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9. ABSTRACT

In 1975-76 this project moved into its final phase, and nearly all activities were completed. Major exceptions include completion of a set of manuscripts growing out of the Hoole-Job analysis of quasi-experimental approaches to design and evaluation, final revision of the Delp-Thesen manuscript on the systems approaches and the use of systems tools for analysis, design, and implementation. Major accomplishments in 1975-76 included continuation of dissemination work with emphasis on Design Notes and a newsletter. Three studies were published: Amy Mann, ed., Institution Building: A Reader, and Burton Swanson's two design studies: Organizing Agricultural Technology Transfer: The Effects of Alternative Arrangements, and Regional Agricultural Production Programs: Training and Design Strategies. Over two thousand copies of PASITAM's nine design studies and case studies were distributed, and training became an important method of disseminating products and capabilities developed. Potential applications of PASITAM capabilities were explored in the fields of agricultural/rural development, health delivery, and the developmental activities of private voluntary agencies. The Documentation and Analysis Center was developed, and practical materials were prepared based upon previous activities and achievements.

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211(d) Annual Report
Due: October 30, 1976
Submitted: October 26, 1976

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

Grantee: Midwest Universities Consortium
for International Activities, Inc.

Director: William J. Siffin

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

Statistical Summary:

Grant Period: 28 May 1971 - 27 May 1976
(extension 30 June, 1977)

Amount of Grant: \$1,000,000

Expenditures:

Report Year: 203,050

Accumulated: 905,800

Anticipated for
Next Year (9 mos.): 93,600

B. Narrative Summary:

In 1975-76 this project moved into the final phase of its 211(d) activities. Nearly all sub-grant project activity was complete by September 30, 1976. Major exceptions include completion of a set of manuscripts growing out of the Hoole-Job analysis of quasi-experimental approaches to design and evaluation; and final revision of the Delp-Thesen manuscript on the systems approaches and the use of systems tools for analysis, design, and implementation. Four draft chapters have been received from Hoole. Brian Job is currently revising a draft of his manuscript; and Peter Delp is preparing a final version of Systems Tools for Development Planning. As noted in the body of the report, we are planning to complete our publications efforts by June 30, 1977.

Major efforts in 1975-76 included:

1. Continuation of dissemination work begun in the previous year, with particular emphasis upon Design Notes and a Newsletter.

During the year three studies were also published: Amy Mann, ed., Institution Building: A Reader, and Burton Swanson's two Design Studies: Organizing Agricultural Technology Transfer: The Effects of Alternative Arrangements, and Regional Agricultural Production Programs: Training and Design Strategies. The first of the Swanson papers was assessed by Dr. Peter Jennings of CIAT as "...excellent and should be required reading for graduate students and professors interested in international agriculture." The paper was also influencing thinking in the bean production program of CIAT. The leader of that program noted that "it has already clarified for me some of the attitudes we must take on breeding activities."

By September 30, 1976, 2,074 copies of PASITAM's nine Design Studies and Case Studies had been distributed. One of them, Science Development by Michael J. Moravcsik, was reissued in August 1976 after the first edition was exhausted.

During 1975-76 training also became an important method of disseminating products and capabilities developed through the 211(d) grant.

2. Exploration of potential applications of PASITAM capabilities in the field of agricultural/rural development; health delivery; and the developmental activities of private voluntary agencies.

3. Development of our Documentation and Analysis Center.

4. In-house preparation of practical materials based upon previous sub-grant activities and direct program development efforts, for future use in the design and implementation of technical assistance and other development activities.

By the end of September, 1976, extensive use was being made of a variety of the capabilities developed through the original 211(d) grant-- within MUCIA schools (in courses) and at other institutions here and abroad. And PASITAM was engaged in contractual training activities funded for \$329,000 for the period October 1, 1976--September 30, 1977.

In addition to the completion of work on still-pending projects (chiefly publications), PASITAM was at the end of this reporting period embarking upon a study of the prospects for continuance beyond June 30, 1977, when the 211(d) grant expires. During the year AID and MUCIA had agreed to an extension of the time-period of the grant, previously scheduled to end on April 27, 1976.

C. Detailed Report

1. General Background and Description of Problem
2. Purpose of the Grant
3. Objectives of the Grant (including review of objectives)

The 1974-75 annual report contains a detailed statement. Rather than repeat this material here, a copy of pages 4-9 of that report are appended.

4. Accomplishments During 1975-76

(a) Within MUCIA:

Courses and Related Instructional Activity: The 1974-75 annual report noted more than eleven courses and seminars at three MUCIA schools which had developed out of the 211(d) grant. During the past years several other courses were presented at Indiana and Wisconsin:

At Indiana University:

(1) Political Science Y669, Spring semester: Graduate Seminar on the Analysis of Policy Making in International Politics; Systematic Evaluation of Development Activities. Professor Francis W. Hoole.

(2) Political Science Y490, Spring Semester: Senior Seminar: Systematic Evaluation of Social Action Programs (with emphasis upon international development activities). Professor Francis W. Hoole.

These two courses were outgrowths of Hoole's work under a PASITAM grant for field studies of quasi-experimental design and systematic evaluation.

(3) Experimental Course X419, Spring semester: Introduction to World Food and Agricultural Production. Visiting Instructor Warren Henegar.

(4) Political Science Y663: Political and Administrative Development: World Poverty, Food Needs, and the Aims of Agricultural and Rural Development. Professors Siffin and Morgan.

The first of these two courses was taught by a local farmer, who has an M.S. in agriculture from Purdue University, has worked for the U.S. Department of Agriculture, and has undertaken personal study tours of agriculture in the Caribbean and Mainland China. The second course, a graduate seminar, was designed to examine actual problems and strategies within a broad conceptual framework.

At the University of Wisconsin/Madison:

(1) Political Science and General Engineering 617, Spring term: Science, Technology and Public Policy in Developing Countries: The Design of Foreign Assistance Projects. Professors Mikol and Dresang.

This course examined relations between technological transfer and social change. It used materials on institution-building, and drew upon the experiences of experts within MUCIA. At the end of the reporting period a conference on teaching technical assistance design was about to be held at Wisconsin, with PASITAM support. One aim was the evaluation of the Mikol/Dresang course.

(2) A new graduate program, the MSIE (Master of Science in Industrial Engineering) in Human Systems, was announced at Wisconsin in the fall of 1975. This is an interdisciplinary program, "dedicated to increasing the quality of working life and productivity through the study of human sciences and systems design." Of course PASITAM cannot claim credit for this program; but one of the faculty members involved was H. Peter Delp, an assistant professor of Industrial Engineering who has been substantially involved in PASITAM activities; and it appears that some of the thinking embedded in the program has been influenced by PASITAM.

At Purdue University:

From time to time during the year PASITAM materials were used in a year-long interdepartmental faculty seminar on modernization.

PASITAM was also involved in a variety of Consortium activities, including:

(1) The MUCIA Group on Appropriate Technology, a multidisciplinary group of about 12 representatives of the Consortium schools. During the past year it explored the prospects of establishing a MUCIA program in this area. We prepared a memorandum on some basic considerations about "appropriate" technology which was circulated within the group and among the presidents of the MUCIA schools.

(2) A MUCIA Group Concerned with Health Delivery Project Design. We drafted a "strategy paper" entitled "Design, Implementation and Evaluation of Health Delivery Projects," to state some of our assumptions and trigger comments and suggestions. This was used as a basis for a conference, January 26, 1976, attended by representatives from all the MUCIA schools, AID, CARE, the American Public Health Association, and Harvard University. Better sector analysis, and improved design and evaluation of health projects were among the problems emphasized by the group. During the spring and into the summer we continued to explore possible activities in cooperation with MUCIA's Rural Health Panel; but by the year's end we had not achieved closure on any firm agenda of action.

(3) A group to plan a possible Agricultural/Rural Development Panel. Prior work in PASITAM projects, notably by Richard Blue and associates, by Betru Gebregziabher, & Burton Swanson, explored some of the organizational and managerial problems of planning, designing, and implementing programs and projects in this broad field. Staff studies, which included a paper on "Administrative Problems and Integrated Rural Development," added to our awareness of some of these problems. Along with that, we encountered an extensive ms. by Earl Kulp. It laid out an integrated set of techniques and principles for designing and implementing productivity-oriented development projects for peasant farmers. The ms. raised some interesting questions, and offered the prospect of meeting a large need. We therefore convened a "pre-panel" group in December, 1975, to review the Kulp material and to consider broader issues of organizing and managing agricultural/rural development. Representatives from Wisconsin, Minnesota, Michigan State, and Indiana, plus an individual from the Office of Agriculture in AID's Technical Assistance Bureau participated. We concluded that it would be useful to develop and disseminate the Kulp material, and to keep alive for the future the idea of establishing a working panel concerned with organizational and managerial problems of agricultural/rural development. We also participated in a MUCIA conference on rural development, in March, 1976.

(4) During the year we also met from time to time with MUCIA's Higher Agricultural Education Committee.

(5) Finally, we have been actively involved in the broad effort, within MUCIA, to design a broad five-year program for the Consortium, a program which might be able to generate foundation support. This planning effort was proceeding under the leadership of the Consortium's new Executive Director, John Murdock, at the end of the reporting period.

In summary, our involvements and effects within the Consortium have been substantial and varied. We have also been building rosters of information on certain kinds of talent available from among the member schools. Between September, 1975, and September, 1976, the number of MUCIA faculty and staff who receive our Newsletter grew from 364 individuals to 656. Most of the increase stemmed from individual requests. We draw upon MUCIA personnel in our training activities and in the development of training materials concerned with the analysis, design and implementation of technical assistance. Other consortia are being organized to work in international development, but MUCIA remains unique, because of its long experience, and because it contains an organized component, PASITAM, engaged in the marshaling, analysis, synthesis, and application of knowledge to serve important needs in the field of development.

(b) Knowledge Development and Dissemination:

Here the two primary activities are publications and training. Some consultancy services were also provided.

The Program of Advanced Studies in Institution-Building and Technical Assistance Methodology was justified by a need to increase certain kinds of capability, in order to strengthen technical assistance and other development efforts. PASITAM's charter was broad and ambitious, but it contained few instructions for how to proceed. The program got off to a confusing start; more than a year had passed before the strategy which has guided our efforts began to take form.

The crux of that strategy was to identify a set of practical concerns and problems of institution-building and technical assistance methodology. The integrating theme in this strategy is the concept of design: A crucial requirement of technical assistance is the design of effective systems of action to serve developmental aims. Design efforts often involve institutional development or institutional change. And design seldom stops when implementation begins; in technical assistance implementation is for many practical purposes a continuing aspect of design.

It became clear that many of the important design problems involve organization and management, far more than technology. The organizational and managerial facets of technical assistance efforts are often exquisitely complicated, and useful knowledge about how best to handle them is limited. Therefore PASITAM has focused many of its efforts upon enlarging the supply of such knowledge.

Once the general outlines of a strategy were shaped, we set out to involve various MUCIA faculty, along with some graduate students, in work on projects with two related aims: to enlarge their own expertise through their project work, and to generate knowledge which might also be used by others.

We knew that some of these projects would fail to produce the sort of reports we wanted. Even so, the efforts might add competence within MUCIA.

We knew, too, that successful projects--those which generated useful reports--would often require some kind of "translation" in order for the results to be useful to outsiders. We therefore decided that program development activity, involving a direct-hire staff and outside consultants, could best provide such translation, and link it with supplemental knowledge from other sources.

The first phase of our program, to begin knowledge-building projects, was followed by a second one: the synthesis, supplementation, and adaptation of knowledge to fit the needs of prospective users.

Some of those users exist within MUCIA. As noted, PASITAM materials and ideas are used in a number of courses. Other key users are persons and organizations engaged in technical assistance and development.

So the third phase of our program is the dissemination of knowledge-products to outside users.

At the end of the 1975-76 year, PASITAM's efforts are concentrated on phases two and three. Some knowledge development work remains to be completed. Substantial dissemination is occurring. And an effort is underway to try to fund the continuance of our analysis/synthesis/dissemination efforts beyond June 30, 1976. Our training contracts assure us of some means to continue dissemination, but our base is not yet secure: resources to support the monitoring of knowledge developments, for producing and maintaining materials, and for some forms of dissemination, have not yet been obtained.

Publication, 1975-76

(1) Design Notes. During the year we produced nine Design Notes.* None is longer than four pages. Each addresses a topic of importance in some

*PASITAM Design Notes:

- No. 1, "How Administrative Arrangements Can Influence Program Outcomes," Paul Cunningham.
- No. 2, "Effect of Training Programs on Work Behavior," Paul Cunningham.
- No. 3, "A Management Information System Model for Multi-Purpose, Multi-Method Rural Development Projects," Wm. J. Siffin.
- No. 4, "Targeting as a Tool of Program and Project Design," Wm. Siffin and Paul Cunningham.
- No. 5, "Technology Transfer and the Gatekeeper Function," Paul Cunningham.
- No. 6, "How Uncertainty Affects Decision Making," Paul Cunningham.
- No. 7, "An Agricultural Management Information System: Lessons from Masagana 99," Russell Stout, Jr.
- No. 8, "Designing Organizations to Increase Reliability and Minimize Error," Paul Cunningham.
- No. 9, "Shinyalu: Credit for Small Rural Businesses," Richard Ramey.

aspect of technical assistance. The format is designed to meet the needs of practitioners--people with little time to read, with too much paper to handle, but with an interest in "lessons" and findings that might be useful. Four hundred and sixty-three copies of our first note were distributed to 55 persons in AID, 53 individuals in MUCIA, 159 foreign recipients, and to other potentially interested individuals.

In September, 1976, 1410 copies of our most recent note were mailed out. The growth of about 1000 recipients resulted almost entirely from direct requests. Current distribution includes 294 foreign addresses, 432 AID personnel, 100 copies distributed internally by the UNDP, another 160 distributed by Church World Service, a private voluntary organization engaged in both humanitarian and developmental assistance, and 80 copies distributed internally by CARE. Unsolicited requests for individual Design Notes, for a place on our mailing list, and for other PASITAM materials averaged about 70 a month at the year's end.

In the summer of 1976 we completed an arrangement by which PACT (Private Agencies Collaborating Together Inc.) translates our Design Notes into Spanish and distributes at least a hundred copies to organizations within Latin American and Caribbean countries. PACT is "hoping for at least a multiplier effect of five from each one" note distributed. We are currently exploring the possibility of a similar arrangement to provide for Portuguese translation and dissemination.

From correspondence we know that individual notes are being used in courses and in training programs. One unsolicited testimonial from a professor of agricultural economics states: "I've been making use of a number of PASITAM Newsletters and Design Notes items in my classes on program planning and implementation here. Student response (mostly AID Participants and former Peace Corps Volunteers) has been very favorable. I plan to refer to such items as further reading in the short course on project planning that I'm now preparing for USDA. The concise, single-topic nature of the Design Notes fits such teaching situations very well, and a number of my students have been able to make interesting applications and adaptations to analogous problems right here...."

At the end of September we began a survey of all our recipients, to obtain more systematic information about the use of this material, as well as our Newsletter.

(2) The PASITAM Newsletter. In September 1975, as part of phase 3 we began a monthly newsletter (recently converted to bimonthly, partly because of the sheer costs of printing and postage). Over the course of a year distribution has grown from an initial mailing of 722 to 2573, almost entirely in response to requests. More than a third of the copies go directly or indirectly to foreign recipients.

The Newsletter serves several purposes: Each issue presents substantive information about some important ideas or issues, as well as a brief review of a relevant book. The newsletter announces other PASITAM products. And

it provides information about sources of technical assistance expertise, initially within the seven MUCIA schools.

The survey of our readership, to be conducted in October, 1976, will give us useful information about the value of our Design Notes, Newsletter, and other material. In a world too full of paper--our Documentation and Analysis Center itself now receives 137 newsletters from development organizations--we have no desire to add to the load of paper. Our survey should enable us to cull our mailing list.

(3) Other Publications. During the year we published:

Amy Mann, ed., Institution Building: A Reader. This 149 page volume updates the general literature on the subject and presents lessons from experience with the IB perspective, all of them written by individuals with practical experience. The volume also contains two brief case studies. Four of the sixteen contributors are persons from LDCs. About 150 copies have been distributed in response to requests.

Burton E. Swanson, Organizing Agricultural Technology Transfer: The Effects of Alternative Arrangements. This comparative study of the training strategies of IRRI and CIMMYT offers lessons about the results of different approaches. Approximately 240 copies have been requested, and this influential material is being used in a number of courses and training efforts. A summarized version has been accepted for publication in the FAO Journal of Training for Agricultural and Rural Development, and ten copies of the original report were requested by the head of the NAS World Food and Nutrition Studies Project. During the year Swanson also became a consultant to that project.

Burton E. Swanson, Regional Agricultural Production Programs: Training and Design Strategies. This work builds on the base of the above-cited study, and focuses on the problem of training field research and extension workers. About 150 copies have so far been distributed.

Michael J. Moravcsik, Science Development: The Building of Science in Less Developed Countries, second edition. The first printing of this stimulating study of institution-building in science was exhausted within a year. A strong demand remained, as the book was reviewed in several journals. Derek de Solla Price, Avalon Professor of the History of Science at Yale, called the volume "...a prime classic in the field of science in developing countries...." About eight hundred copies have been distributed free, upon request, to individuals and organizations in LDCs. Two hundred were purchased for distribution by UNESCO and USIA.

Our program also produced the following items:

"Private Voluntary Organizations and Appropriate Technology," published as part of a report of the Agency for International Development pursuant to Section 107 of the Foreign Assistance Act: Proposal for a Program in Appropriate Technology, Committee on International Relations, 94th Congress, 2nd Session, July 27, 1976, pp. 78-113.

A. Allan Schmid and Ronald C. Faas, "A Research Approach to Institutional Alternatives in the Administration of Agrarian Development Programmes," Agricultural Administration, vol. 2, 1975, pp. 285-305. This paper is a product of the PASITAM grant to Richard Blue, Gary Wynia, Brian Coyer, and Allan Schmid, for a study of factors involved in the design of agricultural development projects.

(4) Currently Unpublished Materials.

During the year a number of unpublished papers have been added to our stock. Some of them have been made available for limited distribution in offset form. Others are being developed for issuance during 1976-77. A few will remain unpublished.

Francis W. Hoole, "Evaluating the Impact of International Organizations," plus three other chapters on program evaluation. A complete, six chapter ms. on Systematic Evaluation is expected by the end of December, 1976, and a publication is anticipated before June 30, 1977.

Earl M. Kulp, materials on analysis, planning, and implementation of peasant agriculture projects. A book, Designing and Managing Basic Agricultural Programs, is in press, scheduled for issuance in November, 1976.

Walter Schaefer-Kehnert, "Approaches to the Planning of Agricultural Projects," translated from German by Mrs. Arlene Hall of our staff. This brief but perceptive paper will be issued as a Design Study in the winter of 1976-77.

Harbans Bhola, "The Grammar of Artificial Action," and "Institutional Approaches to Innovation and Change: The Configurational Perspective on Institution Building." We currently have no plans for publication of these materials, prepared under a PASITAM grant and being used as course materials by Prof. Bhola.

Brian Loveman, "Thinking About Development and Institutional Design." This 200 page ms., a second-order product of the Ostrom-Hennessey project of a few years ago, will probably be issued as a Design Study in the spring of 1977. (No other publishable materials emerged from the Ostrom-Hennessey project.)

Burton E. Swanson, "The Interplay of Research Strategies and Institutional Requirements in Technology Transfer: The Case of Potatoes." The draft has been circulating for clearance and refinement. Final disposition has not yet been determined.

Wm. J. Siffin, "Institution Building: Feasibility and Techniques," will be published by the United Nations Division of Public Administration and Finance. Two other papers, "Administrative Problems and Integrated Rural Development," and "Evaluating Alternative Models and Strategies of Management Training," have been discussed in conferences and circulated in offset form.

Peter Delp, A. Thesen, et al, a manuscript on "Systems Tools for Development Design." A volume is being prepared for publication in the winter of 1976-77.

Richard A. Blue, et al, papers on "Analyzing Agricultural Projects." Key findings are incorporated in the above-cited publication by Schmid and Faas.

Russell Stout, Jr. and Jonathan Bendor, chapters on "Management or Control? The Organizational Dilemma." We expect to issue a book-length publication, suitable for use in courses and training programs, in the spring of 1977.

Brian L. Job, "Quasi-experimental Design Methodologies and Their Applicability to Foreign Assistance Projects." Being revised following review. Publication as a Design Study in the spring, 1977, is anticipated.

(5) Past Unpublished Materials.

PASITAM projects have produced a number of unpublished papers and reports. Some aren't worth publishing. Others are under consideration or being revised. In some instances, findings have been applied in other activities. As of September 30, 1976, these items included:

Lewis H. Thornton, "Organizational Change: A Bolivian Case Study." Following extensive reviews and critique of a draft, the material has been returned to the author for revision. An acceptable and timely ms. will be published in the spring, 1977.

Peter Delp, "Systems Approaches to Developmental Design." This material, a product of the Delp-Thesen project, will be issued as a complement to the volume on Systems Tools, if it is properly revised for publication by the spring of 1977.

Martin E. Abel, "A Note on the Role and Management of Public Enterprises in Developing Countries." Draft 1/26/72.

_____, "Irrigation Systems in Taiwan: Management of a Decentralized Public Enterprise." Preliminary Draft 5/21/75.

Martin E. Abel and L. Hurwicz, "Policies and Principles Underlying the Economic Decision Making in Public Enterprise." 11/30/73

H.S. Bholra, "A Policy Analysis of Nonformal Education: The Case of Bolivia." Working Draft 3/75.

_____, "Power: The Anchor of Stability, the Lever of Change (Notes Towards a General Theory of Being and Society). Working Draft 7/75.

_____, "The Grammar of Artificial Action." Working Draft 8/75.

_____, "Institutional Approaches to Innovation and Change (II): The Configurational Perspective on Institution Building." 4/76.

Dennis L. Dresang, "Ethnic Politics, Representative Bureaucracy and Development Administration: The Zambian Case."

_____, "State Capacity and National Leadership: the Foreign Policy of Malawi."

Vincent Ostrom, "Order and Change amid Increasing Relative Ignorance: An Inquiry into the Relationship of Knowledge, Decision Making and Organization."

_____, "Organization." First Draft.

_____, "Culture, Science and Politics."

David F. Roth, "Strategies of Rural Change in Asia: Towards Policy Optimization." 3/72.

_____, "Philippine Rural Development: The Case Study of an Incremental Policy Strategy." 5/73.

Burton E. Swanson, "The International Wheat Technology Development and Transfer System." 3/25/75.

_____, "The Interplay of Research Strategies and Institutional Requirements in Technology Transfer: The Case of Potatoes." Draft 4/25/75.

_____, "Impact of the International System on National Research Capacity: the IRRI and CIMMYT Training Programs." Draft 7/25/74.

_____, "The CIMMYT Wheat Training Program."

_____, "Research Training at IRRI."

Training

Training is a prime means of delivering and applying capacities developed through the 211(d) grant.* Under contract with AID, PASITAM is conducting a series of two-week Analytical Skills Workshops, chiefly for field personnel. The object is to provide skills and understanding to help strengthen operation of the Agency's programming process. Extensive use is made of materials and concepts developed in the 211(d) grant effort. Materials include products of the Delp-Thesen project, PASITAM Design Notes, and packages of supplemental materials developed by our staff and Documentation and Analysis Center. Materials generated by AID are also important components of the

*The head of AID's Development Studies Program, Dr. Richard Blue, came to the Agency's attention through his involvement in one of our projects.

Workshop. Following the first field Workshop in Manila, July 11-23, 1976, the late Garnett Zimmerly, Director of the Philippine AID Mission, wrote Deputy Administrator Murphy: "The attached views of USAID Manila participants indicate unanimous satisfaction with the seminar-workshop. The organization and content of the program, in terms of both the material covered and the quality of presentation, are regarded as superior in almost every respect.... In view of the success of the first seminar in Manila, we would like to suggest that another one be held here in January or February 1977. We have a number of additional people on our staff who would benefit greatly...."

A set of the materials used in this Workshop has been delivered to the Office of Development Administration, Bureau of Technical Assistance (except for the color videotape elements of nine training modules, which are available from the Manpower Development Division).

Prospects for further development of PASITAM's training efforts will be examined in 1976-77.

During 1975-76 three individuals also made extensive use of our "Training Environment."

The PASITAM Training Environment combines talents and facilities to allow individuals (or small groups) to engage in studies, ranging from a few days to a few months, tailored to their distinctive needs. The key to the arrangement is the existence of a resident professional staff, our Documentation and Analysis Center, and access to a wide array of MUCIA resources.

Mr. Miguel Araujo of the staff of the Inter-American Institute of Agricultural Sciences spent two months at PASITAM in the fall of 1975, studying regional approaches to small farmer development efforts prior to returning to his position at IICA.

Dr. Suck-Hong Oh, associate professor of public administration at Seoul National University, spent approximately two months in residence during the year, including a study-tour of several campuses arranged by us. Dr. Oh, sponsored by the United Nations, undertook an intense sabbatical program with guidance from our staff, to update his knowledge of the literature of management administration in preparation for writing Korean-language textual materials.

Dr. Emmanuel Andah, member of the faculty of the college of agriculture, University of Ghana, spent about three weeks with us, as part of a study tour arranged by the U.S. Department of Agriculture with some advisory assistance from us. His objective: to identify and acquire materials for a two-year graduate program in agricultural management, starting at the University of Ghana in October, 1976. Our Documentation and Analysis Center assisted him in finding and acquiring about a hundred items. Dr. Andah is desirous of using the Kulp book as soon as it appears. Dr. Andah prepared the final report of his study tour at our headquarters, which reproduced and distributed it. The document is a valuable source of information about the current state of U.S. training in agricultural management and development.

During 1975-76 PASITAM also conducted a series of informal colloquia at its headquarters, featuring individuals working on various developmental subjects, including PASITAM projects. These included:

Brian L. Job, University of Minnesota: "An Approach to Teaching Evaluation Techniques to Development Practitioners."

C.G. Mutiso, University of Nairobi. "Problems of Design: Attacking Development Problems in the Marginal Areas of Kenya."

Maria Chan Morgan, doctoral candidate, Stanford University, "Reorganization of the Countryside and Socialization of Agriculture in the People's Republic of China."

Dr. Somsakdi Xuto, Rector, National Institute of Development Administration, Bangkok Thailand. "Development Activities at NIDA."

Brewster Grace, American Universities Field Staff, "Current Problems and Progress in Thai Agriculture."

Marcus F. Franda, American Universities Field Staff, "Foreign Aid Dependency in Bangladesh; Relief, Rehabilitation, or Development?"

PASITAM's Training Environment, as well as its Documentation and Analysis Center and its publication activities, have been established with 211(d) funding and Indiana University support. Their continuation beyond June 30, 1977 will be determined by the availability of finances not yet in hand.

Consultancy

As an organization like PASITAM establishes an identity it receives a variety of requests for assistance. During the past year we have been asked in more than a dozen instances to identify talent or provide names of possible candidates for a variety of TDY assignments, or longer-term duties. Sources of requests range from field offices of AID to contracting organizations, foundations, and international agencies. To help meet this demand our Documentation and Analysis Center has undertaken an effort to build rosters of names of potential candidates for such assignments.

During 1975-76 we also provided consultative assistance to the work of upgrading AID's Program Design and Evaluation Seminar. In January, 1976, we were told that about 90% of our recommendations had been accepted.

We have no full record of miscellaneous consultancy services. Those noted include:

Review for TAB's Office of Urban Development of a research proposal (a rather poor one) in which USAID El Salvador had expressed an interest.

Advice to the Rockefeller Foundation, and help in its efforts to explore possibilities for improving management training and education in LDCs.

Informal explorations with a private voluntary organization, Heifer Project International, of possible ways to strengthen their own evaluation efforts.

Technical assistance to the UN's Division of Public Administration and Finance, in planning and implementing a broad study of institution building in LDC public administration (including preparation of the above-cited paper on "Institution Building: Feasibility and Techniques").

Contribution to a conference sponsored jointly by the Ghanaian Council for Scientific and Industrial Research and the Natural Resources Program of the University of Arizona (including preparation of the above-cited paper on "Administrative Problems and Integrated Rural Development").

Contributions to a workshop sponsored by the Food Institute, East-West Center, on the subject of "Implementing Public Programs in Agriculture."

Informal discussions with a member of the staff of AID's Office of Science and Technology, concerning the evaluation of two institutes-- KIST and ICAITI.

Critical assessment of a paper drafted by the President of the Agricultural Development Council, in which he set out guidelines for the evaluation of international intermediaries for agricultural technology transfer.

Informal discussions with the evaluation officer for AID's Latin America Bureau, concerning the use of indicators in project design and evaluation.

Review of a draft manuscript on "A Management Science for Agriculture," prepared at the Food Institute, East-West Center.

Assistance to the University of Michigan Center for Research on Economic Development, in identifying bibliographic material concerning the evaluation of the impact of rural development programs.

Our Documentation and Analysis Center also responded to a variety of other requests for information. They include such items as: providing information on educational technology transfer to a university researcher; telling an individual from Zaire where he might get samples of high lysene corn and find individuals with technical expertise on the subject; furnishing information to the Indian Institute of Management/ Bangalore on campus design; etc.

Program Development--Private Voluntary Organizations (PVOs)

During the year we explored possible ways and means by which PASITAM might develop capability to assist PVOs engaged in technical assistance. A staff paper was prepared: "Expanding the Roles of Private Humanitarian Agencies in Development Assistance: Manpower and Management Issues." This was circulated extensively to voluntary agencies, engendering an array of useful comments.

Catholic Relief Services circulated the statement to its executives, regional directors, and development assistants for comments. Church World Services requested 75 copies for internal distribution. Technoserve, another PVO, invited us to become a member.

As a consequence of our activities, quite a number of PVOs are using PASITAM materials. CARE distributes 60 copies of our Design Notes to its program staff in New York and overseas. It recently used Design Note No. 4 as part of the basis for changing its use of the concept of "targeting" in the organization's project development procedure.

Church World Service distributes 160 copies of our Newsletter to its staff, mostly overseas.

More than 60 other PVOs receive our Newsletter and Design Notes. A number have expressed an interest in obtaining assistance from us. And, as noted earlier, we prepared a brief study for AID on the role of these organizations in developing and disseminating "appropriate technology," primarily because of our knowledge of these organizations.

Through questionnaires and interviews we have systematically collected information on American PVOs engaged in international technical assistance. At the year's end, our documentation included data about 78 of these organizations, including program descriptions, reports, and related matter.

In the summer of 1976 we began explorations with the Lilly Endowment on the possibility of building on this base, developing within PASITAM a "Center of Expertise" on the roles and functions of PVOs as instruments of international technical assistance and development. No conclusive developments had occurred by the end of this reporting period.

Conclusion: Where We Stand As of September 30, 1976

PASITAM has become a distinctive and worthwhile entity, engaged in identifying, generating, synthesizing and helping apply knowledge to some of the facets of technical assistance and development. This knowledge provides a better understanding of various problems of design, and the potential for the improved analysis, planning, and implementation of development efforts.

PASITAM derives both its strength and its weakness from its marginal position. It stands on the margin between a powerful group of distinguished academic institutions and a set of action-agencies; it provides bridges across that margin between producers of academic knowledge and users of practical knowledge.

The weakness of the organization stems from another dimension of marginality: in a world where the focus of funding and action are upon technologies and organizational domains, PASITAM does not neatly fit the conventional patterns of programming and funding. Nor does its label signify very clearly its utility. In essence, our concerns with design translate into an emphasis upon sound organization and effective management. These concerns are properly marginal--they are aspects of interests in strengthening agriculture, improving health, controlling population, and harnessing education to development. Yet it is the inability to deal with these marginal concerns which causes projects to be perverted and goals to be unfulfilled.

In essence we stand in a somewhat ambiguous and uncertain position as of September 30, 1976. By June 30, 1977, we shall have more than fully met the intents and expectations of the 211(d) grant which has been a major source of our support. But large needs for the building--and using--of "capability" will remain. That capability should take the form of utilitarian knowledge about organization, management, and design for development. This knowledge can be used in many places, if and as it exists. But we do not see any other organization taking up the task in which we have been engaged, in the manner in which we have proceeded.

So part of our effort in the months ahead will be directed to an exploration of funding possibilities. As of September 30, 1976, we have contractual support for our chief training effort, a sum of \$140,000 of 211(d) for a final year's operation, and exceptionally generous assistance from Indiana University, in the form of facilities and related support valued at \$100,000 per year. To continue beyond next June 30, we shall, at the least, have to match this amount with funds to support analysis/synthesis/documentation/dissemination.

*Note: The following pages are reproduced from our 1974-75 annual report, pp. 4-9.

C. Detailed Report

1. General Background and Description of Problem

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

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

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

2. Purpose of the Grant

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

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

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

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

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

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

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

3. Objectives of the Grant

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

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

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

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

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

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

Initial Program Aim

1. "Study the Process of Institution-Building"

Current Program Aim and Activity

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

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

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

2. Adapt the scientific experimental method to the special requirements of technical assistance and incorporate the adaptation into the design of technical assistance projects.

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

Initial Program Aim

Current Program Aim and Activity

- in Korea and the other in Latin America. All these efforts involve application of the "scientific experimental method."
- Given the nature of a 211(d) grant, no direct action has been taken to "incorporate the adaptation into the design of technical assistance projects."
3. Researching relationships and patterns of interaction between technical assistance personnel and their local counterparts.
- One PASITAM project analyzes aspects of this objective, as do three case studies. The Bhola case, the Betru case, and the Thornton case offer lessons about aspects of advisor-counterpart relations. Swanson's analytical work presents findings about the effects of certain patterns of relationships between technical assistance personnel and host country trainees. (The now defunct Methodology Division of TAB had mounted certain studies of advisor-counterpart relations, and we did not wish to duplicate them.)
4. Comparing the effectiveness of various approaches to the selection, training, and preparation of personnel.
- No work has been done on personnel selection. Significant work has been done to compare the effectiveness of alternative approaches to training and personnel preparation. The above-cited Swanson project makes significant contributions to knowledge of training as it pertains to institution building and technical assistance methodology. "Preliminary explorations with the Manpower Development Division of AID may lead to redesign of the Division's program of orientation training for contract personnel.
5. Investigating means of incorporating reciprocal arrangements into technical assistance agreements and projects, to promote collaboration.
- "Reciprocal arrangements" depend upon ability to reciprocate on the basis of a common level of competence. If aid recipients have well-developed capacities to delineate problems and participate in designing responses, collaboration becomes possible. A Number of PASITAM projects contribute to increased analysis and design capacity, and future objectives include collaboration with LDC institutions and training of LDC personnel to help build capacities. (Particularly germane projects include the Delp-Thesen work on Systems Tools for Development, the work of Blue and

Initial Program Aim

Current Program Aim and Activity

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

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

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

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

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

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

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

Initial Program Aim

Current Program Aim and Activity

9. Refining evaluation procedures.

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

10. Analyzing effectiveness of technical assistance selection procedures.

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

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

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

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

TABLE I

Distribution of 211(d) Grant Funds and Contributions from other Sources of Funding

Reporting Period 1 October 1975 to 30 September 1976

211(d) Expenditures

Grant Objectives	Period Under Review	Cumulative Total*	Projected to 30 June 1977	Non 211(d) Funding Amount
Administration & Program Activities	72,900	343,670	46,450	33,452
Documentation Center	80,880	189,680	39,000	32,433
Research				
Indiana (opr.)	3,950	53,370	1,150	1,596
Subgrants	<u>13,150</u>	<u>252,080</u>	<u>-0-</u>	<u>6,828</u>
Total	17,100	305,450	1,150	8,424
Training	32,170	66,000	7,000	12,997
TOTAL	203,050	905,800	93,600	87,306

*Reflects actual expenditures and reversions

TABLE II - A
 211(d) Expenditure Report
 Actual and Projected Summary
 Under Institutional Grant #AID/csd-2958
 Reporting Period: October 1, 1975 to September 30, 1976

	Expenditures to Date		Projected Expenditures	Total
	Reporting Period *	Cumulative Total	Year 6	
1. Salaries & Benefits	146,380	633,735	74,285	708,020
2. Graduate Student Stipends	15,910	47,235	2,625	49,860
3. Consultants	6,290	38,900	1,250	40,150
4. Travel	12,000	108,040	2,940	110,980
5. Equipment	-0-	2,140	500	2,640
6. Materials, Supplies & Publications	22,470	75,750	12,000	87,750
TOTAL	203,050	905,800	93,600	999,400

*Includes best estimates of expenditures through 9/30/76.

TABLE II - B
211 (d) Expenditure Report
Reporting Year Detail

Under Institutional Grant AID/csd-2958
Reporting Period October 1, 1975 to September 30, 1976

I. Salaries

A. Academic

Name	Period of Employment (if not Report Period)	Percentage of Time	Amount
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Headquarters:

William Siffin		61	\$ 20,676
Russell Stout		100	15,200
Grafton Trout	10/75 - 5/76	50	6,200
Nancy Garrett	7/76 - 9/76	100	2,617
Dennis Falck	10/75 - 12/75	100	2,688
Linda Bernstein	1 mo.	100	896
Richard Steele	5/76 - 9/76	100	5,500
Marianne Platt		100	11,139
Dan Levin	1 mo.	100	1,167
R. Axel Magnuson	10/75 - 8/76	100	8,582
E. Philip Morgan	10 mos.	100	12,458
Peter Delp	11/75 - 2/76	50	3,332
Lewis Thornton	1/2 mo.	50	696

Subgrants:

Edwin Wallace (Wisc.)		12	3,204
Edward Mikol (Wisc.)		25	2,544
Dennis Dresang (Wisc.)		25	2,050
Brian Job (Minn.)	1 mo.	25	385

\$ 99,334

B. Other

Library None

Clerical

Barbara Cambron		100	7,252
Anita Ping	10/75 - 1/76	100	1,993

Other Non-Professional (Headquarters) 22,730

Subgrant Non-Professional 698

32,673

C. Fringe Benefits

14,347

Table II - B
Reporting Period October 1, 1975 to September 30, 1976

II. Student Support	Paul Cunningham (US)	4,674
	Sohrab Shahabi (Iran)	2,806
	Lawrence Platt (US)	1,335
	Richard Steele (US)	2,058
	Abbas Navabi (Iran)	3,292
	Lawrence Ullian (US)	1,154
	David Webber (US)	667
		<hr/> 15,987
 III. A. Consultants	 Eight Total	 6,289
B. Guest Lectures, Visitors, etc.	None	
 IV. Travel		
A. Domestic	85 Total	12,001
B. Foreign	None	
 V. Equipment	None over \$2,500	
 VI. Library Acquisitions		309
 VII. Publications		12,150
	1 PASITAM Brochure	
	3 Completed Books	
	6 Design Notes	
	9 Newsletters	
	1 Flyer	
 VIII. Other (Such as Telephone, Postage, etc.)		 8,914

Headquarters Expenditures

	<u>1972-3</u> (actual)	<u>1973-4</u> (actual)	<u>1974-5</u> (actual)	<u>1975-6</u>	<u>1976-7</u> (budgeted)
Total:	\$67,900	124,600	179,000	189,900	93,600
Salaries, Fringes	48,762	76,556	125,056	136,000	71,390