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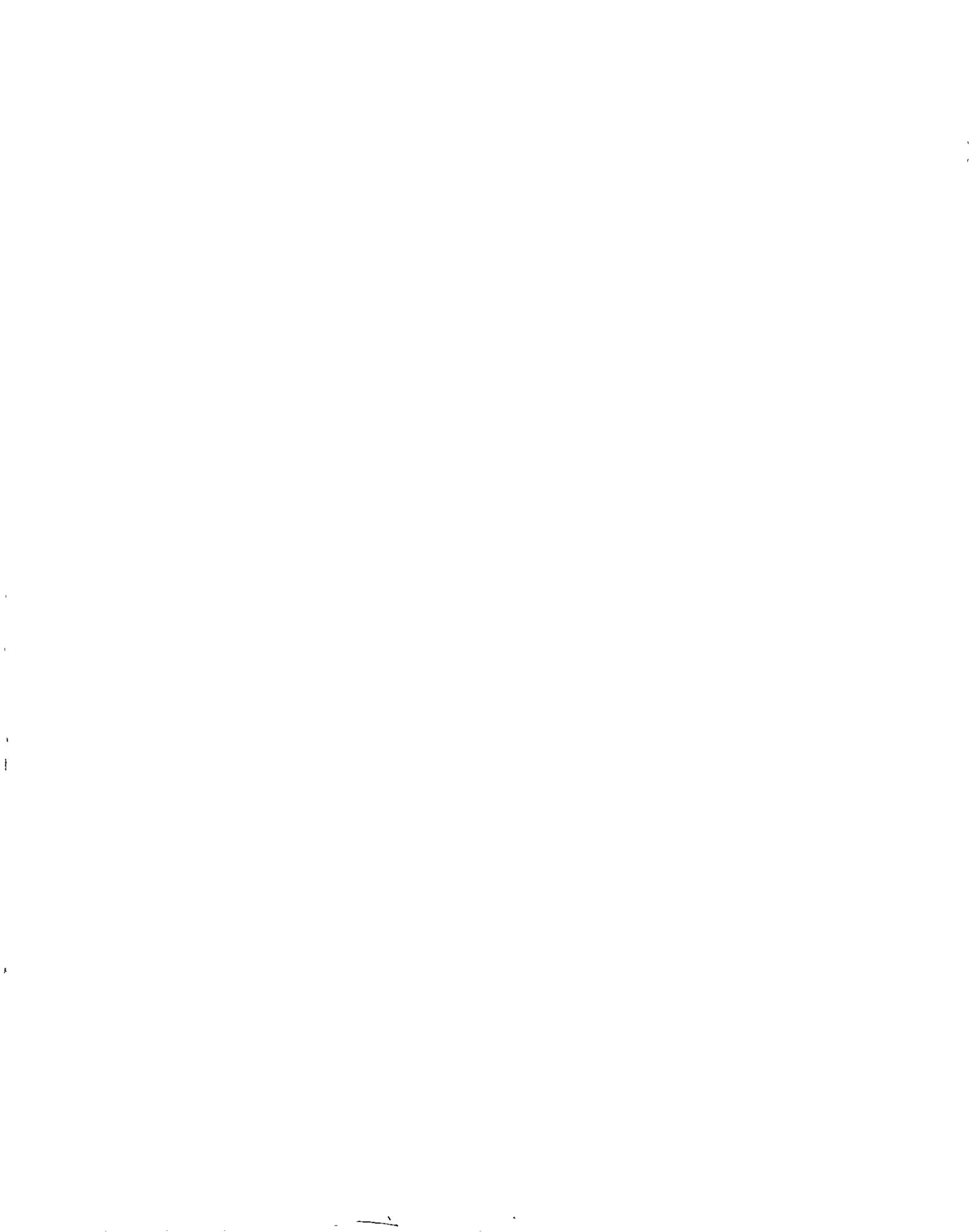
POLICY RESEARCH
AND
EDUCATION INSTITUTIONS
FOR
DEVELOPING COUNTRIES

ADVANCED STUDY PROGRAM



The Brookings Institution
Washington, D. C.

REPORT
for
Agency for International Development
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PART I

BACKGROUND, SCOPE AND PURPOSE OF SURVEY

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The problem of applying scholarly knowledge to issues of public policy is one which engages the attention of academic and government experts not only in the developed areas but also in those countries faced with the myriad problems of planning economic and social development. In those countries where the need for neutral and dispassionate research and study is often the greatest, the resources, and particularly the institutions to provide such research are most often lacking. Therefore, it was proposed that the (Brookings Institution, operating under a contract with the Agency for International Development, survey in selected developing countries the feasibility of creating or encouraging independent centers for research and study dealing with issues of public policy. The study was designed to assist A.I.D. in deciding whether to institute programs to encourage the development of such centers.)

The Case for Policy Research and Education

Using the Brookings Institution model as a point of reference, the scenario in the case for policy research and education is most clearly revealed in "The President's Review" by Kermit Gordon in the Biennial Report 1968-69 of Brookings:

"Since the establishment of the first of its antecedent organizations fifty-three years ago, Brookings has defined its mission as the effort to contribute, through research and education in public affairs, to improved decision making by organs of government on issues of public policy. This is Brookings' raison d'être—the test that it must pass if it is to justify the labors of its staff and the substantial sums of money it spends,

"If this question were not already present in the minds of members of the Brookings staff, it would be brought to their attention by the stream of visitors—journalists, academic investigators, and persons from abroad interested in public policy research and education—who come to Brookings to inquire about the policies and especially the impact of the Institution. "How do you know," they ask, "that you are really contributing to better decision making in public affairs? What specific decisions by the President, or the Congress, can you trace to the work of Brookings?"

"If only modesty stood in the way of a direct response to these questions, the temptation to rise above modesty would be strong. But the complications are much deeper. They arise, first, from the shrouded paternity of new ideas in any society. A traditional pastime of the academy derives from the readiness to demonstrate that a new idea, attributed to X, was in fact clearly anticipated by Y; the demonstration, which is nearly always convincing, works to deter all but the most dauntless from asserting the claim to novelty.

"But the complications arise also from the variety and intricacy of the forces that converge to influence public decision making in a society as pluralistic as ours. Disinterested public policy research is one of those forces—but the path along which it affects decision making is so tortuous that the trail usually becomes difficult or impossible to follow. Diligent investigation would assuredly uncover a few cases in which the causal nexus between study and decision is direct and unambiguous; but these would clearly be in a small minority.

"More characteristically, the findings of policy research are transmitted along the complex network of persons and institutions by whose interactions decisions are ultimately made. Linked together in this communications network are legislators and their staffs; policy makers and policy advisers at all levels of government; reporters, editors, columnists, and editorial writers in print and electronic communications; scholars in and out of universities; and opinion leaders in business and the professions.

"A weak impulse fed into this network—that is, a set of ideas judged deficient in validity, or timeliness, or clarity, or practicality—will expire quickly and quietly. If a study scores high on these criteria, however, the ideas will fan out through the network and stimulate new crosscurrents of comment and criticisms; they will provoke new analytical efforts; and they will be joined with related ideas and recast in a different mold. In the end, the initiative may be decisive in inspiring an important policy decision, but it will have been strained through so many filters and combined with so many other ingredients that the causal chain may be untraceable.

"Ultimately, then, a faith grounded in an understanding of the process must be the main support of the conviction that policy research serves a useful public purpose. In the case of Brookings, this faith does not stand wholly without evidential support: there is reassuring testimony from persons at strategic points in the policy network that particular Brookings studies have influenced the course of debate; there is a good deal of evidence that such persons give heed to the findings of Brookings studies; and there are occasional assessments of the Brookings role by disinterested outsiders who find that the impact of our work is substantial.

"But none of this is conclusive. Our sense that we are engaged in a useful enterprise arises from the conviction that policy studies by an independent staff of highly qualified specialists—if they are timely, disinterested, and conducted in a setting close enough to the center of decision making to enable the author to distinguish the attainable from the visionary—stand a good chance of turning the course of policy thinking in a desirable direction. This is the implicit purpose and justification for the work"...[of an institution of this kind].

Scope of Survey

For comparative purposes the {survey encompassed four countries in Asia and five countries in Latin America. } The original plan called for surveys in two countries each in Asia, Latin America and Africa. The African surveys were cancelled by agreement when it became evident that an entry visa for Nigeria could not be obtained in time to permit completion of the project on schedule.

Selection of the countries visited was made by A.I.D. after consultation with members of the Brookings staff involved in the survey. Major criteria used in making selections were: (1) recipients of U.S. assistance; (2) size and importance; (3) receptiveness of the survey based upon U.S. mission appraisal of current political conditions and

prospects and special projects now under way; and (4) special pleading by some of the smaller country missions because of special circumstances.

Korea, Pakistan, the Philippines and Nepal were selected for surveys in Asia. Nepal was included under the last criteria, a special request from our mission to review the status and effectiveness of a small social and economic research institution which is receiving support and assistance from the Ford Foundation and from A.I.D.

Brazil, Colombia, Bolivia, Costa Rica and Guatemala were visited in Latin America. The latter two countries were included in the survey in response to special requests from the A.I.D. missions and also to permit a sampling of the possibilities of encouraging a regional institution for policy research and education. Bolivia was included in the project because of a special A.I.D. mission request to review the operations of a growing public administration training institute and because it could be easily included in the Latin American itinerary.

To have a fully complete picture of the prospects for policy research and education institutions in developing countries the project also called for an assessment of technical assistance capabilities of selected American and international institutions and an assessment of the prospects for financial support for developing institutions from private and international sources in cases where official U.S. government support would not be desirable or acceptable.

The results of this portion of the survey are treated separately in Part III and Appendix A.

Criteria

Each of the surveys overseas included extensive interviews with leaders in all or some of the following segments of society: government, business, academia, labor and civic groups. Limitations on coverage in any of these groups was dictated by local political conditions, availability, interest and responsiveness of representatives in these groups, and degree of political sensitivity aroused by the subject of the survey as estimated by officials of U.S. missions.

The following factors and indicators were pursued and assessed during these inquiries:

1. The acceptability among local elite of an organization designed to encourage neutral (and by implication perhaps critical) assessments of government policies;
2. Attitudes of public and private leaders toward an institution designed to disseminate information on possibly controversial issues of public policy;
3. The possibility of local support for such an institution, especially the availability of nongovernmental funds;
4. The amount of outside financial support, if any, that would be needed to supplement local funds for such an institution;
5. The nature and scope of technical assistance that would have to be provided by an outside institution;

6. The length of time such assistance would be needed before the institution is able to stand on its own, professionally and administratively;

7. The identification of priority problems which need analysis and the degree to which there is local consensus on their importance;

8. The capacity of existing local educational and research institutions to address priority national problems and their willingness to collaborate with and assist a new institution, including the nature and extent of any relationships which might be established.

Models

The ideal model implicit in the criteria used for judgment in the survey would be a financially and intellectually independent institution, located in a free society, where the scholar's pursuit of free inquiry into public problems is protected, and where his findings and those of other scholars are made the subject of conferences for leaders in society who make and influence public policy. But the ideal is hard to come by even in the western democratic world. In most of the developing countries included in the survey one or more of the following keystones of a free society are seriously compromised by reason of culture and political tradition as in Latin America, or by reason of recency in the achievement of independence from colonial rule: free speech and press, right to habeas corpus, free association in parties and groups, free elections, independent and impartial courts, accountable executive and free private

enterprise and property. Moreover the possibility of providing a policy research and education institution with an important measure of financial independence, free from reliance on governmental appropriations, is not present.

It was necessary, therefore, to seek possibilities and conditions which, despite compromise with the model, gave promise that some of the most pressing public problems could be attacked through free inquiry and dissemination of information and public discussion. For instance, in many of the countries it would be perfectly acceptable to conduct research and education on a range of economic problems such as taxation and finance, foreign trade, investment potential and resource development, etc., while inquiry into certain social and political problems would be taboo such as population control and family planning, income distribution, political processes and government organization and the role of religion and the church in development. Taking an optimistic view, it seems wise to encourage the development of a policy research and education institution in the hope that high quality and useful work on a limited number of pressing public problems may lead to acceptance of research on the more sensitive problems as the prestige of the institution develops.

Limitations

Scope of the feasibility survey (nine countries plus nearly two dozen domestic institutions) and time available (three-quarters of a man year)

made it necessary to be highly selective of those to be interviewed, and required a heavy reliance on perception and "feel" for subjective judgments on the part of the two members of the Brookings staff who conducted the survey. Time did not permit the accumulation and analysis of large amounts of measurable objective data. Moreover, it was felt that spending more time asking questions about a proposed public policy institute might be misunderstood.

The schedule called for an average length of stay of about seven days in the countries surveyed. In the largest country (Brazil) ten days were spent and in some of the smaller countries three to four days were assigned. Number of people interviewed in each country ranged from 12 to 15 in the smaller countries up to approximately 50 in Brazil and Pakistan. An attempt was made to talk with a representative cross section of the society - government, business, labor, education and civic leaders. Prior to departure for each of the countries care was exercised to identify from a number of sources a list of leading citizens to be interviewed. Where it was impossible to develop an extensive list in advance, heavy reliance was placed on advice from U.S. country missions. This advice was extremely helpful.

In at least two of the major countries, Brazil and Pakistan, it was not possible to sample the viewpoints of an adequate number of government officials. In both cases political conditions were sensitive and our missions advised caution in pursuing this sector in depth at this time.

Lists of the individuals interviewed in both the foreign and domestic segments of the survey are found in Appendix B.

Organization of the Report

This report is organized in three main parts: Scope and Purpose of Survey (Part I); Country Surveys (Part II); and Technical Assistance Potential of U.S. Institutions (Part III). Two appendices are included:

(A) Detailed Description and Summary of Surveys of Domestic Institutions, and (B) Lists of Interviewees in Foreign Countries and in U.S. institutions.

Survey Team

(Mr. James M. Mitchell, Director of the Advanced Study Program, and Mr. Fordyce W. Luikart, Senior Staff Member, the Brookings Institution, composed the survey team.)

The interpretations and conclusions expressed in this report are those of the survey team solely and do not purport to represent the views of other staff members, officers, or trustees of the Brookings Institution.

PART II

COUNTRY SURVEYS

Introduction and Summary

LATIN AMERICA

- Brazil
- Colombia
- Bolivia
- Costa Rica - Guatemala -
Central America

ASIA

- Korea
- The Philippines
- Pakistan
- Nepal

Introduction and Summary

Country Surveys

In three of the nine countries included in this survey the prospects for public policy institution development programs are hopeful. Korea is unique in that major steps have already been taken to establish a public policy institution. The U.S. mission to Korea and the Korean government have agreed to earmark a sizeable block of counterpart funds as endowment capital for the new Korean Development Institute. The Korean Legislative Assembly has officially endorsed the establishment of the institution. A remaining need is to arrange for outside technical assistance in formulating institutional policy and procedures and in designing research projects and educational programs. The early emphasis will be on research into economic problems because there is general acceptance of this need in a growing free enterprise system. The major challenge will be to undertake inquiry and education in social and political problems. Some issues in these areas are sensitive and are surrounded with certain strictures imposed by a strong authoritarian central government.

In Colombia and the Philippines hopeful but not certain signs are discovered for the development of public policy institutions. American assistance for institutions of this sort must be kept at low profile due to local sensitivity about past and present real and alleged American

encroachment in economics and political affairs. Nevertheless the U.S. A.I.D. missions in each of these countries can lend encouragement to private and public sources where interest has been registered in developing a public policy institution. In each of these countries a few reputable people in the private sector (Colombia) or in both the public and private sectors (Philippines) expressed serious interest in the concept of an institution devoted to independent research and education in public policy. Beyond that their estimates were that private funds could be raised to provide major support for such an institution. With outside help the local social science talent in both countries is adequate to make a beginning and performance of quality could be expected. Delicate relations with the governments in each of these countries would be required to obtain approval of the idea and possibly some official financial support. A.I.D.'s role can be one of encouragement and technical advice without heavy involvement in financial support. American technical assistance might be sought by the local institutions and might be supported by a grant from an American foundation or an international body.

The prospects in Pakistan are pretty well sealed in the current troubles in East Pakistan. At the time of this survey in October 1970 some people entertained expectations that the Constituent Assembly would convene and resolve the East-West issue in the governance of that state. Following that there seemed to be the possibility that public policy research

institutions might be fostered in both West Pakistan and East Pakistan. Social science talent of good caliber is available and, with some outside technical assistance help, useful policy research and education could be produced. On the financial side, the availability of counterpart funds would make the funding of such institutions possible. But, the thread of hope for institutional development along these lines has been cut for the time being with the upheaval in East Pakistan.

The time is not ripe for extensive bilateral technical assistance from the United States in behalf of policy research and education in Nepal. Local social science resources are limited and there is little evidence of sufficient local financial support available for this purpose. An overriding consideration, too, is a generally restricted atmosphere for social science research and education. Nepal is still pretty much a closed society run by an oligarchy of first families surrounding the King. Activities which are critical of government policies are subject to suppressive action.

In the countries visited in South and Central America, outside of Colombia, the case for encouraging institutional development in policy research is weak if not bleak. Costa Rica presents a favorable political climate for free inquiry and public discussion of issues, but its commitment to public policy research and education is limited as against other priorities and, without strong commitment, financial support for the idea would be inadequate. Outside support would have to be forthcoming for a considerable length of time.

Guatemala seems to lack commitment to serious rational inquiry and study of public problems. The society seems to be made up of position-oriented sectors on social and political questions not encouraging to objective inquiry and rational discussion of issues. Government and business mistrust each other and both look with considerable misgivings on the academic community as a source of strength for problem solving analysis.

A regional approach to public policy research and education would seem to be ideal for the geographically close, and economically and socially related Central American countries. But, national pride and conflict prevent any serious attempt at regional cooperation on most policy matters. The Central American Common Market arrangement stands out as the best example of regional cooperation on some economic matters but current reports indicate that there are more than minor difficulties now in achieving full potential. A glimmer of hope for a regional public policy institution resides in the Central American Institute of Business Administration (INCAE) located in Managua, Nicaragua. Originally funded by A.I.D. and given technical assistance support by the Harvard School of Business, this organization is now an ongoing nearly self-supporting regional educational institution devoted to training in business administration. Region-wide support and regional private sector reliance on the institution for business management training are accepted facts. The issue is: whether public policy research and education with a regional

orientation could be developed with this institution as a base? A Harvard staff member who has been intimately connected with the project from the beginning is enthusiastic about the idea. Further inquiry in Central America in both the private and public sectors would be necessary to ascertain the amount and source of support, if any, that would be forthcoming for such a program.

Events which have occurred since early November in Bolivia confirm the findings made in August that neutral public policy research and education cannot thrive here. The small effort in this direction, the Bolivian Institute for Research and Social Action founded by the Dominican Order, was wiped out by the forceful turnover in government in November. Undoubtedly no other institution which would be committed to research and study of governmental social and economic policies and might result in critical analysis would be permitted to exist even if established with local funds. Any official "Gringo" support would probably not be tolerated.

Brazil, the largest of all the countries visited and one with great development potential, presents a complex and discouraging picture from the standpoint of this study. The need and the opportunity for fruitful policy research and education are tremendous as Brazil moves headlong into modernization with all the economic planning requirements and social tensions connected with that thrust. Yet the political climate is very restrictive in respect to neutral analysis of many social and economic problems and very discouraging as to the part that American bilateral aid

might play in building an institution or institutions for this purpose. In broad generalization it appears that the time is not appropriate for the United States to do anything directly in behalf of building institutions devoted to analysis of public policy issues. The best alternative would seem to be to support the upgrading of local graduate programs in the social sciences with the long range prospect of developing a reserve of people with professional skills who may be able to make important contributions to public policy formulation when the regime begins to be less restrictive.

More detailed analysis and support for these summary conclusions are contained in the country survey reports which follow.

L A T I N
A M E R I C A

REPORT ON BRAZIL

Visited by F. W. Luikart
August 1-13, 1970

"Size," "complexity," "uniqueness," and "potential" have become banal descriptive terms used to portray Brazil and its development problems and potential. Yet the aptness of these terms and the accuracy of the image described contributes to ambivalence of an observer in Brazil who is trying to assess the feasibility and the practicality of encouraging, through A.I.D., the development of an independent center (or centers) for research and study dealing with issues of public policy.

On the one hand Brazil is faced with myriad problems of planning and executing economic and social development. The need for neutral and dispassionate research and study regarding its development problems is great. The need is also recognized and admitted by many leaders of thought in Brazil. But the political climate is not conducive to the encouragement of such an institution now, especially by the United States.

U. S. interest in Brazil's development is natural and compelling because of proximity and size. Brazil represents the fifth largest nation of the world with a population estimated to be over 90 million. Frequently referred to as the "colossus of the South," Brazil presents a picture of tremendous diversity, untapped potential and a complex, if not unique, pattern of cultural and social relationships and historic themes.

Larger than the United States before the admission of Alaska and Hawaii, Brazil occupies nearly half of South America and borders on all

but two of the other ten republics. It has extreme variations in climate, incredibly diverse vegetation and natural resources that are impressive by any standard. It has a common language and an apparent sense of destiny. It is the only Portuguese speaking country in the American continents. "Great diversity, untapped potential, and disadvantageous natural communications are the outstanding features of the Brazilian land. Geography provides at least part of the answer to those who ask why most of the country's population is still, after over four centuries of settlement, to be found within two or three hundred miles of the coast."^{1/} There is a great disparity of patterns of cultural and economic development among the diverse geographic regions of Brazil. In essence it can be said that one can find 20th century cultural and economic development in the urban centers living along side 18th century development in many of the rural regions.

Demographically, Brazil's population is a meld of many ethnic and racial groups so that one is impressed with the variety of shades of color and physical features found in the Brazilians. Portuguese colonization and domination beginning in the sixteenth century has determined the predominant ethnic and cultural characteristics. However, gradual assimilation of the native Indians, the introduction of Negro slaves and the flow of immigrants from Italy, Spain, Germany and Russia plus the

^{1/} "A Note on Brazil," by James W. Rowe, American Universities Field Staff, East Coast South America Series, 1967.

arrival of some 200,000 Japanese in this century make it difficult to speak with precision about the racial and ethnic composition of today's population.

While it is foolhardy to generalize about Brazilian traits and character, there are at least three themes in political and social relationships and outlook that are significant in relation to the purpose of this study. Each of these is identified carefully in James W. Rowe's "A Note on Brazil" referred to previously. One feature, evident at least until the post-1964 period, was the lack of violence and upheaval and the presence of conciliation, compromise, and civility in Brazil's political "revolutions." Little or no violence was involved in expelling the Portuguese authorities after the declaration of independence in the early 19th century. Over sixty years later the Brazilian monarchy itself was overthrown by a military coup -- but without fighting. In 1945 Getulio Vargas was eased from power without struggle. Other political crises in 1954, 1955 and 1961 were weathered without violent confrontation. Again in 1964 when political polarization threatened mass action the military-civil revolt overthrew President Joao Goulart in the tradition of little violence.

Another feature in Brazilian life described "is the oscillation of opinion between national self-deprecation and self-confidence regarding Brazilian capabilities." ^{2/} At the moment psychological nationalism is

2/ Ibid.

on the rise. The climate of development is one of surging confidence, dynamic and pragmatic. One gets the impression that Brazilians believe that they are on the move as a nation; uncontrolled forces for development are at work; and that development is inevitable. In essence, the climate is dynamic and pragmatic.

A final feature of Brazilian life and history apropos this survey is the limited veneer of "democracy" in the political processes. James Rowe has described the political scene aptly as follows: "Thus although the Brazilian system of 1946-1964 contrived many legal, institutional (and often meaningful) appurtenances of Western Democracy, it would be more accurate to term it limited democracy -- pluralistic and increasingly open, but neither very representative nor competitive, due to the pervasive patron-client system in society and politics and the amorphousness of political alliances and programs." ^{3/}

Current Political Climate: It is frequently heard that this is a government devoted to the purpose, among others, of cleansing the society of "impurities" that developed under past "democratic" governments. High government sources are closed to easy access by an outsider, especially American, and this is one of the limitations on this survey. The excuse given frequently is that those in the seats of power, the ministers and those who immediately surround the President, are hard

^{3/} Ibid.

to see because they maintain split schedules between Brasilia and Rio, and the schedule in Rio is uncertain because of crisis demands for the minister's time in Brasilia. The impression is created that few American officials deal infrequently with the power centers in the government, and that most of A.I.D.'s contacts are with the working technical levels. This is evidence of the tenuous nature of the American presence in Brazil, and indicative in itself of the lack of possibility of American involvement in encouraging the development of an institution devoted to free inquiry and education on public issues.

The current regime, therefore, looks upon itself as the cleansing agent to rid the system of "impurities" in the value system which have developed under civilian leadership in the past. In contrast with past military regimes which played a tutelary role for a temporary period to achieve balance and stability in troubled times, this regime has already been in power for seven years. Civilian political leaders with experience have been neutralized by the denial of political rights for ten years. The old political parties are in shambles. The question, which some say troubles factions of the military leadership, is: how and when can transfer of authority be made from military to civilian leadership?

In this "cleansing" process major tenets of a free society have been abrogated. Habeas corpus has been suspended. The press operates under sporadic censorship. Free assembly and free association of people in common interest groups is denied under these conditions -- it is

obvious that a truly independent and neutral policy research and educational institution cannot flourish.

Existing Institutions: There now exist social science research institutions which hold some hope for future policy research and education activities. They are not free now to address some of the most pressing public problems in the social and political arena. They must always keep an eye on and avoid attacking that which is sensitive such as family planning, population control, income distribution, centralization vs. decentralization of governmental functions, civil liberties, to mention a few. Yet, in spite of the restrictive climate, some social science research goes on.

Perhaps the most prestigious of these institutions is the Getulio Vargas Foundation which was founded in 1944. It has both public and private citizens on its board, but its principal source of income is provided by the Brazilian government. Its destiny has been guided since its origin by a distinguished and very practical and politically sensitive President in the person of Dr. Luiz Simões Lopes. Its major claim to fame has been economic research and the development of economic indicators in its price and cost of living indexes. These indexes have been accepted officially as a basis for policy-making in spite of the fact that on occasions they have been attacked as biased by both government and labor. Best evidence available indicates that rarely has there been any substance to charges that the indexes have been skewed to suit the convenience of political leaders or pressure groups.

But in the opinion of a number of people the Vargas Foundation is in "wretched shape," having lost its research momentum and is now quite bureaucratic and stodgy. Other than the indexes very little of value is being done in economic research. The former able head of the Foundation's economic research bureau admits frankly that it would be very difficult at this stage in Brazilian development to foster an independent institute which would be able to conduct neutral analysis on many of the pressing problems facing Brazil.

The Ford Foundation program in support of Vargas Foundation activities is gradually being phased out because of disenchantment with Vargas leadership and the lack of vital thrust in the Vargas program. A review of the Ford Foundation's program in Brazil reveals this clearly. The Ford Foundation representative is hopeful that in cooperation with A.I.D. and the Vargas Foundation there will be a review of the Foundation's goals and programs conducted by a group of outside experts. Unless and until this is done and new directions are charted, Ford Foundation will probably permit current program grants to Vargas to expire without renewal. The United Nations Development Program representative capsulized the criticism of Vargas' current direction in two counts:

1. Today it is more devoted to training (especially training in public administration) than to social science research, thereby depriving itself of mature research as a base for effective training; and
2. It has spread itself over many activities rather than confining

its efforts and deepening its research.

The Brazilian Institute of Municipal Administration is another institution to be considered in the building of policy research and educational institutions in Brazil. Some consider it the strongest institution for training and consultation in municipal administration in Latin America. It has received support from A.I.D. and from the Ford Foundation for physical facilities and for the development of a local government research center. A.I.D.'s relationships with IBAM are indicative of the political climate and the deep suspicion of American influence. A.I.D. has confined its support primarily to the construction of new buildings and has judiciously tried to avoid any image of trying to influence programs.

The principal focus of this institution is on municipal administration, the training of local officials in facets of administration and the rendering of consultative services on administrative problems. It is only beginning some research in administration. Furthermore, it is not prepared by way of staff competence or inclination to address public policy issues even as limited as the relative merits of centralization and decentralization of governing authority. Its vigorous and able director, Diogo Lordello de Mello, is fully aware of the sensitivity of the current regime to criticism on matters of organization or political process. The Institution is supported by government funds, and therefore de Mello steers a non-controversial course which emphasizes the methods and techniques of administration.

Another social science institution in Rio that holds some hope for future policy research and education is the University Institute for Research of Rio de Janeiro headed by competent scholar and good promoter in the person of Dr. Candido Mendes. This is a recognized academic institution accredited by the Federal Education Council. In effect it is a small university devoted to accounting and business administration and some social science research and training. It is an interesting example of an academic institution in Brazil which receives private support through gifts made to a foundation set up for that purpose. It also receives support from federal and state governments, from Ford Foundation and from contracts.

Some interesting social science research underway at this institution at the moment has to do with ascertaining attitudes in the private sector on the matter of supporting research and education, and attitudes of various sectors of society -- lawyers, bankers, foreign entrepreneurs, and top government officials toward development. A further project, now in the planning stage, is to review and evaluate the impact of transportation on development.

This institution also exhibits caution in the selection of subjects for research so as not to arouse the sensitivities of government leaders. Officials here also express concern about the lack of a sufficient number of highly trained social scientists, especially political scientists and sociologists, to meet research needs. They reaffirm sentiment expressed

consistently in the Brazilian academic community that there is a need for outside technical assistance to upgrade the qualifications of social and political scientists in Brazil.

CEBRAP: One of the most interesting and impressive academic institutions is found in São Paulo. The Brazilian Center for Analysis and Planning is of recent origin and in effect is an outgrowth of dismissals of some faculty members from São Paulo University. It is composed of approximately a dozen social scientists, half of whom were dismissed from the University for acts inimical to the public interest. Precariously the Ford Foundation is lending support to this group and so far there have been no repercussions of note. Any official U. S. support for this organization would not be advisable.

CEBRAP achieves a measure of local respectability because some of its members are still on the faculty at the University. The organization is conducting work for the state government of São Paulo in planning for metropolitan government. Research and publication by this group have not been officially restricted, but the members of the group frankly admit that they are judicious in the choice of research areas. With some humor they explained why they thought that they had greater freedom to do research and to publish than to teach for the reason that the spoken word is feared more than the written word. Police are present on the campus of the University of São Paulo and observe activities in the classroom. The CEBRAP members are barred from teaching.

Another São Paulo research institution receiving support from Ford and others is the Economic Research Institute of the University of São Paulo. According to the chief of the technical assistance team from Vanderbilt University at the institute, its greatest need is to upgrade the quality of the local economists.

Institutional Support: Even if the political climate were right for free research and education on public policy issues, there would still remain the problem of insuring independent financial support for such an institution. In spite of provisions for credits and exemptions in the tax laws for contributions made to educational and philanthropic organizations, there is very little tradition in Brazil about private support of education. With its twenty-seven reputable years in higher education and research the prestigious Vargas Foundation is still dependent almost wholly on government support. The University Institute for Research of Rio (Candido Mendes) is receiving some support from private donations, but fundamentally the institution is dependent for survival on government appropriations, contracts, and Ford Foundation grants.

Compounding the problem regarding independent status is the fact that Brazil does not have the established tradition found in other Latin American countries of the semi-autonomous status for state universities. Under the current regime further inroads are made on academic freedom through direct threats, surveillance and intervention by the government.

Nor at this stage in Brazilian development is there much hope to

be found among American business interests for support for a policy research institution even if such support were acceptable. American private interests do contribute to education for the development of engineers and managers. But, as one American business man put it: "The problem here is not one of problem identification; it is the development of know-how to solve problems that is needed."

Research and Education Capabilities: Even though one meets a number of impressive social scientists in Brazil there is evidently no depth of talent considering the size of the country and the scope and depth of the problems to be addressed. Consistently the plea in the Brazilian academic community is for more technical assistance in the training and development of Brazilian social scientists. Without exception all people queried in the academic community agreed that outside technical assistance would be needed to develop an effective policy research and education institution. Assistance would be needed in two areas: research and education methodology and the development of more Brazilians who possess professional competence in the social sciences. One source remarked that the diffusion of talent was serious. Therefore there ought to be some effort made first to coordinate the research efforts of a number of institutions in Rio and São Paulo. Furthermore, the major need is to develop a larger pool of well-trained social scientists.

Recognizing this need and acknowledging that the current political climate does not lend itself to encouraging institutional growth in neutral

policy analysis, the Ford Foundation in Brazil has turned its main efforts in the social sciences to the development of social science research skills. It has or is phasing out institutional support for the Getulio Vargas Foundation because of reservations about the quality of work and vigor in its leadership. The main thrust of the current Ford program is in the direction of developing social science research skills in people who may utilize them in analysis today on noncontroversial public problems and may be prepared to address the more controversial public problems when the political climate improves.

Hence Ford grants to the University Institute for Research of Rio, the Post Graduate Program in Social Anthropology at the National Museum, University of Rio, and the Institute of Economic Research (IPE), University of São Paulo, plus grants made to academic institutions in some of the other Brazilian states are for the development of graduate programs and for the development of research and training materials.

Summary and Recommendations: The reality in Brazil at this moment in history is the presence of a driving push toward national self-respect and economic development. It is a pragmatic atmosphere of "doing" not "analyzing and contemplating." The horse is galloping and one had better ride him the way he is going or be thrown.

Coupled with this dynamic development climate is a system of governance dominated by the military and devoted to the purpose of cleansing the society of democratic impurities which became embedded

in the society under past civilian leadership. So the story goes, the former concerns about the preservation of civil liberties and the encouragement of popular participation in government and in the fruits of economic growth seriously blunted the realization of national self-confidence and Brazil's potential for economic development.

As one knowledgeable student of Brazil puts it: "The climate for American activity, whether research or action programs in education, the social sciences, welfare and manpower planning in Brazil is, then, distinctly unfavorable."^{4/} Some institutions for social science research and education exist. But, they are not free to address some of the most pressing public policy problems. A further complicating factor is the sense of impending doom current among leading scientists resulting from the forced withdrawal of leading academics from some of the universities. Above all, this is clearly not a time for continuing educational work among leaders on sensitive public policy issues. While some research and publication on sensitive issues may be condoned, public discussion of sensitive issues in open forum is not possible under current leadership either out of fear or indifference.

On the basis of these observations the following recommendations

^{4/} "Political Participation in Brazil," by George Little, an analysis of the current situation in Brazil, prepared in September 1969 for the International Development Fund.

are made:

1. That no overt American attempt be made at this time to encourage the development per se of a policy research and education institution in Brazil;

2. That the best hope at the moment is to provide continuing support to existing institutions for the development of graduate programs in social science research and training in the hope that at some future date the manpower developed now may be available for programs of free inquiry and education on public policy issues;

3. That A.I.D. continue to support as much as it can the program of the Institute of Municipal Administration (IBAM) as one of the more efficient functioning institutions today and a hope for the future. Although it limits its scope to training and research in municipal administration, it does emphasize broad social science techniques and may be the key to a broader policy research and education in the future.

REPORT ON COLOMBIA

Visited by James M. Mitchell
October 31 - November 6, 1970

Policy makers in the development assistance area have been sanguine for some time about Colombia's potential for development. Consequently, the United States has invested a considerable amount of funds and technical assistance effort in this country to speed the process of modernization. For Colombia seems to have much going for it in terms of its material and human resources and a recent history of political stability.

By reason of geography and topography Colombia has a bewildering range of potential exports, but its trade has been largely confined to a narrow range of items because it has not fully exploited its potential. Its coffee is well-received in the world markets, especially in the United States; it is also an exporter of good quality sugar, rubber, bananas and tobacco. It also has a great deal of unused arable land.

In minerals Colombia stands third in Latin America in petroleum exports. It possesses one of the largest supplies of platinum, a world renowned resource in emeralds, a notable supply of gold and an abundant amount of acceptable quality coal. With these elements Colombia has quite naturally been a desirable target of our development efforts.

Political Climate: Among countries on the South American continent it is asserted by some that Colombia is unique politically because of its history of two party government dating back to the latter part of the

nineteenth century. Accommodation between liberal and conservative parties over this span has provided a degree of surface political stability, but one cannot overlook what is referred to as la violencia between 1948 and early 1960. It is claimed that some 100,000 - 200,000 Colombians were slain during that period in the liberal - conservative feud.

During the past year quadrennial national elections were held. The results were close, Rojas Pinella and his daughter, considered extremists by many, made a substantial showing, and for a short time it appeared that orderly transition in government might be denied. But the crisis was passed without serious violence or unconstitutional acts.

The observation of some Colombians is that the country now has four more years of grace; but the future after four years is a large questions mark. Therefore, the development of institutional arrangements for the independent analysis of public problems and policy alternatives is badly needed and should be done promptly.

Colombia is a society with a sophisticated elite who are vigorous and able. Considerable concern, however, was expressed by leaders in Colombian society during this survey about the present lack of public policy analysis, and about the great need for it at the earliest possible time. Anti-Americanism is not prevalent except from the far left, so that it seems possible that American efforts and assistance, if kept at low profile, could be acceptable in efforts to develop an institution devoted to neutral analysis and education on public policy issues.

Support: There is also some evidence that private support for a policy research and education institution is possible to achieve. Two responsible representatives from the private sector, one in Medellin and one in Bogotá, expressed enthusiasm for the idea of a policy research and education institution, and indicated their intention to seek other private support for the idea. In their opinion if the right key is struck Colombian business interests can be attracted to support such an institution.

Some additional financial support would probably be needed at the start and this might have to be supplied by non-Colombian sources. Acceptable sources for this financing are: American business interests operating in Colombia, if contributions were made available after Colombian private interests had committed themselves; the United Nations Development Program and private American and foreign foundations. Direct U.S. government support for the project should be low profile, but U.S. support would clearly be acceptable if provided through a third party such as a U.S. research and educational institution.

To insure success a new policy research and education institution should have a solid financial base for the first five years. It is estimated that between \$100,000 - \$200,000 would be needed annually to provide a modest beginning. This would provide support for a professional staff at all levels of approximately 15 - 20 people, plus supporting staff, supplies and equipment and space. The estimate for professional staff is based upon a suggested minimum of \$300 a month salary for a full

professional researcher or educator which would probably attract the best available.

Available Talent and Technical Assistance Required: While it is said that there are quite a number of able social scientists available in Colombia, it is also the considered judgment of those interviewed that outside technical assistance for the new institution would be highly desirable for the first five years. The major thrust of this technical assistance should be in the direction of assisting the institution in the development of over-all policy so as to insure its neutrality and quality, and in the design and execution of research projects and educational programs.

The consensus is that in order to achieve the desired reputation and status it would be wise to create a new institution. There are a number of higher educational institutions in Colombia. These are of varying quality, however, and serious question arises as to whether any single one of them is adequately prepared in attitude, resources, and talent to develop a viable and reputable policy research and education program. The National University is known to be of partisan left orientation. The University of the Andes is an elite private institution not prepared at present in scope, nor in talent available or in inclination to provide leadership in policy research and education.

The Institute Colombiano de Administration (Incolda) presents a possibility in the policy education area but not research at the moment.

It enjoys a good reputation for its middle management training programs. It concentrates heavily on sensitivity training. With a staff of eighty and six centers of activity it receives good support from its members in the business community. Its emphasis, however, is on management techniques and not on the "what" of policy-making. The School of Business and Finance in Medellín and FICTEC, a new independent technical institute to assist small and medium size business firms in the application of new technologies, are not policy-oriented but are examples of private initiative in the educational area.

If the advantages of policy research and education are sold properly, and if the right sources of influence in the private sector are approached on this matter, it is entirely possible that a new institution could be created and would be well-received. Of great importance is the need to move early in terms of the current governmental regime so that some impact may be had on public policy before the next national elections.

Conclusions and Recommendations: There are hopeful but not certain signs in Colombia that the founding of an independent public policy research and education institution is feasible. Among some public and private leaders there is an admission of great need for such an institution, some evidence of understanding on their part of the concept of independent analysis and expression of willingness on the part of some to initiate efforts to bring such an institution into being. The underlying threat to the political stability of the country is probably the most discouraging factor.

Hopes for establishing a public policy institution in Colombia should not be inflated. But encouragement and advice should be proffered to Mr. Alberto Vasquez, a Medellin industrialist and a founder of the School of Business and Financial Management in Medellin, and Mr. Antonio Copello of the National Association of Industry (ANDI), Bogotá, formerly with the World Bank, each of whom expressed a desire to move forward with the creation of such an institution. Recent correspondence with Messrs. Copello and Vasquez reveals a continuing interest in this matter.

Recommendations:

1. U.S. A.I.D./Colombia should follow-up with the Colombian gentlemen named above to offer assistance and advice as appropriate.

2. If, as suggested, an organizing committee is created to formulate organization plans and to initiate steps to bring the institution into being, it should include prominent liberals and conservatives from business, government and the academic world.

3. A.I.D./Colombia should maintain a low profile in this venture, but it should be known to an organizing group that A.I.D. is willing to offer advice in the formation of the institution and to provide technical assistance to the new institution when and if desired. This technical assistance might be direct if acceptable, or it might better take the form of a grant of money to a United States institution which would be prepared to pursue a five year relationship with the new institution. The relationship should be one of assistance in the development of institutional policy, the design of research

projects and education programs, and training in research methodology and educational techniques.

4. Assuming that local capital is raised to cover the annual local costs of the institution, technical assistance support in the amount of \$75,000 to \$100,000 a year for five years should be provided, preferably by a private foundation or by A.I.D. in the form of a grant to an American institution, to cover the costs of 1 1/2 man years of high quality professional assistance, travel expenses, educational exchange costs and overhead.

REPORT ON BOLIVIA

Visited by F. W. Luikart
August 13-18, 1970

As one reputable private Bolivian banker put it: "The time is not ripe here for a neutral policy research and education institution." The speaker was familiar with the Brookings Institution and its work, having been a guest at the Institution some years ago. This judgment was echoed almost universally by other Bolivian and American officials as well as by representatives of international organizations in Bolivia.

At the first meeting with U.S. A.I.D./Bolivia mission officials the nature and scope of this feasibility survey were fully explained. With apology the mission officials acknowledged that they had misinterpreted the background information contained in the cables about this project. They had understood the survey project to be concerned primarily with the feasibility of encouraging institutions for research and training in public administration. There is an established public administration institution in Bolivia known as the Superior Institute of Public Administration (SIPA). With some technical assistance from A.I.D. this institute has some modest training accomplishments to show during its short history. Moreover, the institution has recently been assigned a major task by the Bolivian government, that of planning for the implementation of the recently adopted Comprehensive Administrative Reform Act. The institution's director has been selected recently to be the undersecretary

of the Ministry of Planning to direct this project.

Notwithstanding the misinterpretation as to the purpose of this survey project, the A.I.D. mission director and his colleagues thought it worthwhile to proceed with the survey during the four days allotted. An objective opinion which would confirm or deny their own judgments would be helpful. Some time spent at the Institute of Administration would allow judgment to be rendered as to its potential for an enlarged role in public policy work. It was also thought to be advisable to give special attention to the program and experience of the Bolivian Institute for Research and Social Action (IBEAS) since this institution more nearly represented public policy-oriented work envisaged in connection with this survey.

As indicated, the survey in Bolivia revealed a uniform pessimistic appraisal of possibilities for encouraging at this time an institution devoted to research and education on public policy issues. The grounds for this appraisal may be summarized in the following four significant conditions found in the Bolivian society:

1. the overwhelming predominance of government (the public sector), and its characteristics which put severe limits on independent analysis of policy;
2. extreme sensitivity and antagonism to United States involvement in any venture that would appear to influence public policy;
3. lack of understanding of the role that a neutral research and

education institution can play in improving public policy choices;

4. limited material and human resources, balanced against other urgent priorities, to support such an institution.

Political Climate: That the political climate in Bolivia is extremely unstable is indicated by the double coup which took place in a period of three or four days in early November. As one knowledgeable observer put it, "Bolivia is at a stage of finding a scapegoat for its troubles." The natural scapegoat is composed of the "imperialists" from the North. The nationalization of Gulf Oil interests in Bolivia has brought on an orgy of nationalism. The President has emphasized the fact that there is a special relationship between the United States and Latin America. It follows that we should show evidence of this special relationship in our relations with the component parts of Latin America. Hence, we maintain a significant presence in Bolivia even though anti-Americanism is strong in some quarters and our A.I.D. activities are severely restricted.

A special case that illustrates clearly the unstable political climate, discouraging for neutral research and education and antagonistic toward anything stamped U. S., is the tenuous status of the Bolivian Institute for Research and Social Action. This institute was founded in 1963 by American members of the Dominican Order to produce leaders for social change in Bolivia. Its principal functions have been: research and publication on a range of social problems; the provision of continuing education for leaders in social action groups; and counseling with social

action groups. At one stage the institute was acceptable enough to be invited to do a research project for the Bolivian government on unemployment in Bolivia. It has also conducted modest research projects on various aspects of social conditions in the rural provinces in Bolivia. It has received grants from the World Council of Churches, contracts from U. S. A.I.D. for studies, and private gifts from the United States.

At the time of this visit its continued existence was described as precarious. Concern was expressed as to how long the Institute could last as an independent establishment. It was being attacked by government elements as well as students on the left for receiving money from private church sources in the United States and for the alleged receipt of a large gift from Gulf Oil interests in Bolivia. Three months later, on November 17, 1970, the New York Times reported that the institute had been occupied by the students and the property and buildings had been expropriated by government decree. No report is made on the disposition of the forty-five Bolivian members of the staff.

In a word the political climate in Bolivia is not ripe for effective research, analysis, and education on public policy issues. More decisively, it can be said that even a glimmer of hope in this area would be completely wiped out if American money were used to support such an activity.

Understanding and Resources: Without belaboring the case two other elements mitigate against any effort at this time to encourage policy research and education. There is a lack of sophistication in Bolivia about

the role that a neutral center for policy analysis and education can play. A reputable Bolivian made this point and used the illustration of a recent effort. The Productivity Center for Development started out with considerable enthusiasm and private support. Within a year the private support disappeared and the institution is not presently active. In the opinion of this person the self-interest motivations of the private sector are so narrow that one could not hope to obtain private support for a public policy institution in five years or even ten years.

Finally, there would be the problem of staffing an institution. Best estimates are that it would take a considerable period of time to develop the research and education competence among Bolivians to convert a public policy institution into a truly local institution. Social science skills are scarce and modest in quality. According to the United Nations Development Program representative a whole generation of top-level professional people have migrated from Bolivia due to unstable political conditions. For twenty years the United Nations and the Organization of American States have been providing resources to train and upgrade professional people in Bolivia. Twenty-five percent of the United Nations program has been devoted to this cause. Yet it is difficult to trace where the people who have benefited by these programs are. Certainly a majority of them are not in Bolivia.

Recommendation: That A.I.D. not consider taking any steps to foster and encourage a public policy research and education institution in Bolivia.

REPORT ON CENTRAL AMERICA

Visited by F. W. Luikart
August 19-22, 1970

Costa Rica

Costa Rica is distinctive among Latin American countries and especially among the Central American group in a number of respects. Its population of approximately 2 million is composed almost entirely of people of European heritage, primarily Spanish; it has no native Indians; it is the second most rapidly growing economy in all of South America with a seven percent growth rate; its population growth rate is descending; and its income distribution is such that it is sometimes referred to as a "middle class" nation. In addition, it has a history of effective democracy since 1948.

Political Climate: The general political climate in Costa Rica is favorable for the conduct of independent research and education on public problems and public policy issues. Were it not for other factors, discussed later, one could be enthusiastic about encouraging and assisting an institution devoted to this purpose.

A strong, freely elected representative legislature prevails in Costa Rica. Free criticism of public policy and free association of people in common interest groups are protected rights. No military establishment is maintained, a unique feature among all nations and especially Latin American countries. Only five percent of the national budget is allotted

to the police function and there is a heavy dedication of the national resources to social, economic and educational services. In essence, Costa Rica can be described as a "gem" of a free society in a troubled area of the world.

There are significant reasons, however, why major effort and resources should not be expended by the United States directly to develop and nurture an independent policy research and education institution in Costa Rica. From a practical standpoint, Costa Rica due to size, location and importance in international affairs does not attract consuming individual attention. However, in a Central American regional context, an issue which is discussed later, it does loom more important.

Sources of Support: A major stumbling block to the development of a public policy institution in Costa Rica is the problem of obtaining local support. Major, if not complete, local support in the beginning would have to be obtained from the government. Costa Rica has a strong tradition of autonomous agencies such as the university, the electric power, water and social security agencies. Although created by government and in some instances receiving major support from government, these agencies are arranged legally and administratively so as to insulate them in a large degree from the vagaries of political influence. Nevertheless the initial decision to support an independent and critical policy research and education institution must be made in a political setting where the idea must vie with allocations to other priorities in a country with limited resources. The level of continued support would also have to be made in this same political setting

thereby impinging on the freedom of the institution in attacking critical problems.

Some measure of the importance attached to an institution of this sort as against other priorities is revealed in the response of one political leader. He understood the concept underlying such an institution and subscribed to the idea that it would be useful in Costa Rica; but he felt that government support would not go beyond \$20,000-\$25,000 a year. This represents between one eighth and one quarter of the annual income estimated to be required to support a modest institution in Costa Rica.

As far as could be ascertained, private sector support for an institution would be nil, especially in the beginning. There is little or no tradition of private giving for public educational efforts and it is estimated that it would take a number of years for an institution to develop a reputation that might attract such gifts. Similarly, support from American business interests in Costa Rica, if the decision is made solely by local United States representatives there, would be minuscule in comparison with need.

Adding to this dismal outlook is abundant evidence of mistrust between the business, government and academic communities. The private sector would look with jaundiced eye on the university if government support were thrown in that direction. The academic community would be suspicious of an institution supported solely by private interests, and so would government. And some segments of the business community would have serious reservations about the neutrality of any research and education institution which is solely supported by government.

Evidence of this latter attitude was clearly revealed in conversations with officers and members of the Board of Trustees of the National Association for Economic Development (ANFE). This is an organization composed of business and professional leaders who meet for educational purposes and publish articles and other materials, the general theme of which is opposition to governmental interference in private enterprise activities.

Finally, direct United States government support for a policy research and education institution for any extended period of time would understandably create some suspicion and mistrust unless there were ingenuous conditions provided in the support arrangements. In Costa Rica the United States is looked upon with generally high regard, in contrast to the unhidden anti-Americanism in many South American countries. But even this good will would be severely tested if United States support were necessary on a long-run basis. Best estimates are that to create an effective and competent organization, three quarters of the needed \$100,000-\$150,000 per year would have to come from the United States (or outside) and the support would have to be forthcoming for five to ten years. This is not desirable.

Technical Competence: A third discouraging element in the picture is the limited manpower resources of the caliber needed to staff an effective policy research organization. One is favorably impressed with a number of social scientists found in the academic world and their work gives evidence of some of the quality that would be required in an

institution devoted to public policy issues. On the other hand, those who are considered to possess social science research competence of the quality desired are spread thinly to meet the needs and demands of the society. The first problem, not insurmountable but difficult, would be to identify a person of sufficient prestige to head the institution. There are not a large number from whom to choose.

Assuming on the basis of best estimates available that an institution composed of approximately eight professionals would be all that the society could support at the start, a fairly sizeable proportion of that staff would be composed of outside technical assistance representatives. There is general agreement among those interviewed that foremost among the outside help required would be a full-time person who is knowledgeable about research design on public policy problems. A reputable person who possesses this competence would be required to give assistance to the director of the institution in the beginning and for a period of at least three years. Perhaps the equivalent of two more persons from outside Costa Rica would be needed on a continuous basis for the first three years to assist in showing the way in public policy research techniques and in public policy education.

Summary and Recommendations: In terms of political climate and outlook, Costa Rica is susceptible to understanding and accepting the concept involved in the establishment of an independent neutral center for advanced study and education on public policy problems. Such an

institution would undoubtedly thrive if a sufficient amount of local private support were available. But factors such as shortage of local private financial resources and social science competence force one to conclude that Costa Rica is not an appropriate country for extensive effort by A.I.D. to encourage a public policy research and education institution.

It is therefore recommended that A.I.D. not expend resources to encourage such an institution.

In the larger setting of the Central American region, Costa Rica would be a key factor in the development of a new institution. The problems involved in the regional approach are many and are discussed later.

Guatemala

Significant and obvious dissimilarities exist between Guatemala and Costa Rica in social, economic and political structure. For instance, the Guatemalan population is ethnically and economically one of great contrasts. Approximately half of the people are native Indians; the other half are of European extraction primarily Spanish. A large proportion of the native population live in a primitive subsistence economy; the other half in a modern cash economy. Great contrasts in economic status are noticeable between extreme poverty and extreme affluence.

In the world of thought and approach to problems one is impressed with the validity of a generalization about Guatemala made by a knowledgeable person: "Guatemala is a position-oriented society with positions narrowly parochial and little merit is assigned to the intellectual and analytical approach to problem solving."

Political Climate: In general it may be said that Guatemala is a free society with freedom of expression in all forms, limited repression of association and publication, and with a reasonably unrestricted legislative body and a free and independent judiciary.

Politics is a serious game here. It is "played for keeps" so that it is literally correct to say that political leaders actually commit their lives to their professions. As one individual put it: "It's fair play to kill politicians." This seems to be an accepted value and there is an extensive record of violence on this score.

A small revolutionary group known as FAR seems to be the perpetrator of most of the political violence that goes on. This violence extends beyond the domestic arena to the kidnapping and killing in recent years of more than one diplomat accredited to Guatemala. As a result of this threat high placed American officials are usually surrounded with heavy guard in their homes and in their movements around Guatemala. This creates a pall of uncertainty over the lives of our representatives with repercussions on their confidence and enthusiasm as they go about their relations with Guatemalan officials in the economic and technical assistance areas.

Institution-Building and Support: The current A.I.D. director has been on the scene for about a year. He possesses considerable knowledge about Latin America from past experience and sees some hope for policy research and analysis in the Guatemalan scene in spite of many shortcomings. He recognizes, however, that such an institution will have to be developed with government support. This immediately raises questions about the neutrality, objectivity and independence of the institution.

At the moment there is a pending proposal to have A.I.D. underwrite a grant of approximately \$500,000 for a National Development Center. This center would be related to the President's office and would have two principal functions. One would be to coordinate and serve as a clearinghouse of information and logistic support for both public and private agencies dealing with development problems in Guatemala. The other ingredient would be the establishment of an "Issues and Action Foundation" which would make research

grants to individuals and groups who are committed to certain defined areas of social science research. An educational activity on public policy issues could be added to this institution.

Financial Support: There seems to be small hope that private funds could be attracted to the establishment of a nonpartisan research and education institution. It would also be too optimistic to assume that private funds would be available to join with public funds for this purpose. The attitude is prevalent that education institutions exist to promote a point of view, an economic philosophy or a social theory. Private interests look with deep suspicion on San Carlos University alleging that it is oriented strongly to the left. A somewhat similar criticism is expressed about other privately supported institutions of higher education - one Jesuit, one Protestant, and one secular. All are looked upon in some sectors "as hot beds" of Marxist-socialist economic and social theory.

Further evidence of this schism between the private sector and academia and the private and public sectors is found in the current effort by a local successful entrepreneur and economist to build a new private university of excellence. As he describes it, this institution will be privately supported and will address public policy problems from a private free enterprise "anti-socialist" point of view. It is his claim that as much as a million dollars or more will be raised from local contributors in the private sector. This entrepreneur has been the principal backer of a Center for Social and Economic Studies founded twelve years ago for the purpose of propagating the advantages of the

free market economy. As he describes it, the "economic miscalculation of the socialist theorists" is revealed in its publications.

Assuming that this individual is successful in raising \$1 million, there would be evidence that private funds can be attracted to support public policy education with a particular orientation. However, it is also evident that these private funds will not join with government funds to establish a neutral policy research institution because of prevalent suspicion that government would control the point of view of the output.

In this atmosphere there appears to be little that A.I.D. can do to foster a neutral independent institution,

Manpower Resources: There are also serious limitations on the reservoir of social science academic talent in Guatemala. A resource person, whose judgment is based on solid knowledge of the Guatemalan scene, estimated that between fifteen and twenty social scientists might possibly be identified as reasonably competent social scientists under our standards. The general level of education in these fields at the local universities leaves much to be desired. This limitation on manpower resources is generally confirmed by others including Guatemalan academic people. In consequence, a considerable amount of technical assistance from outside would be needed to provide a new policy research institution with professional competence. This would run smack into another prejudice if the outsiders were Americans. For here there is an undercurrent of mistrust about American social scientists expressed along these lines: "The Guatemalans have been studied too much by Americans."

Summary and Recommendations: One cannot be sanguine about the possibilities of building a truly nonpartisan and independent policy research and education institution in Guatemala. The position-oriented nature of the society on social issues mitigates against the sizeable expenditure of effort and resources which would be needed to launch a viable public policy institution. It would seem more sensible to consider Guatemala as an element in the larger picture of a Central American effort in which the joining together of limited individual resources might in combination be sufficient to provide a good base for the long run effectiveness of such an institution.

Standing alone Guatemala lacks: (a) the sophistication to support and encourage independent analysis of public problems; (b) the tradition of communication among sectors of the society on public issues; (c) the talent and level of competence in the social science community to conduct quality of research and education needed without a great deal of tutelage and assistance; and (d) the evidence of private resources available for commitment to such a venture - either alone or in conjunction with government support.

It would seem more advisable for A.I.D. in Guatemala to continue its technical assistance programs devoted to training in the social sciences and to assisting local academic institutions to upgrade graduate training programs in these fields.

Central American Approach

Most knowledgeable sources of information about Central America agree that the ideal approach to public policy research and education would be to encourage a joint effort among the five Central American states perhaps with Panama participating. Advantages to a regional approach are: greater ease with which a totally new institution might be started, thus avoiding conflicting jealousies among existing institutions which would surface in a single national effort; greater freedom from local national government control over projects; greater acceptance of American aid for the project since impingement on national sovereignty and national feelings would be diluted, and a community of interest among the five states in a number of important public policy problems.

Among the disadvantages would be: difficulty, if not the impossibility, of obtaining cooperation among the states to support the institution; the problem of locating the institution so as not to injure the national pride of any of the states; the threat of focussing on less real and germane policy problems that are significant to the region in order to avoid conflict.

An additional practical problem to be faced is: where can a "handle be found to hang the project on?" It is far more simple to get agreement on the values and advantages of a regional institution than it is to devise the plan and strategy to actually establish the institution. How would one go about it? That is the telling question.

It is said that Guatemala might endorse it, but insist on its location in Guatemala because of pride about being the largest, wealthiest and most important of the Central American states. Costa Rica might be enthusiastic because it sees value in Central American cooperation. But Costa Rica might be fearful of Guatemalan influence over the institution. It is reported that there might be no serious opposition to the idea but a great deal of apathy in Honduras and El Salvador.

These reports are indicative of the real problems faced in trying to invent a regional policy research and education institution. American officials at ROCAP and in the U.S. A.I.D. mission endorse the idea of a regional institution as the ideal way of attacking public problems common to five small states whose resources are limited. The idea has been considered in the past but nothing happens beyond the idea stage because everyone is brought up short at the next step, namely, how to go about doing it.

Most of those interviewed agreed that it would be far easier to develop a regional policy institution by grafting this function on to an existing institution, rather than starting over from scratch. As one reviews existing regional organizations with this in mind, one finds few glimmers of hope.

The national universities of the five Central American states are joined in a loose consortium, known as ASUCA. Few people view this organization with any optimism as the body to rely on to foster a regional

policy organization. Its main program has been to approve regional accreditation for a small and selected number of educational programs offered in the individual universities. Beyond that ASUCA has shown no interest and made no effort to develop a regional research approach.

The leadership of this body is weak by design, and its prestige and standing in the eyes of the Central American private sector leaves much to be desired.

ROCAP, as a going regional organization on common market problems, cannot be considered because it is an arm of the United States government.

A regional environmental symposium project is being assisted by the U.S. National Academy of Science. Some hope is expressed that this may be the forerunner of more cooperative approaches to scientific and technological projects. Some of the five Central American countries have local national academies of science upon which to build a cooperative program in technological development. Some interesting guides in cooperative problem solving may emanate from this venture.

Finally, and probably the most effective regional educational institution in being is the Central American Institute of Business Administration (INCAE), attached to the University of Managua, Nicaragua. From its inception the School of Business at Harvard University has provided technical assistance to this institution. Testimony received from reliable sources indicates that this program has had considerable acceptance and success as a regional venture in education. This survey did not include a visit to the Managua institution so that a first hand appraisal cannot be given as to the current

state of that program and the prospect, if any, of grafting on a regional policy research and education function. Mr. George Lodge of the Harvard Business School is reputed to be interested in this project and one of the prime movers in its origin.1/

1. Mr. George Lodge was interviewed in January 1971. He gave a favorable appraisal of the accomplishments of this institution and its general standing in the business community in Central America. It is on the threshold of developing advanced management training. The school is now nearly self-supporting financially and nearly able to go it alone on the educational side.

Mr. Lodge responded most favorably to the idea of a regional approach to policy research and education. In his judgment, INCAE would be a logical base upon which to build this activity.

ASIA

REPORT ON KOREA

Visited by James M. Mitchell
August 20-28, 1970

Among the countries selected for this feasibility survey Korea is unique in that major steps have already been taken to establish an institution devoted to research and education on public policy issues.

The establishment of a Korea Development Institute was first discussed by A.I.D. and Korean officials in 1968. The idea languished for a while and then in April 1970, at the suggestion of the U.S. A.I.D. Director, a joint working committee of Korean and U.S. A.I.D. officials began a concerted effort to refine a statement of public policy research needs and the organizational characteristics of an institution that might meet these needs.

By August 1970 the discussions reached fruition in the form of a draft law, a draft of the enforcement decree and draft articles for the organization and operation of a Korean Development Institute. On the 17th of August, just prior to our visit, enabling legislation for the Institute was approved by the cabinet. As of that time the proposed legislation was being considered by committees of the National Assembly and was expected to be enacted in the near future. The exact status of the legislation and the Institute is not known as this report is being prepared.^{1/}

1. A letter from an official in the U.S. A.I.D. Mission/Korea in February 1971 tells that the Legislative Assembly has approved the creation of the Korean Development Institute and that plans for its operation are going forward.

Analysis of Proposal: The advanced stage of the proposal to establish a policy research and education institution in Korea required that the survey take a different tack than that followed in other countries. The situation suggested a course of inquiry along the following lines: (a) to analyze the pending proposal for strengths and weaknesses as compared to an "ideal" model of a policy institution; and (b) to assess the general political and social climate in Korea for indications of possible success or failures of the institution in reaching the objectives set for it.

Koreans and Americans who worked jointly on the project proposal clearly reached agreement as to the need for a policy research and education institution. Throughout the document there is a liberal sprinkling of comments on this matter, such as:

"The need for competent and continuing research on public policy in Korea is clear."

"The need for competent research on public policies to be available to the executive offices of government is unquestioned."

"The institutional structure within the Korean government for research on public policy is not strong."

"... The Institute can make an important contribution to the development of democratic processes in Korea. Through public discussion of policy issues... The Institute can introduce a forum for interchange of ideas" [among different segments of the society].

The alternative of building policy research and education in an existing institution, the university, was considered and it was concluded that disadvantages outweighed the advantages. The insulation from government of a university-based policy institute is considered an advantage but seems to be far outweighed by such factors as:

- the strictures imposed on its independence by the administrative processes of the university;
- jealousy among existing universities for designation as the host of the new institute;
- unrest that would result from unequal pay administration as between university staff and institute staff;
- tendency to regard an institute attached to a university primarily as an educational rather than a research institute.

Among the characteristics recognized as essential to a viable and effective policy institution is autonomy in both fiscal and policy matters. On the fiscal side the proposal calls for the creation of an endowment fund of approximately 9 million dollars. A.I.D.'s direct contribution in dollars would amount to approximately \$1.6 million. Korean government contribution would make up the balance and would include the value of the land contributed. Slightly over \$4 million of the total contribution would come from Korean-owned counterpart funds. Interest on the endowment is estimated to provide the institution with about \$1,000,000 per year income, depending on prevailing interest rates.

Additional government support seems to be anticipated in the provision that permits the institution to accept "budgetary support" from government "or other legitimate donors for its operating and research activities." However, the institute would be prevented from accepting contracts with individual or private organizations for the

conduct of particular research projects. The outright denial of this contracting privilege is probably wise although it seems other provisions might be made to preserve autonomy and independence with the acceptance of private contracts.

Since the source of original financing of the institute is government, it is felt, evidently, that government representatives should have at least five of the nine seats on the board of directors. On the surface this compromises the principle of independence and autonomy. The directors would have authority to approve annual budgets and expenditures without going through the normal government budgetary approval process. Public accountability is to be achieved through a public reporting process on program and financial operations.

The proposed law endorses the principle of protecting the scholar from unfavorable outside influences in his research and the right of "free publication" of research findings by the institute. The only standard to be applied by the board of directors in accepting or rejecting research publications is quality of the research. Key to achieving realization of the freedom of publication will be the attitudes and actions of the board of directors and the nature of the internal procedures of the institute. Careful attention should be devoted to the development of the bylaws.

Finally, the proposed law provides for interesting organizational arrangements for the selection of research subjects. A research advisory committee, representing various segments of the community, will advise

the managing director of the institute on this matter. If this group is composed of representative, knowledgeable and prestigious members of the Korean community, it can influence the quality of the research program, and it can be instrumental in building public acceptance and prestige.

Assessment of the Political Climate: Our observations confirm the findings underlying the project proposal that there is a recognized need among Korean leaders for an independent institute devoted to research and education on public policy issues. There is a telling need for a bridge between the academic community and government and business. The central issue is: how much independence and autonomy can be achieved, given the present political climate in Korea? Also, accepting the fact that the ideal model of a neutral and independent research and education institution cannot now be achieved, is there enough tolerance and support in the society to create an institute that through research, analysis and the dissemination of information can help to encourage a more rational approach to public policy making?

The answer seems to be clearly "yes." The institutional model that can be created will be a compromise with perfection, but it can be expected to contribute to improved democratic policy-making through inclusion of representation of significant interest groups in the process of selecting research topics and in review and consideration of research findings and recommendations.

The government sector is an overwhelming force in the Korean society, and it exercises controls over the development of information in areas that are free of official restrictions in the United States. True independence in research and education in all areas of public policy development is not possible today. Nevertheless, there are hopeful signs that encourage optimism in respect to the project. Not only is there a recognition of need among leaders for policy research and education at this stage in Korean development, there is an intellectual acceptance of the concept of free research and free education and the contribution that these activities can make to economic and social progress. The prospects for research and education are best on the economic side because Korea is basically a capitalistic economy and a free market system; there is latitude for entrepreneurial choice, and official choices have to be made among economic policy alternatives in furtherance of economic growth and development. There is also recognition that in furthering economic growth industry and government must communicate better with each other.

Research and education in more sensitive social and political policy issues may develop if the new institute builds prestige and acceptance by the importance, utility and quality of its early work.

Manpower and Technical Assistance: Another favorable factor is the availability of talent in Korea. Good scholars, especially in economics, are available in Korea and many more Koreans trained and living in the United States could be attracted to the new institute if salaries offered

are adequate and scholarly research opportunities are evident. Technical assistance would still be needed from the outside, especially in the early years, to guide the design of research and education policies and projects and to enhance the prestige of the institute. American influence is accepted and desired. German and British influence is also acceptable. Probably the best results would come from the selection by Koreans of an American, German or British institution to serve as a continuing technical assistance backstop for the first three to five formative years of this institute.

Prior establishment of the Korean Institute for Science and Technology enhances the research climate and the prospects of success for the Development Institute. It is well financed with an endowment and with organizational arrangements similar to those proposed for the Development Institute. The Battelle Institute of Columbus, Ohio, serves as the technical assistance agent under adequate contractual arrangements. It is reported that able Korean scientists are returning from the United States to work at the new technical institute.

Conclusions and Recommendations: The creation of the Korean Development Institute on the initiative of Korean officials and U.S. A.I.D./Korea should be looked upon with favor. A.I.D./Washington should encourage the project and make available assistance needed to get the Institute off to a good start. Certain limitations in the proposed organization have been noted. On balance, however, investment in the possibility that

this institute may contribute to the formulation of more effective public policy is worth any risk involved. Discerned limitations and weaknesses in the proposed organization may be neutralized or eliminated if certain actions are taken in the formative stage. To that end the following recommendations are made:

1. Encourage Korean efforts through revision of tax laws and promotional efforts to attract free private support for the new institute;
2. Without additional private support immediately available, encourage the leadership of the new institute, if and when established, to undertake programs wholly within the income of the original endowment so that additional government support with threat of accompanying controls need not be sought;
3. Encourage Koreans to revise the proposed legal provision for representation on the board of directors so that the majority of the nine board members are chosen from the private sector;
4. Give every assistance possible to the recruitment and selection of an executive director of the institute who possesses a strong sense of intellectual integrity and courage, competence in administration and a prestigious reputation in Korea;
5. Devise internal bylaws and procedures so as to protect the freedom and integrity of the scholar such as drawing a clear distinction between the authority of the board of directors to approve research and educational programs and projects before undertaken, but reserving the

decision whether or not to publish results or conduct programs to the full-time executive director. This should help to insulate the scholar from unwarranted pressure that might be exerted by members of the board who do not devote full time to the institute;

6. Encourage an early effort in the institute to balance its research so that economic studies are not overemphasized;

7. Encourage the leadership of the new institute to balance research with educational activities designed for leaders in public and private life so as to encourage dialogue among the segments of Korean society and to insure that research findings are brought to the policy makers;

8. If requested and needed, A.I.D. should make a technical assistance grant to the new Institute or directly to an acceptable (to Koreans) institution in the United States to provide backstopping assistance and program guidance during the first three to five years. A rough estimate of the amount needed is \$150,000 to \$200,000 a year to provide the equivalent of 2 1/2 man years professional assistance in program and policy development, research design and methods, design of educational programs, educational exchanges, travel expenses and overhead.

Addendum: On March 9, 1971, Mr. Mahn Je Kim was officially appointed Executive Director of the new Korean Development Institute. A letter dated that day was received by Brookings from Mr. Kim asking whether Brookings would consider establishing a "back-up relationship" with the K.D.I. No details were given as to the nature and extent of such

a relationship. He invited a member of Brookings to come to Korea as early as possible for discussions. Brookings declined the invitation but offered to arrange appointments at Brookings when Mr. Kim comes to Washington in late April.

Previous correspondence from Mr. Stephen R. Whitmer, Economic Program Officer, U.S. A.I.D./Korea told that the organization of the Institute was proceeding and that providing technical assistance was an early concern. He also inquired whether or not Brookings could supply this need.

These events are clear indication that the new institution is moving forward in its organization stage. Also indicated is the need for A.I.D. to provide guidance to the Institute in its efforts to obtain technical assistance.

REPORT ON THE PHILIPPINES

Visited by James M. Mitchell
August 30 - September 4, 1970

A prevailing popular view of the Philippines is that the country suffers from an excessive population growth rate, an unsatisfactory economic growth rate, an unresponsive political system plus increasing crime and corruption and a menacing insurgency. Yet, a recent Rand Corporation report to A.I.D. goes on to assert that a major portion of this discouraging view is based on inaccurate perceptions.^{1/}

"The Philippines has been viewed as a nation in crisis partly because of the kind of information produced by the Philippine reporting systems. Although its performance is adequate (political and economic), it will be difficult for the country to do very much better unless information systems are more closely articulated with policy making."^{2/}

Policy Research Need and Climate: This limited survey as to the feasibility of developing a policy research and education institution in the Philippines supports the finding that perceptions of the Philippines as a nation in crisis, unstable politically, stagnant economically and seriously unsettled socially are inaccurate and confirms the serious need for the development of better information about the society which can be used in policy making. Moreover, there is an honest recognition among Philippine

1. "The Crisis of Ambiguity: Political and Economic Development in The Philippines." A report prepared for the Agency for International Development by the Rand Corporation, January 1970.

2. Ibid.

leaders in both the public and private sectors that an independent institution devoted to neutral analysis of public problems and the dissemination of information about these problems would fill a serious gap in the policy making process.

Not only is the need recognized, but there also appears to be understanding among these leaders of the concept of independent analysis and education regarding public policy issues. They are not unaware of the reality of the findings of the Rand Corporation survey that there is a significant degree "of congruence between the views of the public and the politicians." A major national problem is that the politicians are victims of a very poor information system on public problems.

The Philippines also offers an open society, a necessary condition to developing a viable and effective public policy research and education institution. The right of habeas corpus is protected; the press is free; and free association of persons with common interests is permitted and protected. In essence the climate is ripe for a free institution which would develop facts about public problems and provide a forum for dissemination of needed information.

Support: The consensus among those interviewed is that a policy institution of the nature considered in this survey should best be financed in large measure from private sources. The considered opinion of many people is that this is possible under certain conditions. If as much as twenty percent of an annual budget of somewhere between \$300,000 and

\$500,000 could be guaranteed for five years at the start, possibly from a private foundation or an organization of the United Nations, the general feeling seemed to be that the remaining eighty percent could be raised annually through contributions from the private sector. Some Philippine government help is not outside the realm of possibility if relations with the government are handled judiciously.

Some leading Filipinos think that the necessary support can be obtained and have said that they will pursue the idea. The United Nations or the World Bank would be acceptable sources for this endowment grant, and it is reported the United Nations Development Program has funds to support this sort of activity if the Philippine government were to request them. The Ford Foundation may also be receptive to a request for assistance.

Technical Assistance: Official American endowment or a direct grant for a policy institution would probably not be acceptable. Rightly or wrongly ours is the colonial power image. Our continued maintenance of large Air Force and Naval bases in the Philippines under treaty rights serves to encourage a degree of anti-Americanism. However, some technical assistance from the United States might be graciously accepted in a young institution. Also acceptable would be scholars from Australia or an advanced country in Europe to assist in the design and development of research and education programs.

Most of those interviewed expressed the view that a policy research and education institution in the Philippines would probably be better off

if established separate from any existing institutions. However, relationships with an institution like the University of the Philippines and the Council for Economic Development should be provided whereby scholars in those institutions could be associated with the new institutions on a project by project basis.

Some members of the staffs of existing institutions would have to be attracted to the new institution on a full-time basis. This process would take from the best universities some of their very able talent, which is not in great supply. Even then, it is estimated that technical assistance from outside the Philippines will be needed for at least five years in order to insure the quality of the research and education products. As one source put it: there are many reasonably able scholars in the social sciences in the Philippines but few are of the top quality required to build the reputation of a new institution.

Summary and Recommendations: The political climate is ripe and the need is recognized for a policy research and education institution in the Philippines. Leaders in the private and public sectors express interest and a willingness to promote the establishment of such an institution. There is also an expression of confidence in the Philippine community that competent local leadership for such an institution is available, recognizing that some outside technical assistance would be desirable for several years in order to insure the quality of the product of such an institution.

A major ingredient required to launch such an institution would be a guaranteed income approaching \$100,000 for five years. Confidence is expressed that, if such a gift were forthcoming, the needed additional funds could be raised from the private sector. With this financial support it is estimated that a modest but effective institution could be established.

The source and availability of the guaranteed income is the critical issue. Although a direct U.S. government contribution would not be acceptable, a grant from a private U.S. foundation, a subsidy from the United Nations' parent organization, or any of its constituents, and limited Philippine government support would be entirely welcome. The major hope, then, rests in the private sector, since direct Philippine government financing of the institution might cast a cloud of suspicion over its neutrality and independence. Several private Philippine citizens have indicated interest in the project and they should be encouraged by the U.S. A.I.D./Philippines mission.

Moreover, there is agreement that the institution once established could undertake work for the Philippine government under contract as long as the income derived therefrom does not represent the major support.

Finally, if support for the founding of a policy research and education institution is obtained it should be established as a new institution, unattached to any existing education institutions. Its prestige must be acquired by the selection of a director with recognized competence and by the quality of its product. Existing academic institutions, and possibly the

government, should be drawn upon for the development of permanent staff. Some technical assistance from the outside will be needed during the first five years. Here A.I.D. could be helpful by providing grants for this assistance.

Recommendations:

1. A.I.D. should continue conversations with key individuals interviewed in this survey to encourage their interest and efforts in seeking and obtaining an endowment.
2. A.I.D. should exhibit willingness to render technical advice and assistance, if sought, regarding the design and development of the organization and program of a policy research and education institution.
3. When established, the institution should be encouraged by A.I.D. to seek technical assistance grants to attract outside experts to assist in developing policy research and education programs.

REPORT ON PAKISTAN¹/

Visited by F. W. Luikart
September 29 - October 11, 1970

The current political scene in Pakistan is one of hope but in a state of uncertain flux. For the first time in the history of independent Pakistan a general election was held in early December to elect a constituent assembly. Uncertainty as to whether the scheduled election would be held, prevalent at the time of our visit, was resolved. But there is a second uncertainty relating to the outcome of constitution drafting by this assembly and whether or not it will be acceptable to the current military regime.

Since January 1970 political activity by civilian groups in preparation for the election had been allowed for the first time in a number of years. Party organizations were revived, party lists were announced in the fall, after what seemed to some to be endless delay, and bargaining among parties for consolidated efforts took place without too much success.

The prediction in October was that the Awami Party, lead by Sheik Mujibur Rahman, in East Pakistan would probably draw a strong plurality in the election. Speculation then centered on whether Sheik Rahman could forge a coalition with one of the parties in West Pakistan to control the assembly and insist upon conditions in the new constitution which would provide for provincial autonomy.

1. This report as written in early December 1970 is submitted with a note at the end to update it in view of the tragic events which have occurred since March 1971.

The elections on December 7 actually gave the Awami Party an outright majority. Whether this surprising success will encourage Sheik Rahman to demand a greater degree of provincial autonomy for East Pakistan than is acceptable to President Yahya Khan remains to be seen. He may see advantages in compromising demands for outright autonomy in order to occupy a position of power and leadership over the whole state of Pakistan. If not, and if he presses demands for autonomy too far, the result could be a serious setback to constitutional government in Pakistan.

Preliminary Nature of Inquiry: The nature of the current unsettled political situation in Pakistan limited the inquiry to a preliminary and tentative probing operation. Of necessity, serious limitations were placed on the depth and sources of inquiry because of the extreme caution that had to be observed in dealing with government power centers. As a result, contacts with government sources and the power elite were limited and cautious. More definitive and precise conclusions about the prospect of encouraging a policy research and educational activity in Pakistan must await a more in-depth inquiry following, and depending upon, the outcome of the deliberations of the constituent assembly.

Pakistan Government Approval: Any steps taken officially by the United States government to assist a policy research and education institution(s) in Pakistan will require approval of the Pakistan government. The most accessible means by which such an activity would be assisted by the United States is through the allocation of a block of counterpart funds sufficient in amount to insure continuing income and a degree of

independence. To accomplish this a careful strategy must be designed which will stimulate respected Pakistan elements to influence the power centers in the Pakistan government to initiate and support the proposals. This survey did not go into sufficient depth to permit a careful definition of the strategy which should be employed, nor to identify the power centers which must be touched. In any event, both the strategy and the centers of power may be significantly altered by the results of elections. A follow-up visit for this purpose may be deemed appropriate when the results of the constituent assembly are revealed.

East-West Division: (A) If the elections bring some semblance of constitutional participatory government and some political stability, and (B) if it were then decided that the United States might officially assist policy research and education activities in Pakistan, very careful consideration must be given to the following issues:

- whether to encourage a single national policy research and education institution;
- whether to encourage two institutions, one in the West and one in the East;
- whether, if decentralization is further encouraged under a new constitution, institutions in each of the provinces would be more acceptable, or
- whether a pluralistic approach would be feasible and acceptable, the encouragement of interest group research and education centers for industry, labor, farmers, etc.

Impressions received from this preliminary survey lead to the tentative conclusion that the least controversial approach to the East-West issue is for the United States to encourage two policy research and education institutions, one in the West and one in the East. Each would at the start have to have considerable autonomy. Organization and authority mechanisms might be built in the original act which would provide a means for eventual coordination of the two institutions from a national point on common problems. This might be accomplished by the creation of a national allocation and coordinating board with enough ambiguity in its charter to permit limited and expanding authority over the work of the institutions as the reality of a national approach permits.

West Pakistan: None of the existing universities in the West seem to be geared at present to provide the "right" sort of flexible climate in which a policy research and education institution could flourish. The typical inflexibilities and bureaucratic limitations in universities are found in Pakistan and provide threats to free functioning of such an institution and hazards to full utilization of resources that might be made available for this purpose.

The most exciting existing institution in West Pakistan is the Pakistan Institute for Development Economics. Although this institute is closely tied to and almost fully supported by the official planning body of the national government, it seems to operate with considerable freedom in identifying economic policy problems for research. It possesses able

leadership which is familiar with the heavy hand of bureaucracy. With deft and alert moves the leadership seems to be able to maintain a sufficient degree of freedom to pick and choose key issues to address.

This institution has received some technical assistance and financial support from the Ford Foundation and the United Nations. Its competence and its primary focus is in economic studies. If encouraged, its scope could and should be broadened to include research in other social sciences and education activities on broader social questions.

This institution is now headed by an East Pakistani and a number of the staff come from that region. At the time of this visit there were indications that efforts were being made to move the institution to East Pakistan. If moved, what impact this might have on the institution's reputation and prestige is hard to assess.

East Pakistan: A central issued here is whether to build a policy research and education activity in Dacca University or to encourage an independent institution which would have ties with a number of existing institutions and would have some coordinating influence over the work and talents residing there. There is the Pakistan Academy for Rural Development in Comilla, a reputable training and research institution in rural community development, the Institute of Statistical Research and Training (East Pakistan Government), the Bureau of Economic Research, Dacca University, and the Training Research, Evaluation and Communications Center for Family Planning, a government institution with Ford Foundation support. Each of these is capable of conducting valuable research and

education on specialized segments of public policy issues. Each, however, is jealous of its status. It is difficult to conceive of identifying one of these as the center and obtaining cooperation from the others.

Consequently, one is forced to the tentative conclusion that a central independent organization for coordination of these activities would be the most desirable and acceptable solution. It might be possible to establish a policy research and education coordinating board made up of government, academic and private citizens. Money could be funneled through this board to research and education activities in each of the established institutions. This board could have a chairman who revolves among the heads of the existing institutions. Its principle administrative officer should be a person of outstanding reputation and respect in the academic and government communities. At the start the core might be composed only of a minimum of staff for central research and education activities. Its main function might be the allocation of funds for well-defined projects among existing institutions. Eventually the core staff and activities might be enlarged and most research and education activities might take place there, using existing institutions as the source of talent for temporary assignments.

Private Support: There is little, if any, prospect at this time of obtaining private support for an institution in East Pakistan. This part of the country is primarily an agricultural community. Some industry and commerce is developing, especially in Chittagong; but at present

there seems little likelihood that private wealth is either sufficiently large or inclined to support a policy research and education function. Therefore, the government, national and provincial, is the only source of support outside of foreign funds. This naturally raises serious questions as to the degree of independence that can be built into an institution for policy research and education.

In the West there is privately held wealth (the twenty-two families) and there is also evidence of a growing private entrepreneurial sector, especially in Karachi. There is no evidence now that any of the families are about to become the benefactor of an institution of this sort. However, the new president of the Karachi Chamber of Commerce subscribed enthusiastically to the need for a policy research institution. Even though he obviously thinks in terms of research which is oriented to the needs and desires of the private sector as a counterforce to government, he also offers convincing arguments that the private sector might be influenced to support a research institution once it has been established and has produced research and educational activities prestigious and convincing. It would be unwise to discount completely the prospect of private support after an institution has some accomplishments to show.

Pluralistic Approach: Not to be discounted out of hand is the possibility of encouraging and subsidizing, at the beginning, policy research and education institutions related to interest groups. The private sector in Karachi, for instance, provides evidence of considerable vitality in attempts

to influence public policy. Its efforts are naturally directed to trying to reduce the controls exercised by government over private entrepreneurship. The president of that chamber and his immediate staff were quite impressive in presenting a case for assistance to conduct research and education on a number of business and economic problems.

To be sure the Karachi Chamber of Commerce has a definite policy bias. Nevertheless to build a pluralism in a society there is a need for vigorous oriented interest groups. It would seem worthwhile before all decisions are made to probe further in Pakistan to ascertain whether there are other interest groups in labor, agriculture and education which possess the potential vitality and the motivation to conduct research and education on public policies of vital concern to them.

Even though these interest group-based institutions would exhibit bias in their work the balance of forces represented by a range of interest groups selected for support might contribute to the development of a pluralistic society. Naturally the foremost question is whether the Pakistan government would even begin to entertain the idea of releasing funds to support a number of such institutions. United States policy makers might also be confronted with the tough issue of whether they would endorse the use of counterpart funds for this purpose.

Counterpart Funds: The accumulation of local currency mainly from P.L. 480 is large. The exact amount is a matter of public record, not verified in this inquiry. Suffice it to say the amount is several hundred million dollars. This fund represents a distinct possibility, given other

desirable conditions, for the funding of a significant portion of policy research and educational activities in Pakistan if the United States would consider it wise to allocate a portion for this purpose. The fund could not provide needed foreign exchange for such activities, and other means would have to be sought to satisfy this need.

Key elements which should be considered, if it were decided to use these funds to endow policy research and education activities, are:

1. The development of a carefully thought-out strategy to obtain Pakistan initiative to request that a portion of the funds be used for this purpose;

2. Acceptance by the United States of the rule that there would be only a minimum set of conditions and controls imposed by us in the use of these funds, such as:

- subscription by the Pakistan government to the broad purpose of social science research and education;
- assurance by the United States of guidance in the organization of the activity to insure effective organization and leadership for the activity;
- possible desirability of obtaining concurrence of Pakistan government to requirement that the purpose of the institution specify certain problem areas for research at the start in order to attract widespread favor and support such as: employment, education, family planning, etc.

Amount: Estimates as to amount of annual income needed to support a modest and effective policy research and education institution are based on a very tentative and hurried appraisal of the situation in Pakistan. These estimates, however, have been developed from answers to direct questions which were put to both Pakistani citizens and Americans. There was a surprising amount of consensus based on availability and cost of talent to man the function, judgments as to priorities in resource allocation, size and wealth of the country and the problems to be attacked.

Assuming that it would be unwise to attempt at this stage to foster a single national policy research and education institution in Pakistan, the estimates are that each of two institutions, one in the West and one in the East, would require six to ten lacs per year annual income (\$150,000 - \$200,000). Additional foreign exchange would be required by each for foreign technical assistance and for overseas training. This amount of local currency would provide the needed capital investment for space, equipment, supplies and library plus support for from fifteen to twenty-five professionals of various grades and clerical assistance. This amount would permit a modest but adequate beginning. As time passed and the prestige of these institutions is established, more support would undoubtedly be needed and the hope would be that this might be forthcoming from local sources.

Recommendations: Final decision about assisting in the establishment of policy research and education institution(s) in Pakistan should be reserved until the results of the deliberations of the constituent assembly are in

evidence. Depending upon this outcome further inquiry in Pakistan might be in order to resolve the major issues and questions identified in this preliminary survey.

Addendum: Hopes and expectations for future political stability in Pakistan expressed in the late fall of 1970 (when this report was written) have been dashed by the tragic events of civil war between the East and the West which is taking place as this report is submitted (April 1970). The East-West issue has erupted into violence, and no one can predict the outcome. Certainly political stability and a return to civilian rule has been postponed for some time. Neutral policy research and education activities will not be high on the agenda of national priorities for the immediate future - and possibly for a considerable period of time. It appears that A.I.D. can do nothing further on this project but wait and see.

REPORT ON NEPAL

Visited by F. W. Luikart
October 11-13, 1970

Considering elements such as local political climate, stage of development and limitations on national resources, Nepal has not been considered top priority for this feasibility survey among the nations receiving U.S. aid. The local A.I.D. mission, however, requested that a brief review and evaluation be made of the Center for Economic Development and Administration in Katmandu if a short visit could be scheduled in connection with the visit to Pakistan.

The Center, known as CEDA, is a social science research and public administration training institution in the embryonic stage. It came into being in May 1969 under a cooperative agreement between the government of Nepal, Tribhuvan University, and the Ford Foundation to accomplish the following:*

- "1. to provide a high level institution for inservice training and career development for His Majesty's government and other government and private sector enterprise personnel.
- "2. to provide facilities and encourage and conduct applied research activities on a regular basis...

* Progress Report covering the period from May 15, 1969 through June 25, 1970, Center for Economic Development and Administration, May 1970.

- “3. to develop a facility with competence for providing consulting services. This consultation will be focused upon the same area, being emphasized in the Center's training program.
- “4. to improve the capacity of Tribhuvan University to fulfill its unique role of education in Nepal by appropriately involving the departments of economics, commerce, political science, sociology, and other related areas in the work of the Center, and by offering to Tribhuvan University research services, and
- “5. to assist the concerned Tribhuvan University departments to improve the level of instruction and research competence in the disciplines of economics, commerce, public administration, and other related areas by the honorary participation of the Center's staff members in the teaching programs of Tribhuvan University.”

Ford Foundation took the initiative in forming this semi-autonomous institution as an outgrowth of its experience in encouraging more effective development planning and administration in other developing countries. It is reported that Ford Foundation officials hoped to have more impact on the quality of development planning and administration through the establishment of a semi-autonomous institution such as CEDA than might be achieved by assisting directly with the official government planning commission.

The government provides support for the salaries of CEDA staff and the cost of planning and conducting training programs for public officials. Ford Foundation and U.S. A.I.D. are providing the new facilities for the Center on the Tribhuvan University campus. Two resident technical assistance advisers and numerous short-term consultants have been provided by the Ford Foundation. Tribhuvan University provides the campus area for the buildings and offers the possibility of integrated research and education activities with the rest of the university.

There are clear indications that during its first year the Center has fostered some uncertainties about its role, among officialdom, and it has been groping for major purpose. Striking an acceptable balance between research and training has been the Center's most serious problem. It is reported that the staff of CEDA tended at the start to emphasize research. Evidently the Center strode vigorously into the arena of official controversy with the publication of an evaluation of official economic development plans and progress. These actions resulted in official note and criticism.

All in all the first year of CEDA can be described as a period of groping for a significant mission which resulted in arousing some antagonisms and prejudices, and which caused Ford Foundation sponsors and advisers to encourage the Center to devote its main efforts to the less controversial area of administrative training.

Political Climate in Nepal: The experience of CEDA is revealing to anyone called upon to make an assessment of the feasibility of encouraging the development of a neutral institution in Nepal devoted to research and education on public policy problems. The current political setting does not encourage neutral analysis of public issues.

The Panchayat system, or Panchayat democracy, in Nepal is, according to King Mahendra, designed to "fit the soil and climate of Nepal." It is claimed to be an "historic necessity" and permits no alternative. It was designed to wipe out the excesses attributed to the parliamentary system which, it is alleged, was subject to meddling and pressure from outside forces.

On the surface the system provides separated powers of the executive, legislative and judicial branches. But the real mechanism of governance according to knowledgeable people is a close-knit influence group which surrounds the king. Ministers appointed by the king have no constituents and therefore no popular support.

Indicative of the limitations on free and neutral analysis of policy problems under this regime is the fact that the publisher of a paper on "Preliminary Observations on Structure and Functions in the Panchayat System" is now on trial for an offense against the regime by this act of publication. The author of the paper has not been prosecuted but the publisher was. Nevertheless it seems that the fallout from this experience has had enough impact on the author that he does not contemplate the

preparation of further written analyses of the political system in the immediate future.

According to American observers, there is a desperate need for a neutral organization to analyze and evaluate development efforts but the problem is how to fund it, how to make it independent and how to encourage it without arousing official Nepalese resentment.

Availability and Competence of Scholars: There is an attractive incentive to tap the unused potential research talent in Nepal. It is estimated that more than five thousand people have been educated in various fields and at various levels outside of Nepal. These people together with the growing output of the university is causing a buildup of pressure "for a place in the sun" among a sizeable cadre of educated people whose opportunities are stifled. Moreover, this growing cadre of educated people are young and represent the aspirations of youth who in growing numbers are knocking at the door of the university, who are seeking opportunities for their talents and who are expressing dissent with current social and economic arrangements.

A singular fault with some of these bright, well-educated young people, even noticeable among those on the CEDA staff is the inclination to want to start at the top and take a macro approach to problem solving. Much attention is paid by the young economists, for instance, to building and proposing the over-all economic development model for Nepal. Among the political and social scientists the tendency is to want to create the ideal political system in one-fell swoop. But the real need in Nepal is

for the conduct of some small scale nitty-gritty social research out in the villages and rural areas which would evaluate development programs, and which would provide useful information to government policy makers about material and psychological changes resulting from modernization efforts.

As a member of the planning commission put it: there is less need for over-all economic development model building, which has been the attraction for CEDA researchers, and more need for local sociological studies in the villages and countryside which would reveal to members of the planning commission what people are thinking and what impact development programs have had. Typical of many other developing countries, the local Nepalese scholars who have received high quality education in the Western world do not want to undergo the inconveniences of conducting studies in the backward areas:

Estimates indicate that Nepal, for the size and scope of its research needs, is probably reasonably well-manned on the economic research side and less adequately able on the socio-political side. The major technical assistance needs fall in two areas:

1. Building of a documentation center at CEDA which would bring together research and case materials from within Nepal to serve as training materials. Development case materials from other developing countries would enrich the training library.

2. Providing CEDA with foreign exchange funds to enable it to obtain a research leader from outside Nepal for six months out of each year over a period of years who train local scholars in research methods and thereby demonstrate the applicability of research to public policy problems.

A.I.D.'s Contribution: It appears certain that A.I.D.'s involvement in research and education on public policy problems in Nepal should be one of cautious encouragement. A heavy direct bilateral effort by A.I.D. to assist in the development of CEDA is not required at this time. Ford Foundation support has been generous and there is a possibility that the United Nations may assist. This multilateral approach is encouraged by our A.I.D. mission. A.I.D. can effectively assist CEDA in building up a documentation center of research materials. It can also plug certain gaps in public administration training programs such as providing foreign exchange to bring United States scholars to participate in certain seminars when requested, and our mission is alert to this need. There is willingness on the part of the U.S. A.I.D. mission to facilitate the funneling of technical assistance for CEDA through the United Nations, which appears in some force in Nepal. This should be encouraged. The attitude of our mission about not recommending heavy direct bilateral technical assistance at this time for policy research and education is in our judgment correct.

PART III

TECHNICAL ASSISTANCE POTENTIAL
OF INSTITUTIONS IN THE UNITED STATES

The overseas surveys constituted the major thrust in this project. But, another dimension was required, namely, an assessment of the potential of a number of institutions to provide technical or financial assistance in institution-building overseas. Academic institutions and foundations, including one international body, were identified for this survey.

A majority of institutions selected are academic institutions. Selections were made on the basis of past record in technical assistance work, present expressed interest in this kind of institution-building assistance, and geographical distribution in the United States. Other nonprofit operating institutions and foundations were selected because of their records of devotion to educational development in general and because they are known to have operating programs in international education.

The United Nations was included in order to ascertain interest and willingness to provide both technical assistance and financial support for developing policy research and education institutions.

The Ford Foundation was specifically included to learn whether a request for financial support for a policy research and educational institution would be entertained and seriously considered.

Nature of Inquiry

The investigation, in essence, sought to establish whether these institutions were ready, willing and able to provide the kind of technical assistance required for a developing policy research and education institution. More specifically, these inquiries pursued the following objectives:

1. To obtain evaluative judgments and substantive inputs in respect to the feasibility survey based on special knowledge and experience possessed by members of the staff of each of these institutions;

2. To ascertain interest in and attitude toward undertaking technical assistance responsibilities in behalf of a policy research and education institution in a developing country;

3. To ascertain special interests and competence of the staff in areas of the world and in policy research and education;

4. To ascertain understanding of the kind of technical assistance needed and conditions under which the domestic institution would undertake technical assistance responsibilities financed by the U.S. government.

Approximately two dozen institutions or subunits of large organizations were included in the survey. The list of these organizations follows:

1. Lyndon B. Johnson School of Public Affairs, University of Texas
2. Latin American Institute (Richard B. Adams, Latin American specialist)
3. Von KleinSmid Center for International and Public Affairs, University of Southern California
4. University of California at Los Angeles
5. John F. Kennedy School of Government, Harvard University
6. Development Advisory Service, Harvard University
7. Harvard University School of Business
8. Center for International Affairs, Harvard University
9. New England Center for Continuing Education, Durham, New Hampshire (University of New Hampshire)
10. Fletcher School of Law and Diplomacy, Tufts University
11. African Studies Center, Boston University
12. Center for International Studies, Massachusetts Institute of Technology
13. United Nations Institute for Training and Research
14. Academy for Educational Development, New York
15. International Institute for Education, New York
16. International Council for Educational Development, New York (formerly Education and World Affairs)
17. Columbia University, South Asian Institute
18. The Ford Foundation
19. Michigan State University, Office of International Studies and Programs
20. Midwest Universities Consortium for International Activities, Inc., East Lansing, Michigan

21. University of Minnesota

- Academic Office of International Programs
- Center for Comparative Studies in Technological Development and Social Change
- Department of Agriculture and Applied Economics
- School of Public Affairs

22. International Development Center, Indiana University

With few exceptions all would be able to render technical assistance in policy research and education institution-building. Some would undertake the task with more enthusiasm and understanding than others; some would have a wider range of resources to draw upon for the task; and a few would be prepared because of area specialization to undertake the work in certain areas of the world.

Those institutions which have all of the requirements - willingness and enthusiasm, understanding of the task, and a wide range of resources to draw upon - are:

- The University of Minnesota
- Michigan State University
- Midwest Universities Consortium for International Affairs, Inc.
- Von KleinSmid Center for International Affairs, University of Southern California
- University of California at Los Angeles
- Center for International Studies, Massachusetts Institute of Technology
- Development Advisory Service, Harvard University
- Fletcher School of Law and Diplomacy, Tufts University

The Development Advisory Service at Harvard University would have to be convinced first of the significance of the task. It would also be advisable to negotiate fully on all aspects of the task to be done. This organization is extremely competent and has able resources to draw upon. It would be inclined, probably, to emphasize collaborative research as the model it would follow in institution-building rather than training and development in research and education competence.

The Fletcher School of Law and Diplomacy is another institution which is fully competent by reason of experience and available resources to undertake this kind of technical assistance. The major concern would be that the special thrust of this organization in building special research and training relationships with already established institutions consumes its major overseas interest and activity. This activity is similar to but not precisely the same as helping to build institutions which are devoted to research and education on public policy issues. Willingness to undertake this kind of technical assistance can be ascertained early in negotiations.

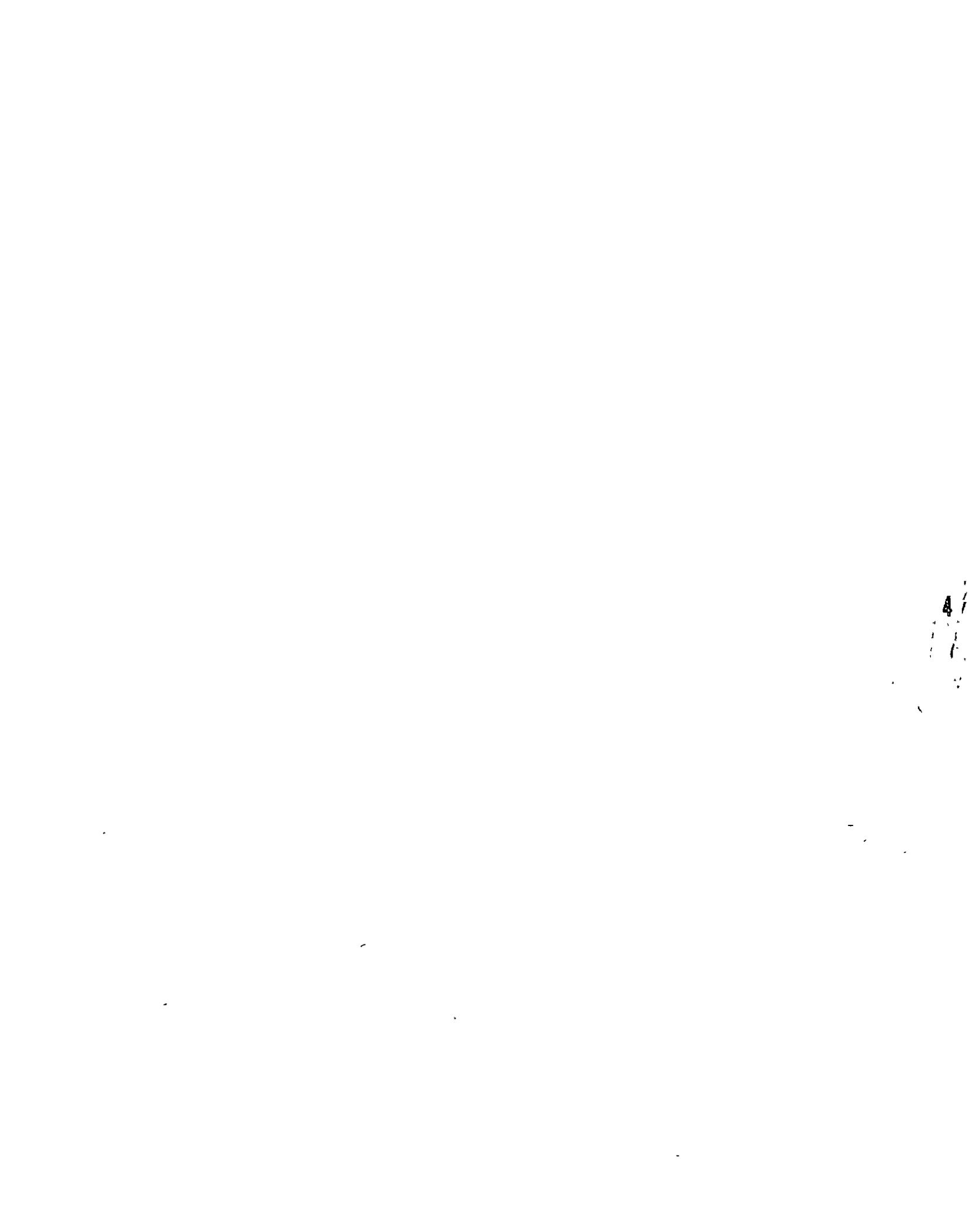
Other institutions visited would be prepared to render technical assistance in certain areas of the world. The African Studies Center, Boston University, for instance, could undertake institution-building technical assistance for Africa. The South Asian Institute, Columbia University, would be interested and able to assist in the geographical area of its interest. And, perhaps the Latin American Institute at the

University of Texas could be called upon for assistance in Latin America. This latter institute, however, seems to be more of an over-all organizational cover for Latin American scholars in a wide range of subjects. Its interest in undertaking organized work in institution-building would have to be pursued carefully if there was a desire to call upon its resources.

Other institutions on the list are either not interested in undertaking institution-building technical assistance or not fully prepared. These include: the United Nations Institute for Training and Research (UNITAR); the International Council for Educational Development; John F. Kennedy School of Government, Harvard University; Center for International Affairs, Harvard University; International Council for Educational Development, New York.

The balance of institutions reveal interest in this project but do not at this stage seem to have the resources immediately available to permit a feeling of confidence that high quality technical assistance would be forthcoming.

A more detailed analysis of the potential of each of these institutions for technical assistance of this kind is found in Appendix A.



APPENDIX A

INDIVIDUAL APPRAISALS OF POTENTIAL
FOR TECHNICAL ASSISTANCE OF INSTITUTIONS
IN THE UNITED STATES

Texas

I. University of Texas, Austin, Texas (visited on January 19, 1971)

A. Lyndon B. Johnson School of Public Affairs

This is a new graduate professional school which opened its doors in September 1970. Seventeen students were selected for the first two-year course of study leading to the degree of Master of Public Affairs. At this time approximately five people, including the Dean and Associate Dean, comprise the full-time professional staff of the school. This staff, however, is augmented by part-time involvement of members of the faculties of other departments in the university, and by visiting professors and men of affairs. When full growth is reached the school will have a capacity for 200 students and approximately 35 faculty members.

The Dean reports that he has revised original plans about the ratio of full-time professional staff to part-time staff drawn from other faculties in the university. The plan to have 25 - 30 full-time members and 5 - 10 part-time are almost a complete reversal of the ratios in the original plan.

The school's purpose is to train persons for roles of leadership in public policy making by having them grapple with real problems in the real world and try to come up with solutions. It is not the intent to turn out specialists in disciplines or areas like urbanology, water use, racial accommodation, etc.; rather the objective will be to "develop

multiple skills that can be used to attack problems in a variety of areas of the public sector.”

One of the two key seminars offered in this first year is devoted to consideration of developmental problems in Latin America, with particular emphasis on how the Agency for International Development actually comes to grips with all the details involved in granting a loan to a foreign country.

Appraisal of Potential: In the short run (six months to a year) the LBJ School of Public Affairs is probably not prepared to undertake responsibility for technical assistance in institution-building overseas. The embryonic stage of its own development casts doubt on its ability in this respect. On the other hand, the youthfulness of this institution and the freshness of approach to research and training in public affairs may be a strength in technical assistance work in the very near future - perhaps within a year. The institution is not encrusted with set themes about research and training; nor will its staff be “cast in concrete” in less than a year. The net result is that this institution, which professes an “experimental” approach to training in public affairs, may provide a flexible response to the needs of institution-building in policy research and education in a developing country.

In world affairs the LBJ School will probably specialize in Latin American studies. The base for this has already been established at the University of Texas. Geographical location has provided a natural stimulus

for the university to specialize in Latin American affairs. This specialized knowledge is found in many university disciplines, in the hard sciences and the social sciences. The Latin American Institute, within the university, contains an excellent library on various facets of Latin American life and represents a decided orientation to Latin American affairs in the total university program.

Recommendation: Within a year the LBJ School of Public Affairs could be considered a possible source of technical assistance for a developing policy research and education institution in Latin America. Negotiations conducted at that time could readily determine the school's interest and readiness to undertake technical assistance responsibility.

B. Latin American Institute - Richard Adams, Professor of Anthropology and recognized expert in Latin American affairs

Professor Adams revealed that the Latin American Institute at the University of Texas is an administrative entity with only a few full-time staff members. It maintains a library composed of extensive material on Latin America. Members of the faculty and scholars in the regular departments of the university are associated with the Institute on individual research and education projects. The full-time staff is essentially composed of the director and assistant and those who administer the library.

The leadership of the Institute is expected to change shortly. As an administrative entity this Institute would be able to administer a technical

assistance grant in support of an institution in a developing country. An essential matter in considering the Latin American Institute would be to ascertain the interest of the new leadership and the availability of faculty from the departments of the university who might be involved in such a project.

Professor Richard Adams has a deep personal interest in social trends in particular South and Central American nations. His research is recognized favorably by most Latin American scholars. He indicated considerable interest in this institutional development project and expressed a willingness to participate under certain conditions, the principal ones being: availability of time and institutional support. Professor Adams' institutional base is the Department of Anthropology, not in his opinion an entity which is prepared to provide institutional support to an overseas technical assistance project. The Latin American Institute is a more likely possibility, and Professor Adams could be associated with the Institute in connection with a project of this sort.

As a judgment it seems fair to say that Professor Adams is probably more interested in his own Latin American social research than in assuming heavy responsibilities for providing technical assistance in institution-building. He is fully cognizant of the dimensions of technical assistance that would be required to develop a policy research and education institution. He described succinctly the essence of the foreign advisory role as one that would be primarily concerned with getting what

is needed, financially and otherwise, out of the designated U.S. organization for the local institution being served. Nevertheless, if any entity of the University of Texas were selected for a technical assistance role in Latin American institutional development, it would seem wise to negotiate for the participation of Professor Adams in the project. His knowledge and sensitivity about Latin American culture and social development is extensive, and he would be immensely helpful in providing advice to a local institution on design of research and education projects.

West Coast

I. University of Southern California, Von KleinSmid Center for International and Public Affairs (visited January 20, 1971)

The Von KleinSmid Center for International and Public Affairs represents a physical facility and an association of approximately twenty-three academic disciplines in what might properly be called the social science research institute of the university. Approximately two hundred faculty and professional staff of the university are associated with the Center in its various activities.

A major component of the Center, with a forty year history, is the School of Public Administration. It has conceived its fundamental task "to be the improvement of public service at all levels." In addition to the traditional academic program several areas of special interest have emerged, among them "comparative and development administration" and "research development administration." Since 1951 the school has

provided technical assistance in the development of educational programs in public administration. It has undertaken long-term projects in Iran, Brazil and Pakistan which led to the establishment of a number of institutions offering education and training for the public service in these nations. Short-term assistance has been provided to a number of other developing countries, including Turkey, the Philippines and Venezuela.

The school's capability in comparative and development administration is guided by the International Programs Committee and administered through the International Public Administration Center.

Appraisal: Twenty years of institution-building technical assistance activity in countries at various stages of development gives the University of Southern California's School of Public Administration a high grade on the criteria of length of experience. The Dean of the school has been involved directly in this work for the entire period, as has the Dean Emeritus who continues to serve the school as a consultant. Other members of the staff have logged five years or more of experience with these projects in one or more countries.

Substantively, the principal thrust of technical assistance activity on the part of this school has been in the direction of developing institutions for the training and development of public administrators. Experience has taught Southern California University faculty many things about the pitfalls of trying to build prototypes of American public administration training institutions and about the transference of American public

administration doctrine and practice to other cultures. The effectiveness of this institution's technical assistance work can best be judged within A.I.D. on the record of accomplishment.

Suffice it to say that institutions in Brazil and Pakistan, which have been assisted by Southern California, were observed in the course of this survey, not to evaluate the effectiveness of the technical assistance, but to appraise the possibility offered by these institutions for policy research and education. In no case is this course of action recommended because these institutions are quite narrowly confined to research and teaching in doctrine, methods and techniques of public administration. A range of other social science knowledge and analytical skills would have to be added to address public policy problems.

The leadership at the School of Public Administration, University of Southern California, expressed sincere interest in undertaking technical assistance responsibility for developing policy research and education institutions. Experience in institution-building is the strongest point in favor of utilizing this school in such an undertaking. As for its competence in the policy research and education area, judgment is not easy to arrive at. The leadership of the school professes deep interest in the problem and acknowledges complexity in the dimensions involved. Perhaps the historical development of the programs of the Von KleinSmid Center is one measure by which to judge the "readiness" of the University of Southern California to undertake technical assistance responsibility in policy

research and education. For, it appears that the social science research strength of the university has evolved around the School of Public Administration as the core. This development may be a model that can be emulated in developing countries.

Certainly it can be said that this Southern California institution is prepared administratively to undertake technical administration contracts. Out of long experience in technical assistance work, Southern California has learned that to provide a basis for success in institution-building assistance the source of technical assistance should be brought in at the planning stage with A.I.D. and with the recipient in a developing country. One cannot fault its judgment on this score.

If it were to be decided to utilize the University of Southern California in policy research and education institution-building, its experience in Brazil and Pakistan suggests that its competence might be greater in those two countries than in any others under consideration in this survey. The Dean of the Von KleinSmid Center expressed a preference for those two countries in the order in which they are listed. Long time technical assistance work in these two countries has provided the University of Southern California with a considerable base of understanding of the cultural mores in each of these countries and an intimate knowledge of some of the leaders in education and public administration.

On balance the Von KleinSmid Center and its subunit, the School of Public Administration, should be rated "plus" as a possible purveyor of technical assistance in the building of policy research and education institutions.

II. University of California at Los Angeles (visited January 20, 1971)

This university seems to be a rich resource in technical assistance experience. A considerable number of the faculty from a variety of disciplines have had experience in developing linkages with developing countries in the following major substantive areas: education, health, language policy, economic development, and policy planning.

U.C.L.A. conducted the original language study in the Philippines in an attempt to assist the Philippine government to establish an official language policy. The institution has recently engaged in a language policy study in Kenya with a view to developing a language educational policy for that country.

In Ghana, U.C.L.A. is presently engaged by the government through a technical assistance contract to assist in developing a comprehensive health policy and program. An overtone in this project is the development of a long range population control policy.

Elsewhere, in Chile the university has a linkage with the academic community in science and technology, which at the time of this visit had not been hampered or curtailed by the change in government. Also, in the past U.C.L.A. has assisted Korea in the development of training programs in banking.

The special assistant to the chancellor of the university, Mr. Svenson, coordinates the university's overseas technical assistance programs. He expressed considerable interest in a possible program to foster and develop policy research and education institutions in developing countries and; further, expressed the view that U.C.L.A. would undoubtedly be able to present impressive credentials in people with knowledge and overseas experience to undertake this kind of technical assistance.

He also suggested another dimension to consider in building policy research and education institutions. Good linkages already established between an American institution and a developing country on other substantive matters might serve as the basis for a rudimentary beginning in policy research and education. The Ghana project is a case in point. U.C.L.A. is there under a technical assistance contract to help develop a system for the delivery of health services. A dimension in a total health program is the development of policies and programs to control population growth. U.C.L.A.'s commitment to this project required agreement by the Ghanaian government that the population problem be analyzed and policy and program proposals developed. The point is that in a developing country where resources are limited and/or where there is hesitancy to buy a full-blown policy research and education institution, a small beginning might be made by concentrating on one policy issue which is related to a technological interest expressed by that country.

Organizational arrangement at U.C.L.A. put the special assistant to the chancellor in charge of coordinating the university's program overseas including review of contracts and grants for technical assistance. The chancellor's Committee on International Comparative Studies serves as the review body on the substance of all overseas undertakings.

Professor John Richard Sisson of the Political Science Department is chairman of the program on the Study of Development, a subsection of the chancellor's committee. A technical assistance undertaking such as envisioned in this survey would fall within the purview in the first instance of the Sisson subcommittee. Negotiations would be initiated at that point and ultimate review and approval of the project would be the responsibility of the chancellor's Committee on International Comparative Studies and the special assistant to the chancellor.

Professor Sisson expressed definite interest in institution-building for public policy research and education. Independently he has been developing some thoughts which might lead to a proposal in response to A.I.D.'s interest in establishing relations between American educational institutions with those abroad where through workshops and conferences a mixture of U.S. and foreign academic investigators jointly might address substantive policy issues and the process of policy analysis. In fact he thinks in terms of a series of such conferences or workshops in various parts of the world oriented to regional problems

or national problems. At the same time, this program would encompass the development of graduate training programs for scholars and public officials in policy analysis techniques. He views the total package as a program for developing institutions in less developed countries devoted to research and analysis and education on public problems.

The principal thrust of the program that Professor Sisson has been thinking about is quite similar to the underlying purpose of this feasibility survey. This model suggests another way of encouraging policy research and education institutions in developing countries. Professor Sisson's interest and independent thought regarding this public policy problem warrants further conversations with him if A.I.D. undertakes a serious effort to assist in the development of policy research and education institutions.

Finally, U.C.L.A. possesses extensive academic strength in certain programs which relate to this project. Its African Studies and Latin American Studies programs are of recognized quality. They are manned in depth with competent scholars and experts. The university has also been recognized for its quality in linguistics research and training. U.C.L.A. has conducted a number of projects in developing countries involving research on the need for national language policies and the relation of language policies to education.

Appraisal: U.C.L.A. creates a favorable impression as to interest, readiness and ability to undertake a technical assistance commitment to

institution-building for public policy research and education. There is evident seriousness and orderliness at this institution in approaching any overseas commitment. Whether the current approach and organization in this area at U.C.L.A. is born out of bitter experience or out of pure innovation makes no difference. The key point is that there is an aura of concern that the university undertake only those projects for which it possesses competence and where the contractual and grant arrangements are realistic and fair. The university has developed organization and procedures to assure that both of these conditions are met before it will assume major responsibilities. This is an impressive stance. It encourages one to look with favor on utilizing the strengths of this university where appropriate.

Regarding this particular policy research and education project, there are also some strengths at U.C.L.A. that should lead to further discussions if the policy research program is pushed. There is interest in the program and there is also evidence of sympathetic understanding of the nature of institution-building technical assistance that would be required. U.C.L.A. is ready, willing and able to render this sort of technical assistance with special reference to certain Latin American countries and African countries and perhaps the Philippines and Korea.

Boston Area

I. Harvard University (visited during the period January 25-29, 1971)

Four units at Harvard University seemed to be the most likely objects for this inquiry because of known interest in the development process and its contributions to knowledge about the policy making process in general. Results of inquiry as to the technical assistance stance of each of these units are reported below.

A. John F. Kennedy School of Government, Harvard University

Although there are people associated with this school who could make an important contribution to institution-building in policy research and education, the fact is that the school is not geared institutionally to undertake this sort of technical assistance. Emphasis here is placed on the development and conduct of graduate programs in research and education in public administration and public policy problems and process. Individual members of the faculty such as John Montgomery express interest in providing technical assistance to developing policy research institutions. They also are well prepared to do this by reason of their research and experience in developing countries. However, if they were sought out for this work, arrangements would probably have to be made to acquire their services under the administrative umbrella of another unit at Harvard such as the Development Advisory Service.

B. Development Advisory Service

This is an operating advisory and technical assistance service with considerable autonomy within the Center for International Affairs. A major thrust of this organization has been to render development advisory service under contract to less developed countries primarily on economic planning and development. Advisory personnel are frequently related to planning bodies and to budget and treasury organizations in developing countries. Over 80% of DAS administered expenditures in the last fiscal year were devoted to field projects, with the remainder assigned to research and teaching.

Major development assistance advisory projects have been administered recently in Colombia, Ghana, Indonesia, Liberia, Malaysia, and Pakistan. All are projects with primary focus on economic aspects of development. There is, however, more recognition now than before of the limits of economics and the contribution which other social sciences can make to an understanding of the development process. According to the latest annual report the DAS is now giving serious consideration to the desirability of undertaking some work in the other social sciences. Field projects are supported by the Ford Foundation (largest supporter), United Nations Development Program, International Bank for Reconstruction and Development and by the recipients of services. Corollary programs of training for staff members of project agencies and a public service fellowship program for nationals in project countries are also sponsored and managed by DAS.

Teaching and research on aspects of the development process comprise the balance of DAS activities. During the past year research has continued to focus on two broad themes: structural change and development policy. According to the Eighth Annual Report, "Research efforts have had a strong comparative emphasis and have concentrated on a few countries (Pakistan, India, Indonesia, Colombia, Korea) where staff members have maintained continuing contacts."

Appraisal: The deputy director of DAS, Walter Falcon, expressed considerable interest in the idea of encouraging policy research and education institutions in developing countries. He also described a number of considerations and conditions that should be kept in mind regarding this sort of institution-building technical assistance in general and DAS involvement in such a program. In the first instance DAS, as a policy, would not accept U.S. government money directly to provide technical assistance of this sort. From the DAS standpoint, it would be better to grant the money directly to a local national institution and permit that institution to contract for services.

Secondly, DAS is interested in comparative research in collaboration with overseas institutions in the conviction that the local research spin-off results may be the best way to build local institutional competence in policy research and education.

A third consideration is the burden of placing nationals of less developed countries for advanced education and training in American

institutions. Harvard could not agree in advance to providing graduate education for a given number of nationals from a developing country. Nor, it was asserted, would "twenty" of the top American educational institutions make this commitment in advance without knowing the qualifications of the people to be trained.

Finally, it is a difficult task to render instant assistance in designing research projects in a less developed country where the level of social science competence is limited. There is a lot of folklore about institution-building, but it is almost impossible to really become substantially involved as colleagues with counterparts in less developed countries except through long exposure. Institution-building for policy research and education has to be thought of as a long-term process.

In summary, the DAS is a highly competent organization in certain areas of technical assistance. Members of its staff have had impressive experience in overseas work and have learned a great deal about the complexities of the development process. Earlier views and assumptions have been altered considerably as a result of this experience.

The judgment is that DAS is well prepared in experience and understanding to undertake a project of assistance to a policy research and education institution in a developing country, if it were willing to do so as against other priorities. But, a persuasive case for the importance and prospects of such an undertaking would have to be made. The first

barrier to crack would be the issue of how the technical assistance would be financed. Some means other than a direct U.S. government contract or grant would have to be found.

C. Harvard School of Business

This institution was instrumental in building the Central American Institute of Business Administration, known as INCAE at Managua, Nicaragua. From the beginning, Professor George Lodge has been actively assisted in the development of this institution, from participation in the original feasibility survey down to the present, a period of more than five years. The original funding was made under an A.I.D. grant to the Harvard Business School with Ford Foundation funding for some scholarships. Other grants have been received including a recent \$500,000 grant from the Inter-American Development Bank for business research.

INCAE has been built on the Harvard Business School model. A two year full-time graduate business program leading to the masters degree is the core program. Seventy applicants a year are accepted for this program from more than five times that number of applicants. The case method of teaching is followed, and local cases have been developed for this purpose.

An advanced management training courses for six weeks full time for top-level managers in both public and private sectors have been developed more recently and have been well-received. A conference center has been constructed, the only one of its kind in Central America

devoted solely to conference work. Within five years a doctorate program in business administration will be offered.

The institution is governed by a board of directors of six people, one each from the five Central American states and Panama. Except for four members from Harvard, the faculty is composed of Central Americans most of whom have been trained at the Harvard Business School. The staff will be composed only of Central Americans in another year or so. A research program financed by the Inter-American Development Bank grant is now under way to enlarge and enrich the teaching materials. Students and faculty are jointly involved in this research program.

With this as background the principal matter of interest is whether or not INCAE might serve as a base upon which a Central American policy research and education institution might be developed. Pursuit of this issue is stimulated by the impression that a regional policy research and education institution might be appropriate in Central America and far more viable than an individual national institution in any one of the countries. The idea has been generally applauded by people familiar with the area, but the execution of the idea has floundered on the inability to identify a means by which it might be brought to fruition.

Mr. George Lodge responded positively to the suggestion that INCAE serve as the core for such an institution. In his opinion INCAE is firmly rooted in local support (region-wide), in local direction and local initiative. He would not fear the consequences of enlarging its scope to encompass

research and education on policy problems of region-wide concern. The Harvard School of Business might be amenable to a request to serve in a technical assistance role. If Harvard were to be involved, the financing of such a program would have to come via INCAE itself or via the Inter-American Development Bank or the Organization of American States. Again, as in the case of the DAS, the Harvard School of Business would probably not accept a contract or grant directly from the United States government to provide technical assistance services.

Appraisal: The Harvard Business School has been successful in helping to plan and build a Central American regional education institution. INCAE has responded to a need for improved knowledge and skills in a narrow area of business management. The substance of the educational program is non-ideological. It does not affront national feelings nor attack sensitivities on social and political issues. This is probably the reason for its acceptance and success as a regional institute. Whether or not this experience is applicable to regional public policy problems is a large question. Further research and study on this issue is needed. The apparent success of INCAE is sufficient to warrant further inquiry by A.I.D.

D. Center for International Affairs

Inquiry here revealed that this unit of Harvard is research oriented on a whole range of international affairs. The Development Advisory Service is the activist technical assistance arm of the Center and is

the unit most closely aligned with technical assistance activity of the nature sought in this project. The Center for International Affairs as the parent entity is neither interested nor prepared to undertake technical assistance support in behalf of institution-building in less developed countries.

II. The Fletcher School of Law and Diplomacy, Tufts University
(visited January 27, 1971)

This institution has a long history of interest and involvement in the development process. Members of the faculty, including the Dean, have occupied important official positions in U.S. foreign policy and operations agencies. Others have been involved directly in technical assistance work for A.I.D. At the moment the school is conducting a research and education program under contract with A.I.D. on certain aspects of the social and civic development process. The school is well staffed with individuals who are knowledgeable and concerned about institutional development on public policy and education.

There is also a willingness at the Fletcher School to explore the possibility of providing technical assistance to a developing policy research and education institution. However, the view was expressed that the Dean of the school has evidenced a prime interest in developing institutional relationships with developing countries with a little more emphasis on collaborative research than is suggested in the model conceived in this project.

Appraisal: Certainly there is knowledge and competence well distributed among the personnel in this institution about certain aspects of the development process. It appears, too, that there is understanding of the type of institution-building technical assistance envisaged in this project. The Fletcher School is approachable on this subject, and should be approached if the need arises. Caution should be exercised in such negotiations to appraise and ascertain the certainty and enthusiasm of the Fletcher School to undertake this kind of technical assistance as against its current interest in building country to country institutional relationships for collaborative research and educational purposes. A considered opinion is that there are other institutions reported in this survey which appear to be more oriented to and enthusiastic about the prospect of rendering technical assistance in behalf of building policy research and educational institutions.

III. African Studies Center, Boston University (visited January 28, 1971)

The African Studies Center at Boston University, established in 1953, was one of the first graduate programs in the United States to offer a multidisciplinary social science African program. The university received generous assistance from the Ford Foundation to develop this program.

The primary aims of the Center have remained substantially the same since 1953, namely:

1. Preparing graduate students for research and teaching on Africa in the fields of anthropology, geography, history, political science and sociology.

2. Increasing American understanding of Africa.

3. Stimulating interest in contemporary problems of Africa with a commitment to the discovery and transmission of knowledge to the academic community but also with a sensitivity to applied problems.

The Center is well staffed with multidisciplinary experts on various aspects of African life. Its principal devotion is to research and education on African affairs.

Appraisal: Institutionally, the African Center would be prepared to administer a technical assistance grant or contract, having had experience in these matters. The Center would be willing to talk about the possibility of rendering technical assistance to a developing policy research and education institution. Two factors, however, limit its flexibility and acceptability. First, the Center is completely oriented to one continent - Africa. Second, the Center appears to have more of a fixed interest in the development and dissemination of knowledge about Africa in the United States than in undertaking a responsibility to assist in developing an indigenous institution.

On balance this Center should not be considered a first-rate prospect for technical assistance responsibilities envisaged in this project.

IV. Center for International Studies, Massachusetts Institute of Technology
(Interview with Director in Washington on February 24, 1971)

The staff of the Center for International Studies is composed of 20 to 25 people. Two of these are full-time researchers and the balance carry full-time teaching loads on other faculties. Political science is more heavily represented on the Center's staff than any other discipline. Any of the staff carrying full-time teaching loads can arrange for time off to undertake other outside assignments. This means that technical assistance assignments for staff members who are interested can be arranged.

The Director of the Center expressed interest in the prospect of assisting policy research and education institutions in developing countries. The Center would most certainly be willing to talk about the possibility of undertaking technical assistance backstopping for such an institution if approached by A.I.D.

M.I.T. has a natural interest in Colombia by reason of previous projects there and many Colombians who have attended M.I.T. maintain an active alumni association. Practically all of these people have been educated in the engineering and physical sciences. Essentially, their usefulness in a policy research project would be in their expression of good will toward their alma mater. Possibly some of these graduates would serve as ambassadors in seeking local financial support for the institution.

The director also suggested another dimension in technical assistance for which M.I.T. might be eminently prepared such as placing in one American institution responsibility for assisting developing institutions which might be established to further research and education in science and technology and the social sciences. At the talking stage at M.I.T. is the suggestion that the Center for International Studies should have associated with it members of the science and engineering disciplines who are interested in the impact of science and technology on development.

Appraisal: Interest and competence, especially on the part of the Director, in development research and assistance, would put this institution high on the list of those eligible to undertake technical assistance work in institution-building.

V. New England Center for Continuing Education (Kellogg Center),
Durham, New Hampshire (visited on January 29-30, 1971)

As a part of its national program for encouraging continuing education this Center was founded by the Kellogg Foundation in 1965. It is unique among the Kellogg centers in that the Center is regional in its scope and orientation. Its policy board is made up of the presidents or chancellors of the six New England state universities. Each of the state universities has received program grants which tie them to the Center.

The Center is a cooperative venture among the six state universities in educational matters of common concern to the New England region.

The new learning and residence facilities provide a study home for ongoing regional groups. In addition, each of the six state universities has a modest grant from Kellogg to encourage adult study and education activities in selected areas such as gerontology, teacher education, health, etc.

The University of New Hampshire, on whose campus the Center is located, has chosen to foster special programs in education in international affairs. A member of the School of Economics and Business Administration is associated with the Center on a part-time basis to develop this program. His international experience includes two technical assistance assignments for the United Nations on economic planning and fiscal matters - one in Indonesia and one in Ethiopia.

This Center is prepared to render technical assistance on the education side of public policy development, for adult education is the core substance of its mission. It would also be prepared to administer a technical assistance contract or grant. The principal challenge to the Center would be to provide research competence on public policy issues in the social sciences. This research competence does not exist beyond one person on the immediate staff of the Center. However, the Center's drawing power extends to the faculties of the six New England state universities and indirectly to all other institutions of higher learning in New England. A veritable wealth of talent is available in these institutions but the Center has had only limited experience in generating a collaborative effort of this kind.

Appraisal: The New England Center would be interested in undertaking a technical assistance assignment in behalf of assisting a policy research and education institution in a developing country. The Center is prepared to administer a technical assistance grant or contract. It is also pre-eminently qualified to assist in designing public policy educational programs from within its own staff resources. It is not adequately staffed to provide research talent in the social sciences. The test in any negotiations with the Center would be its ability to attract appropriate substantive experts from other New England institutions who are also interested in institutional development.

New York Area
(February 24-26, 1971)

I. United Nations Institute for Training and Research (UNITAR)

In 1963 the General Assembly of the United Nations authorized the Secretary General to establish an institute for the following purpose: "to enhance the effectiveness of the United Nations in achieving the major objectives of the organization, particularly with regard to the maintenance of peace and security and the promotion of economic and social development."¹ This broad objective has been more precisely refined in practice to include the conduct of independent research on "fundamental problems which directly affect the work of international organizations and nations and peoples which they serve...in the

1. UNITAR, brochure of the United Nations.

attainment of peace and the improvement of the lot of nations and peoples;"^{2/} and conduct of training "to enable the nations and peoples to cooperate in the tasks of evolving the best solutions available"^{3/} in maintaining peace.

The view was expressed that in the original vision of UNITAR, institution-building in developing countries was a part. UNITAR was conceived of as a United Nations "Brookings Institution" with an added dimension of aiding in the building of like national institutions. But, the sights for UNITAR seem to have dropped, especially in the early years and particularly on the part of U.S. supporters. In any event the current effort is devoted to trying to enlarge the capacity of UNITAR so that it can assist in institution-building. However, that capacity is not now in existence. To build that dimension into UNITAR would take an enlarged budget.

The current staff of this institution fluctuates between 20 and 30 people mostly concerned with research on problems such as the criteria and methods of evaluation of development programs, use of mass media of information on the United Nations, status and problems of small nations, wider acceptance of multilateral treaties to name some. The training side of UNITAR is small, a major program being a course for diplomats of new nations which is conducted in Geneva under the auspices of the Higher School for International Studies at the University of Geneva.

2. Ibid.

3. Ibid.

Appraisal: UNITAR would like to undertake a technical assistance project to assist in building a policy research and education institution in a developing country. The Executive Director feels that the autonomy and independence of UNITAR are factors to consider in its favor, plus its drawing power on experts from many countries. He feels that this could be done under a special purpose grant from A.I.D. The test would be to ask UNITAR to draw up a plan for assisting such an institution.

One is impressed with the enthusiasm displayed in behalf of institution-building along the lines suggested in this project, but there is serious doubt that UNITAR has the capacity to undertake such a project at this stage of its own development. Furthermore, there is the legal question to be resolved, whether A.I.D. could make a grant to the United Nations for this purpose. The preferable method would be to persuade the United Nations Development Program of need and readiness for such an institution in a particular country with technical assistance financed by that program through UNITAR.

II. Academy for Educational Development

The Academy for Educational Development Inc. is a nonprofit tax-exempt corporation which serves schools, colleges, universities and governments at all levels and other organizations in improving operations and in developing plans for the future. In a loose sense this organization can be considered a nonprofit management consulting group with a special

focus on organization and planning problems in educational systems. The academy is oriented primarily to domestic educational problems; however, it lists A.I.D., UNESCO, Fund for the Advancement of Education as clients served through the development of plans for improving instructional technology in developing countries, evaluating educational television, assisting legislative bodies, etc.

Actually, this academy maintains a small permanent professional staff composed of approximately twenty research people and report drafters. Each project study is guided by a panel of experts who serve as consultants and advisers for individual studies. The list of consultants and advisers reads like a blue-ribbon list of educators, educational administrators and men of professional competence. All on the list appear to have full-time responsibilities in other organizations. Consequently their services can be called upon for limited consultation and on a time-available basis.

Mr. Edward Barrett, senior adviser at the academy, first responded with an enthusiastic affirmative concerning the willingness and competence of this academy to undertake a fairly long range overseas technical assistance project. Upon further discussion he expressed an obvious hesitancy as he thought further about the long range institution-building aspects of a project of this sort. He felt that the academy could participate best in designing a policy research and education institution, but it

would not have within its permanent staff the scholarly resources to back up the project.^{4/} [See insert, page 31a, for Appraisal of the academy]

III. International Institute for Education, New York, N.Y.

This institution has been known principally as an administrator of grants, domestic and foreign, to enable students of many countries to continue their studies in other countries. It also administers programs enabling government, business and professional leaders and specialists to learn, advise and teach outside of their native countries.

Over fifty years the Institute has developed an outstanding reputation in the work of administering foreign educational exchanges. Its programs have grown to the point that in the fiscal year ending in 1969 the Institute administered approximately twenty million dollars worth of program grants. Financial support for these programs came primarily from private gifts and foundations, U.S. government, foreign governments, the United Nations and specialized agencies including UNESCO and the World Bank. During that year a grand total of nearly 7900 students and specialists were supported in educational exchanges broken down as follows: 5786 foreign students in the U.S.; 506 foreign specialists in the United States; 269 U.S. specialists in foreign countries; and 1223 U.S. students in foreign countries.

4. In a letter received from Mr. Barrett a few weeks after this visit he reconfirmed the interest of the academy in this kind of technical assistance undertaking and stated that he had discussed this matter with members of the Board of the academy.

Insert, page 31

Appraisal: [Academy for Educational Development]

It is doubtful whether this academy would be prepared to undertake a long-range institution-building project overseas. Within its reservoir of part-time consultants and advisers are people who are eminently qualified in scholarship and education administration to render technical assistance to a developing institution devoted to policy research and education. However, it is doubtful whether the talent available could be committed for continuous assistance over a fairly long period of time required to build an institution. The full-time staff is not qualified to do this. Actually, the real strength offered by this academy would be the designing of a plan for the organization and operations of a policy institution, rather than in rendering follow-up technical assistance. This is the primary nature of its work in connection with domestic educational problems.

The educational exchange programs per se do not qualify the Institute for International Education as an organization for technical assistance in institution-building overseas. One official at the Institute immediately volunteered that reaction when the project was described. Another official, however, was more enthusiastic about I.I.E.'s interest and competence in this respect. He referred to a current institution-building project in East Pakistan. In this case I.I.E. is providing technical assistance support in developing a science and technical training institute. A.I.D. and the Pakistan government are funding the project. The objective is to improve the teaching of science and technical training in East Pakistan in order to upgrade science education in that country. Six long-term senior people have been recruited for the project and fourteen short-term professionals will be recruited and sent to conduct special training programs during the life of the project. It is hoped that the Pakistan institution will not only be able to upgrade the teaching of science in that country, but will become a center in the long run for continued interaction among local scientists and those from other parts of the world. Cost of this technical assistance project will exceed one third of a million dollars.

Appraisal: The International Institute for Education has not undertaken many institution-building projects. For over fifty years its primary efforts have been concerned with administering educational exchange programs financed by a number of sources. The Institute has

served as the administrative agent for these funds. The I.I.E. has a far flung organization reaching into many countries and a network of offices and representatives in the United States to enable it to accomplish its purpose.

The project in Pakistan to provide technical assistance in upgrading education in science and technology is of recent origin. It is an institution-building project in education. The Institute must recruit substantive experts from outside for this work. It would have to do the same thing in the social sciences if it undertook to provide assistance in developing a public policy institution. Organizationally the I.I.E. is prepared from long experience to administer grants and contracts. The Institute would perhaps not be the first to which one would turn to provide technical assistance in building a policy research and educational institution; yet it has a worldwide network of relations with educational institutions which could serve as a valuable resource to draw on.

IV. International Council for Educational Development

This institution absorbed the organization formerly known as Education and World Affairs.

After receiving a description of this project and the purpose of the visit, the President of this Council responded that his organization was not prepared to undertake technical assistance of the nature required in this program. Nor does this organization have resources from which it makes grants for this purpose.

V. Columbia University, South Asian Institute, Professor Harold Wriggins

Professor Wriggins expressed great sympathy and enthusiasm for the idea of developing and assisting policy research and education institutions in developing countries. He recognizes the need and understands the concepts involved in institution-building assistance under consideration in this project.

Under certain conditions Columbia University would probably be interested in undertaking such a responsibility. Amount of freedom permitted to the assisting institution would be a major requirement. At Columbia either the School of International Affairs or the Asian Institute could negotiate a contract or grant for technical assistance projects and both would be prepared substantively and administratively to execute it.

Appraisal: The Asian Institute should be considered favorably in evaluating institutional resources for technical assistance in the development of public policy institutions. The Institute's special interest resides in Asian studies; therefore, it is a more likely choice for technical assistance work in that part of the world as against other areas. An impressive factor is Professor Wriggins' sympathetic understanding of the nature of the objectives of this project, and his keen appreciation of the kind of technical assistance that would be needed.

VI. The Ford Foundation

The surveys in Colombia and the Philippines revealed some hopeful signs for the development of policy research and education institutions.

In each country the climate for free research and expression on public problems is reasonably assuring; leaders in both the public and private sectors possess a minimum understanding of the concepts surrounding such an activity and they express interest in furthering the idea. There are also signs that the endeavor might be privately financed in a large measure in each country. Official American financial assistance either for capital endowment or for technical assistance would not be looked upon with favor.

Under these conditions it is important to know whether the Ford Foundation, among others, would possibly provide financial assistance to a public policy institution in either of these countries; or in other countries where certain conditions exist: where there is a local recognition of need for dispassionate research and study of public problems and a positive desire to meet the need; where the political climate will permit the development and dissemination of information on key economic, social and political issues; where there is positive evidence of willingness on the part of local leaders, public or private or both, to take the initiative in organizing an institution devoted to this purpose and to pledge moral and financial support to it; where scholarly talent in the social sciences is available or potentially available to staff such an institution; and where additional financial assistance is needed from a source outside of official U.S. government channels.

The clear impression received is that the Ford Foundation would be willing to consider a request for such assistance and would give thoughtful consideration to the need and to the prospects for such an institution.

The Ford Foundation has a long record of granting support to the development planning functions in a large number of developing countries. It also has a serious interest in developing institutions which are devoted to neutral research and study of public problems. In many countries, especially in Asia, support has been given to official bodies; in others, the Foundation has supported semi-independent social and economic research bodies. Consequently, the idea of public policy research and education is not new to the Foundation. Although funds for overseas development projects of this kind are evidently more scarce than in the past, the picture is not hopeless. A well-conceived policy research project would receive careful consideration.

If positive steps are taken to create public policy institutions in the Philippines or in Colombia and if some capital or technical assistance financing from private sources is required, the Ford Foundation should be approached. It is also within the realm of possibility that the new Korean Development Institute might receive favorable response from Ford if the case for non-official U.S. technical assistance support is made convincingly.

VII. Other Institutions

At the time of the New York visit it was also intended to ascertain the possibility of obtaining United Nations financial support for policy, research and education institutions in countries where the United States must maintain a low profile. The United Nations Development Program and the Bureau of Technical Assistance are particular U.N. units where support might be obtained. Unfortunately, the key officials in both of these organizations were attending meetings in Asia and the subject could not be effectively pursued.

It was agreed that a second trip to New York solely for the purpose of reaching appropriate officials in the United Nations need not be made. It is noted here, however, that in the event there is good prospect of developing a policy institution in a country where multilateral support is required or advisable the United Nations should be canvassed.

Midwest Area (March 1-2, 1971)

I. Michigan State University, Office of International Studies and Programs

The Office of International Studies and Programs, headed by Dean Ralph H. Smuckler, is the coordinating point for Michigan State's involvement in international affairs. The strategy of the Office has been to encourage cooperative action among the various colleges and institutes rather than centralize at one point all international educational activity, area studies, overseas technical assistance and research projects and administration of faculty and student exchange programs.

In 1967, when the second edition of The International Programs of American Universities was published, Michigan State with twenty-two programs was ranked ninth among the nation's colleges and universities in number of international programs. This ranking represented tremendous growth in involvement in international programs since the 1958 ranking. In scope the International Program at Michigan State University currently includes the Dean and the staff of the Office of International Programs, five area studies centers, four functional institutes, and twenty-two international programs which include technical assistance educational programs in Pakistan, Central America, Argentina, Brazil, Peru and Turkey, overseas research programs, and faculty exchange programs. The university is also a member of six separate consortia involving nineteen different U.S. colleges and universities devoted to international activities. In all the university has received approximately 3 million dollars in grants from the Ford Foundation beginning in 1957 in support of various international activities.

Michigan State University, through its Office of International Programs, is well prepared by reason of extensive experience to undertake research and educational technical assistance in less developed countries. This vast experience has also produced caution and contemplation about the impact of its work in developing countries and the utility of this experience in the enrichment of education and research at home.

If there is any noticeable change in the university's approach to international programs it is to be found in an increased concern about developing more systematic evaluative procedures and a growing emphasis on research in the whats, hows and whys of institution-building.

In respect to this project, the Office of International Studies and Programs would not be averse to negotiating an agreement to undertake technical assistance responsibilities relating to policy research and education. Any caution expressed is commendable because from experience there is recognition of the sensitivity of such a project and the many possibilities of failure. Careful analysis of the prospects in a particular country would be made before decision. Colombia and Korea are appealing to this institution because of past technical assistance experience. Pakistan does not engender the same enthusiasm.

Appraisal: The Office of International Studies and Programs at Michigan State University should rate a plus as an institution qualified to provide technical assistance in building policy research and education institutions. The reasons are: its extensive overseas technical experience in education, financial administration, agriculture and communications; and the availability of people at the university with this experience and with a high competence and interest in policy research and education; evident concern and interest in furthering the field of knowledge about institution-building; the organized effort being made

to construct more systematic evaluative procedures by which to judge the impact of its overseas work; an understanding of the scope and nature of the kind of policy research and education activity conceived in this project; and a flexible attitude as to the variety of institutional models that might be considered appropriate in any particular country or region.

II. Midwest Universities Consortium for International Activities, Inc.,
East Lansing, Michigan

MUCIA was organized in 1964 with a grant from the Ford Foundation to help member institutions give more effective technical assistance abroad. Its membership is made up of five major public universities: Indiana University, University of Illinois, Michigan State University, University of Minnesota and the University of Wisconsin.

Its stated goals are: "effective performance, academic excellence, and international leadership." One of the major objectives is to establish a worldwide network of higher education with functional working relationships with institutions throughout the world to exchange data, publications, research findings and materials.

MUCIA has pooled its resources in four major overseas assistance projects currently in operation:

- Basic science exchange program with La Molina (the Agrarian University at Lima, Peru).

- National Institute of Development Administration, Bangkok, Thailand--involves teaching, training and research programs in the various fields of development administration, such as public administration, business administration and development economics.

- Korean education project which provides consultants to the Korean government for its long range educational planning agencies.

- Indonesian agricultural education program which involves assisting the Indonesian consortium of agricultural facilities.

Individual research projects sometimes carried on by small groups constitute the bulk of overseas activities of the consortium. Also, major emphasis in the MUCIA program is on research and training in institutional development--on the functions and processes of an institution as well as the linkages of the institution to the broader system of performance in a society.

The consortium draws on the resources of five major universities, and receives support from these universities in its research and training as well as support from the Ford Foundation and from A.I.D. contracts.

The executive director of MUCIA expressed interest in a possible institution-building project for policy research and education but only under the condition that it be a long-term arrangement. Its primary interest would be in institution-building--not in extractive research. Therefore, experience dictates that this sort of project cannot be successfully undertaken on a short-run basis.

Appraisal: The expressed sympathy with institution-building technical assistance and the evident understanding of the complexities involved in this kind of assistance by MUCIA lead to the opinion that this consortium should be placed high on the priority list of institutions ready, willing and able to provide technical assistance in policy research and education. Additionally, with the staff resources of five universities available and a salary guarantee program subsidized by the Ford grant, it would seem possible to attract able talent to assist in a technical assistance project of this kind.

III. University of Minnesota

A. Academic Office of International Programs

An associate to the vice president of the university is in charge of this office which serves as a coordinating point in the university for international programs including technical assistance projects.

Dr. William E. Wright, who heads this office, expressed definite interest in an institution-building project for policy research and education.

According to him, the University of Minnesota itself would be interested in exploring with A.I.D. an institution-building technical assistance project. If, however, such a project appeared to require resources beyond the reach of the University of Minnesota, the Midwest Universities Consortium for International Activities would be called upon. He expressed great satisfaction with the effectiveness with which the five universities had cooperated through the consortium arrangement.

B. Center for Comparative Studies in Technological Development and Social Change

This center's main thrust is the conduct of true interdisciplinary research on theories of social change. An underlying assumption is that except for economics, there are virtually no theories in social science with any significant deductive power. Studies of technological development and social change cannot be put to maximum use either for general understanding of the process of development or for adequate grounding for public policy until much more deductive power is built into the social science theories on which these studies are presumably based. This means a greater application of the mathematical science in social research efforts. The activities of the center are directed toward this end.

The center also assumes that successful interdisciplinary research cannot be solved by administrative centralization of the communication system. Conditions must be made possible to bring together, in a semi-structured setting, groups of scholars from various disciplines who are working on related problems so that common interests can emerge and experience can be shared in applying expertise to solving problems. This is what is attempted here.

The center is devoted to "pure" social science theory and research and cross cultural longitudinal research. It is not policy problem solving oriented. In the long run the results of this research effort may be of great value to policy research and education, but not now. Nor is the

center interested in being sidetracked from its central interest in order to undertake policy research institution-building responsibilities.

The only possibility of obtaining the interest of this center in institution-building technical assistance would be in a country which has committed itself to do something in certain areas of development but has great hesitancy as to how to proceed. Basic research in social change might be acceptable because it would be nonsensitive. The major difficulty is that the transition from basic social research into public policy would take a long time.

The four major lines of inquiry going on at the center are:

(A) the political basis of economic development; (B) urbanization and development; (C) the family as a problem-solving unit; (D) foreign aid and technical assistance. Field studies in Morocco support the first line of inquiry and in Mexico and India the second. These are longitudinal studies in depth, the results of which will not be known for a number of years. They seem to be well-conceived and should contribute to knowledge about social change.

Appraisal: Expressed lack of interest in applied research eliminates the Center for Technological Development and Social Change from serious consideration as an institution which on its own would provide technical assistance in policy research and education. Nevertheless, the interdisciplinary talent connected with the center and the "pure" research going on here on social change theory enhance the capacity of the

University of Minnesota to provide technical assistance in policy research and education. Some of this rich resource could undoubtedly be drawn upon by another unit at the university in a technical assistance project.

C. Department of Agriculture and Applied Economics, University of Minnesota

A separate entity at Minnesota known as the Economic Development Center combines the efforts of the Department of Economics and the Department of Agriculture and Applied Economics in international affairs. It appears that in the technical assistance sphere the Department of Agriculture and Applied Economics is the more dominant of the two departments because of the heavy concern in many developing countries about agricultural development. Economic development assistance programs have been organized in this center separately from the international activities of the other social science departments out of concern that the economist might dominate if the two were put together.

The Department of Agriculture and Applied Economics as a part of the economic development activity of the university has had considerable work abroad. Among other projects, the current technical assistance project under A.I.D. contract in Tunisia is one of the most interesting. On a long range contract (five years subject to renewal) the department is engaged in institution-building for research in both the technical and economic aspects of agricultural development.

Most impressive in regard to this project is the attitude and understanding expressed by Professor Vernon Ruttan and other members

of the economics and agriculture and applied economics faculty about the complexities and challenges involved in building institutions for research and education in developing countries. Out of experience this task is recognized as a long-term challenge. Furthermore, the quality of the technical assistance staff is recognized as key to the success of such an endeavor. And it is frankly acknowledged that any such technical assistance project must complement the professional interest of those selected for the project.

Policy research and education in developing countries is looked upon with favor among those connected with this entity at the University of Minnesota with laudable reservations as to amount of time that would be allowed for an institution-building project, the place, local conditions and the professional attraction. Certainly, there is evidence of experienced talent available here.

D. School of Public Affairs, University of Minnesota

This organization is in process of renewal. After a period of some years of existing at an academic plateau on the excellent record developed two or three decades ago, this institution is now on the move. It has acquired new leadership in Dean John Brandl. The school is revising its curriculum and rebuilding its staff. It now has ten full-time staff members in the social sciences (other than economics) and in public administration, twenty adjunct faculty drawn from other social science faculties, and fifty students. Growth in all these areas is in prospect.

The International Relations Center of the university has been joined to this school so that it now represents the social science thrust in international affairs at the university. The core curriculum centers around methods of analysis of public policy problems (including economic analysis) with specialized track courses in functional and problem areas such as urbanism, development, transportation, etc.

The school is interested in institutional development in less developed countries. Research in institutional development is under way at the school supported by funds received from the Midwest Universities Consortium for International Activities, Inc. The Dean expressed definite interest in undertaking technical assistance projects in support of policy research and education institutions in developing countries.

The school is located physically in the Social Science Center which brings together all of the social science departments other than economics. There is an impressive array of talent represented in these faculties, including area specialists in international affairs.

Over-all Appraisal - University of Minnesota: A most favorable impression is obtained at the University of Minnesota relating to the readiness, interest and availability of talent for overseas institution-building assistance. The following elements and features in the picture encourage positive evaluation of this institution:

- a large resource of competent social science talent;
- considerable background of experience in technical assistance work;

- a concern about gaps in our knowledge about how to build institutions and a research effort to help fill these gaps;
- a research program well under way to develop knowledge about what factors in a society influence social change;
- an interest in institution-building assistance, an understanding of the complexities involved, and a humility about the possession of sure-fire answers.

Finally, the university presents a picture of being well-organized to deal with in negotiating a technical assistance project. The logical point of contact in order to obtain the coordination of the segmented resources in research and education in international affairs is the Academic Office of International Affairs, headed by an Associate Vice President. In addition to university-wide resources, this office is an entree to the resources of the Midwest Universities Consortium for International Activities, Inc. The Associate Vice President is a member of the MUCIA Board of Directors.

IV. International Development Research Center, Indiana University
(Report based on interview in Washington with the Director of the Center, March 11, 1971)

The key objective of this center, "around which essentially all other activities cluster, is to sponsor broadly gauged research investigations and products, the last specifically reflected through the establishment of a volumes and monograph study series."* The

* From "Information Materials" prepared by the International Development Research Center for the Brookings Institution, February 1971.

center was established in 1962 with the general aim of promoting the study of economic, political and social aspects of international development processes. Initial funds came from a Ford Foundation grant for five years to Indiana University to support international programs. A second five year grant was made by Ford in 1966.

Two key premises are enunciated as guides in defining the center's goals: (1) that the highest comparative advantage of the university in contributing to social knowledge and policy sophistication through research is to serve as a resource for sponsoring broad gauge, essentially "book-type" research products; and (2) that each of the research activities should have a strong interdisciplinary orientation. The first premise requires special nurturing because of the severe pressures on faculty to become involved in short-term public service related activities both on and off campus. The approach to fulfilling the second premise is to develop "program coteries" of scholars working in cognate, yet separate, individual undertakings. This approach is in contrast to the theme of interdisciplinary action being undertaken at Minnesota in the Center for Comparative Studies in Technological Development and Social Change where "communications" techniques among the scholars from different disciplines are emphasized in problem solving.

The umbrella areas upon which the research program at Indiana has centered since 1967 are:

1. Human Resources and Development: family planning evaluation; comparative migration and settlement problems; case studies of human resources development problems.

2. Development Planning Theory and Practice: theoretical studies on techniques of planning along with a number of partially theoretical or semi-empirical work on how planning experiences have worked out.

3. Rural Modernization Processes and Development: land reform and change in an Egyptian village; comparative economic study of market power in agricultural and retail trade sectors in a number of Latin American and African states; rural politics and social change in the Middle East.

4. Development and Planning Transitions in East Europe: studies of actual or attempted changeovers in Eastern European economics from command-type systems to more market-oriented systems.

5. International Organization and Development: study of UNRWA; study of evolving interrelations between "third world" nations and international legal organizations.

Since 1967 the center has given support to twenty-three research scholars chosen from the Indiana faculty and elsewhere; awarded nine fellowships for advanced degree dissertations; published two books on development with three more ready for review, and a large number of selected and occasional papers.

Appraisal: It is evident that a major thrust of this center is toward in-depth research on various aspects of development problems.

Even with this emphasis the center's leadership recognizes the need to respond to public service demands. Affirmative interest was expressed in technical assistance backstopping in behalf of developing policy research institutions abroad. The center represents a rather broad array of scholars and disciplines concerned with development and these could be drawn upon for technical assistance responsibilities. Certainly this center represents a resource to consider for technical assistance work. It is willing to consider such a responsibility. Whether its drive toward scholarly research as against public service activities would make it any less prepared than other organizations for institution-building work should be probed further if a real case of need were to arise.

APPENDIX B

INTERVIEWS

- Country Surveys
- Domestic Institutions

BRAZIL

Interviews

Rio de Janeiro - August 1-11, 1970

U. S. Government - AID, U.S.I.A., and State Department

- | | |
|--|---|
| 1. William Lawson, Jr.
Director
Public Administration Division
U. S./AID Brazil | 8. George Forner
U.S.I.A./U. S. Embassy
Brazil |
| 2. Joseph Harman
I.R.S. (Chief of Party)
U. S./AID Brazil | 9. John Mowinckle
Public Affairs Officer
U. S. Embassy, Brazil |
| 3. Inea Fonseca
Program Representative
Public Administration Division
U.S./AID Brazil | 10. Martin Ackerman
Cultural Affairs Officer
U. S. Embassy, Brazil |
| 4. Robert J. Balantyne
Deputy Director
(Acting Director)
U.S./AID Brazil | 11. John Corcoran
Griffenhagen-Kreeger
AID contractors
Ministry of Finance -
Brazil |
| 5. Robert Young
Deputy Director
Public Administration Division
U.S./AID Brazil | 12. Owen Lustig
Evaluation Officer
U.S./AID Brazil |
| 6. Richard McGurdy
Human Resources
Office (Education)
U. S./AID Brazil | 13. William Walker
Political Officer
U. S. Embassy/Brazil |
| 7. Allen James
Formerly U.S.I.A.
U. S. Embassy (Retired) | |

Brazilian (Rio) Academic Community

- | | | | |
|-----|---|-----|--|
| 14. | Luiz Simoes Lopes
President
Getulio Vargas Foundation | 22. | Diego Lordello de Mello
Director
Brazilian Institute of
Municipal Administration
IBAM |
| 15. | Beatrice Warlich
Professor of Public Administration
Getulio Vargas Foundation
(Formerly Director, Public
Administration Center, Vargas
Foundation) | 23. | Julio Reis Vieira
Director
Public Administration
Research Center
Vargas Foundation |
| 16. | Benedito Silva
Director of Publications
Vargas Foundation | 24. | Dr. Isaac Kerstenetsky
Former Director IBRE/FGU
Brazilian Institute of
Economics
Vargas Foundation
President - IBGE |
| 17. | Kleber Tatinge Nascimento
Director, Brazilian School of
Public Administration
EBAP
Getulio Vargas Foundation | | |
| 18. | Candido Mendes
Director
University Institute for Research
of Rio | | |
| 19. | Amanry Desouza
University Institute for Research
of Rio | | |
| 20. | Helio Jaguaribe
University Institute for Research
of Rio | | |
| 21. | Roberto Cardoso de Oliveira
Director-Post Graduate Program
in Social Anthropology
National Museum
University of Rio de Janeiro | | |

American Academic Community - Rio de Janeiro, Brazil

25. Simon Schwartzman
Full-time Researcher
Public Administration Research
Center
Getulio Vargas Foundation
26. David Nasatir
Coordinator of International
Research
University of California
(AID technical assistance
contractor at Vargas Foundation -
summer 1970)

International and Other United States Organizations

27. Eduardo Albortal
Resident Representative of the
United Nations Development
Programme in Brazil
28. William Carmichael
Regional Director for Latin
America
Ford Foundation

Private Sector

29. Jack Wyant
Council of the Americas
(A service organization for U. S.
business community and Latin American
affiliates with headquarters in Rio)
30. H. M. Z. Wohrle
Director - Vice President
Banco Lar Brasileiro

31. Jose Sette Camara
Managing Editor
Journal do Brazil
32. Vascoheitaõ de Cunha
Former Ambassador to the
United States (now in private
practice and consulting)

SAO PAULO
August 11-13, 1970

U. S. Government - State Department

33. Francis X. Lambert
Acting Principal Officer
American Consulate
34. Paul D. Taylor
Economic/Commercial Officer
American Consulate
35. Alan Fisher
Branch Public Affairs Officer
American Consulate
36. Alan Silberman
Labor Officer
U. S. Consulate
Sao Paulo

Brazilian Academic Community (Sao Paulo)

37. Professor Gustavo de Sa e Silva
Director, School of Business
Administration
Vargas Foundation-Sao Paulo
38. Professor Fernando Cardoso
Brazilian Center for Analysis
and Planning - CEBRAP
(Ford Foundation support) and
two colleagues

American Academic Community in Sao Paulo

39. Professor Russell M. Moore
Latin American Teaching Fellow
Getulio Vargas Foundation, S. P.
40. Professor Douglas Graham
Chief, Vanderbilt University Group
at the Faculty of Economics,
University of Sao Paulo

American Private Sector - Sao Paulo

41. Harold Walker
Managing Director
Union Carbide do Brazil
42. Mark Verhyden
Managing Director
Caterpillar-Brasil, S.P.
43. Sidney John
Caterpillar-Brazil, S.P.
(American trained person of
Brazilian extraction)
44. Henrique A. Araujo
Director of Public Affairs
American Chamber of Commerce
of Brazil

Brazilian Private Sector

45. Dr. Jose E. Mindlin
Director of Metal Leve S.A.
Vice President of the Federation
of Industries of the State of Sao
Paulo-FIESP

46. Dr. and Mrs. Laerte Setubal, Jr.
Director
Department of Foreign Commerce
of the Federation of Industries of
the State of Sao Paulo, FIESP
Commercial Director of Duratex, S.A.
47. Schuyler Carlos de Figueiredo Pulford
President
Sears, Roebuck, S. A.

COLOMBIA

Interviews

October 31 - November 6, 1970

U.S. Government - Embassy and A.I.D. Personnel

1. Stanley Applegate
U.S. A.I.D./ Colombia
2. Andrew Barta
Consultant
U.S. A.I.D./ Colombia
3. Marvin Weissman
Director
U.S. A.I.D./ Colombia
4. Jack Eddison
Harvard Advisory Group
U.S. A.I.D./ Colombia
5. Leonard Kornfeld
U.S. A.I.D./ Colombia
6. James Plummer
U.S. A.I.D./ Colombia
7. Joseph Sconce
U.S. A.I.D./ Colombia
8. Robert Stephenson
Chargé
U.S. Embassy
Colombia
9. Earl Lubensky
U.S. Embassy
Colombia
10. Cabot Sedgwick
U.S. Consul
Medellin, Colombia

Colombia Private Sector and Academic Community

11. Miguel Bermudez
Director, FICTEC
(an independent technical institute
to assist small and medium size
business in use of new technologies)
12. Antonio Copello
Director of ANDI
13. Humberto Rosselli
Private practice of law and
part-time professor
National University
14. Otto Morales Brintes
Lawyer
15. Rodrigo Escobar
Economic Adviser
to President
University of the Andes
16. José de Recasens
University of the Andes
17. Mario Loserna
Alumni
University of the Andes
18. Simon Gonzalez
Director
INCOLDA
19. Eduardo Wiesner
University of the Andes
20. Alberto Vasquez
Private industrialist
Medellin, Colombia.
21. Herman Gomez Gonzalez
Director
School of Public Administration
and Finance
Medellin, Colombia

Private U.S. Sector

22. J. W. Nutt
International Petroleum
23. James Wible
International Petroleum

Colombian Government

24. Miguel Urrutia
Director
Banca de la Republic

United Nations

25. Oreste Popescu
U.N. Consultant
School of Public Administration

BOLIVIA

Interviews
August 13-18, 1970

U. S. Government - Embassy and A.I.D. Personnel

1. Edward Coy - Director, U. S. AID/Bolivia
2. Harold Birnbaum - Assistant Director/Program
U. S. AID/Bolivia
3. Kenneth Johnson - Public Administration Division,
U. S. AID/Bolivia
4. Perry Shankle - Political Officer, U. S. Embassy,
Bolivia
5. Richard Plummer, Capital Development Office,
U. S. AID/Bolivia

Bolivian Academic Community

6. Marcello Cespedes - Former Director, Superior Institute
of Public Administration, presently, undersecretary,
Ministry of Planning concerned with implementation of the
Administrative Reform Act.
7. David Amado - AID technical assistance person from Panama
working with Institute
8. Father James Burke (Dominican order) - Director, Bolivian
Institute for Research and Social Action (IBEAS)

International Organizations

9. Gaston Urriolagoitia, Director, Office of Organization of
American States, Bolivia
10. Luis Perez-Arteta, Resident Representative, United
Nations Development Program in Bolivia

Private Sector

11. René Ballivian, Vice President, Banco Hipotecario Nacional

Bolivian Government

12. Senora Julia Elena Fortun, Dereccion National de Cultural, Ministry of Education

Also listed above under academic community - Marcello Cespedes, who is serving as undersecretary, Ministry of Planning to implement the Administrative Reform Act.

COSTA RICA

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Interviews
July 28-31, 1970

U. S. Government - Embassy and AID Personnel

1. Lawrence Harrison - Director, U. S. AID/ Costa Rica
2. Ronald F. Venezia - Chief, Institutional Division, AID
3. Samuel Hart - Economic Counsellor, U. S. Embassy

Other U. S. Personnel

4. Christopher Baker, Research Associate, Assoc. of Colleges of the Midwest
5. John Hurt, University of Arizona, Contract team giving technical assistance in legislative reference org.

Costa Rican Academic Community

6. Carlos Jose Gutierrez, Dean, Faculty of Law, University of Costa Rica
7. Alfonso Carro, Director of Political Science School, University of Costa Rica
8. Eduardo Lizano, Faculty of Economics, University of Costa Rica
9. Claudio Gonzales, Faculty of Economics and Social Sciences (Director of Political Science)
10. Rodrigo Gutierrez, Dean, Medical School, also, Director of CESPO (Population Council)

Government Officials

11. Daniel Oduber, President, Legislative Assembly, Government of Costa Rica
12. Mr. Corazo, Former member of Legislative Assembly, party leader and lawyer

13. Fernando Berrocal Soto, Director, ACOGE, Association of Small Business Men
14. Members of Board of ACOGE

Private Sector

15. Sigurd Koberg, President, Chamber of Commerce and President, Koberg Department Store
16. Members of Board, National Association for Economic Development (ANFE), an ideologically oriented group of people from all walks of life (professionals included) devoted to preserving the private enterprise system; oriented toward traditional European liberal ideology.

Dr. Rodrigo Altmann Ortiz
Lic. Emilio Jimenez Pacheco
Arq. Marco A. Pinto Lopez
Sr. Jorge Saprissa Recinos
Dr. Fernando Trejos Escalante
Cecilia Valverde
17. Guido Fernandez, Editor, La Nacion, Largest newspaper in Costa Rica with conservative orientation.
18. Rodrigo Madrigal, Editor, La Republica, liberal newspaper

GUATEMALA

Interviews
August 20-22, 1970

15

U. S. Government Officials

1. Robert Culbertson, Director
U. S. AID/Guatemala
2. Alex Morrisey
Municipal Government Advisor
U. S. AID/Guatemala
3. Alfred Ravelli
Assistant Director (Human Resources)
Regional Office for Central American
and Panama Affairs
U. S. AID,
Guatemala
4. Frank Starrs
Assistant Director (Development Planning)
Regional Office for Central American
and Panama Affairs
U. S. AID,
Guatemala
5. Lawrence Pezzullo
Political Officer
U. S. Embassy,
Guatemala
6. Peter Wright
Director, Education Division
U. S. AID/Guatemala
7. William Pierotti
Peace Corps - Assigned to
Special Development Fund
Community Development Division
U. S. AID/Guatemala

Guatemalan Government Officials

8. Anando Ortiz
Director, Civil Service
9. Hosea Monsanto, Director
National Institute of Development
Administration
(Semi-autonomous institution
attached to President's office)

Other Guatamalan Leaders

10. Roldolfo Martinez, Director
Fundacion Centavos
(Private foundation which makes loans to
small communities for Community
Development Projects)
11. Manuel Ayan
Private Entrepreneur and Economist
Founder of Center for Economic Studies
(small center for research on economic
problems which is privately supported)
12. Rigoberto Juarez-Paz
Dean of Faculty
(New university which is being created and
funded through private contributions under
leadership of Manual Ayan)
13. Hilary Arathon
Member, Board of Trustees and Staff
Center for Economic Studies

KOREA

Interviews
August 20-28, 1970

U.S. Government - Embassy and A.I.D. Mission

1. Howard E. Houston
U.S. A.I.D. Director
2. Miles G. Wiedeman
Director and Deputy Director
U.S. A.I.D. Mission
3. Stephen Whitmer
U.S. A.I.D.
4. David Walsh
Economic Staff
U.S. A.I.D.
5. Thomas F. Olmsted
Assistant Director for
Economic Affairs
U.S. A.I.D.
6. Carl F. Bartz, Jr.
Cultural Attache
American Embassy
7. Robert M. Morgan
Professor and Head
Florida State University
8. Kunmo Chung
U.S. A.I.D. Survey Team

Korea - Government

9. Bae Yung Ho
Secretary-General
National Assembly
10. In Sang Song
Councilor
Economic and Scientific
Advisory Council for the
President
11. Lee Joe Sul
Deputy Finance Minister
Government of Korea

Korea Academic Community

12. Hahn-Been Lee
Dean, Graduate School of Public
Administration
Seoul National University
13. Chung Bum Mo
Korean Institute of Behavioral
Sciences
14. Chung-Hyun Ro
Dean
Yonsei University

Korea - Private Sector

15. Choi Ho
Reporter
Chosun Ilbo
16. Yang Koo Lee
Leader of Korean Trade Mission

Korea - Private Sector (continued)

17. John A. Bannigan
Representative
The Asia Foundation
18. Hwi Seon-U
Director & Managing Editor
Chosun Ilbo
19. Young Hoon Paik
Director
Korea Industrial Development
Research Institute
20. D.I. Kim
President
Korean Chemical Society
21. Yoon Kie Kim
President
Korea Federation of Scientific and
Technological Societies
22. Park Sang-Won
Special Assistant to the President
Tong Yang Group
23. Park Choong Hoon
Chairman
Korea Industrial Development
Research Institute

THE PHILIPPINES

Interviews

August 30 - September 4, 1970

U.S. Government - A.I.D. Mission

1. Thomas Niblock
Mission Director
U.S. A.I.D.
2. Joseph Whelton
Deputy Mission Director
U.S. A.I.D.
3. Charles Terry
Program Officer
U.S. A.I.D.

U.S. Private Sector

4. Clark Bloom
Representative
Ford Foundation
5. John Paulsio
Consultant
Ford Foundation
6. Charles Rose
Vice President
Esso Philippines
7. Ramon Banimira
Consultant
Esso Philippines

Philippines - Academic Community

8. Abelardo Samonte
Vice President
University of the Philippines
9. Carlos Ramos
Vice President
University of the Philippines
10. Waldo Perfecto
Vice President
De la Salle College

Philippines - Private Sector

11. Sixto Roxas
Industrialist
12. Mr. Abello
Industrialist
(Former Ambassador to the U.S.)

Philippine Government

13. Ramon Corpuz
Secretary of the Philippine
Department of Education

International Organization

14. William Harding
Representative
United Nations

PAKISTAN

Interviews

September 29 - October 11, 1970

U. S. Government Officials (AID-State-U.S.I.S.)

1. Frank M. Landers
Director
Public Administration Division
U. S./AID/Pakistan - Islamabad-Rawalpindi
2. Anthony Lansa
Director
Education Division
U. S. AID/Pakistan - Islamabad-Rawalpindi
3. Mark Ward
Program Officer
U. S. AID/Pakistan - Islamabad-Rawalpindi
4. Sydney Sober
Deputy Chief of Mission
U. S. Mission to Pakistan - Islamabad-Rawalpindi
5. Robert Jaffie
Cultural Affairs Officer
U.S.I.S. Pakistan - Islamabad-Rawalpindi
6. William Wolfér
AID Area Representative
Lahore, Pakistan
7. Michael Cruit
Program Officer
AID Area Office
Lahore, Pakistan
8. Fritz Moennighoff
Capital Development Officer
AID Area Representative
Karachi, Pakistan

U. S. Government Officials (AID-State-U.S.I.S.) continued

9. Walter Bollinger
Pakistan Desk
AID/Washington
(On visit to Pakistan)
10. Philip Haney
Director
Education Division
U. S. AID/Dacca
11. W. Scott Butcher
Political Office
U. S. Consulate
Dacca
12. Dessaix B. Myers
Program Officer (Rural Development)
U. S. AID/Pakistan - Dacca
13. Eric Griffel
Provincial Director, AID
Dacca
14. Joseph Wheeler
Director
U. S. AID/Pakistan
Rawalpindi-Islamabad
15. Vincent Brown
Deputy Director
U. S. AID/Pakistan
Rawalpindi-Islamabad

Pakistan Academic Community

16. Dr. Siddiqi
Vice Chancellor
Islamabad University
17. Dr. I. H. Qureshi
Vice Chancellor
Karachi University
18. Dr. Mukhtar
Director
Institute of Business Administration
Karachi University
19. Dr. Nurul Islam, Director
Pakistan Institute of Development Economics
(Government supported economic research organization)
20. Momowar Hossain
Director
Institute of Statistical Research and Training
Dacca University
21. Md. Abedin
Acting Director of Research
National Institute of Public Administration
Dacca University
22. Dr. M. N. Huda
Chairman
Department of Economics
Dacca University
23. Mik. Chowdhury
Director
Bureau of Economic Research
Dacca University
24. Md. Anisur Rahman
Department of Economics
Dacca University

Pakistan Academic Community (continued)

25. M. A. Chowdhury
Chairman
Department of Political Science
Dacca University
26. A.T.R. Rahman
Professor of Political Science
Dacca University
27. Dr. A. Farouk
Chairman
Department of Commerce
Dacca University
28. M. Habibullah
Professor
Department of Commerce
Dacca University
29. Azizul Huq
Director
Pakistan Academy for Rural Development
Comilla, East Pakistan
30. S. A. Rahim
Deputy Director
Pakistan Academy for Rural Development
Comilla, East Pakistan
31. Tipu Sultan
Instructor in Public Administration
Pakistan Academy for Rural Development
Comilla, East Pakistan
32. Dr. Sayied Abdul Chowdhury
Vice Chancellor
Dacca University
33. Dr. Ahmed Hossain
Director
Islamic Academy
Dacca, East Pakistan
34. Dr. Hasan Zaman
Director, Bureau of National Reconstruction
Government of East Pakistan

Pakistan Government Officials

35. Z. A. Hashmi
Secretary
Ministry of Education
Central Government of Pakistan
36. Inayat Ullah
Additional Secretary (O. & M. Wing)
Cabinet Division
Presidential Secretariat
37. M. R. Khan
Executive Director
State Bank of Pakistan - Karachi

East Pakistan Training, Research, Evaluation and Communications Center for Family Planning (A research institution - largely sociological-demographic-within the government. Directly under the central government. Family Planning Council started independently by Ford grant 1961. In 1965 incorporated into the government when family planning was started.

38. Ruhul Amin
Officiating Director
39. S. J. Haider
Deputy Director
Training
40. Mijaner Rehman
Assistant Director
Training

(American advisor, Richard Reynolds, listed among "Other Americans).

Pakistan Private Sector

41. Ahmed Abdullah, President
Karachi Chamber of Commerce
42. Nasir-Ud Deen
Vice President, Pakistan International Airlines
43. Mohammad Rafiq Khan, Secretary
Karachi Chamber of Commerce

Other American Organizations

44. Robert Edwards
Ford Foundation Representative
Pakistan - Islamabad
45. Gordon Winston
Professor of Economics
Williams College
(Advisor to Pakistan Institute for Development Economics,
Karachi, Pakistan)
46. Dr. John Stoekel (sociologist-demographer)
Cholera Research Center
(Seato-NIH Supported)
Dacca
47. Richard Reynolds
Research Advisor to East Pakistan Training, Research
Evaluation and Communications Center for Family Planning
University of California (Berkeley)
(Supported by Ford Foundation grant)

Other Programs

48. Dr. R. A. Qureshi
Education Division
U. S. AID Office -
Lahore, Pakistan

NEPAL

Interviews
October 11-13, 1970

U. S. Government Officials

1. William C. Ide
Director, U. S. AID/Nepal
2. Wilfred Smith
Deputy Director, U. S. AID/Nepal
3. John Craig
Program Officer, U. S. AID/Nepal

Nepalese Academic Community

Note: Principal reason for visit to Nepal was to respond to a request from the U. S. AID mission to consult with the staff of the Center for Economic Development and Administration (CEDA) located at Tribhuvan University. This is a social and economic research organization funded by the Nepalese government and the Ford Foundation.

4. Prakash C. Lohain
Staff Member
Center for Economic Development
and Administration
5. Ratna Rana
Staff Member
Center for Economic Development
and Administration
6. Ranihal Pradhan
Staff Member
Center for Economic Development
and Administration

7. Dr. Upriahi
Vice Chancellor
Tribhuvan University

Nepalese Government Officials

8. Harka Gurung
Member, Planning Commission

Note: Conversations were also held with a number of other government officials, including the Secretary of the Ministry of Agriculture and members of favored families who are close to the king, in a social dinner setting provided by Dr. and Mrs. Wilfred Smith, Deputy Chief, U. S. AID/Nepal.

International Organizations

9. Jacob Jaury
United Nations Development
Program Representative in Nepal

Other United States Citizens

10. John Dettman
Ford Foundation Advisor to the
Center for Economic Development
and Administration

INTERVIEWS

Institutions in the United States

TEXAS

1. John A. Gronouski
Dean
Lyndon B. Johnson
School of Public Affairs
University of Texas

2. Richard Adams
Professor of Anthropology
(Latin American expert)
University of Texas

WEST COAST

3. Henry Reining, Jr.
Dean
Von KleinSmid Center of
International and Public Affairs
University of Southern California

4. David Mars
Director
School of Public Administration
University of Southern California

5. K. William Leffland
Associate Director
School of Public Administration
University of Southern California

6. Elwin Svenson
Special Assistant to the Chancellor
University of California at Los Angeles

BOSTON AREA

7. John Montgomery
John F. Kennedy School of
Government
Harvard University
8. William Capron
John F. Kennedy School of
Government
Harvard University
9. Don Price
Dean
John F. Kennedy School of
Government
Harvard University
10. Walter Falcon
Deputy Director
Development Advisory Service
Harvard University
11. George Lodge
Associate Professor
Harvard School of Business
12. Samuel P. Huntington
Chairman
Department of Government and
Deputy Director, Center for
International Affairs
Harvard University
13. Robert West
Fletcher School of Law and
Diplomacy
Tufts University
14. H. Field Haviland
Fletcher School of Law and
Diplomacy
Tufts University

15. Robert Stevens
Fletcher School of Law
and Diplomacy
Tufts University
16. Albert A. Castangno
African Studies Center
Boston University
17. Everett E. Hagen
Director
Center for International Studies
Massachusetts Institute of Technology
18. Harry Day
Director
New England Center for Continuing
Education
Durham, New Hampshire
19. Kenneth Rothwell
Staff Associate
New England Center for Continuing
Education and Professor of Economics,
University of New Hampshire

NEW YORK AREA

20. Chief S. O. Adebo
Executive Director
UNITAR
United Nations
21. Edward Barrett
Academy for Educational Development
437 Madison Avenue
New York, N.Y.
22. David L. Gyer
Vice President for Development
and Public Affairs
Institute of International Education

23. Richard B. Myer
Vice President for Special
Projects and the Arts
Institute for International Education
24. James Perkins
President
International Council for
Educational Development
25. Harold Wriggins
South Asia Institute.
Columbia University
26. Robert A. Bunnell
Program Adviser
Ford Foundation
27. Francis X. Sutton
Deputy Vice President
International Programs
Ford Foundation

MIDWEST AREA

28. Ralph Smuckler
Dean
Center for International Studies
Michigan State University
29. Richard Niehoff
Center for International Studies
Michigan State University
30. George Axinn
Executive Director
Midwest Universities Consortium
for International Activities, Inc.
East Lansing, Michigan

31. Kelly Harrison
Agricultural Economist
Michigan State University
32. William E. Wright
Associate Vice President
Academic Office of International
Programs
University of Minnesota
33. Robert T. Holt
Director for Comparative Studies
in Technological Development
and Social Change
University of Minnesota
34. Vernon W. Ruttan
Professor of Agricultural Economics
University of Minnesota
35. Philip M. Raup
Professor of Agricultural Economics
University of Minnesota
36. Peter Gregory
Professor of Economics
University of Minnesota
37. Oswald Brownley
Professor of Economics
University of Minnesota
38. James Houck
Professor of Agricultural Economics
University of Minnesota
39. Gary W. Wynia
Professor of Political Science
(Latin American Specialist)
University of Minnesota

40. John Brandl
Director
School of Public Affairs
University of Minnesota

41. George Stolnitz
Professor of Economics
Director
International Development Research
Center
Indiana University