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THE INSTITUTION BUILDING MODEL IN PROGRAM
OPERATION AND REVIEW

by

THOMAS W. THORSEN

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Thomas W. Thorsen

The Nature of Institutional Growth

Effective institution building is critical to modernization and national building. A better understanding of the nature of institutional growth and maturity, both on the part of the host government leaders as well as donor technicians, is necessary for sustained national development. It should be recognized at the outset that institutional growth is an unstable or fluctuating process in which institutions experience both highs and lows or mountains of success and valleys of despair. Institution building is crisis ridden--plan for it. Most aid donors involved in institution building in developing countries would like to think that the developmental process is a steady upward growth curve (Figure A). Actually, most institutions experience a cyclical short-run growth pattern such as Figure B but usually within an upward long-run growth trend.

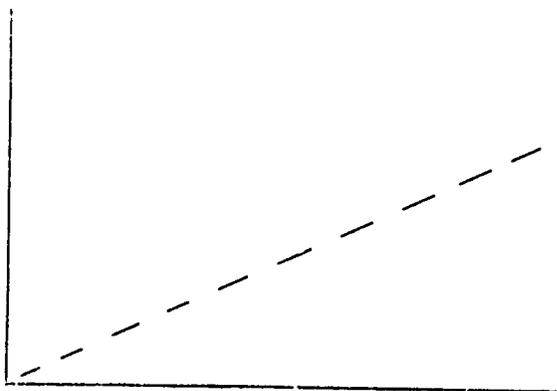


Figure A

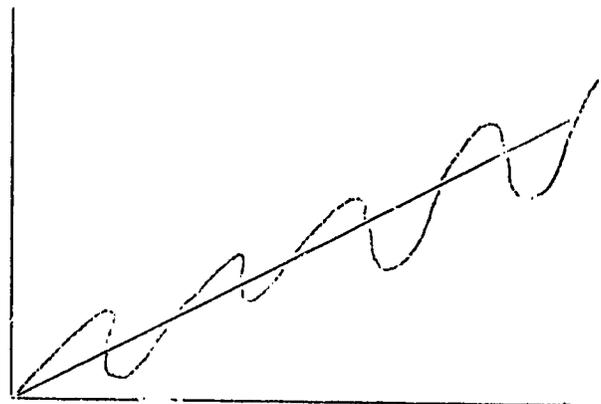


Figure B

An institution which experiences a steady upward growth trend without fluctuations probably is experiencing hothouse growth and survives well because it is under the protection of an aid donor or some other umbrella and has not been really subject to the rigors of growth in the real world. The chances for survival of this type of hothouse institution are not too good. Sustained institutional growth requires exposure to the real environment. If care is not exercised, aid donors and technicians like to spare new institutions in developing countries the agonies of growth. Aid donors must be careful not to deny these institutions this significant growth experience. When the institution reaches the critical low point, it usually goes through a period of serious institutional reassessment. Major goals, organization structure, resource shortcoming, manpower, management weakness, usefulness or contribution, duplication of other activities, consistency with other institutions, are usually reexamined. Such an examination usually leads to improved institutional strategies and programs, improved organization to carry out objectives, better resources, stronger linkages with other supporting organizations and improved management techniques. This type of periodic reassessment is critical but, unfortunately, it usually takes an adverse situation to trigger such a review.

Most aid donors are delighted to be associated with institutions when they are moving to the top of the cycle. Unfortunately, most aid donors also are disposed to phase out their involvement when

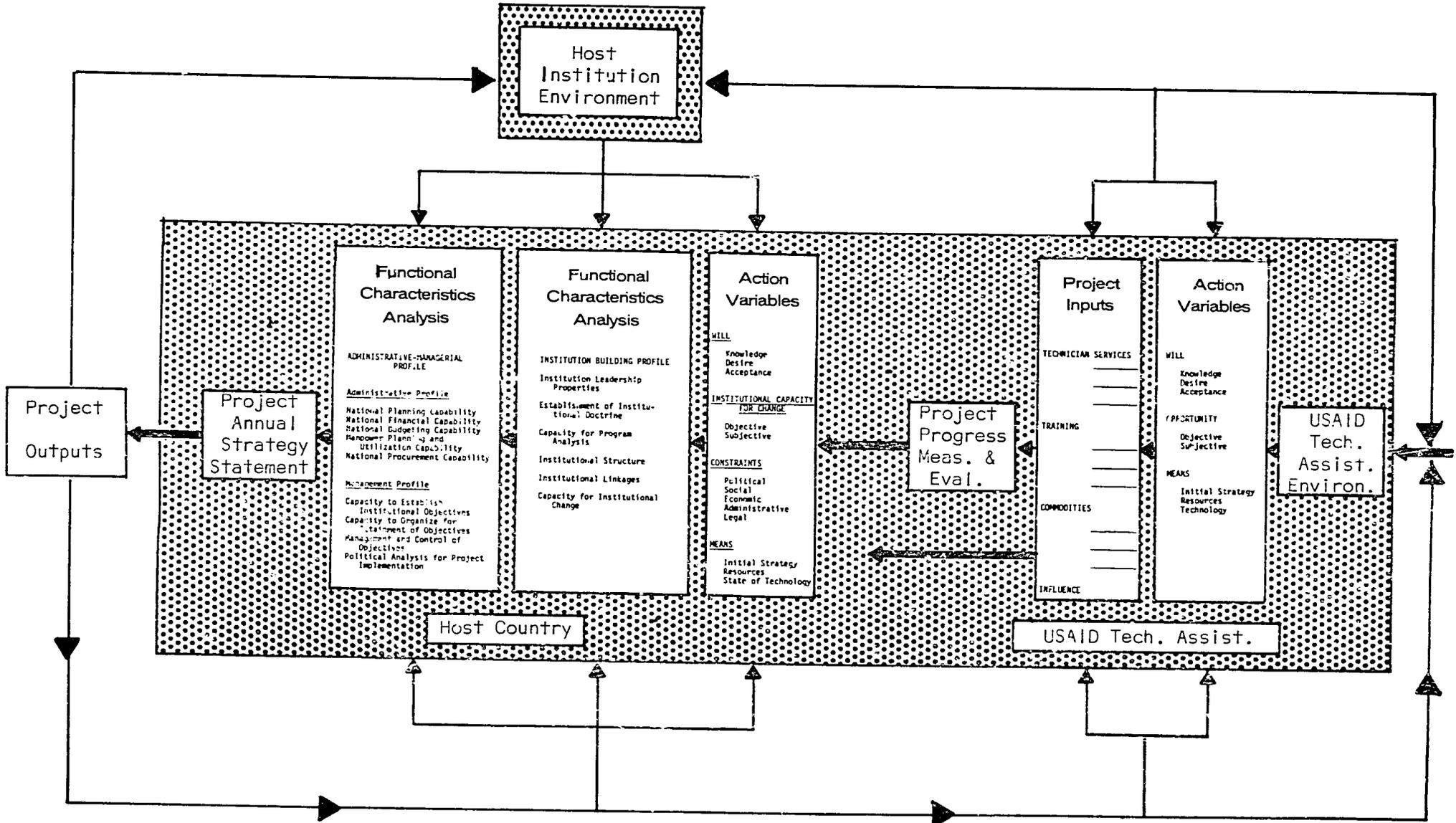
the institution is on the downswing--actually at a time when technical assistance is most needed and perhaps critical in the life of the institution. It goes without saying that institutional development should be given a much longer time horizon and aid donors should be more tolerant and understanding of the institution developing process and more perceptive in the use of the aid resources at critical points in the growth pattern of the institution.

The Institution Building Matrix

I believe that there is a general consensus that institution building is critical to national modernization, sustained growth and development. I also believe that there is a general consensus that the analytical and evaluative tools presently used for programming are inadequate to permit me to chart, with confidence, the critical path of institutional development. I believe that a great deal more applied research into the process of institutional development is required if continuous and rapid national development is to take place.

For several years I have experimented with a variety of analytical and evaluative techniques in order to determine whether or not the Esman Institution Building Model could be made operational. I found that translating ideas and concepts into meaningful, operational and evaluative processes was extremely difficult as well as hazardous because of the high risk of oversimplification and the possibility of becoming dangerously mechanistic. Despite this risk I have attempted during the past three years to translate these concepts

INSTITUTION BUILDING MATRIX



Handwritten mark resembling a stylized 'A' or 'H' with a horizontal line through it.

into processes. I am satisfied with the preliminary results. I am delighted to share my experiences and methodology with you, with full recognition that the process is indeed incipient, purely in the experimental stage and in need of additional refinement and experimentation.

Effective institution development analysis requires careful rationalization of the entire process of institution building, identifying significant institutional characteristics and putting these into an analytical framework that can be understood and operationally applied. The Institution Building Matrix shown on page 4 was the end product of this process. The Esman Institution Building Model became the core of the Matrix. I have considerably expanded the model in developing the Matrix because I felt the I. B. model was not operationally complete. The Matrix is a synthesis of concepts from a variety of sources^{1/} and has been used to analyze and evaluate a variety of institutions.

The Matrix proved to be a very useful analytical as well as programming tool and contributed significantly both to the technicians' and host government institutional leaders' understanding of the institution building process. It also confirmed my belief that an analytical and evaluative process could be developed upon which realistic institutional goals and strategies could be determined and initiated.

^{1/} Mr. Wade Jones, AID/Washington

Components of the Matrix

The Matrix embodies two major processes--an analytical and--an evaluative process. The analytical process deals primarily with the total Matrix. The evaluative process is a technique superimposed upon the institution building and administrative managerial profile of the Matrix through the use of values which contribute significant insight into institution growth and maturity patterns.

The Analytical Process

The design of the Matrix requires analysis of the most significant institutional environmental factors. These factors are identified in check list fashion. Even though aid donor assistance can only partially meet the overall requirements of an institution, in many instances this aid serves as a significant catalytic agent that is critical to its development. It thus becomes necessary to declare an aid donor a significant institutional environmental factor and worthy of careful analysis. It is for this reason the Matrix first calls for an analysis of the USAID technical assistance environment. (Box A on Institution Building Matrix)

USAID Technical Assistance Environment

Perhaps one of the most significant environmental factors in a USAID mission operation is lack of professional continuity. Directors, economists, division chiefs, and program officers come and go with regularity. Each one brings to this assignment his professional talent and experiences as well as his developmental biases. These individuals can have a profound effect, positive or

negative, upon host country institutions. For this reason it becomes essential to establish a clear understanding of USAID institutional attitudes at a specific point in time, an attitudinal bench mark if you will. This Matrix analysis calls for a description of USAID attitudes in the form of USAID action variables. (Box B on Institution Building Matrix) A discussion of the variables follows:

Will

Knowledge

Desire

Acceptance

Significant to effective USAID program development is an objective understanding or judgment of AID/Washington's and USAID mission's overall willingness to embark upon a specific program of institutional development. Such a judgment is usually reflected in AID's overall knowledge of the institution, the role the institution is expected to play in the national developmental process, and the developmental priority the institution enjoys within the context of the host government's developmental program. The willingness both of the mission and AID/W either to embark upon or continue a project should be clearly established and described in basic documentation. Where individual senior AID/W and/or mission officers disagree materially, such differences should be identified and recorded. Bench marks should be clearly established so that new officers have an understanding of the significant factors considered as the basis for

the formulation of the program, thus providing a sense of continuity.

Means

The means section of the AID variable portion of the Matrix should be examined constantly in conjunction with the means section of the host country variable portion.

The methodology or means utilized by AID and the host country through which the institution is to become more viable should be described, keeping in mind that AID resources in most instances are comparatively small and should be supportive of the total institutional resources. The development of AID's initial institutional strategy should be consistent and in harmony with host government total institutional strategy.

It is critical that an all embracing host government institutional strategy be developed and a clear understanding reached on how the USAID strategy should be linked and supported. Because our input is comparatively small, though critical, its nature should be examined in relationship to USAID total strategy. Both host government institutional strategy and USAID strategy should be formulated, implemented and/or changed together.

State of Technology

The state of U.S. technology applicable to a specific institution should be carefully compared with the state of the host country technology to determine whether or not the level of U.S. technology to be introduced is compatible with the host government institutional capacity. There have been instances where the U.S. technology

introduced has been too sophisticated and complex, causing non-performance and frustration. There are cases where U. S. institutional experience or technology is too foreign or too U. S. culture bound to be effectively introduced. This section is specifically designed to explore these important considerations.

Constraints

In the development and evaluation of AID programs, efforts are usually made to examine host country institutional constraints. I submit that it is equally important to examine carefully USAID program constraints and put them in their proper perspective.

The constraints listed on the Matrix are self-explanatory. They are:

Political

Administrative

Programming

Documentation

Evaluation

Financial

Legal

Institutional

Technical

USAID Project Inputs

USAID project inputs (Box C on the Institution Building Matrix), whether they be technicians, participant training or commodities, are usually critical factors in the institution building process.

Because our inputs are usually small in relationship to the total need and catalytic in nature, care must be exercised in the timing and allocation of these inputs so that major impact can be made upon the accomplishment of the institutional goals. A great deal more flexibility is required in utilizing these inputs than exists today if maximum use is to be made of resources. Effective institutional growth is dynamic; change is constant and unpredictable. Programming of AID inputs is far too static and slow to meet the changing demands of innovative institutions. If emphasis given to institutional development in future years is to be effective, a significant overhaul of the evaluation and decision making processes for allocation of our resources is required.

Institution Progress Reporting

USAID in-house project reporting is generally related to effective use of AID inputs in accomplishment of specified objectives. This type of reporting is important to USAID mission management as well as to AID/W.

The reporting procedure I use in the Matrix is significantly different from systems in present use. The procedure is equally effective for use in reporting on technicians, participants or commodities. For example, the progress reporting chart for technicians lists the major institutional goals, the names of the technicians, their work plan in priority order, and how each individual work plan relates to major objectives by color code. Technicians' work plans may relate to two or more major objectives. A time frame for work progress is

also incorporated in the chart. A narrative section is included for recording physical accomplishments. Once the chart is made it takes minimal time to keep it up-to-date.

Influence

Rarely is a conscious effort made to develop appropriate influence or leverage strategy to assist more rapid institutional growth. The use of influence can be most effectively linked with USAID inputs, either as a quid pro quo, or more subtly in the context of consensus building. A rational influence strategy should be conceived between the technician and senior officials of the mission. There are times when the mission Director, the Ambassador or other influential people can say the right thing at the right time to the right people which can result in dramatic improvement in the project performance. There are times when AID or senior contract personnel receive the ear of top national leaders which under normal circumstances would not be available to host country institution leaders. More careful consideration should be given to this type of strategy.

Host Government Institutional Environment (Box D on Institution Building Matrix)

Critical to institution building is a perceptive understanding of the environment in which the institution is developing. Understanding of the environmental factors by heads of the local institutions and aid donors is essential if effective use is to be made of resources. The Matrix lists a series of action variables (Box E on Institution Building Matrix) very similar to the variables found on the USAID variable section with the exception of the institutional

capacity for change. This variable is an important factor and should be given careful consideration. The Matrix deals with the capacity for change, both in an analytical and in an evaluative manner. This section concerns itself with the analytical process in the hopes of identifying significant change agents, as well as examining the institutional environment for positive signs of change. The other section variables are self-explanatory. I should like to restate the necessity for analyzing simultaneously the means section of the institution environment with the means section of USAID environment.

The Evaluative Process Institution Building Profile

The core of the Matrix is the institution building profile (Box F on Institution Building Matrix) based upon the Esman Institution Building Model. I have used his major categories: (1) institutional leadership properties, (2) establishment of institutional doctrine, (3) capacity for program analysis, (4) institutional structures, (5) institutional linkages and have added a new category, (6) capacity for institutional change. I have taken these six major categories and further broken them down into thirty-seven subcategories. (See institutional profile on page 13) The rationale for this additional categorization was to increase the number of intuitive and qualitative judgments from seven to thirty-seven factors. These subcategories also made possible the development of a more operational, understandable, evaluative process and gave much better perception of the institution.

INSTITUTIONAL PROFILE

		E	G	S	P	U
Evaluation Periods	INSTITUTIONAL LEADERSHIP PROPERTIES					
	POLITICAL VIABILITY					
	PROFESSIONAL STATUS					
	THEORETICAL COMPETENCE					
	ORGANIZATIONAL COMPETENCE					
	CONTINUITY					
	DELEGATION CAPABILITY					
	COMMITMENT TO DOCTRINE					
	SELF-IMAGE RELATIONSHIP TO INSTITUTION					
	ESTABLISHMENT OF INSTITUTIONAL DOCTRINE					
	HAS A CLEAR DOCTRINE BEEN DECLARED?					
	IS THERE AN INSTITUTIONAL COMMITMENT TO THE DOCTRINE?					
	IS THE DOCTRINE UNDERSTOOD AND ACCEPTED AND CHAMPIONED BY KEY INSTITUTIONAL LEADERSHIP?					
	IS THE DOCTRINE CLEARLY RELATED TO THE NEEDS OF THE INSTITUTION?					
	DOES THE DOCTRINE ESTABLISH LINKAGES BETWEEN THE OLD AND THE NEW MEMBERS OF THE INSTITUTION--BETWEEN ESTABLISHMENT AND INNOVATORS?					
HAS THE DOCTRINE BEEN PROMOTED AND SUPPORTED BY OUTSIDE PUBLICS?						
IS THE DOCTRINAL THEME INTERNALLY CONSISTENT AND ARTICULATED BY INFLUENTIAL PEOPLE?						
DOES THE DOCTRINAL THEME DISTRIBUTIVE BENEFITS WIDELY?						
PRIMARY STIMULUS OR COORDINATION OF STIMULI WHICH CONTRIBUTED TO PROGRAM DEVELOPMENT						
PROGRAM ANALYSIS						
EFFECTIVE ESTABLISHMENT OF OBJECTIVES AND CAPACITY TO DEPLOYMENT OBJECTIVES						
ESTABLISHMENT OF PRIORITIES WITHIN ESTABLISHED OBJECTIVES						
CAPACITY TO MANAGE AND ALLOCATE KEY RESOURCES TO ACCOMPLISH OBJECTIVES						
CAPACITY TO MODIFY PROGRAM IN RESPONSE TO ANALYSIS OF DEPENDABLE FEEDBACK OF EXPERIENCE						
INSTITUTIONAL STRUCTURE						
EXTENT SERVICES ARE USED OR REQUESTED BY PUBLIC ORGANIZATIONS IF IT DESIGNED TO SERVE						
CAPACITY OF THE INSTITUTE TO SURVIVE--MAINTAIN AND EXPAND ITS DOCTRINE AND PROGRAM AND DISTINCT IDENTITY						
EXTENT CAPITAL RESOURCES AND FINANCIAL RESOURCES ARE PROVIDED FOR AND EXTENT OTHER ORGANIZATIONS MOBILIZE INFLUENCE BEHIND THE INSTITUTION'S LEADERSHIP AND PROGRAM						
THE EXTENT TO WHICH THE PROGRAMS AND PERSONNEL OF THE ORGANIZATION ARE JUDGED TO BE SERVING ACCEPTED OR EMERGENT GOALS						
EXTENT WHICH ACTION AND BELIEF PATTERNS ARE INCORPORATED IN THE INSTITUTION						
THE DEGREE OF FREEDOM IT HAS TO DEPLOYMENT ITS PROGRAM						
THE CAPACITY OF THE INSTITUTION TO CONTINUE TO INNOVATE						
INSTITUTIONAL LINKAGES						
EXTENT THE INSTITUTION IS LINKED FAVORABLY WITH ORGANIZATIONS AND SOCIAL GROUPS WHICH CONTROL THE ALLOCATION OF AUTHORITY, PERSONNEL, AND RESOURCES						
EXTENT THE INSTITUTION ENJOYS FAVORABLE LINKAGES WITH ORGANIZATIONS PERFORMING FUNCTIONS AND SERVICES WHICH ARE COMPLEMENTARY IN A DIFFERENTIATION MANNER						
EXTENT THE INSTITUTION ENJOYS LINKAGES WHICH SUPPLY THE INPUTS AND WHICH USE THE OUTPUTS OF THE INSTITUTION						
EXTENT OF LINKAGES WITH OTHER INSTITUTIONS WHICH INCORPORATE NORMS AND VALUES (POSITIVE OR NEGATIVE) WHICH ARE RELEVANT TO THE DOCTRINE OF THE INSTITUTION						
EXTENT THE INSTITUTE ENJOYS LINKAGES WITH ELEMENTS OF THE SOCIETY WHICH CANNOT BE IDENTIFIED BY MEMBERSHIP IN FORMAL ORGANIZATIONS						
MEASUREMENT OF CHANGE						
ESTABLISHMENT OF NEED AND CLIMATE FOR CHANGE						
TRANSFORMATION OF INTENTION INTO ACTUAL CHANGE EFFORTS						
ESTABLISHMENT OF INSTITUTION FOR CHANGE						
ACHIEVING EFFECTIVE TERMINAL RELATIONSHIP						



1961



1965



1969

The evaluative process involves the establishment of criteria for the following terms: excellent, good, satisfactory, poor, unsatisfactory. (See profile on page 13) A base period is selected, in the case of this sample profile, 1961. The Institution was evaluated by the Chairman of the Management Department and the Campus Coordinator both of whom had been associated with the institution since 1961. Their factor evaluation, the base period, is recorded on the profile in dark hatching. The next evaluation period was 1965. The evaluation has been recorded in "X" hatching. It can be immediately noted that substantial institutional improvement has taken place. The last evaluative period was 1969 and is recorded in dot hatching. Again substantial institutional improvement can be noted.

The evaluation of each one of these factors requires not only the placing of a factor grade on the profile sheet but a short narrative statement in support of the rationale that determined each rating. Because of space limitation, I will not include in this paper the narrative factor statements. Over time, the institutional profile overlay together with the narrative factor statements, gives unusual insight into the nature, problems and improvement or deterioration of the institutional strengths and weaknesses and permits the establishment or redefining of institutional goals and objectives with more precision and confidence. The evaluation period should be about every two years.

Administrative-Managerial Profile

Lack of administrative managerial capacity is a major inhibitor to country development and modernization. If institutional improvement and development are to take place a conscientious effort needs to be made to identify specific administrative and managerial strengths and weaknesses. The administrative-managerial profile (Box C on Institution Building Matrix) is intended to serve this purpose. The profile is divided into two major elements: (1) administrative, and (2) management. I have purposely differentiated administration from management. The administrative portion is intended to define more sharply either strengths or weaknesses in major staff services such as planning, finance, budgeting, personnel and procurement. Weak staff services usually plague institutions and slow down the pace of institutionalization. Since an institution's administrative procedures are normally prescribed by a national government, progress in improving staff services is usually slow. The particular evaluation method used is identical to the institution building method. This methodology highlights institutional staff weakness so that, when one institution's profile is compared with others, a number of national staff service weaknesses clearly emerge. This dramatizes and identifies national staff weaknesses both for host government leaders and senior AID officials. Such an evaluation tool simplifies the task of convincing the national government that certain staff services--e.g. personnel management are seriously inhibiting manpower improvement, as well as institutional modernization

and national development.

This evaluation methodology permits the surfacing of staff weaknesses in one or several institutions assisted by a USAID technical division through construction and examination of a division profile. It is also possible to evaluate major institutions in which a USAID is involved (this could be as many as 25) and construct a mission profile. Thus if all institution evaluations flag the factor "current cash flow position of Treasury" as poor, it becomes clear that unless overall improvement is made in "cash flow procedures in Treasury" all governmental institutional progress will be impeded.

The administrative element is also designed to give additional support and insight to the linkage section of the institutional profile.

Management Profile

This management profile (Box G on Institution Building Matrix) is intended to identify major managerial strengths and weaknesses with institutions or projects. The profile is divided into five major categories: (1) establishment of objectives, (2) institutional capacity for attainment of objectives, (3) measurement and control of objectives, (4) political implications of objectives, and (5) information dissemination--which is again supportive of the linkage section of the institutional profile. The total management element is also designed to be supportive and permit greater perception of the program analysis section of the institution profile.

For purposes of clarity and better understanding two completed administrative managerial profiles have been included. One is the Assisting Institutions Management Profile, page 18, and the other is the Host Institutions Management Profile, page 19. It should be noted that a narrative statement is also included giving the rationale for the factor grades.

I have found that the above evaluation procedure gives the host government institutional leaders, the AID technical staff and AID senior staff personnel a better insight into institutional strengths and weaknesses and enables them to chart a more precise course of corrective action.

Institutional Strategy Statement

The objective of the entire analytical-evaluative process is to provide a rational framework upon which an institutional development strategy (Box H on Institutional Development Matrix) can be designed. The analytical-evaluative technique is intended to clearly identify major institutional strengths and weaknesses and permit improvement strategies and courses of action to be devised which will be instrumental in moving weak institutional factors from right to left on the profiles. The evaluation and strategy statement should be completed about every two years. This allows enough time to pass and events to transpire to make the evaluation meaningful. The process is too abrasive and time consuming to be done more often.

The process gives the institutional leader good insight into the nature of his institution, permits the presentation of more critical

ADMINISTRATIVE-MANAGERIAL PROFILE

Evaluation Periods 1968 and 1969

Evaluation
Periods



1968



1969

ADMINISTRATIVE CAPACITY		E	G	S	P	U
NATIONAL PLANNING CRITERIA						
WHAT IS STATUS OF PROJECT WITHIN PRIORITIES OF THE NATIONAL PLAN?						
WHAT IS STATUS OF PROJECT WITHIN NATIONAL MINISTRY?						
WHAT IS STATUS OF PROJECT WITHIN THE USAD PRIORITIES?						
NATIONAL FINANCIAL CAPABILITY						
WHAT IS CURRENT FINANCIAL CAPABILITY OF COUNTRY TO SUPPORT PROJECT?						
WHAT IS EXTENT OF TREASURY WILLINGNESS TO COMMIT FUNDS?						
WHAT IS TREASURY CURRENT CASH FLOW POSITION?						
WHAT IS STATUS OF ADMINISTRATIVE EFFICIENCY OF TREASURY TO MAKE PROMPT PAYMENT?						
NATIONAL BUDGETING CAPABILITY						
IS BUDGETING PROCEDURE ADEQUATE IN ESTABLISHING PROJECT PRIORITIES?						
WHAT IS STATUS OF PROJECT AS REFLECTED IN BUDGET DOCUMENT?						
WHAT IS EXTENT BUDGETING IS RELIABLE FOR ALLOTMENT OF FUNDS FOR PROJECT SUPPORT?						
WHAT IS STATUS OF ADMINISTRATIVE EFFICIENCY OF BUDGET AGENCY FOR PROMPT BUDGET ACTION?						
MANPOWER PLANNING AND UTILIZATION CAPABILITY						
TO WHAT EXTENT DO MANPOWER PLANNING UNITS REFLECT PRIORITY OF ASSIGNMENT OF PERSONNEL TO PROJECT?						
ADEQUACY AND COMPETENCY OF ASSIGNED MANPOWER TO IMPLEMENT PROJECT						
WHAT IS EXTENT GOVERNMENT IS WILLING TO COMMIT ADEQUATE MANPOWER IN ATTAINMENT OF PROJECT GOAL?						
WHAT IS CAPACITY OF PERSONNEL SYSTEM TO RECRUIT AND MAINTAIN ADEQUATE PROJECT PERSONNEL?						
NATIONAL PROCUREMENT CAPABILITY						
WHAT IS THE CAPACITY OF THE PROCUREMENT PERSONNEL, PROCEDURES AND FUNDS TO SUPPORT PROJECT?						
WHAT IS EXTENT OF GOVERNMENT WILLINGNESS TO PROCUREMENT SUPPLIES IN SUPPORT OF PROJECT?						
WHAT IS EFFICIENCY OF LOGS IN PROVIDING OFFSHORE PROJECT COMMODITIES?						
TO WHAT EXTENT DOES THE PROJECT EFFECTIVELY UTILIZE U.S. PROVIDED COMMODITIES?						
MANAGERIAL CAPACITY						
MANAGEMENT BY OBJECTIVES						
TO WHAT EXTENT ARE OBJECTIVES ESTABLISHED WITHIN PROJECT?						
TO WHAT EXTENT IS DATA RELIABLE UPON WHICH OBJECTIVES WERE BASED?						
TO WHAT EXTENT ARE THE OBJECTIVES SUPPORTED BY MINISTRY LEADERSHIP?						
TO WHAT EXTENT DOES A MUTUALITY OF OBJECTIVES EXIST?						
NATIONAL CAPACITY FOR ATTAINMENT OF OBJECTIVES						
TO WHAT EXTENT IS INDUSTRY ORGANIZED TO IMPLEMENT OBJECTIVES?						
TO WHAT EXTENT ARE OBJECTIVES COMMUNICATED AND UNDERSTOOD BY MINISTRY PERSONNEL AND OTHER AGENCIES?						
TO WHAT EXTENT ARE MINISTRY STAFF MOTIVATED FOR ATTAINMENT OF OBJECTIVES?						
TO WHAT EXTENT ARE THE STAFF EFFECTIVELY LAIDLED OR GUIDED IN ATTAINMENT OF OBJECTIVES?						
MEASUREMENT AND CONTROL OF OBJECTIVES						
IS THE PRESENT REPORTING SYSTEM ON STATUS OF PROJECT PROGRAM ADEQUATE?						
WHAT IS CAPACITY AND INTEREST OF GOVERNMENT TO EFFECTIVELY EVALUATE PROJECT?						
WHAT IS EXTENT OF FOLLOW-UP MADE AS A RESULT OF EVALUATION?						
WHAT IS CAPACITY OF MINISTRY OR USAD TO REPROGRAM OR REDIRECT PROJECT OBJECTIVE WHEN REQUIRED?						
POLITICAL ANALYSIS FOR PROJECT IMPLEMENTATION						
TO WHAT EXTENT DOES THE POLITICAL LEADERSHIP SUPPORT THE PROJECT?						
EXTENT OF POLITICAL LEADERSHIP GIVEN BY PROJECT IMPLEMENTATION						
EXTENT PROJECT DEVELOPS A SENSE OF NATIONAL UNITY AND CITIZEN PARTICIPATION						
EXTENT PROJECT ASSISTS IN PROMOTION OF U.S. FOREIGN POLICY						
PROJECT INFORMATION DISSEMINATION						
TO WHAT EXTENT ARE THE GOVERNMENT AND PEOPLE AWARE OF THE EXISTENCE AND PROGRAM MADE UNDER PROJECT?						
TO WHAT EXTENT DOES THE PROJECT ENJOY GOOD PRESS AND RADIO COVERAGE?						
TO WHAT EXTENT IS THE USAD IDENTIFIED WITH THE PROJECT?						

and precise institutional goals or objectives, enables the institution to divert manpower and resources to more clearly defined objectives and problem areas, and charts a more orderly, well-balanced course for institutional improvement and viability.

Evaluation of Institutional Inputs and Outputs

A conscious effort should be made to measure the effect of inputs and outputs upon the nature of the institution and its capacity to change and improve its viability. Have the technicians services contributed to or assisted in strengthening weaknesses identified in the profiles? Have returned participants had a constructive influence upon the institution? Are the institutional outputs, whatever they are, adequately serving the institution's clientele? In what way do the institutional outputs or inputs make it possible for the institution to place less and less dependence upon donor assistance? In what ways do the outputs feed back into the institution to strengthen the institution's capability to provide better services to its clientele?

Conclusion

The Matrix with the supporting profiles would be of value to AID technicians and institutional leaders even if the analysis and evaluations were not made. The Matrix in and of itself provides a good check list by asking the right questions and, this manner helps the institutional leaders become more aware of the significant elements of institution building.

The Matrix is a simple schematic chart identifying major elements of

institution building arranged in an understandable manner.

In most developing countries, unfortunately, institutions are strongly identified with a single leader and viability of the institution is linked to its leader. This factor makes evaluation of institutional leadership properties as a bilateral exercise difficult because of the sensitivities involved. Maturity of the institution is reflected in its willingness to jointly participate in this type of analytical evaluative exercise. When practicable, the analysis should be a joint venture; when not practicable, unilateral analysis is a worthy in-house USAID exercise.

Analysis and evaluation of five institutions has shown leadership properties to be the most sensitive area. At the same time, the importance of such analysis and evaluation, if leadership properties are to be better understood, is of paramount importance. The most difficult factor for both the host country institutional leaders and U.S. technicians to understand, but probably the most significant, is the concept of establishing institutional doctrine. Evaluating the capacity for institutional change is also proving troublesome to comprehend.

Making the Institution Building Matrix Operational

The Institution Building Matrix as described above is still in the developmental-experimental stage. Testing its operational value by applying it to a variety of projects is still required. The following methodology is suggested both as a procedure for testing the model and training senior AID officers in institution building

analysis and evaluation.

A traditional formal academic program is not envisaged. I see the need for the training to be closely associated with universities and their professional staff, however, in the nature of professorial guidance, selected readings, auditing appropriate seminars and conducting some applied research in institution development. It is important that senior functional officers gain greater appreciation and knowledge of technical fields other than their own. An integrated training cadre of senior AID professionals would provide this opportunity. A balanced team of senior AID officers, five or six, consisting of the following types of officers--a Deputy Director and Chiefs of the following divisions: Program, Agriculture, Education, Public Administration and Capital Development. These individuals should be selected to train as an integrated team so that they would have an opportunity to interact one with the other during the training period. A resource person competent in this subject matter should be selected to prepare curricula and guide the training program.

Outstanding professors or other competent individuals would be selected to direct segments of the training exercise. They would prepare selected reading materials concerned with their specific segment--identify knowledgeable individuals to act as resource persons. Those participating would study together, discussing their findings with each other. Each officer would look at institution building in light of his own functional specialty and relate

his studies and experience to that of others in the group. After reading and group discussion, they would meet with their resource person who would explore with them in depth their understanding of the process, and the resource person would then suggest additional reading or assistance from other resource people. At the completion of the training period the officer would go into the field to determine its operational value.

Ten major projects in each of the following areas: capital development, agriculture, education, public administration, which have institution building characteristics, should be selected on a world-wide basis. The functional specialists would be responsible for analyzing and evaluating their respective assigned institutions generally in keeping with the Institution Building Matrix. They would meet with the host government institution directors, USAID chiefs of party, USAID division chiefs. They would be responsible, in collaboration with the others, to analyze and evaluate the institution, write all narrative statements including the program strategy statement for review by the Mission and host government institutional leaders. To place as little burden on mission personnel as possible--most of the evaluative work and writing should be prepared by the AID/W specialists. I would estimate that about ten days would be required to make the analysis and complete narrative statement and prepare the strategy.

On large institution building projects the economist or the deputy director should join the functional specialists in the preparation of the analysis.

When the functional specialists have completed their first five institutional analyses, they should meet at a convenient location, review their experiences and make the first initial refinement of the process. They would then make the last five analyses, come back to Washington for a comprehensive review of their experiences, refine the process, prepare case studies and operational manuals.

Once the above is completed the Agency could tool up for a massive training program for AID personnel in institution building analysis and evaluation.

The advantages of this type of training approach are as follows:

1. It would permit the senior officer to concentrate his studies in those areas most significant and relevant to the Agency's needs.
2. The training need not correspond to the academic year.
3. It provides the trainee greater latitude for specialized study and research in keeping with USAID and objectives and also complements the officer's own interests and capabilities.
4. It provides for greater and more intimate professional association.
5. It permits each officer, through the integrated study team approach, to gain knowledge, insight and appreciation of institutional development problems associated with major functional areas.
6. This type of training approach could be tried on a limited basis then evaluated and a more refined program designed and applied in a more general program for other senior AID officers as well as other high level professional employees of contract groups,

PASA employees and professional employees of the host government.

7. Senior AID officers are now primarily responsible for the development of specific technical area strategies, program design, implementation and management of Mission projects, guidance, review and evaluation of contract technical teams who are responsible for specific project implementation with the host government. To effectively assume this new role and carry out the implied responsibilities, the senior officer needs an array of additional skills, techniques and broader insights into the institution building process. Senior AID officers serving overseas need more in their luggage than just their professional training and experience, especially in view of the emphasis being placed upon institution building as an important part of national development.