been lack of adequate monitoring due to short staffing of the Methodology Division. Dr. Hirsch himself wrote in the PAR that "not all

managerial blame -- if blame there is -- can be piled at PASITAM's door. At least two issues must be mentioned as reflections on AID's management of this activity." One of the issues, he said, "has to do with management inputs on AID's part" (The other issue, according to Dr. Hirsch, has to do with resources. He felt that the amount of the grant was perhaps inadequate "to provide a critical mass" for such a complex undertaking.)

D. Performance Appraisal ^{1/}

For a program to be successful, it must be productive. But the output of products, no matter how numerous is no assurance of success. Products are meaningful only if they serve intended, useful purposes which, in turn, contribute to a goal. The underlying goal for PASITAM, as well as for AID, we assume to be the social and economic progress of the LDCs. Although it is still premature to determine what effects PASITAM's activities are having, or might have, on actual development, we do believe in the correctness of the hypothesis that, if PASITAM is achieving its purposes, a worthwhile contribution to social and economic development will likely eventually

^{1/} Annex D gives answers to 17 questions raised in the PIO/T. The questions were apparently designed on the assumption of PASITAM's adherence to, and complete fulfillment of, the original grant.

result. We are therefore basing our appraisal mainly on the extent to which PASITAM is accomplishing its declared (and AID approved) purposes or immediate objectives (as contrasted with the ultimate goal).

PASITAM has expressed its purposes repeatedly in publications, reports and pamphlets; and such purposes are reflected in the 1974-75 and 1975-76 workplans. Consistent with the original grant is the oft-reiterated objective of building within MUCIA increased capabilities to serve AID and others concerned with institution building (IB) and technical assistance methodology (TAM). But in seeking such objective PASITAM has made two assumptions: (1) that the designing, implementing and evaluation systems are common underlying concerns of IB and TAM; and (2) that, from a utilitarian viewpoint, the most constructive efforts in IB and TAM should be focused on situational studies in selected topical areas and not on studies of generic model construction. Thus, PASITAM has given notice that its activities in IB and TAM will not include a search for universal models as prescribed in the grant document.

In accordance with these strategic assumptions, PASITAM's approach to institution building has been one of "dis-aggregating" the IB process and using its concepts (e.g.,

linkages) for analytical rather than prescriptive purposes. This approach has resulted in empirically based products intended to have utility for practitioners. Included among such products are several case studies, designed to draw lessons from the experience of institutional building in a specific functional area in a particular country and environment. ^{1/} These cases have, in turn, suggested the need for institutional design and development -- a need which PASITAM is attempting to meet, especially through its Design Notes. Worthy of special mention is one of PASITAM's earlier publications, Melvin G. Blase, Institution Building: A Source Book (1973). This book is a summary and condensation of IB literature, including fugitive materials, and it has received wide acclaim from both academicians and practitioners. Between June 1974 and mid-September 1975, PASITAM received 196 requests for copies; 101 of the requests came from overseas. Altogether 2,000 copies were printed, many of which were distributed overseas by AID.

^{1/} For example, the studies of Harbans S. Bhola, The India Education Project: A Case Study of Institution Building and Organizational Conflict; Amy G. Mann and Jan Miracle (eds.), Rural Development: The Interplay of Analysis and Action; Betru Gebregziabher, Integrated Development in Rural Ethiopia: An Evaluative Study of the Chilalo Agriculture Development Unit; Choop Karnjanaprakorn, Lawrence E. McKibben, and Willian N. Thompson, NIDA: A Case Study in Institution Development.

PASITAM has taken a similar directional change with TAM which it perceives mainly as the logic of analysis that leads to the definition of problems and the design of resources. From individual case studies commissioned by PASITAM and, increasingly from research studies not sponsored by PASITAM, PASITAM is seeking to derive and synthesize findings that can be used for improving problem definition and the design of responses. It is also endeavoring to ascertain cause-and-effect relationships in such areas as incentives, information flows, and decision-making. The five Design Studies published in 1975, as well as a number of unpublished studies, provide findings that should be useful for analytical purposes. We give an especially high rating to PASITAM's latest publication by Dr. Burton E. Swanson, as having practical applicability for the development community. This volume, entitled Organizing Agricultural Technology Transfer -- The Effects of Alternate Arrangements (1975) is just now in the process of dissemination. Also, a paper by Dr. Brian Job of the University of Minnesota and entitled "Quasi-Experimental Design Methodologies and Their Applicability to Foreign Assistance Projects," appears to have the promise of utility, though it is too early to make a valid judgement; this paper is now under review before publication. Dr. Job has served as a consultant for AID and

has contributed to the Development Training Program of AID's Manpower Development Division. A study parallel to Dr. Job's is being prepared by Dr. Frank Hoole of Indiana University.

The published and unpublished research studies of PASITAM have now reached a respectable level. They are on, or ahead of, their 1975 targets. Six studies of the Design Studies series have been published. Of these Swanson's study has already received comment. The volume of Michael J. Moravcsik, a well-known physicist, should provide some guides for identifying policy issues and program choices in building institutions for science development. UNESCO has ordered 100 copies of Moravcsik's study. The three other books are case studies. Although they are variable in quality, they do furnish lessons of experience for those who design and implement development programs. Moreover, they have the merit of involvement of qualified LDC academicians and practitioners.

Six more publications in the Design Studies series will be forthcoming during the remainder of 1975. Perhaps the most useful of these is a study by Peter Delp and Arne Thesen of the Department of Industrial Engineering at the University of Wisconsin tentatively to

be titled, "Systems Tools for Development Planning." The Team has examined briefly this study in manuscript form and was favorably impressed by the utility of its subject matter. The product will be essentially a "tool kit" for development planners and managers. All authors and titles of the published and projected Design Studies and other PASITAM research studies can be found in Annex E, which also includes a status report on all PASITAM sub-grants.

In addition, thirty-nine unpublished working papers were prepared mainly by MUCIA faculty members for PASITAM during the 1975 fiscal year. Illustrative titles of the working papers are: "Irrigation Systems in Taiwan: Management of a Decentralized Public Enterprise;" "Problems of Institutional Design in Agricultural Development Projects: A Draft Report to PASITAM;" "A System for Analyzing Organizational Goals and Programs;" "Evaluation and Design of Organizational Systems." Although the Team did not have time to read these unpublished studies, we can say that the topics are appropriate for PASITAM's aims and that the authors include some of the best talent in MUCIA. For a listing of the unpublished working papers as well as of the externally published papers authored or co-authored by PASITAM staff, see Annex F.

The foregoing studies represent largely, but not entirely, accomplishments of phase one of PASITAM's strategy. For stages two and three, the Team found much activity in significant areas, some notable contributions in phase two, but only slight accomplishments thus far toward achieving the aims of phase three. ^{1/} Although PASITAM is developing phases two and three concurrently, the activities of phase three must, to a large extent, await further development of phase two, that is, there must be more analyses and syntheses of existing research studies and preparation of utilitarian publications before dissemination and application can be stepped up. It appears likely that PASITAM will, increasingly, progress toward the objectives it has selected (which, as mentioned previously, are narrower than -- but not inconsistent with -- the sweeping scope of grant objectives).

An innovative, and potentially highly useful, publication of PASITAM is the Design Note. Design Notes are brief statements, from three to six pages, presenting concrete, practical lessons in institution building, technical assistance methodology, and other aspects of development. They

^{1/} For the three overlapping phases of the PASITAM program, see above, pp. 21-22.

are sent to about 1,000 individuals and institutions involved in development assistance. PASITAM's computerized mailing list includes MUCIA faculty and the personnel of domestic and overseas research and training institutions, private voluntary and humanitarian agencies, AID and other donor agencies including the World Bank and UN agencies, and academic institutions not affiliated with MUCIA. The Design Notes are drawn from three sources: PASITAM's own research and analyses, documents of development agencies, and published literature. For example, Design Note Number 1, based on John D. Montgomery's study of the organization of land reform programs, offers a lesson about the ways administrative arrangements can influence program results. PASITAM has published three Design Notes and fifteen others are scheduled for publications during calendar year 1975. For a list of the first eighteen Design Notes, published or projected, see "Proposed Design Note Topics" Annex G. If the three Design Notes already published are a good indicator of the quality and utility of those to come, PASITAM deserves credit for originating what we believe to be a significant new device for producing useful information that can be quickly scanned and assessed. The Design Notes should also be instrumental in providing linkages between PASITAM and MUCIA; and between

PASITAM and others concerned with social and economic development, including the LDCs and AID. For PASITAM's Design Note Strategy, see Annex H.

Another recently inaugurated means for disseminating information and building linkages is PASITAM's monthly Newsletter. The first issue appeared in September 1975 after PASITAM decided it had something to write about other than hopes and aspirations. The Newsletter contains information about PASITAM's activities and capabilities and is distributed to the same 1,000 organizations and individuals that receive the Design Notes. The one issue of the Newsletter that has been issued so far is well-written, has an attractive format, and covers succinctly the salient features of PASITAM's operations. But, we have no way of gauging reader interest and effect. PASITAM itself intends to conduct at least an informal audit of the Newsletter's impact.

The Newsletter and Design Notes are responsibilities of the Documentation and Analysis Center (DAC). Since the Document Division (as it was formerly called) was severely criticized in the April 1975 PAR, a few parenthetical words are in order. Apparently PASITAM has considerably upgraded the DAC since April. The staff, newly appointed after

that date, appear to be well-qualified; most of the items have now been catalogued and steady progress made on the remainder. To be sure, a visitor is bound to be disappointed if he expects to see a huge library with numerous shelves filled with books. DAC is, as the grant specifies, a repository and not a depository. Its holdings consist only of the most significant literature, including numerous fugitive materials which are not readily available, that falls within the limited scope of PASITAM's operations. The DAC is primarily an information center and, as such, maintains a continuously up-dated record of all pertinent literature. It has access to, and can identify, this wide array of pertinent literature but finds it useless and financially infeasible to try to duplicate the holdings of the Indiana University library and other MUCIA schools.

PASITAM will establish shortly still another device: panels consisting of a group of eight to twelve MUCIA faculty members, chosen to provide multi-disciplinary representation. Each panel will seek to combine technical and applied social science expertise to a particular development problem or set of problems. PASITAM expects the results to be useful for forming statements for dissemination within and outside MUCIA, identifying additional information needs, planning

an academic course or training program, making recommendations to donor agencies, creating linkages among MUCIA faculty members, and serving numerous other purposes. The first panel is scheduled for November 1975; three others have already been scheduled for the year and four more are possible. These panels are expected to provide the basis for workshops having a larger participation. ^{1/} Since the panels (as well as workshops) are still on the drawing board, we merely report in this evaluation that the panel approach appears to be conceptually sound and has the potentiality of adding a significant dimension to MUCIA's and PASITAM's capacity in international development.

Nor do we have a valid basis for appraising PASITAM's Colloquium Series. Thirteen colloquia were held during the 1975 fiscal year. The usual procedure is for a knowledgeable person -- a MUCIA faculty member or members of the American Universities Field Staff -- to make a presentation in the field of institution building or technical assistance methodology; and to hold a general discussion following the

^{1/} One workshop, not preceded by a panel, was sponsored by PASITAM at Michigan State University during the 1974 summer. The subject for discussion was "Design of Rural Development Projects." Five LDC graduate students were among the participants. In the April 1975 PAR, this workshop was said to have had only "limited success."

presentation. Colloquium subjects have been relevant to grant aims and the leaders have generally been academicians of repute. (The names of the leaders and the subject matter of the colloquiums are shown in Annex I.) But the colloquia, while they might have had the effect of sharpening and deepening the outlook of participants, appear to have been mainly "talk groups" and they have not resulted -- as the panels are intended to result -- in useful products.

All MUCIA activities -- those reviewed above and others which are discussed below -- are designed, according to the grant document and PASITAM's own declarations, to strengthen the expertise of MUCIA in institution building, technical assistance methodology, and other aspects of social and economic development. In fact, PASITAM has not yet made its presence strongly felt among MUCIA members. A number of qualified scholars of the consortium, especially outside the social sciences, have never heard of PASITAM. Neither have they heard of MUCIA, it appears. The Dean of International Programs at one of the member universities informed a Team member that the project's influence at his institution had been negligible.

Perhaps the project's main contribution

to MUCIA up to now has been to influence course curricula. According to a survey undertaken by PASITAM in September 1975, project efforts were found to have been responsible for the establishment or modification of at least 15 courses and seminars within MUCIA. (For a list of the courses and seminars, see Annex J). As mentioned already, Blase's Institution Building: A Source Book is widely used within (as well as without) the consortium universities. Moreover, academicians from the various member universities have produced, and are now producing, the Design Studies and a number of faculty members are now working, in collaboration with PASITAM staff, to identify, analyze and synthesize existing research for later dissemination and to prepare for the forthcoming panels.

The question -- which cannot be answered with complete assurance -- is whether or not PASITAM's potentiality, which is certainly there -- can be realized now that the project has finally reached a productive stage. Only during the latter part of 1975 have PASITAM's publications begun to reach MUCIA faculty members in appreciable numbers -- and others will soon be arriving. As noted above, six Design Studies were published and distributed during the latter part of 1975 and six others are scheduled for publication before end of 1975. The issuance of the Design Notes, distributed to

hundreds of faculty members within MUCIA, commenced only in September as did the Newsletter with the same audience. The panels and subsequent workshops, calling for the participation of MUCIA expertise, have not yet materialized. The likelihood is that current and projected project activities will increase substantially the recognition and status of PASITAM within MUCIA; and will serve a useful purpose in strengthening MUCIA's capabilities in the development field. (For a list of linkages with MUCIA, see "PASITAM Linkages as of October, 1975" in Annex K, pp. 1-2.

PASITAM has succeeded in establishing a substantial number of linkages outside MUCIA -- although particularly in the case of the LDCs, not on a systematic basis. (For PASITAM's external linkages, see Annex K, pp. 2-3). Within the broad outlines of the original grant and the more precisely defined parameters of the current workplan, PASITAM and its MUCIA Advisory Committee have focussed on a limited number of needs of its present and known potential clients. PASITAM has by no means performed a complete market survey of potential clients; nor does its present product mix cover all of their potential interests. The ability of PASITAM to manage a broader scope of services and a wider range of clients is, of course, a limiting factor. PASITAM has turned down

several requests for assistance because its resources were inadequate to comply with the request.

PASITAM has responded to several requests for assistance from AID and is now under 2 MUCIA contracts to advise the Development Training Program of AID's Manpower Development Division. A number of world organizations -- FAO, the Division of Public Administration and Finance of the UN, Pan American Health Organization, for example -- have sought and received assistance from PASITAM. Individuals and institutions in the LDCs have also sent in requests for assistance or materials; the institutions include, among others, the Indian Institute of Management/Bangalore, the National Institute of Development Administration (Thailand), and the Asian Center for Development Administration (Malaysia). And PASITAM has established contacts with at least 28 private voluntary or humanitarian organizations. (For a list of requests for assistance received by PASITAM during the 1974-75 fiscal year and the disposition of such requests, see Annex L. Considering that PASITAM has only recently felt itself sufficiently equipped, in terms of salable products, to test the marketplace, one must conclude that the results to date have been encouraging.

IV. CONCLUSIONS

The Team's overall evaluation of PASITAM's performance is as follows: Based upon the results of activities within the scope of the project's current workplan (approved by the AID project manager), PASITAM's performance should be considered entirely satisfactory if the first phase of misdirection had not taken place. For the period after mid-1975 to the present, PASITAM deserves a rating of excellent. The project has finally reached the payoff stage and a continuing process with a development potential has been created.

For such reasons, the Team recommends that the time frame for full utilization of AID funding be extended by one additional year. Funds which will be available through internal recycling of grant money would permit support during a sixth year for key product preparation, marketing, and utilization. The Team further recommends, however, that before AID approves extending the life of the grant through a sixth year (1976-77) without additional funding, PASITAM be required to submit a workplan similar to that which the Team reviewed for the fifth year. (For PASITAM's workplan for fiscal 1976, see Annex A.)

Acceptance of our recommendation would not involve a large sum of money. The amount of residual funds is estimated to be about \$85,000. If the sum were divided among the seven consortium universities it would amount to little more than \$12,000 per school. Of the \$85,000, about \$60,000 constitutes a deobligation of unspent funds from the cancellation of some of the fluffier earlier grants. PASITAM's rough estimate of total expenditures for 1976-77 is about \$175,000 of which the \$85,000 represents less than 50%. PASITAM is now exploring ways of generating funds through stepped-up sales of services, grants from foundations and other donor agencies, and financial support from MUCIA -- with an optimism that may or may not be justified. (For PASITAM's expenditure report for fiscal year 1975, see Annex M.)

Regardless of whether or not AID makes available the residual funds for another year, PASITAM is not likely to go out of existence. PASITAM projects a life at least five years beyond AID grant assistance; a role as coordinator of MUCIA efforts in the international field, a process-oriented rather than a product-oriented approach to strengthening capabilities for improving development efforts (which is to say, a technique for addressing a problem rather than a prescriptive universal solution to the problem); and an earning capacity for PASITAM

based upon clientele developed during PASITAM's first five years.

Although AID's decision may not spell life or death for PASITAM, it could very well be the determining factor as to whether or not PASITAM will have to reduce its staff drastically and curtail the scope of its activities in processing, marketing and the distribution and utilization of products. By extending the use of existing funds for an additional year, AID could, at a relatively low cost, hope to capitalize on its investment and reap the full benefits of an on-going project that has just now reached fruition.

Activity: R & D

Topic:

1975:

1976:

October November December January February March April May Post-grant period

1.1

Agric & Rural Development
Siffin, Morgan

Agricultural & Rural Devt. Seminar-----									
			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)	Publish Strategy Paper
									Publish format of Basic Course on Design, Mgmt, & Org. in Ag. & Rural Devt.
			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'i & Training Approaches			

Summer:
1976: 1st to 2nd
Insts

Hold Internatl Conference to establish basis for collaboratn

Fall-Winter:
Training of trainers, educators, pre-course Installation

Winter-Spring:
Pilot applicn of course, training, 2 or more external instns.

ANNEX A

1.

Activity: R & D

Topic:		1975:		1976:					Post-grant period	
		October	November	December	January	February	March	April	May	
1.2 The Evaluation Process Trout, Magnuson, et al	Job Ms: Quasi-Experimental Design out for review		complete editing	publish	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 OST projects	Formalize organ. 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 MUCIA				Possible Wkshop: Panel AID, CIDA, IBRD, others, re evaln. strategies & techniques	Workshop report written	
	Schedule meeting w/ PHA group re design of evaln. techniques (Cf PHA 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:										Post-grant period
		October	November	December	January	February	March	April	May			
1.3	Public Humanitarian Agencies (aka PVOs, Volags) Macguson, Levin, et al	Complete 1st draft of strategy paper; informal copy to Ulinski, AID	Revise, distribute to MUCIA group, AID, Selected PHA reps. Etab. info. linkage w/ Evaluation project	MUCIA/PHA rep workshop Revise paper, Distrib. to AID, PHAs, MUCIA group, IRRD, & 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
1.4	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			
1.5	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 appropr.	Distribute if possible		
1.6	"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-6-D

1975:

1976:

Code	October	November	December	January	February	March	April	May	Post-grant period
1.7 Design Tools for Development Planning & Implementation. 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. E.g., Health Delivery, 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		<p><u>Spring, Fall:</u> Possible workshop w/ LDC institutions, re joint course, training efforts</p> <p><u>Fall, Winter:</u> If appropriate, collaborate w/ 2-4 LDC organizations to establish their ability to use these materials</p>
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 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 Draft paper on PHA activity in rural health delivery		Sign Notes Possible: Participate in Central Am. conf. on rural nutritn. (re: design, mgmt, evaln. of rural nutritn. projs) Link up with PAHO and WHO, IDRC/Canada	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 appropri., reproduce, distribute If appropri., distribute	<p><u>Summer, Fall:</u> Development of training activity if funded & appropriate</p>

Activity: Training

Topic:		1975:	1976:							
		October	November	December	January	February	March	April	May	Post-grant period
2.1	AID Contract: Analytical Skills Program Stout, staff assistance.	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	Initial discussions w/ AID/MD First cut of possible adaptations of present approach		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 TE.	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					

5.

Activity: Documentation, Dissemination, Publication

Topic:	1975: October	November	December	1976: January	February	March	April	May	Post-grant period
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	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 Study Training materials		Ag & Rural Devt. Study Paper; course design(s) If appropriate, Bhola mtl. Study: Thinking About Evaluation Any other final report etc. If appropriate, Rural Health Delivery Rept. If appropriate, Science Devt. report	<u>Fall, Winter:</u> "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				Evaluation of Newsletter Evaluation of Design Notes		
3.3 Newsletter Falk, Platt, Staff	Issue monthly								
3.4 Monitoring, Abstracts, 3.5 Reference service Other Dissemination Falk, Staff									

6.

ANNEX B

PASITAM PERSONNEL

Director. William J. Siffin (9/10 time)^{1/4} Develops initiatives and negotiates arrangements for operational projects. Directs follow-up staff support for project initiation. Decides on appointments of personnel and job assignments. Determines general content of projects and contributes specific materials as time permits. Reviews materials developed by staff. Reviews administration. Reviews subgrant progress and new proposals from within MUCIA. Provides liaison with MUCIA Board and AID Contract personnel.

Associate Director. Grafton Trout (1/2 time) Monitors subgrant projects. Coordinates advisory meetings, conferences. Liaison with other centers not handled by Director. Carries out research, consultation, project support as time and opportunity permits. Coordinates efforts in rural health delivery systems design, management and evaluation. Liaison with MUCIA Center for International Health.

Assistant Director for Administration. Russell Stout Jr. Supervises budget, personnel, and reporting. Specializes in management training. Supervises implementation of A.I.D. Manpower analytic skills training contract.

Information Officer. Dennis Falck. Directs Documentation and Analysis Center. Prepares PASITAM Newsletter, supervises monitoring of literature and abstracting. Coordinates writing of Design Notes. Supervises distribution, mailing list.

Information Management Specialist. Linda Bernstein. (1/2 time) Liaison with MUCIA information sources, other information bases. Cataloguing and retrieval of materials. Answering of information requests. Materials research and monitoring.

Publications Director. Marianne Platt. Plans and supervises publications production from external review, editing, typing and lay-out to distribution. Coordinates publications production with the I.U. Press and Printing Plant.

Editor. Jane Nelson (1/2 time) Edits manuscripts prior to typing.

Distribution Manager. Anita Ping. Records and responds to requests for publications and carries out mailings.

Composer-Typist. Barbara Cambron. Operates IBM composer in publication preparation.

Accountant (IDRC Payroll) Nancy Garrett. Prepares financial statements and reports. Supervises travel and payroll.

Office Manager (IDRC Payroll) Arlene Hall. Serves as secretary to the director and allocates other secretarial work to typists. Coordinates travel and meeting schedules. Maintains schedule board and monitors flow of work.

Senior Associate. E. Philip Morgan. Research and training on rural development project management. Co-Director with PASITAM Director of Panel and Seminar on Rural Development. Instructor in AID Skill Training contract activities.

^{1/4} 71% of total time grant funded.

Associate. R. Axel Magnuson. Research and liaison on A.I.D. relations with Private Humanitarian Agencies. Coordinates Panel on Evaluation. Contributes to rural health activities as time allows.

Associate. Daniel Levin. (appointment terminates October 31, 1975) Coordinates research and liaison with PHAs.

Associate. Lewis Thornton (appointment terminates October 15, 1975) Research on organizational change and rural education. Coordinates training environment for visiting development practitioners.

Senior Associate. Peter Delp. (appointment begins October 15, 1975) Research on application of systems analytical tools to development planning and management. Instructor in A.I.D. Skill Training contract activities. Research on collaborative and team approaches to development project design.

Graduate Research Assistant. Larry Ullian (15 hours per week) Research and Design Note preparation in rural health delivery projects.

Graduate Research Assistant. Sorab Shahabi (15 hours per week) Research on rural health delivery projects. Monitor of World Bank publications and activities. Abstract writing.

Graduate Research Assistant. Paul Cunningham (15 hours per week) Writing of Design Notes.

Graduate Research Assistant. Abbas Navabi (15 hours per week) Literature monitoring and abstract writing.

Library Researcher. Susan Rensberger (10 hours per week work study) Obtains materials and information.

Layout and Graphics Coordinator. Larry Platt, editor, coordinates design of publications.

ANNEX C

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

Initial Program Aim

1. "Study the Process of Institution-Building"

Current Program Aim and Activity

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 Bholra'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 requirements of technical assistance and incorporate 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

3. Researching relationships and patterns of interaction between technical assistance personnel and their local counterparts.
4. Comparing the effectiveness of various approaches to the selection, training, and preparation of personnel.
5. Investigating means of incorporating reciprocal arrangements into technical assistance agreements and projects, to promote collaboration.

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."

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.)

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.

"Reciprocal arrangements" depend upon ability to reciprocate on the basis of a common level of 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

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, Bhola, 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.

ANNEX D

ANSWERS TO EVALUATION QUESTIONS PRESCRIBED IN THE PIO/T

The Evaluation Team (and, in particular, its contract members) were concerned that the Team's terms of reference, including the Agency's guidelines for comprehensive (fourth year) reviews of Sec. 211(d) grants, deal with the grantee's performance against targets established in the original grant document, whereas it became apparent early in the review that after extensive colloquy between AID officers and PASITAM staff, and with the written approval of AID officers, PASITAM had undertaken a work plan which dealt only peripherally with some of the objectives prescribed in the original grant document, which omitted certain others, and which placed its emphasis on method rather than prescriptive universally applicable solutions. PASITAM and AID went through prolonged and heated exchanges before AID accepted the new approach in 1973; by 1974 the new format was endorsed internally within AID ^{1/} and confirmed to PASITAM ^{2/}. Although neither AID nor PASITAM appears

^{1/} Hirsch-Hawly memo, July 12, 1974.

^{2/} Perelli-Siffin letter, July 16, 1974.

to have felt it necessary to seek amendment of the original grant agreement, AID was informed of, and indeed had endorsed, substantial departure from the emphasis of that document.

PASITAM continued to pay lip service to the original grant agreement, and its most recent annual report shows at least a token performance against the targets originally established. In fact, PASITAM expected to be measured against the quite different objectives set up in its workplans. Its expectations were not unreasonable.

Measured against such goals, it is quite probable that the principal author of the highly critical PAR of April 1975 might have found PASITAM's performance less worthy of indictment. Yet the PAR's author had written, nine months earlier, "I am satisfied that this (a revised annual report and workplan, transmitted July 8, 1974) fulfills the requirement for a workplan."

The PAR was, in fact, based on the unamended original grant document. This review team, while it recognizes the legal validity of the unamended original

grant document, also recognizes the de facto modification of that document, willingly accepted by both parties to the original document. And its assessment of the project is based on that modification of original aims as represented by PASITAM work plans.

The team strongly urges appropriate modification of the grant agreement in the interest of relationships between the parties, but more important, in the interest of a better appreciation of what PASITAM can be expected to deliver and of what AID has a right to expect.

1. Evaluation Team's Scope of Work

1.1 General

The scope of work prescribed for the Evaluation Team sets forth not only the areas of activity to be appraised but also the criteria for this appraisal and, beyond the criteria, a list of 17 specific evaluation questions to which the Team is required to seek answers in reaching its conclusions. The Team may, at its option, seek answers to other questions as well.

In fact, the 17 questions have an unusual origin, coming not from AID, but from the entity being examined, i.e., MUCIA and its operating arm, PASITAM. It is by no means coincidental that as AID examines the history and performance of MUCIA/PASITAM, MUCIA's advisory committee to PASITAM is making its own examination to determine how well PASITAM has performed, where it is (as against where it was) and where it is headed. There is, indeed, some merit in having both AID and grantee

^{1/} Answering the 17 questions has necessitated duplication with some of the material found in the main body of the report.

approach evaluation with the same aim, that is, to assess the effectiveness of PASITAM's current and projected performance, its work plan, its staff, its value to MUCIA, its earning potential, its clientele, and significantly, the validity of the project's stated objectives -- to AID, to the international development community, or to any other buyer. To restate: MUCIA is taking a reasonably hard-nosed look at its instrument, PASITAM, to determine whether it is worth supporting with MUCIA resources beyond the fifth year of the grant -- and, therefore, if AID should authorize a sixth year (without additional funding), beyond the period of AID grant support.

The AID resources involved are not now particularly impressive, if they ever were. The seven MUCIA schools could expect, assuming an even-handed ladling out of this year's funds, less than \$31,000 per campus if the PASITAM staff were eliminated (or were to serve without salary). To the administrations of the MUCIA universities, each with a multi-million dollar annual budget, the money involved is not exciting. It remains to be seen whether they will be attracted by the prospect of preserving an entity which

is designed to make possible effective collaboration of seven essentially competitive universities in an area of common interest.

One thing appears certain: PASITAM itself is clear-eyed and unafraid. PASITAM has, however, slowly (and within the period which would have been considered satisfactory if the first phase of misdirection had not taken place) devised a technique for involving the collective expertise of MUCIA in a new problem, for documenting the "state of the art" for dealing with that problem, for synthesizing existing knowledge in the field and, thereby, for modifying curricula (the technique, similar to if not adapted from a British model has a pragmatic "test of the market" approach which may or may not attract academe). PASITAM also has a publication schedule in esse and in posse which is impressive in volume; appropriate to the terms of its work plan and, indeed, to the terms of the MUCIA grant; generally useful and frequently challenging (the polite term to indicate conflict with generally accepted shibboleths); and an inreach into MUCIA and an outreach which is attracting some paying customers.

PASITAM is not planning to go out of business in May 1976. PASITAM projects a life at least 5 years beyond AID grant assistance; a role as a coordinator of MUCIA efforts in the international field, a process-oriented rather than a product-oriented approach to strengthening capabilities for improving development efforts (which is to say, a technique for addressing a problem rather than a prescriptive universal solution to the problem); and an earning capacity for PASITAM based upon clientele developed during PASITAM's first five years. Clearly, PASITAM has favored neither the production of prescriptive models (which some but not all of its AID monitors would seem to have advocated) nor the support of self-generated research efforts in areas peripheral or tangential to the thrust of the original AID grant. PASITAM cannot therefore be fully assured of the vigorous support of its (to date, at least) principal client, AID, or its parent organization, MUCIA.

It is the opinion of the Evaluation Team that PASITAM -- the product of co-designers who march to different drums and which is to date unable to

satisfy fully the desires of either designer -- has a utility to AID which merits a measure of continuing AID support: AID extension (through May 1977) of those funds from the initial five-year grant to MUCIA which remain unspent by May 1976; and AID support of PASITAM's efforts to achieve additional outreach. This judgment is passed despite the fact that the answers (from an AID standpoint) of several of the stipulated 17 questions appear to be clearly negative; others are in the "yes, but ..." category; still others have affirmative answers, regardless of the viewpoint of the questioner. It should be observed that MUCIA could find the answers equally hard to evaluate. In fact, the questions, like the original grant agreement, may be interpreted subjectively. There are frequently two and sometimes three interpretations of a question.

1.2 If AID expected the grantee, MUCIA, to see eye to eye with AID as to the purposes of their voluntary association under Section 211-d, AID was naive. Both parties had objectives, and they were not always the same. In fact, if AID wishes to secure a specific product, and to control the uses of funds in securing that product, a contract is a

better device than a grant. But it is highly improbable that MUCIA would have contracted to carry out the purposes of the initial grant.

1.3 Prescribed Evaluation Questions

a. Is there clarity of purpose or is the project floundering on goals?

In the Evaluation Team's judgment, there is a clear PASITAM purpose; the project is not "floundering on goals." It is by no means assured that AID would subscribe fully to PASITAM's purpose; but it is by no means assured that AID would now subscribe to its own initial purposes in making the grant. The PASITAM director has been faithful in keeping AID informed of the directions he was following in implementing the agreement, and virtually every aspect of PASITAM's present pattern of performance traces to the comments or suggestions of an AID monitor; at a minimum, every aspect was discussed with and approved by (or not disapproved by) an AID project officer. If AID is unhappy with the PASITAM work plan, it has itself to blame. Yet the plan, a process-oriented pattern of pragmatic problem solving, coupled with an innovative technique of

broadcasting the lessons learned from particular kinds of project conduct and the adoption of particular kinds of institutional design -- does not appear to have constituted the original conception of the grant, although it is not inconsistent with the language of the grant agreement.

The PASITAM grant provides for an exercise in innovative design -- under which the grantee is required to prepare a product without a recipe or a real knowledge of the desires of the ultimate user. The creation of an idealized "institution-building" mold, a gross generality requiring modification for each specific situation, may have been AID's initial intent. Instead, PASITAM has chosen to identify the deficiencies in various organizational (as against technological) approaches, to provide to the ultimate user a combination of empirically derived information that may help him to mount a successful attack on the problem of building an institution. The approach has its drawbacks; at best, it produces a limited model, since it will inevitably ignore some of the variables. A major variable is, of course, the possibility of

technological change; in PASITAM's work to date, technological change has not been a central concern. The PASITAM approach deals with linkages, organizational development, scientific management, the interaction of technology and organization -- in a word, design. From this are derived elements of information which may prove prescriptive, in the form of the innovative Design Notes series.

On balance, the technique adopted appears capable of producing products useful to the LDC's and to those in the field who are still concerned with "institution building." It is probable that institution building will again be, if it is not now, an active concern of AID.

b. Is there adequate consensus on doctrine -- seeking a useful approach to institutional design?

From the short time the Team spent with the PASITAM staff, and the longer time spent in perusing the files on this project, there appears to be a general acceptance of the "what" and the "how" of this project. As to the "why", consensus would be

more difficult to assure. But there is no consensus in AID itself.

c. To what extent have grant objectives been accomplished to date?

The answer may be, to a degree, in the eye of the beholder; certainly the rate of production of visible outputs, and the number of such outputs now on the order board, may be considered adequate and in fact impressive. A process for identifying multi-disciplinary, multi-college solutions to developmental problems (in the institution-building field, so far, but equally applicable to other aspects of international development) has been formulated and put into effect; the potential of this process for bringing about the curriculum modification envisioned in the original grant agreement is yet largely unrealized.

The president of MUCIA (and principal author of the original MUCIA proposal) acknowledges ruefully that five years is too short a time to bring about permanent change in university curricula.

PASITAM's 1974-75, pp. 10-18 Annual

Report has a detailed account of what it perceives as its main accomplishments.

d. Has PASITAM had a demonstrable impact?

MUCIA activities are designed, according to the grant document and PASITAM's own declarations, to strengthen the expertise of MUCIA in institution building, technical assistance methodology, and other aspects of social and economic development. In fact, PASITAM has not yet made its presence strongly felt among MUCIA members. A number of qualified scholars of the consortium, especially outside the social sciences, have never heard of PASITAM. Neither have they heard of MUCIA, it appears. The Dean of International Programs at one of the member universities informed a Team member that the project's influence at his institution had been negligible. But the Team believes that PASITAM's present programs are beginning to have a payoff which will strengthen MUCIA's capabilities. Perhaps the project's main contribution thus far to MUCIA has been to influence course curricula. According to a survey undertaken by PASITAM in September 1975, project efforts were found to have been responsible for the establishment or modification of at least 15 courses and

seminars within MUCIA. (For a list of the courses and seminars, see Annex J.) As mentioned already, Blase's Institution Building: A Source Book is widely used within (as well as without) the consortium universities. Moreover, academicians from the various member universities have collaborated to produce, or they are now producing, the Design Studies and other research studies and a number of faculty members from various universities are now working, in collaboration with PASITAM staff, to identify, analyze and synthesize existing research for later dissemination and to prepare for the forthcoming panels. The recently initiated Newsletter should help to give faculty and administration within MUCIA an awareness of PASITAM's aims, accomplishments, and potentialities; and of their opportunities of participation in PASITAM's programs. Also the projected panels appear to be a promising means of promoting interest and collaboration within MUCIA -- resulting in meaningful products. But the effectiveness of panels has not, of course, been demonstrated.

e. To what extent has PASITAM been recognized in the development assistance community?

PASITAM has only recently felt itself

sufficiently equipped, in terms of a salable product, to test the marketplace. Results to date have been encouraging if not spectacular; they include requests for services from a number of clients, and one \$44,000 contract. (See Annex L).

f. Are grant objectives still important and worth doing? Relevant? To MUCIA, AID, other international development institutions?

Grant objectives, as refined in current work plans, appear to be important and relevant to the international development community. Future emphasis on such areas of technical assistance methodology as program formulation and evaluation, organization viability evaluation, problem-solving approaches to developmental design and management and design tools for development planning and implementation should assure continued relevance of the PASITAM program.

g. Have PASITAM and MUCIA assessed with reasonable accuracy current and emerging needs of clients?

Within the broad outlines of the

original grant and the more precisely defined parameters of the current work plan, PASITAM and its MUCIA Advisory Committee have keyed on a limited number of the needs of its present and known potential clients. PASITAM has by no means performed a complete market survey of potential clients, nor does its present product mix cover all of their potential interests. The ability of PASITAM to manage a broader scope of services and a wider range of clients is, of course, a limiting factor.

h. Are current proposed activities of work plan consistent with the needs?

Current proposed activities of the work plan capitalize on groundwork completed or nearing completion. They appear consistent with needs of potential clients. This is not to say that current proposed activities cover the potential field of needs. See question (g), above.

i. Given accuracy and relevance of objectives, does PASITAM have adequate and appropriate staff?

PASITAM's staff appears to be both

adequately qualified and appropriate. Its technique of taking on individuals with qualifications for particular efforts (usually but not necessarily from MUCIA schools) should enable PASITAM to take on revenue-producing assignments as they arise, without the need to expand the permanent staff (and payroll). As PASITAM becomes more widely recognized as a service agency of MUCIA, such revenue-earning opportunities may be expected to increase. PASITAM declined a number of requests for assistance (See Annex L) during the past year because of staff limitations. It appears to the Review Team that further exploitation of the opportunities for short-term staffing is readily possible.

j. Are there alternative means to accomplish the project objectives?

The Team has identified no alternatives which would attain project objectives at a lesser cost to AID. Administrative costs to AID if the several end-products were to be developed under separate projects, in-house or under contract, would be prohibitive.

k. Are the products being produced of

utility to the development community?

The products being produced, in process and on the drawing board appear to be generally useful to the development community. Some of them (e.g., Blase, Institution Building: A Source Book) represent firsts in the field and are already in broad use. Without attempting to evaluate PASITAM's output, item by item, the several products combine relevance and professional competence. The "Test of Marketplace" criterion indicates a demand for PASITAM services beyond capacity to perform.

1. Have the financial resources been used effectively to date? Cost-benefits?

The MUCIA grant, and indeed all Sec. 211(d) grants, represent a relatively high-risk investment of AID funds. Results of such investment may be expected to be slow in emerging. Individual efforts under the MUCIA grant have proved to be non-productive and have been curtailed. However, the project has achieved a strategy and a knowledge base; the products of research and analyses are being

transformed into materials for use not only within MUCIA but also by practitioners of the art of development. The project has just only reached a real payoff stage.

m. Is the contract [sic] period (5 years) appropriate to the accomplishment of project objectives?

The objective of the PASITAM project is to build within MUCIA an increased capability to serve AID and others concerned with institution building and technical assistance methodology, based on superior knowledge and informed judgment and demonstrated by publication, consultation, training and education.

Apart from the fact that many of the activities during the first year and a half of the grant period (research grants to faculty within the MUCIA schools) were only peripherally related to project objectives and were in any event unintegrated, it is apparent that neither AID nor MUCIA believed that project objectives would be fully accomplished within five years. In

fact, the purpose of the grant was to provide the initial funding for an activity which would continue beyond the period of grant funding. To the extent that the initial AID funding was designed to finance the formative years of an on-going mechanism for coordinating and combining the resources of five (now seven) major aggregations of excellence in the field of international development, a fully utilized five-year period might have been barely adequate. It is evident, however, that (1) the five-year period has not been fully utilized and (2) institutionalized curriculum change (as envisioned in the original grant) takes more than five years. In any event, the process of curriculum change should be dynamic, not static.

PASITAM has moved from scattered faculty grants to dependence on a professional staff, with individual members (who call upon MUCIA expertise) responsible for one or more key program elements.

n. How is the project perceived by MUCIA?

Dr. George H. Axinn, President and

Executive Director of MUCIA, appears to find the project's present thrust, rate of progress and future potential satisfactory, although he would prefer a physical PASITAM presence on campuses of all MUCIA schools. Dr. Edward P. Mikol, Chairman of the MUCIA Advisory Group to PASITAM, endorses the present program. The broader perceptions of MUCIA will emerge from the internal evaluation of the project by the PASITAM Advisory Committee, scheduled for late October, 1975.

o. What products have been produced thus far in the categories spelled out in the grant document?

The PASITAM annual report, dated October 3, 1975, identifies these products by category, see especially pp. 10-18.

p. Has the market for PASITAM products been validly assessed?

The Review Evaluation Team believes that PASITAM's external linkages, extensive as they are, represent only a fraction of PASITAM's potential market. The circulation list for new Design Notes

and Newsletter is expected to bring in additional inquiries for printed material and for more personalized services. Nevertheless, an extension of the market survey is clearly in order, now that PASITAM has a track record to support its sales efforts.

q. To what degree has PASITAM succeeded in establishing a collaborative relationship with LDC institutions and individual professionals in the LDC's or elsewhere who are interested in institution building and technical assistance methodology?

At the end of the fourth year of the grant, but at the end of less than three years of goal-related leadership, PASITAM has established an impressive series of collaborative relationships with American professionals, including many outside of MUCIA. Links with such entities as PAHO and WHO are well advanced, Sr. Araujo of IICA, currently resident in what PASITAM terms its Training Environments may be the first LDC professional with whom PASITAM has established a collaborative relationship, although several of PASITAM's Design Studies are the products of professionals native to LDCs.

ANNEX E

**PUBLICATIONS: COMPLETED AND FORTHCOMING AND
STATUS OF SUBGRANTS**

I. PUBLICATIONS ^{1/}

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) \$5.00

Betru Gebregziabher. Integrated Development in Rural Ethiopia: An Evaluative Study of the Chialo 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

^{1/} Source: Annual Report, 1975, p. 19.

II. STATUS OF SUB-GRANT PROJECTS ^{2/}

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.

^{2/} Annual Report, 1975, pp. 10-12.

(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:

<u>Grants for PASITAM Projects</u>		
<u>1972-3</u>	<u>1973-4</u>	<u>1974-5</u>
\$69,800	\$214,400	\$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.

ANNEX F

UNPUBLISHED AND EXTERNALLY PUBLISHED PAPERS

PASITAM Materials (Other than PASITAM Publications)

I. 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", Spring, 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, Heelakantan 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, 29 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 II, 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 I, 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.

ANNEX H

DESIGN NOTE STRATEGY

What They Are

A design note is a brief statement, from three to six pages, which presents a concrete, practical lesson about an aspect of institution building or technical assistance methodology. The lesson may present a single concept concerning an aspect of the design process, a relationship between two or more factors pertinent to our concerns, or a tool or technique useful to those who analyze problems, help design responses, exercise discretionary authority for implementation, or participate in substantive evaluation.

Purpose of Design Notes

Design notes present lessons which will be useful for practitioners and others who are thinking about the design and implementation of technical assistance. Design notes will also supplement more formal, theoretical training materials and focus attention on practical experience available. Design notes transform latent information often not widely available into useful statements.

Audience

The principle audience for design notes are development practitioners. These may be individuals in AID or private humanitarian agencies or foreign government assistance organizations. These practitioners are responsible for the design, management, and evaluation of technical assistance programs. Design notes are also of interest to those people engaged in teaching and studying international technical assistance and institution building within the United States and in numerous foreign institutes.

Sources

Presently there are two principle sources for design note topics: PASITAM subgrant projects and the information monitoring services performed by DAC. DAC monitors journals, monographs, books, newsletters, and program literature. Through personal and formal correspondence, PASITAM elicits and identifies the concerns of practitioners and those concerned with training. DAC uses the knowledge from available literature to address these concerns through its design notes.

Format

The design note presents a brief lesson in a short paragraph or two. It is followed by several pages of material which indicate why or how the lesson is important and notes any qualifying factors, limiting conditions, or other caveats that are important. The note presents in summary form some of the background that enlarges, illustrates, explains or establishes some basis for further appreciation of the lesson, and indicates where more information can be found.

Design Notes and PASITAM Panels

Design notes will be integrated with the PASITAM panels on rural development, health, evaluation and private humanitarian agencies. It is anticipated that from each panel may be drawn a dozen or so lessons or topics for lessons. Cooperation between the design note and panel staffs is expected to be beneficial both for the practical design notes relevance and to the panel process.

Classification

Design notes address issues which fall into several classifications. A tentative first cut classification system follows, subject to revision as the design notes are produced:

- 1) Organization/Program/Project Design
 - a) information (MIS)
 - b) goal-setting
 - c) incentives
 - d) error reduction and control
 - e) direction/management
 - f) other
- 2) Organization/Program/Project and Environmental Relations
- 3) Organization and Technology
- 4) Evaluation
- 5) Systems Concepts
- 6) Design: Analysis Tools and Techniques
- 7) Environment Analysis
- 8) Miscellaneous

ANNEX I

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. Bholā 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. Bholā 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

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 Hoops
(4) Fall 75	Sociology	Advanced Topic Seminar: Evaluation	Irene Bernstein
(5) Fall 74 Fall 75	Education	Graduate Course: Diffusion and Adoption of Educational Innovations: Models, Techniques and Applications	H.S. Bhole
Spring 75	Education	Graduate Course: Introduction to Diffusion and Adoption of Educational Innovations	H.S. Bhole
(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. Bhole
Spring 76	Education	Graduate Course: Offering centered on work completed under PASITAM subgrant	H.S. Bhole

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
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ANNEX K

PASITAM Linkages, as of October, 1975

I. Within MUCIA

A. Policy, direction, control

1. Advisory Committee--one member each school
2. Liaison officer, representing MUCIA board
3. MUCIA board

B. General communications: Liaison officer, each MUCIA school

C. Program activities

1. Scholars in projects and program development activities

Illinois: Burton Swanson, agriculture
Wisconsin: Ned Wallace, medicine
Chad Haberstroh, management
Peter Delp, industrial engineering
Arne Thesen, industrial engineering

Minnesota: Martin Abel, agricultural economics
Leo Hurwicz, economics
Richard Blue, political science
Brian Job, political science
Gary Wynia, political science

Michigan: Bill Herzog, communications
State U.: Allan Schmid, agricultural economics
Tim Hennessey, political science

Purdue: David Roth, political science

Ohio State: Robert Backoff, management

Indiana: Frank Hoole, political science
Harbans Bhole, education
Ilene Bernstein, sociology
Edwin Brown, medicine

2. Other activities with and within MUCIA

- (a) Informal consultation in connection with MUCIA contract project in Indonesia, Thailand, Nepal, Somalia, and with the INTSOY project at Illinois
- (b) With the MUCIA board in a conference to explore MUCIA's future
- (c) Exploratory discussions with approximately 25 scholars concerning MUCIA panels in evaluation, rural development, and private humanitarian organizations.

(d) Center for Development, University of Wisconsin

(e) Center for Vocational Education, Ohio State University

II. External Linkages, involving actual transactions

A. Clients and Potential Clients

1. AID: Program Evaluation Division, Office of Policy Development and Analysis, PPC, Manpower Development Division, PMS, Office of Development Services, Office of Eastern and Southern Africa Affairs, Africa Bureau, Working Group on Rural Poor, Office of Science and Technology, Office of Agriculture, TAB
2. IBRD: Economic Development Institute, Evaluation Office, Planning Improvement Division
3. FAO: Institutional Development Division
4. World Health Organization, (Project analysis)
5. United Nations, Division of Public Administration and Finance
6. Pan American Health Organization
7. Economic Commission for Africa
8. Asian Center for Development Administration, Kuala Lumpur
9. African Center for Training and Research in Administration and Development (CAFRAD, Tangier)
10. National Institute for Development Administration, Bangkok
11. Interamerican Institute of Agricultural Sciences, Costa Rica
12. National Institute for Training in Industrial Engineering, Bombay
13. Indian Institute of Management (Bangalore)
14. Institute of Development Management, University of Botswana, Lesotho, and Swaziland

B. Liaison Visits and Information Exchange

1. Canadian International Development Agency, Office of Evaluation, Non-Governmental Agencies
2. International Development Research Centre, Ottawa, Canada
3. Institute for International Co-operation, University of Ottawa, Canada

4. UN Research Institute for Social Development, Geneva, Switzerland
5. UNESCO, Paris (Evaluation)
6. Institute for Development Studies, University of Sussex, UK
7. International Labour Office, (Evaluation)
8. CIMMYT, Mexico
9. IRRI, Philippines
10. Intermediate Technology, London
11. Development Centre, OECD, Paris
12. Council of Scientific and Industrial Research, New Delhi

C. Private Humanitarian Agencies (as information sources and also potential clients)

1. Institute for International Development
2. Technoserve
3. Partnership for Productivity
4. Mennonite Economic Development Association
5. Foundation for Peoples of the South Pacific
6. Maryknoll Fathers
7. World Education
8. Credit Union
9. Cooperative League
10. Agricultural Cooperative Development International
11. International Development Foundation
12. VITA
13. Heifer
14. CARE
15. Catholic Relief Services
16. Community Development Foundation
17. Accion
18. Near East Foundation
19. Church World Services
20. Foster Parents Plan
21. Lutheran World Relief
22. American Friends Service Committee
23. PACT
24. CODEL
25. Planning Assistance
26. American Council of Voluntary Agencies
27. Medical Assistance Programs
28. Partners of the Americas

D. Other 211(d) grantees

Our newsletter goes to 53 211(d) recipients. Our Design Notes currently go to 33. We have had more substantive interaction with CUSUSWASH members, particularly Colorado State University.

We have also participated in meetings, discussions, and exchanges of material with the Cornell 211(d) program on science and technology policy, with the MIT 211(d) program on technological adaptation, and the Georgia Tech program on small industry. Virginia State College program on rural development.

E. Other programs

Northwestern University Program of Research on the Management of Research and Development

Denver Research Institute Program on Industrial Research Institute Management

Table III - A

Requests For Assistance Received During Reporting Period Oct. 1, 74 to Sept. 75

A. Requests Attended

Description of Request for Assistance	Who did you Assist?	Who Requested Assistance?	Who Funded Assistance?	Size of Dollars	Effort Man Days	Results of Assistance
Development of Two-week institution building workshop	delayed	Haile Sellassele University Ethiopia	same	5,000	28	Delayed. Due to internal instability, still pending
Haifer, International	Robert Deane	same	unfunded	\$20	1	Consultation on evaluation
Critiques of Kulp ms. Waterston ms. Nichoff study PCI Inc. Report	Gunning AID/PPC	Herbert Turner	211(d)	1,200	est 15	Consultation review scheduled Oct. 29, 1975
Paper on IB	Vocational & Technical Education Ctr. Ohio State U.			160	2	Paper published
Review of Bangladesh DAP	Dalton AID			80	1	
Critical assessment of draft paper on guidelines for evaluation of international intermediaries for agric. technical transfer	ADC, Ruttan	Ruttan	211(d)	80	1	Paper revised; will present; affect evaluation activity
Swanson's assistance of Clark's project while under our salary-- maybe INTSOY too.	(IUCIA ag. planning group)			500	10	unknown
Dr. N. Sen	Council of Scientific & Industrial Research, New Delhi			40	1/2	"

Table III - A

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

A. Requests Attended

Type of request for assistance	Who did you assist?	Who provided assistance	Type of assistance	Amount in Dollars	Effort in Man Days	Results of assistance
Work on Thai Agric. Study for IICIA		World Bank	contract	400	5	Incorporated in report
Request for comment on Montgomery Schwartz/Burray 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, IICIA Ass't. Exec. Dir. Sr. Herrera IICA	211(d)	3500	40	In progress
2	AID	Amb. Hall	211(d)	40	1/2	Some items reflected in report
Comment on agency (CODEL) machine data system	CODEL	211(d)		20	1/4	Unknown--possible revision of planned action
Training in Analytic Skills	AID	D. Crendon	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	When 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
Consult on Philippines Emigration 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.

ANNEX M

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	141,510	492,925	151,000	643,925
2. Graduate Student Stipends	9,822	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	80,969
	<hr/>	<hr/>	<hr/>	<hr/>
TOTAL	200,743	771,343	215,368	986,711