

PN-ABT-637

**A PROPOSED OUTLINE**  
**for**  
**The Study of Technical Assistance**  
**to**  
**Less Developed Countries**



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INTERNATIONAL COOPERATION ADMINISTRATION  
WASHINGTON, D.C.

A PROPOSED OUTLINE

FOR

THE STUDY OF TECHNICAL ASSISTANCE TO

LESS DEVELOPED COUNTRIES

NOTE

This document is a working draft; it has no official status whatsoever either in the U.S. Government or even in ICA. It represents only the compilation by an editor of suggestions which have been derived from a variety of sources. It is distributed in its present form purely as a matter of information and in order to stimulate thinking on some of the major technical assistance problems. No action is called for by any recipient except as it may be requested by separate instructions.

February 22, 1960

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February 22, 1960

(Working Draft)

A PROPOSED OUTLINE

FOR

THE STUDY OF TECHNICAL ASSISTANCE TO LESS DEVELOPED COUNTRIES

I

INTRODUCTION

This document is intended to describe and explain the study of technical assistance to less developed countries which is to be undertaken under the auspices of the International Cooperation Administration.

A. The Question to Be Addressed by the Study

The central question to be considered by the study is this: What general magnitude and what types of technical assistance programs should be undertaken by the United States Government and others during the next several decades, and to what extent, and how best, can programs of this size and character be effectively implemented?

The answer to this central question depends on the answers to thousands of subsidiary questions which for the most part can be roughly grouped into the following major categories:

1. The purposes of technical assistance - What purposes can technical assistance effectively serve, to what extent can it do so, and with what limitations, and, in the light of these capabilities and limitations, for what purposes, and under what circumstances, should technical assistance be extended?
2. The character of effective technical assistance - Given the purposes for which technical assistance should be and can effectively be employed, what kinds of technical assistance are best adapted to the accomplishment of each of these purposes or of desirable combinations of such purposes? Apart from the effect thereon of the purpose involved, the answer to this question will vary, in a manner and to a degree which needs to be determined, among different societies to which technical assistance may be extended and depending upon the particular problems to be addressed.
3. The relationship of effective technical assistance to other forms of assistance and other measures - To what extent, if at all, and if so, under what circumstances, does the effectiveness, or the

degree of effectiveness, of technical assistance depend upon the concurrent or subsequent extension of other forms of assistance or upon measures of a non-assistance nature; and, conversely, to what extent, if at all, and when, does the effectiveness, or the degree of effectiveness of other forms of assistance depend upon the provision of technical assistance?

4. The effective implementation of technical assistance programs - What operational procedures, administrative arrangements, and organizational structures are most likely (a) to assure the effective extension of the kinds of technical assistance which are required to accomplish a selected purpose or purposes, and (b) when, and to the degree that, effective technical assistance depends upon the furnishing of other forms of assistance or other measures (or vice versa), to assure the proper recognition of, and adequate provision for, this relationship?
5. The capacity effectively to support technical assistance programs - To what extent, in terms of (i) physical, human and financial resources, (ii) institutions, (iii) administrative capabilities, and (iv) organizational structures, do the United States Government and others have the capacity to support and conduct the magnitude and kinds of technical assistance programs which are required to accomplish the purpose or combination of purposes for which it would be desirable to extend technical assistance? If there is a shortfall in such capacity, what measures could and should be taken to increase that capacity?
6. Alternatives to technical assistance - As to each purpose or combination of purposes which technical assistance can effectively further, what, if any, alternative means are available for the total or partial accomplishment of the same purpose or combination of purposes, and what are the comparative costs and probable relative effectiveness of any such alternative?

Part II of this document lists, although in a somewhat different order and arrangement, a large number of the more important specific questions which should be raised under each of the foregoing six categories of issues.

#### B. The Objectives of the Study

The study has two primary objectives:

1. To provide within a period of 14 to 18 months: (a) tentative working answers to, or (b), in some instances, the factual data required for policy decisions on, those questions about technical

assistance which are at the same time both (i) the most important and urgent questions and (ii) questions which are susceptible to reasonably scientific examination and answer within such a limited time span.

2. To lay the foundation for, and to initiate or stimulate, organized study and research which are directed toward: (a) providing answers at the earliest practicable date to questions about technical assistance which cannot be answered within a period of 14 to 18 months; (b) developing progressively more authoritative and refined conclusions with respect to questions which can only be tentatively answered in the short-term study; and (c) assuring a comprehensive and adequate scientific examination on a continuing basis of all major problems affecting technical assistance.

These two objectives are complementary and should insofar as possible be pursued simultaneously and in concert. Thus, when, in the course of the study, issues requiring long-term research are identified, steps to initiate such research should be promptly taken. Similarly, consideration should early be given: (i) to the manner in which, and (ii) to the organization or organizations by and through which, such research should be sponsored, financed and conducted.

Since the attainment of the foregoing objectives will only have value if the results of the study and ensuing research are thereafter (i) reflected in practice and (ii) used in making the policy decisions which are raised thereby, a third objective will be to identify issues requiring policy determinations and to indicate methods for the application in practice of the conclusions reached - for their translation into plans, programs, operations, and administration.

At the same time, since some of the policy issues which are or may be raised involve considerations that lie wholly or partially outside the field of technical assistance, the study itself can only contribute to, and cannot itself provide, the solutions to these issues. Thus final answers to the central question, and to several of the major subsidiary questions, which are set forth in A above are beyond the scope of the study, as, for example:

- (i) What general magnitude and character of technical assistance programs should be undertaken? (As contrasted with the question, appropriately within the study's terms of reference, concerning the size and nature of technical assistance programs which are necessary in order to achieve a stipulated purpose through the avenue of technical assistance.)

- (ii) For what purposes should technical assistance be employed?  
(As contrasted with: what purposes can technical assistance effectively serve?)

The establishment of the policy objectives of the United States and other purveyors of technical assistance, the determination of appropriate priorities among such objectives, the selection of alternative instruments for their achievement, and decisions as to the resources which should be devoted to their furtherance, are all beyond the jurisdiction of the study. The study should, however, by determining the capabilities and limitations of technical assistance as an instrument for achieving certain purposes, and any interdependence between its effectiveness in this regard and other non-technical assistance measures, provide material which is indispensable to policy-makers (i) in establishing realistically realizable goals and (ii) in determining the extent to which, and the manner in which, technical assistance should be employed to further the goals which such policy-makers establish. Such material may also conceivably throw some light on what the objectives of the United States Government and others should be.

Finally, because no single study, and no amount of organized research, can begin to provide detailed answers to the myriad questions involving the application to individual situations of the conclusions which a study and continuing research can reasonably be expected to provide, a fourth objective of the study is to develop progressively better methods and techniques of analysis for use by those who must diagnose, and who must formulate and apply concrete solutions for, the specific problems which are daily encountered in the planning, programming and execution of technical assistance programs.

### C. Definitions

To avoid misunderstandings resulting from the different interpretations of certain words and phrases, the following definitions of terms which are frequently used in this document are included, together with appropriate explanations of such definitions:

1. "Technical assistance" - As used in this document, and regardless of prior U.S. legislative and executive policy or practice, the term "technical assistance" is broadly defined to include: (i) the communication to another person or persons of a skill, a technique, know-how, information, knowledge, a process of thinking, an attitude, a motivation, a value, a belief, or a mode of behavior which he or they do not now have and (ii) the performance on behalf of another society of a task which requires a special

skill, knowledge, information, a technique, know-how, etc., which that society cannot itself adequately provide, through such methods as advice, teaching, demonstration, example, audio-visual techniques, the provision of technical or non-technical written materials and training aids, human association, or the actual performance of some activity.

The term includes activities of the foregoing character whether they are furnished through governmental or private (business, foundation, university, voluntary organization, etc.) channels; whether provided by the United States, by another country, or by a multilateral institution; and whether extended on a grant, loan, or immediately reimbursable basis. Moreover, while the term specifically excludes the communication or performance of purely military skills, it likewise specifically does include: (i) the communication to the members of another armed force of skills, information, techniques, attitudes, values, etc., which are useful in civilian life or in carrying out civilian functions; (ii) activities of the foregoing character in which members of the U.S. or other armed forces serve as the communicators of skills, information, etc., or are the actual performers of a task requiring special skills, information, etc.; and (iii) activities of the above type which are carried out through the vehicle of another nation's armed forces.

The definition used herein intentionally disregards the question of whether all of the specific activities embraced therein would fall within all or any of the several definitions of "technical assistance" and "technical cooperation" which are employed in current legislation, embodied in administrative procedures and program practices, reflected in organizational arrangements, and used in common parlance. The study is concerned with (i) the potentialities of a general type of activity and (ii) the ways in which those potentialities can be most fully realized. In this framework, the legislative categorization of, the financial treatment of, and the administrative and program approach to, this general type of activity and its various elements or components, while not unimportant ultimately, are nonetheless, in the early stages of the study, secondary.

2. "Communication" - The term "communication" as generally used herein is intended to embrace two separate, but related, concepts: (i) the transfer or conveyance to another individual or other individuals of knowledge, skill, values, etc., and (ii) the stimulation, provision, or creation, where it does not already exist, of the motivation on his or their parts to use, to communicate, or to reflect in conduct or thinking, the knowledge, skills, values, etc., transferred or conveyed.

3. "Donor of technical assistance" - The term "donor" or "donor of technical assistance" is generally used herein to designate any private organization, government or multilateral institution which extends technical assistance, and regardless of whether such assistance is provided on a grant, loan or cash reimbursable basis.
4. "Channels of technical assistance" - The term "channels" or "channels of technical assistance" is frequently employed herein to describe the various types of institutions and organizations by which and through which technical assistance may be financed or extended. Thus aid may be provided through multilateral, bilateral, or private channels (i.e., by multilateral agencies, individual governments or private organizations); and, within each of these three categories, there are subsidiary channels (e.g., private organizations may be business concerns, foundations, labor organizations, voluntary agencies, etc.).
5. "Approach in technical assistance," "methods of operation," and "techniques in execution" - For purposes of simplified treatment, certain classes of problems relating to technical assistance have been grouped into three broad categories for which the foregoing three terms have been selected as generally descriptive. These three categories tend to overlap, and their boundaries cannot be sharply drawn. Hence the allocation of a specific type of problem to a particular category is often somewhat arbitrary. The following explanations indicate the general character of the problems that are classified under each term.
  - a. "Approach in technical assistance" - The term "approach" or "approach in technical assistance" is used to embrace or describe problems of the following character: (i) whether technical assistance should be extended on a short-term or long-term basis; (ii) the emphasis and sequence of emphasis which should be given in extending technical assistance (in terms of problems addressed, fields of activity, special social groups, etc.); (iii) whether, in certain circumstances, technical assistance should be directed toward the performance by the donor of tasks requiring skill, knowledge, etc., or to the communication of a skill, knowledge, etc., to local personnel; (iv) the circumstances under which, and the extent to which, institution-building should be emphasized; and (v) the attitude of a donor government toward, and its general approach to, a recipient government.

- b. "General methods of operation" - The term "general methods of operation" or "primary methods of operation" is customarily used herein to describe (i) the principal operational methods which are available for extending technical assistance (e.g., participant training, foreign technicians performing a skilled task, foreign technicians furnishing advice, the provision of audio-visual devices) and (ii) the major types of aid-giving relationships between a donor and a recipient government (e.g., servicios, joint funds, a direct advisory relationship between U.S. mission personnel and host government counterparts, the relationship established through a contract between a donor and an independent contractor for services to a host government, the relationship created by donor-financed contracts between a host government and an independent contractor).
  
- c. "Techniques in execution" - The term "techniques," "techniques in execution," or "techniques for extending technical assistance" is normally employed herein to describe the specific techniques which may be employed in planning, arranging for, or actually carrying out the several different general or primary methods of operation (e.g., the varieties of types of participant training, the different approaches in communicating technical advice, the devices for stimulating motivation).

#### D. Organization of This Document

In addition to this introduction, which is intended to be an integral part of the whole, this document consists of two major parts.

The first part, entitled "Outline of Questions Relating to Technical Assistance Which Require Answers," outlines the major questions with respect to technical assistance on which policy-makers, programmers and operators are in the greatest need of answers. The outline itself does not attempt to differentiate between (1) those questions which, because of their importance and susceptibility to constructive short-term examination, are appropriate for inclusion and emphasis in a 14 to 18 months' study conducted under the direct auspices of ICA, and (2) those questions which should now or subsequently be made the subjects of longer-term or continuing research. In actual fact, the two categories overlap, for there are many questions on which a short-term study can throw important initial light and provide a basis for immediate, though tentative, decisions, but which should also be pursued in much greater depth through methodical research that will take longer and, in many cases, necessarily be continuing. Similarly, the outline does not specifically separate or consistently identify those questions which can properly be answered by study

and research and those which are dependent on policy decisions which utilize the products of study and research as their raw materials.

Differentiations of the foregoing character (i.e., between policy and non-policy issues and between subjects appropriate for the initial study and those requiring further research) are to some extent tentatively suggested in the second major part of this document, entitled "Methodology." Such suggestions can only be tentative until there can be a much more complete and organized examination and assessment by both scholars and operators of relevant existing information (both collected and uncollected) and of the methods of research and the kinds of skills that are best adapted to provide knowledge on each of the great variety of different issues which affect technical assistance. The field of technical assistance is so complex, so lacking in scientifically collected data, so new and unpioneered, so encumbered by biases and misconceptions and so dependent on contributions from areas of human knowledge that are as yet most imperfectly developed (i.e., the behavioral sciences) that the construction of an intelligent pattern and plan for continuing research will require protracted initial, and later continuing, consideration by the best combination of scholars and administrators that can be assembled. Hence the section on "Methodology" is largely confined to broad questions about the conduct of the initial study.

In order (a) to keep the outline itself and the discussion of methodology within somewhat manageable proportions, (b) to facilitate the desirable recurrent revision, addition or deletion of detailed questions without the necessity for frequent modifications in a master outline, and (c) to provide, without unduly encumbering the body of the outline, an opportunity for explanatory notes and annotations, some of the subsidiary questions and some comment and explanation are included in, or will subsequently be added as, appendices. Some of these appendices, and particularly those relating to problems of implementation and to methodology, are, or will be, of a highly specialized nature and therefore of interest to only a limited number of people. Appendices of this character will often be largely working documents and should be prepared, expanded, and modified from time to time by those who will be primarily concerned with the particular subject matter of each. Both because of their highly specialized nature and because many of them will only be prepared and added as time goes on, most of such appendices are being omitted from those copies of this document which are being given general circulation. In view of this circumstance, present appendices are, and subsequently prepared appendices will be, designated according to the section of this document to which they relate rather than by a sequence of numbers or letters. Thus an appendix amplifying or explaining a point set forth in Part II-B-3 would carry the designation "Appendix II-B-3."

E. Other Preliminary Observations

1. Relation of technical assistance to other activities - Since technical assistance is sometimes only one of a number of instruments which may be available for the pursuit of a purpose which technical assistance can effectively serve, and since the success of technical assistance (or the extent of its success) in furthering such purpose may often be dependent upon, or affected by, the extent and manner of use of such other instruments, and in turn affect the value and efficacy of the latter, technical assistance cannot be considered as a wholly isolated phenomenon. Therefore, while the study will emphasize and center upon technical assistance as such, it must also, as suggested in A-3 above, affirmatively examine the extent to which the effectiveness of technical assistance for various purposes in fact depends upon other complementary and supplementary measures (those of the U.S. Government, of indigenous governments, of other foreign governments and of multilateral organizations) and treat with the interrelationships of technical assistance with these other measures. Moreover, the study cannot ignore the often stated position that certain types of technical assistance or technical assistance which is directed toward some purposes are more effective when they are disassociated from either (i) other forms of aid, (ii) other types of technical assistance, or (iii) technical assistance directed to other purposes, in terms of concept, planning, programming, administrative procedures, organizational treatment, conditions of extension, channels of operation, or some combination thereof.
  
2. Exclusion of technological exchange with the industrialized nations of Western Europe from the scope of the study - Although the whole question of technological exchange with, and of technical assistance to, industrialized Western European nations (whether through multilateral or bilateral channels and whether on a grant or reimbursable basis) is an important one, this question is so different from the majority of questions which are immediately involved in extending technical assistance to most other areas of the world that it is generally excluded from the scope of the study.

II

OUTLINE OF QUESTIONS RELATING TO TECHNICAL ASSISTANCE

WHICH REQUIRE ANSWERS

Preface

The following initial remarks will be helpful in interpreting, understanding, and employing the outline:

First, the outline which follows is intended to be all-encompassing in the breadth of its general coverage of major questions about technical assistance. However, coverage in depth - the identification of detailed subsidiary questions - is generally relegated to the appendices or left for later amplification by experts in particular fields through the intended subsequent preparation of additional appendices.

Second, as noted in Part I, the outline contains some policy questions which are not appropriate for answer either as a part of the short-term study or as part of other research which is directed to only technical assistance. The outline does not uniformly identify these policy questions separately.

Third, as also noted in Part I, the outline does not distinguish among (a) those questions that should be addressed in the initial study, (b) those questions that should be attacked through long-range research, and (c) those questions that should be examined in both fashions. To the extent that such selectivity is practicable at this stage in the formulation of the study, the matter is dealt with in Part III on Methodology.

Fourth, as an outline which covers the whole field of technical assistance, it includes some questions which are of general worldwide interest and other questions that are only of interest to those responsible for planning and operating specific types of technical assistance programs. Thus certain issues pertaining to organization and administration are primarily of concern only to the United States Government or, within that government, to some special agency (such as the International Cooperation Administration, the operating channel for the extension of bilateral American assistance) or to some segment of an agency. Insofar as possible, and in order to facilitate their study by the appropriate individuals, issues which are of interest to only a limited clientele are grouped together.

Fifth, the space devoted to the statement of any question, to the identification of subsidiary questions thereunder, and to its explanation does not necessarily indicate the importance of, or the emphasis which should be given to, that question in relation to other questions.

Sixth, the listed order of questions does not in itself indicate any particular sequence in which these questions should be studied. Many questions are interrelated, and the situation will often be one in which questions require examination in combination or in which the answer to one question will provide data necessary for the answer to another. In other cases, the questions will be susceptible to independent consideration. Interrelationships, where identifiable, are noted, but the intricate and complex interactions among the many facets of this subject frequently make such identification impracticable in outline form. Insofar as a case study approach is employed, the data assembled will often bear on the answers to questions which are widely separated in the outline and which are unrelated to one another by any clear nexus stated in the outline. As a partial bridge over such gaps, and to identify certain important relationships, the same question is sometimes included at two or more places in the outline.

Seventh, to obviate frequent repetition at various successive stages in the outline where these distinctions may be important, it should be here noted that technical assistance can be divided into two basic types, each with somewhat distinct attributes, even though frequently a particular technical assistance activity is intended to, or in fact does, serve the purpose of both types, or at least involves elements of both. Therefore the drawing of sharp or arbitrary lines between the two may sometimes prove to be dangerous. The two types are these:

(1) Technical assistance which has as its primary or exclusive immediate objective the performance by the donor of technical assistance of a task which requires the possession of some special skill, knowledge, information, experience, know-how, etc.

This type of technical assistance, which is hereinafter often referred to as "performance technical assistance," can be described by citing common examples: a survey of a country's natural resources by a geologist; the preparation of a development plan; the design of an irrigation system; engineering services in the construction of a dam; the conduct of a feasibility study; the preparation of an insurance code or tax law; the vaccination of local residents against smallpox; the aerial spraying of areas to combat a locust plague; the conduct of research to develop better seed, to find ways of controlling a disease, or to find ways of locally manufacturing paper cheaply; the repair of a power system; experimentation in the design and construction of houses out of indigenous materials; the analysis of soils; service in an operating or other

line capacity as an active employee of another government or local private organization.

This type of technical assistance is marked by the fact that the task performed by the donor is itself the only significant element or at least the initially significant element. In some cases the mere performance of the task may represent completed technical assistance in the sense that the specific goal set has been fully realized (e.g., the complete inoculation of the inhabitants of a village in the throes of some epidemic). In other cases the value of the task performed may only be realized when the knowledge and information which are developed through the activity are communicated to, and acted upon by, the government or the people for whom the task was done (the adoption and implementation of a development plan designed through technical assistance, the use of the fruits of the research of a foreign technician, or the acceptance of a technician's proposal for a model credit organization). Where the latter situation obtains, technical assistance of the performance variety bridges over into, and often blends indistinguishably with, technical assistance of the second variety, which is discussed below.

Performance technical assistance may simply involve the normal application to a particular set of physical circumstances of advanced technical skill, knowledge, etc. (for example, the conduct of a mineralogical survey); but in many cases its effective rendition requires, though in greatly varying degrees, the same knowledge and understanding of a local culture as the extension of technical assistance of the type which is described below and the radical adaptation of things which work in a technologically advanced society to a wholly new set of local circumstances, and involving political, social and economic factors, as well as physical factors (e.g., the development of a proposed investment law).

Some performance technical assistance may be capable of execution by the actual renderer without, or largely without, the active participation of locals (e.g., research on an antibiotic which will be effective in dealing with intestinal bacteria), but much of such technical assistance depends on the cooperation of, or contributions by, indigenous personnel.

(2) Technical assistance which has as its primary or exclusive immediate objective the communication to another individual or group of individuals of a skill, information, knowledge, advice, an attitude, an approach, a mode of behavior, etc.

This type of technical assistance, which is hereinafter often referred to as "communication technical assistance," is marked by its immediate goal of both conveying or transferring something intangible to another individual or individuals and its use by him or them. The use intended may be:

(a) A personalized use by the recipient - the actual employment by him of the skill, knowledge, technique, etc., transmitted (e.g., the operation by him of a radio or the exercise of the skill of a welder), or the reflection in his behavior of an attitude, value, process of thinking, approach, etc., conveyed (e.g., a concern for sanitation, a desire to experiment with new seeds, a new outlook toward saving, a belief that he can improve his standard of living through self-help);

(b) The successful communication by the recipient to others, for use by them or for successful recommunication, or for both, of the skill, information, value, etc., in question (e.g., knowledge about the use of fertilizer or seed, the construction of village wells, the use of privies, or the desirability of a credit system);

(c) As an important variant of (a) the use by the recipient of the skill, information, approach, etc., as a means of facilitating successful communication to others, for their use, for their successful recommunication to still others or for both purposes, of skills, information, etc., not necessarily involved in the primary technical assistance (e.g., skill as a radio broadcaster, in teaching methods, or in preparing audio-visual aids); and

(d) Some combination of (a), (b) and (c).

In either one of the four cases, success of the technical assistance depends upon not only the successful transfer of knowledge, information, values, etc., but also upon the prior existence or the creation of the motivation to use, or to reflect in behavior, such knowledge, information, values, etc., in the general fashion contemplated, although this may, as it frequently does, involve the adaptation of the knowledge, information, values, etc., to the characteristics of the local culture.

In either one of the four cases, the process may be intended to change or create institutions, in the sense of changing or creating a material and persistent element in the life of a local culture or of an organized social group therein, as by establishing or altering a usage, custom, practice, common habit, organization, etc.

Communication technical assistance may be furnished through any of the variety of means by which communication between individuals takes place (including, frequently, the actual performance by the donor, for purposes of demonstration or training, of a task requiring the possession of a skill, knowledge, etc.), and one of the principal questions affecting technical assistance is how, in various circumstances, such communication can best be done on a cross-cultural basis.

A.

The Purposes of Technical Assistance

For What Purposes Should Technical Assistance Be Employed?

Technical assistance is not an end in itself but a means to an end - a means for the accomplishment of some purpose. In the past, national governments, multilateral institutions, and private organizations, whether wisely or unwisely, effectively or ineffectively, have employed technical assistance in order to further several different types of declared or undeclared purposes or combinations of purposes. This fact raises the following questions:

1. Effectiveness of technical assistance for various purposes

For what specific purposes, and to what extent, is technical assistance actually an effective instrument? What are its capabilities and limitations as an instrument for the following purposes?

- a. To further the development of less developed nations (or peoples).
  - (1) Their economic development.
  - (2) Their social development.
  - (3) Their political development.
  - (4) Their development involving some combination of two or more of (1), (2) and (3) above.

The terms "political development," "social development," and "economic development" are each subject to a variety of definitions, and the terms "nations" and "peoples" have also from time to time been variously interpreted by different donors to exclude certain categories of nations and peoples. Whenever, in the course of answering questions in this outline, the answer may turn on the resolution of one of these ambiguities, a more specific definition will be required or the answer should be framed in terms of the several alternatives.

- b. To solve economic or social problems of another society which are not primarily of a developmental nature.

Examples would be (although some of them might in certain circumstances fall in other categories): (i) expert help or advice in handling or resettling refugees; (ii) assistance in the solution of a monetary crisis; (iii) technical activities directed toward combating a locust plague; (iv) the inoculation of an epidemic-inflicted population.

- c. To achieve some other economic purpose not embraced in a or b.

An example might be the introduction of technological innovations that would increase the use of, and markets for, the specific exports of a nation providing technical assistance.

- d. To achieve a cultural purpose.

An example might be a technical exchange program primarily designed to develop closer cultural ties.

- e. To achieve a political purpose.

An example might be the settlement of an international dispute whose solution turned on the solution of an economic problem affecting the two nations involved, e.g., the allocation of water derived from a watershed upon which both nations are dependent.

- f. To proselytize.

- g. To achieve some other purpose not encompassed in a through e above.

Within each of the foregoing seven, to some extent overlapping, categories of purposes, further subdivisions are possible, and as to each of the major subsidiary purposes, the question of the effectiveness of technical assistance as an instrument for its furtherance is relevant.

In analyzing the immediate purposes for which technical assistance can be effectively employed, a distinction should be made between such purposes (the specific end results desired from a specific activity), and the basic motives, the philosophic concept or, in the case of a government, the long-range national objective which may lie behind the desire or decision to extend technical assistance for any specific purpose. The motives, philosophic concepts, and long-range national objectives which underlie technical assistance which is directed to a specific purpose may differ as among different types of donors of technical assistance (e.g., business concerns, voluntary agencies, governments) or as among governments. Hence,

therefore, depending upon a donor's values and ultimate objectives, the importance to two separate donors of achieving a specific purpose through technical assistance may differ radically and affect the emphasis which he places on that purpose. Among the motives, philosophic concepts, or long-range national objectives which are most often stated as underlying the effort to achieve particular purposes through technical assistance are the following:

(1) To be humanitarian or, phrased in terms of the U.S. Government, to give concrete expression to a fundamental humanitarian feeling on the part of the people of the United States toward less fortunate peoples, particularly where the needs to be met are of a type or of a magnitude which cannot be filled through private channels.

(2) To discharge a religious or moral obligation which may exist on the part of developed (or wealthy) peoples to less developed (or poor) peoples.

(3) To protect or increase the national security of the donor.

(4) To create the kind of economic and political climate in the world under which, irrespective of any Communist or other totalitarian threat, the United States can best thrive and prosper with its fundamental values preserved.

(5) To create the kind of expanding world economy which will increase markets, open up new sources of supply, create new opportunities for foreign private investment, improve the climate for business enterprises, etc.

## 2. Interrelationship among purposes

### a. Inconsistency and mutual interdependence of purposes

As to each of the purposes which technical assistance can effectively serve (answer to 1 above), to what extent, and under what circumstances, is the effective employment of technical assistance by a specific donor for that purpose -

- (1) Consistent, if at all, with its employment for any other purposes?
- (2) Inconsistent, if at all, with its employment for any other purposes?

- (3) Likely otherwise to affect the effectiveness of technical assistance for other purposes?
- (4) Dependent upon the concurrent employment of technical assistance for one or more of the other purposes?

What combinations of technical assistance purposes fit together and are mutually supporting or reinforcing? What purposes are antithetical when simultaneously sought through technical assistance or otherwise associated either (i) in the same activity or different activities or (ii) in the same country or different countries?

Generally, or in specific country contexts, the pursuit of some of the purposes which have been proposed for technical assistance may be inconsistent with, at direct variance with, or an impossible concomitant of, the pursuit of one or more of the other purposes, either conceptually or in terms of the pragmatics of implementation. Moreover, the pursuit of certain purposes in a specific situation or in a specific country may have the effect of helping or hindering the pursuit through technical assistance of certain other purposes in other situations in the same country or in other countries. This may be because of psychological or political considerations or because resources are limited.

The kind of issues involved are illustrated by the following concrete questions:

(i) To what extent, if at all, and when, can technical assistance extended by a religious agency be effective both for the purpose of proselytizing and the purpose of bringing about social and economic growth? Conversely, when, if at all, is effective technical assistance for the first purpose dependent on the presence of the second purpose as well?

(ii) Does the use by a government of technical assistance for a short-term political purpose affect the value of technical assistance as an instrument for economic and social development either (i) in the same country or (ii) in other countries?

(iii) Under what circumstances, if any, can a business concern operating in a foreign country effectively provide technical assistance which serves both the purpose of helping the economic development of the country and the purpose of developing new sources of raw materials for its own use?

b. Organizational and administrative measures to eliminate inconsistency or to further mutual support

To what extent, (i) through organizational or administrative separation, coordination, or consolidation of technical assistance activities directed toward different purposes or (ii) by other measures, is it possible for a specific donor, particularly a national government, to eliminate, or to reduce the effects of, any inconsistencies among technical assistance programs for different purposes or to further the mutual support of technical assistance for several interdependent purposes?

c. Collateral effects

In what manner, under what circumstances, and to what extent, does the extension of technical assistance for each specific purpose frequently, usually, or always, regardless of primary intent (and even contrary to design and wish), result in accompanying consequences which are unrelated to the particular purpose sought? What are the character and significance of these concomitant effects? To what extent do they coincide with or operate against the purpose sought?

For example: Can technical assistance be extended for any purpose without having some political effects in a recipient country?

3. Implications of purposes selected to the character of the technical assistance required

- a. How does the purpose sought affect the nature of the problems with which technical assistance must deal?
- b. How does the purpose sought affect the character of the technical assistance which should be provided - the choice of the general approach to be taken, the selection of specific methods of operation, decisions as to actual techniques of execution, and a determination of the channels for extending the assistance?
  - (1) Specifically, under what circumstances, how, and to what extent, are the answers to the following questions affected by the purpose sought?
    - (a) Should the assistance be planned and extended on a long- or short-term basis?

- (b) What relative emphasis should be placed on the transfer of knowledge and skills directly to individuals as an end result and on the development of institutions?
- (c) What functional areas or types of problems should be emphasized?
- (d) To what extent should the assistance consist of the direct performance by personnel of the donor of a particular local function and to what extent directed toward the training of indigenous personnel to perform the function?
- (e) To what extent should advice be given to other governments in the solution of their substantive problems, particularly when the problems involved relate to areas that are central to the exercise of sovereign power (e.g., tax policy, development planning, land reform)?
- (f) Should the assistance be provided through government or private channels, and if it is to be governmental in character should it be extended by (if the United States Government is asking the question) the United States in preference to its extension by another government or through a multilateral institution?
- (g) What are the best methods of operation to employ, as, for example, whether to proceed by furnishing technicians, by financing participants, by letting university contracts, supplying of literature, etc.?
- (h) In the context of the United States, would third country training or third country technicians be preferable to U.S. training or U.S. technicians?
- (i) Should activities and projects be selected because of their popular impact, their impact on particular individuals, or their impact on selected groups, including the question of whether it is desirable to meet a "felt need" even though the donor may place this need in a lower priority?
- (j) Are operations under forced draft required?

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- (2) What other major questions may be affected, and how, by the purpose sought?

An analysis of the character above suggested of the implications which the choice of a particular purpose for technical assistance may have on the character of the technical assistance is particularly necessary in view of the many popular stereotypes about technical assistance which disregard this relationship between purposes and means. It is a common practice for a person with a specific view as to the purpose of technical assistance to judge the means employed and the success or failure of a particular technical assistance activity from the standpoint of its success or failure in advancing that purpose alone and without reference to the fact that an entirely different purpose may have been intended. Similarly there is a frequent tendency to espouse a particular form of, or method in, technical assistance (e.g., the grass roots approach; the use of multi-lateral institutions; demonstrations; participant training) without analyzing the responsiveness of such assistance to the precise purposes to be served by a particular technical assistance program and hence to the character of the problems which must be solved in order to achieve such purposes.

4. For what purposes should technical assistance be extended?

Based upon the answers to 1 through 3 above and other relevant considerations, for what purposes, and under what circumstances, SHOULD technical assistance be extended?

The answers to 1 through 3 above will indicate (i) the purposes which technical assistance can effectively serve under various circumstances, (ii) the interrelationship and compatibility of these several purposes, and (iii) the effect of the purpose sought on the character of the technical assistance required. These answers are essential in reaching, but they cannot themselves provide, an answer to the further question of the purposes for which technical assistance SHOULD be extended by any specific donor.

This further question is a policy question whose answer will be governed in the case of each donor by the following additional considerations among others:

- (1) Underlying national objectives or motives - The various national objectives (or motives) which underlie the desire of a donor to extend technical assistance for each purpose for which it may be effectively used.

- (2) Comparative significance of technical assistance in achieving various national objectives - The extent to which the achievement of each national objective (or the satisfaction of the particular motive) listed under (1) above is dependent upon, or will be furthered by, the attainment of a specific purpose which can be effectively served by technical assistance; and the extent to which its achievement depends on other supporting or independent non-technical assistance measures.
- (3) Consistency or inconsistency of employing technical assistance for several different purposes - The extent to which, either (i) because certain purposes may be inconsistent (as reflected in answer to 2a above) or (ii) because resources which the donor can mobilize may be insufficient to support effective technical assistance for all desired purposes, the use of technical assistance for a purpose that will further one national objective (or one motive) may impair or prevent its effectiveness for another purpose or purposes which would serve other national objectives (or satisfy other motives).
- (4) Alternatives to technical assistance - The availability to the donor, and the comparative effectiveness and the relative cost to him, of other non-technical assistance measures as a means of either (i) achieving each of the purposes which technical assistance could effectively serve or (ii), apart from each such specific purpose, furthering the national objective (or satisfying the motive) involved.
- (5) Relative importance of underlying national objectives or motives - The relative importance which the donor attaches to achieving each of the national objectives (or to satisfying each of the motives) whose attainment might be furthered by technical assistance for one or another purpose.

Some of the foregoing considerations are analyzed more fully elsewhere in this document; others are beyond the purview of technical assistance as such. For some donors no problem of choice may exist; there may be only a single objective or motive involved and technical assistance for a particular purpose may be an effective, and the only practicable, means for achieving or satisfying it. For other donors, particularly national governments, very difficult choices may often be involved - (1) major choices as to whether, on the one hand, technical assistance for a selected purpose or combination of purposes will be given long-term or permanent priority over technical assistance for other purposes, or even preclusive emphasis, or, on the other hand, employed from time to time as a flexible instrument for a variety of different purposes depending on the immediate

circumstances; and (2), within the framework of the foregoing major choices, minor choices as to the purposes for which technical assistance will be used at any given time, either generally or in specific areas and specific situations.

5. For what purposes should the United States Government extend technical assistance?

Viewed from the standpoint of the United States Government, and based upon the answers to 1 through 3 above and other relevant considerations, for what purposes, and under what circumstances, SHOULD the United States Government provide technical assistance either (i) directly or (ii) indirectly through intermediate channels (i.e., multilateral and private)?

This is a particularization of the general question raised in 4 above.

B.

Technical Assistance as an Instrument to Help Less  
Developed Countries in Their Development

As indicated in II-A above, technical assistance may be employed as an instrument for achieving any one, or some combination, of several different purposes, and it should be assumed, at least in any initial analysis, that the elements which make technical assistance an effective instrument for one purpose may differ materially from those which make it a useful tool for other purposes. Logically, therefore, the study should separately examine the major characteristics of an effective technical assistance program for each of the several purposes which are identified as appropriate in the answers to the questions in II-A above. However, to list separately as to each purpose the specific questions which should be addressed would not only be time consuming, but would also result in several long lists which, with minor variations in phrasing and a few questions added or deleted, would be identical in character. For this reason it has seemed preferable in this section of the outline to construct an analytical model which is centered on technical assistance for one selected purpose - technical assistance which has the declared purpose of helping less developed countries in their development. This model can then subsequently be adapted and used, as suggested in II-C below, to diagnose the particular factors which govern the effectiveness of technical assistance as an instrument for each of the other purposes.

It should again be noted that the term "development" has many shades of meaning (see II-A-1-a above). However, rather than to spell out in each instance in the form of sub-questions the possible implications of selecting one or another definition, it has seemed better simply to insert the caution that the answers to some of the questions which follow will be affected by the interpretation chosen and that, therefore, such questions may need to be examined from the standpoint of several different definitions of the term. In general the assumption is made that development is organic in nature, embracing frequently inseparable economic, social, political and cultural elements.

The method of analysis employed is intended for use:

- (i) In arriving at any validly supportable generalizations about technical assistance as an instrument for development either:
  - (a) on a worldwide basis;
  - (b) in societies which, from the standpoint of technical assistance, have common problems;
  - (c) in dealing with certain groups or classes of people; or
  - (d) in addressing major categories of problems.

- (ii) In identifying, and in determining the significance of, those factors or elements which, because they vary from society to society (or under differing interpretations of the term "development"), may materially affect the character of the technical assistance which will be most effective in any given locale, in approaching a particular problem, or in dealing with a specific local group or class of people.
- (iii) In analyzing, and in developing technical assistance solutions for, the problems of any specific country.

1. The Nature of the Problems

What, if any, are the common characteristics of the problems which must be solved in order to further development (a) in less developed countries generally; (b) in specific geographic regions; (c) in societies at various major stages in the development process; and (d) in groups of societies that have similar cultural characteristics of importance? What are the major elements of these problems which (i) differ as among societies generally or as among societies at different stages of development or with different cultural backgrounds and (ii) may affect the circumstances under which, the extent to which, and the manner in which, technical assistance can contribute effectively to their solution?

a. The indigenous setting

(1) Possible generalizations

(a) To what extent, if at all, and with what significance from the standpoint of development, does each of the following represent a common characteristic of the indigenous setting in less developed societies (i) generally, (ii) in specific regions, (iii) at comparable stages of development, or (iv) with similar cultural backgrounds? Which of these are the most important?

(i) The existence of great poverty (in relation to Western standards), maldistribution of limited amounts of wealth, illiteracy, poor health (again on Western standards), and a relatively short life expectancy.

(ii) An economy and society which are still predominantly rural in character.

(iii) A trend of varying degrees of intensity toward rapid urbanization.

(iv) The existence of a revolutionary situation produced by elements of the technological revolution (particularly radical innovations in the fields of communication and transportation) and by the impact of Western culture and other indigenously alien ideas.

(v) A dynamic situation, characterized by strong forces for change (including particularly a desire for, and a belief in the possibility of, substantial human betterment) and the actual occurrence of change, at a progressively accelerating rate.

- (vi) . Impatience, at least among certain groups, with the rate of change in the economic sphere at the present time, and a tendency to search for new political solutions that offer any hope for a more rapid increase in standards of living - coupled usually with unrealistic expectations as to the maximum rate of economic development which is possible under the best of circumstances and marked by a lack of understanding of the factors which limit this rate.
- (vii) The existence of a revolutionary situation in social and cultural terms, a situation characterized by the collapse of old values and standards and the breakdown of the old structural columns of society, with the necessity for a restructuring of the society and the creation of new values and standards.
- (viii) A tremendous increase in population, largely the result of the introduction of modern health measures and the availability of more food, an increase which is already outrunning in some places, and which is threatening in additional places to outrun, the increase in per capita production.
- (ix) The difficulty, not universal, but certainly very widespread, which is being encountered by those governments which purport to have the substance (as contrasted to the form or trappings) of democracy or attempt to follow the processes of democracy in successfully solving their most urgent problems (or the problems which loom as most urgent in the popular mind or in the thinking of influential groups), and the consequent trend in some areas away from democratic to authoritarian regimes.
- (x) The paucity of skilled manpower generally and the serious deficiency in high-level human resources - in men capable of running government departments, managing development programs, organizing business enterprises, etc.
- (xi) The tendency toward mimicry - the tendency to take over large selected (but not necessarily intelligently selected) chunks of another culture without other, often importantly complementary components thereof (e.g., the effort to carry out Western vocations without certain Western viewpoints that have, at least in the West, been associated with the successful prosecution of those vocations).

- (xii) The common, though not universal, deficiency in material resources (developed or undeveloped) in comparison to the resources which are now available to most developed countries, and the inadequacy of these resources to support a rate of growth or an increase in standards of living which will begin to approximate existing expectations.
  - (xiii) The presence of important external influences on indigenous conduct and thought - ideological, technological, economic, political, etc. - influences which are often actively and aggressively exerted, and not merely passively present - influences which often operate at cross-purposes.
  - (xiv) The wide prevalence of strong nationalistic feelings and autarchic tendencies, sometimes accompanied by varying degrees of xenophobia or other forms of resistance to foreign ideas.
- (b) What other comparable major generalizations can be made and what is (i) the significance of each from the standpoint of development and (ii) its relevance to the kind of technical assistance which may be of most importance?
  - (c) Are there any distinguishable factors of relationship among some or all of the generalizations identified in the answers to (a) and (b) above?

(2) Possible variables of importance

- (a) Which of the following elements are ones which vary significantly from society to society and which may materially affect the nature of the development problem or the character of technical assistance? What is the significance of each?
  - (i) Present level or stage of development - (a) political, (b) economic, (c) social.
  - (ii) Geographic location and physical characteristics of the country (e.g., type of land, character of soil, water resources, physical barriers, climate, etc.).
  - (iii) Natural resource base.

- (iv) The nature of the economy - its diversification; its dependence on trade; its reliance on one or several commodities; the extent of unemployment and underemployment; degree of inflationary pressure; etc.
- (v) Human resource base - the extent and character of the learning, skill, experience, etc., of the population, both generally and in particularly critical areas, including the character of so-called high-level human resources.
- (vi) The degree of population pressure, and present and probable future trends in population growth.
- (vii) Character and extent of the institutional base.
- (viii) Concepts, organization, forms, and methods of government - at the national, intermediate and local levels, and relationships among different levels of government..
- (ix) Current political conditions.
- (x) The structuring of the society.
- (xi) General behavioral patterns - both individual and social.
- (xii) Central national "drives" - (e.g., what are the main-springs of national action; what are the elements of the hard core of the society; what are the coordinating focal points of people's behavior?)
- (xiii) Nature and development of the country's communication complex.
- (xiv) Patterns of learning within the society.
- (xv) Attitudes toward saving and capital accumulation.
- (xvi) The present degree of urbanization, and the extent and character of current and probable future trends toward urbanization, and the implications thereof.
- (xvii) The existence of racial or language problems of serious moment; the existence of plural societies.
- (xviii) The moral and ethical values of the society, and changes which have recently occurred or are now occurring therein.

- (xix) Attitudes toward public service (e.g., what motivates the actions of public officials at various levels, including those with whom donors of technical assistance must work, and what are the character of their relations with, and their attitudes toward, the people in the country and their problems and needs?)
- (xx) Religion.
- (xxi) The nature and intensity of the external forces affecting the local scene, including the presence or absence of an external or internal Communist threat.
- (xxii) Images of the West and of the Soviet Bloc which are prevalent in the country or among influential groups in the country.
- (xxiii) The character and intensity of various forces for and against change.
- (xxiv) The urgency from a political standpoint of economic progress.
- (xxv) The presence or absence of large military forces and the role they, their leaders, or special segments thereof, play in the life of the country.
- (xxvi) The size, character, and importance of special non-military groups, and their function and influence on the life of the country.
- (xxvii) The nature of recreation and entertainment in the country.
- (xxviii) Other unique aspects of the country's cultural heritage.
- (xxix) Attitudes of host government officials toward foreign assistance, and toward particular forms of foreign assistance, including especially technical assistance, and their motivations in connection therewith.
- (xxx) Attitudes toward gifts and loans.
- (xxxi) Character of the whole complex of interactions of a nation's economy and society with all types of outside factors (technical assistance, business, communication, travel, etc.),

- (b) What other major comparable variables can be identified and what is (i) the significance of each from the standpoint of development and (ii) its relevance to the kind of technical assistance which may be most appropriate?
- (c) Are there any distinguishable patterns of association and relationship among some or all of the variables identified in the answers to (a) and (b) above?

b. Effecting changes necessary for development

- (1) Changes that are possible. What, if any, general conclusions can be established with respect to the relative amenability to significant changes of various basic features of a culture either (i) in societies generally, (ii) in societies at different major stages of development, or (iii) in various groups of societies that have important common cultural characteristics? Are there certain elements that are so deeply rooted in a culture that changes in them will be particularly difficult to accomplish, will be impossible to effect except over a long period, or are dependent on prior or accompanying changes in other elements of the culture? Are there, on the other hand, certain features of a culture that are especially tractable to change?
- (2) Changes that are necessary for development. What major changes (or combinations of major changes) must occur in order that significant further development can take place: (i) in less developed countries generally; (ii) in countries at various stages of growth; and (iii) in various types of societies having common cultural characteristics? What, if any, alternative courses are open? Are there other major changes which, while not indispensable, would contribute significantly to the development process? Are there elements in the culture whose alteration would have no major effect on growth or whose alteration might inhibit growth? To what extent are the major changes which are necessary for, or desirable in furthering, significant development the kinds of changes which are difficult, easy, or impossible to effect, as reflected in the answer to (1) above?
- (3) The nature of change
  - (a) How does change occur?

- (i) To what extent do the patterns of change which have marked economic and social development of societies at various stages of development in the past represent necessary, desirable, possible, or likely patterns of change in the development of less developed countries in the second half of the twentieth century? What, if any, factors are present today which make possible or require different patterns of change in the progressive development of less developed societies as a group or of different categories of societies? Must development be a slow step-by-step process following the same sequence as in the past, or is it possible to "leapfrog," to shortcut, to telescope progress, or to develop entirely new patterns?
- (ii) Is there some critical point that must be reached, or some level, combination, integration, or coordination of internal forces or external influences (or both) that must be achieved, in order to bring about certain significant changes (or any significant changes) - to produce a continuing process of growth - in societies at different stages of development or with certain common characteristics?
- (iii) What, if any, interrelationships can be established between changes in specific elements of a society, or combinations of such changes, and economic and social development? Are there certain changes or combinations of changes which, if either accomplished or set in motion, would have a catalytic effect in inducing other changes? Are there, in other words, changes which would represent a major breakthrough in any effort to provide maximum acceleration to the development process (e.g., increased literacy, better health, improved communications)? How does the situation in this regard differ among societies at different levels of development or among societies with major differences in cultural heritage?
- (iv) To what extent is the process by which change can or will take place affected by physical environment, indigenous economic conditions and capabilities, past political experience, or existing external influences?
- (v) How fast can various types of change take place and how does the tempo at which these changes occur affect the orderliness, character, rapidity, durability, soundness

and long-term continuity of economic and social development? To what extent is it possible to accelerate the rate, or to telescope the process, of various kinds of change, and with what collateral consequences?

- (vi) In societies at differing stages of development and with various cultures, what changes necessary for continuing economic and social development must by their very nature, or should, be evolutionary in character and which ones revolutionary? What features of a society can be adapted and which ones must be radically revised or completely eliminated or replaced?
- (b) Factors which discourage change. What specific types of factors are of a kind which, if present in a local society, normally represent obstacles to, and hence discourage, change of the character necessary for social and economic development? Which of these are most characteristic of societies at the different major stages of development? Which are most significant in the various major cultures? Which of the following types of factors, and what others, are significant obstacles to change in various societies, and how important is the role of each?
  - (i) Religion (e.g., the acceptance of a preordained lot; taboos; emphasis on alms-giving).
  - (ii) Social customs.
  - (iii) Social structure (e.g., a caste system or other rigid social stratification; the lack of a middle class; the existence of a small dominant elite?
  - (iv) Power structure - its character, strength and cohesion.
  - (v) Special interests (e.g., government bureaucrats, land-owners, military, money-lenders, merchants, government leaders, village or tribal chiefs, religious leaders).
  - (vi) Ethical and moral values.
  - (vii) Attitudes toward work (e.g., lack of ambition, apathy, disdain for physical labor, traditional occupational preferences, prestige associated with certain occupations, class division of labor, absence of an opportunity for profit).
  - (viii) Attitudes toward leisure.

- (ix) Poverty in natural resources.
  - (x) Climate and other features of physical environment.
  - (xi) Lack of concept of the market.
  - (xii) Lack of technical knowledge.
  - (xiii) Illiteracy.
  - (xiv) System of land tenure.
  - (xv) Traditional uses of savings and attitudes toward saving and capital accumulation.
  - (xvi) The character of the credit structure, if any, or the lack of any credit structure; attitudes toward lending and borrowing; traditional lending practices.
  - (xvii) Conservative attitude of agrarian society.
  - (xviii) Tendency to look backward to past glories.
  - (xix) Absence of motivation or inducement for undertaking certain activities.
  - (xx) Pride and sensitivity; embarrassment over showing ignorance or of giving the appearance of inferiority; the desire to save face.
  - (xxi) Desire on the part of officials and others to "keep out of trouble" and consequent reluctance and hesitancy to take any initiative or to innovate.
  - (xxii) An attitude of rejection (i.e., an inward orientation coupled with a tendency to reject anything that comes from the outside) or xenophobia.
- (c) Factors which encourage change. What are the specific types of conditions which, if present in a society, normally encourage and support change of the nature required for social and economic development? How widely prevalent is each of these, and how important, in societies at different levels of development and in each of the various culturally different groups of countries? Which of the following kinds of factors, and what others, are most significant under different conditions?

- (i) A desire for a better way of life
- (aa) What is the image of a "better way of life" of the average individual, of influential groups, etc., in a society? What is wanted most? Which of the following?
- longer life
  - better health
  - more to eat
  - more material things (what kind?)
  - creative opportunities
  - chance for advancement
  - more freedom
  - more control over individual destiny
  - prestige or different social status
  - opportunities for his children
  - greater personal security (economic or physical)
  - education
  - power
  - more leisure
- (bb) What factors account for this image and what factors might change it?
- (ii) A desire for survival. What is necessary? (e.g., food, clothing, housing, medical care)
- (iii) Interest in new things - curiosity
- (iv) A belief that things are going to be better
- (v) Mimicry
- (d) Change agents. To what extent in various types of societies, or in societies at different stages of development, do the actions, attitudes, approach, thinking or values of a particular group or class affect the possibility of major change and to what extent would alterations therein enhance the probability of major change? Under what circumstances is the presence of intellectual, political, religious or social leaders with certain types of qualifications likely materially to affect the rate and direction of change? What kinds and classes of local people represent the most important agents of change?

(4) Prevalence or non-prevalence of a widespread desire for change. How prevalent, in fact, is the desire for change among the general population and among various groups of the population in less developed societies generally and in societies representative of the different major stages of development and the major cultures? How intense is such desire? What are its focus and aim (see (3)(c) above). How is the desire expressed in political or other terms?

c. Major indigenous problems to be solved

Given the character of the local setting (as described in the answers to questions in a above), the changes necessary in such setting as a condition for continuing economic and social development, and the processes through which such changes are likely to come about (as reflected in response to the line of inquiry set forth in b above), what are the major specific problems which a less developed country (or a less developed country at a certain general level of growth or with certain cultural characteristics) must solve in order to achieve significant continuing economic and social development? What is the nature of these problems? Are they technological, institutional, behavioral, attitudinal, etc.? Can any general pattern as to timing, emphasis, sequence, or interrelationships be developed to guide one in framing the best methods of attacking these problems? Are there any problems which are so basic that their solution must precede any successful solution of other problems (e.g., the establishment of a certain minimum degree of law and order)?

d. The time factor

To what extent is the element of time important either in (i) describing a minimum period during which problems of the character described in the answer to e above can be effectively solved or (ii) imposing a limit on the period within which such problems must be solved in order to prevent undesirable political or other consequences which the donor considers unacceptable? When it appears that it will be impossible adequately to solve the problems involved or to accomplish the desired change within the time period deemed to represent the maximum allowable, is it desirable, and if so under what circumstances, or is it undesirable, to continue to make every effort to solve such problems?

e. Classification of countries - the possibility of selecting prototypes

Is it possible, and if so how, to group all or most less developed countries in a limited number of different categories so as to facilitate the study (and subsequent intelligent use) of technical assistance as an instrument in helping other countries to achieve a significant continuing rate of economic and social development? In other words, in terms of the kind of development problems which require solution, and recognizing that no two countries are wholly alike, can reasonable prototypes of groups of countries be identified? Which of the following factors, and what other factors, would be most important in undertaking such a categorization of countries and in selecting prototypes: (i) present stage of economic growth; (ii) the predominantly rural, village, urban, nomadic or tribal character of the society; (iii) the predominant religious forces; (iv) the character of prior political experience (e.g., whether a country has a long tradition of independence, is newly independent, or is only approaching independence, and the character of the colonial rule that preceded independence); (v) critical aspects of its social and/or power structure; (vi) physical environment; (vii) geographic location? (For further elements that might be considered in selecting categories, see II-B-1-a-(2) above.) If such categories can be established, and a prototype selected for each, what, from the standpoint of solving problems of economic and social development, are the most distinctive characteristics of each category or prototype, and in what important ways does each category differ from each of the others?

f. Effect of major world developments on the nature of the problem

- (1) To what extent, and how, may probable or possible developments in the world situation during the next few decades (developments outside of the less developed countries or developments which no single less developed country can itself control - e.g., changes in the world power balance, changing requirements for raw materials, rapidly expanding and improving communications, greater international mobility, the cumulative international impact of the population explosion) materially alter local settings, the process of change, and the character of the major problems that must be addressed in different areas and in different types of societies in order to achieve a significant continuing rate of development?

- (2) What, if any, major scientific discoveries or other important advances in human knowledge may possibly occur in the next several decades and be so radical and far-reaching in their character as to change basically the nature of any of the major problems that must be dealt with? What are the areas in which significant breakthroughs are most apt to take place?

g. Methods of analysis

Based on the considerations raised in a through f above, what specific method of analysis can be prepared for analyzing (i) the local setting, (ii) the nature of, and elements in, the change process, (iii) the character of the major problems, (iv) the relevance of time factors to the solution of such problems, and (v) the influence of outside factors, in any specific country? What pattern of questions should be asked as a means of dissecting and diagnosing the problems of a particular culture in a way that would be most helpful in determining the manner in which technical assistance and related forms of aid might contribute most effectively to its economic and social development?

h. New problems emerging from change

What major new problems are likely to be created (i) by the changes required as an incident to development as indicated in b above (either as these changes are being realized or after they are realized) or (ii) by the solution of each of the specific major problems reflected in the answer to c above, and must these new problems also be solved if there is to be continuing development on a significant scale?

2. The Elements Which Determine the Effectiveness of Technical Assistance as an Instrument for Solving Problems of Development

a. Introduction

(1) The basic question

How can technical assistance most effectively help other countries to solve the major problems involved in, and to make the changes required for, their continuing economic and social development?

(2) Discussion

In section 1 above, an analytical framework is provided for determining, in the light of the local setting, the changes which must take place and the character of the major problems which must be solved in order to maximize the continuing economic and social development of different types of less developed countries. The central question here concerns the ways in which a particular instrument, namely, technical assistance, employed either alone or in conjunction with other instruments, can best contribute to the furtherance of such changes and the solution of such problems.

An answer to the central question depends generally, and in relation to specific areas and groups of people, upon a number of subsidiary lines of inquiry. They are:

1. In terms of effectiveness in achieving the purpose sought, what general approach, methods of operation, techniques in operation, and channels of aid are best?

2. To what extent, and how, may, or should, the selection of a general approach, the methods of operation, the techniques for operation, and channels of aid be affected by the following: (a) comparative costs to the donor of each alternative approach, method of operation, technique, and channel of aid; (b) the dependence of each on supplementary aid of other sorts or on other non-aid measures; (c) local capabilities; and (d) any other major factors?

3. To what extent, and how, should approach, methods, techniques, and channels of aid be adapted for (a) different types of societies, (b) work with different

groups or classes within a society, and (c) when dealing with different technical fields?

In this section, the foregoing lines of inquiry are pursued without reference, except where incapability is clearly evident, to the subsequently crucial issue of non-indigenous capacity to implement the approach and to employ the methods of operation and techniques which would provide the best answer from a local standpoint. Thus the issue to be addressed is this: Assuming the availability of the external resources necessary therefor (physical, human and institutional), what approach, methods, techniques, and channels would be preferable? Only with the answer to this question in hand will it be appropriate at a later point to ask the following additional questions:

1. What resources should one try to mobilize or to develop in order, through technical assistance, to further development of less developed countries?

2. What is the relative value, when competing demands for the same resources are taken into account, of devoting such resources to technical assistance for development purposes? In terms of the interests of the United States, how important is it to find ways to mobilize such resources, even, to take an extreme example, by utilizing the processes of the Selective Service System or establishing a Youth Corps to supply large numbers of qualified junior technicians (assuming that they could be effectively used)?

3. What alternatives are there when the approach, method, technique, or channels which might be most effective cannot be employed because the concomitant external resource requirements cannot be met or can be met only in part?

b. Major general questions as to approach, methods of operation, techniques in operation, and channels of aid

(1) Development of general approach

In formulating an approach in technical assistance which is primarily intended to further the development of less developed countries, how should each of the major issues listed below be dealt with? What generalizations about these issues can be made which will have validity in any (or the great majority) of less developed countries? What more specific conclusions on

these issues can be stated with respect to (i) countries at each of certain major stages of development; (ii) countries representative of each major cultural heritage; and (iii) each country which may, as suggested in section II-B-1-e above, be identified as a reasonable prototype, for purposes of technical assistance problems, of a group of countries? As to those issues which require individualized disposition, or further refinement, on a country-by-country basis, or, within a particular country, on a specific program or project basis, what guidelines can be provided that will facilitate their wise solution? How, if at all, do the answers as to approach differ depending upon whether a total country program, a major segment of a country program, or an individual project is involved?

- (a) Performance vs. communication. Under what circumstances is it desirable for the donor of technical assistance to engage in "performance" technical assistance - i.e., to render a technical service (i) by performing needed technical work (e.g., conducting a survey, installing equipment, undertaking inoculations), (ii) by providing substantive advice on issues confronting a recipient government (e.g., advice on economic policy, help in long-term planning), or (iii) by engaging in sustained operational activities, either alone or in conjunction with the recipient (e.g., the Dooley-type medical operation, the operation of a school, the conduct of a health or agricultural extension program); and under what circumstances is it more desirable for him to concentrate on communicating skills and knowledge to the locals in order that the locals can perform certain tasks themselves? When is a combination of the two approaches desirable? When, and how, should the former approach ("performance" technical assistance) be employed as a means of aiding in communication?
- (b) Communication of skills and knowledge to individuals for their individual use vs. communication thereof for purposes of recommunication to others, as well as for, or in lieu of, their individual use. When the primary purpose is communication of skill, knowledge, attitudes, values, etc., to locals, under what circumstances, to what extent, and in what combination, should emphasis be placed on the communication thereof (i) for use by the immediate recipients in performing tasks or fulfilling a role which depends on their possession of such skill, knowledge, etc. (e.g., by working as a plumber, designing a tax system, operating a machine tool, organizing a government department); and (ii) for its recommunication (or use in

facilitating recommunication) by the immediate recipients to other locals for the latter's use or benefit (e.g., by teaching, other forms of training, providing an example, preparing manuals, conducting demonstrations, giving lectures, engaging in various forms of writing).

- (c) Development of individual skills vs. the establishment of institutions. Under what circumstances should the emphasized end-result be the transfer of particular skills or information to individuals or groups - in helping them to solve a particular technical problem (e.g., a disease, soil deficiencies, poor use of water resources, low-yielding seed); and under what circumstances should the stress be on erecting (i) a governmental or community framework capable of dealing with certain types of problems on a continuing basis (e.g., extension systems, village-level organizations, primary educational system, civil service system, over-all planning structure, a Department of Agriculture or a Budget Bureau, a tax system); and/or (ii) the creation of other types of local institutions (e.g., attitudes toward work, habits of saving, methods of doing business, patterns of behavior, language).
- (d) Developing motivation. Under what circumstances, and to what extent, should technical assistance be concentrated on creating a belief on the part of recipients that they can help themselves and on stimulating the desire, the motivation and the will to do so, as contrasted with its emphasis on the transfer of particular skills, techniques, knowledge, etc., as such?
- (e) Determination of priorities and sequence in emphasis
- (i) Responsibility for determining priorities. Who should decide what the priorities are - the donors of assistance, the recipients (a government or locally affected groups), or both working in concert? Whose judgment should prevail when there are differences in view?
- (ii) Locally felt needs. Should the emphasis be on the things which the recipient most wants, irrespective of the donor's own notion of priorities - on the so-called "felt needs" - or on the things which the donor thinks are most important?

- (iii) Degree of donor persuasion. Under what circumstances, and to what extent, should the donor attempt to direct, to persuade, to guide or to "sell" the recipient in his choice of programs and projects and in his selection of priorities and the sequence of emphasis? What difference, if any, does it make whether the donor is dealing at the government level (e.g., the Ministry of Agriculture) or with individual beneficiaries (e.g., the people of a village)?
- (iv) Permitting or not permitting mistakes. Should the recipient be permitted, and, if so, under what circumstances, to make what the donor considers to be mistakes, on the assumption that this is part of the process of learning new things, or should the donor refuse to cooperate in activities, or in ways of carrying out activities, that the donor believes are not the most desirable or even undesirable? To what extent should locals be encouraged to carry out tasks on their own and in their own way even when the donor believes that this is not the best way?
- (v) Logical priorities and sequence in emphasis. Assuming the possibility of choice, what, if any, priorities and sequence of emphasis can be established for the solution through technical assistance of the major substantive problems of a less developed society? From a chronological standpoint, what things, or what combinations of things, should be dealt with first? Are there certain steps which are basic to, or a desirable or necessary foundation for, all other steps, such as, for example, the establishment of law and order, the creation of particular institutions, the establishment of a certain minimum public infrastructure, or a significant reduction in illiteracy? Are there particular problems, which technical assistance might solve, whose solution would open the way for the solution of large numbers of other problems - problems that represent an especially critical point in the processes of development and change? What things need to be, or are best, done in combination or in related sequence, and with what pattern of time phasing? Are there "lumps" of activities that should be undertaken in association? Where should emphasis be placed: (i) in the event that indigenous capabilities and resources limit the number, or affect the character, of the things which can be done, either simultaneously or at any time in the foreseeable future; or (ii) in the event that a subsequent deficiency in requisite external resources necessitates choices? Under what circumstances, if any, should the approach be empirical rather than ordered in advance?

- (vi) Increasing productivity vs. social improvement. Should increased productivity receive the most emphasis, on the assumption that this is a condition precedent to, or necessary to finance, progress in other fields, or is it better initially to stress social improvement, on the theory that this will result in creating the motivation to increase productivity so that measures of social improvement can be supported, or must both approaches be taken together?
- (f) Concentration vs. dispersion. Under what circumstances is it desirable to concentrate technical assistance in a country on one or a few:
- (i) major problems;
  - (ii) technical fields;
  - (iii) projects within a technical field;
  - (iv) geographic areas within a country (e.g., Chile);
  - (v) specific groups or classes of people within a country?

Under what circumstances is it desirable simultaneously (i) to address a large number of problems, (ii) to work in a considerable number of technical fields, or (iii) to disperse projects and activities broadly throughout a country (e.g., Iran)? Are operations in depth better than operations in breadth? Are diffusion and fragmentation of a program undesirable per se, or are they sometimes desirable and, if so, under what circumstances?

- (g) Organic vs. specialized approach to development. When is it better to approach problems of (i) village development, (ii) development in a tribal community, (iii) development in a nomadic society, or (iv) development in other typical forms of rural society, on an organic basis, through some form of community development, and under what circumstances is it preferable to extend assistance through one or more technical channels to the local rural level, as, for example, through an agricultural extension system?
- (h) Program balance. In the light of the answers to the preceding questions and of any other pertinent factors, what criteria, if any, can be stated for determining proper program balance? Should a program be balanced as viewed from the standpoint of the donor of assistance or from the standpoint of the recipient?

- (i) Adaptation to local cultural framework. Recognizing that technical assistance invariably implies and causes cultural changes and affects values, how should the approach be tailored to the local cultural framework, seeking to effect the solution of major problems through evolutionary developments within that framework and encouraging indigenously designed solutions, and under what circumstances should the approach be one of major innovation and of attempting to bring about certain radical changes in that framework?
- (j) Grass roots vs. other approaches. Under what circumstances is technical assistance most likely to achieve a developmental purpose through (i) a grass roots approach; (ii) efforts to affect a few key individuals in a society, (iii) concentration on the central government and its personnel and institutions, (iv) attempts to bring about changes in special classes or groups, (v) work with the private sector of the economy, or (vi) some combination of the foregoing?
- (k) Approach in institution-building. When institution-building is the objective, under what circumstances, and to what extent, does one (i) start at the national level and build down; (ii) start at the local level and build up; or (iii) approach the problem from both levels at once, attempting to build local institutions which tie in with, and complement, higher-level institutions, in order to provide a national system for carrying out programs?
- (l) Skill-level and education-level of technical assistance. What standards and criteria can be established with respect to the degree to which the information, skills, techniques, knowledge, etc., which are provided through technical assistance can be in advance of the then levels of information, skill, knowledge, etc., of the recipient (an individual, a group or a society) and still be effectively absorbed and employed by the recipient? Have past programs underestimated or overestimated (i) the level of technical assistance that can be communicated or (ii) the rapidity with which progress can be made in progressively advancing the level of a recipient's information, understanding, knowledge, skill, etc., and his ability to use the same?
- (m) Mutuality
- (i) Mutuality in terms of host cooperation and contributions. To what extent, in what respects, and how, should mutuality be introduced into, and reflected in, a technical assistance program? To what extent, and in what form, should the donor

(i) expect, (ii) seek, and (iii) condition his technical assistance on, local contributions, local cooperation, and complementary local measures, on the part either of a host government or of individuals directly affected by technical assistance?

(ii) Mutuality in terms of host participation in technical assistance decisions. To what extent, and in what respects, should decisions concerning, and actions with respect to, technical assistance be mutual? Have there been, and, if so, has this been unwise, too many unilateral decisions and actions on the part of the donor? What decisions should be joint and which ones unilateral?

(n) Conditions

(i) What conditions, if any, other than those indicated in the answer to (m)(1) above, should be prescribed by a donor in extending technical assistance?

(ii) What kinds of conditions, if any, either (a) facilitate, or (ii) detract from, the furtherance of development through technical assistance?

(iii) How hard-boiled and insistent should a donor be in seeking compliance with the different kinds of conditions which he may have imposed? What should be done when, after efforts to secure compliance, certain conditions are still not observed?

(o) Technical assistance to governments vs. technical assistance to private individuals

(i) Under what circumstances is it better, in terms of effectiveness for development purposes, to extend technical assistance to, or through, another government rather than to private individuals or organizations?

(ii) Under what circumstances, if at all, and if so, how and to what extent, should technical assistance be extended directly or indirectly to individuals or private organizations that may derive personal profit therefrom, but where the effect thereof may be to contribute significantly to development?

(iii) Under what circumstances, if any, is it possible and better to extend technical assistance to provincial or other local governments rather than to, or through, the central government?

- (iv) Are the answers to any of questions (i), (ii) and (iii) above affected by the kind of donor who may be involved (i.e., whether the donor is a government, multilateral institution, foundation, business concern, or voluntary agency), and may such answers affect the choice of a donor in given instances?
- (p) Duration and continuity of technical assistance
- (i) How rapidly can one expect through technical assistance to bring about the various types of changes that are involved in the process of development at different levels of development and to provide solutions for the major problems encountered along the way?
- (ii) Is it possible and desirable to plan and project a general approach to technical assistance in a country over a long period of time or is there a serious danger that an approach so formulated will remain a static approach under circumstances where it should be dynamic and continuously readjusted? Is it possible to develop the kind of long-range approach that would provide a framework of continuity while at the same time avoiding any dangers of inflexibility? Is the status of current knowledge and experience such that a short-term empirical and experimental approach would be better either generally or under certain circumstances?
- (iii) Under what circumstances, and to what extent, does the effectiveness of technical assistance as an instrument for helping other countries to develop depend upon: (a) the continuation of technical assistance in some form (either generally, in certain fields, as to certain projects, or at certain quantitative levels) for a long time in the future (e.g., five years, a decade, several decades, the balance of the twentieth century); (b) a reasonable assurance on the part of both the donor and the recipient that technical assistance will in fact continue for a long period to come, that necessary resources to support its continuance will be available, and that continuity will not be interrupted because of transitory political differences or for political purposes (war or possibly rupture of diplomatic relations excluded); (c) donor commitments for long-term support; (d) planning of programs and projects on a long-term basis; and (e) long-sustained continuity in program and project objectives and concepts, and in implementation?

- (q) Minimal levels of quantitative involvement. Are there certain minimal effective quantitative levels of technical assistance involvement (and, where appropriate, other forms of aid) in another country or in certain segments of a country program, levels below which technical assistance makes no significant contribution to development?
- (r) Regional and multi-country emphasis. From the standpoint of its use as an instrument to further development, under what circumstances, and to what extent, should technical assistance be consciously designed (a) to promote regional arrangements, (b) to further, or to lay the foundation for, the integration or coordinated development of related or complementary economies, (c) to encourage political federation among, unification of, etc., separate national entities, and (d) to discourage any trend toward senseless autarchy, the disparate economic development of separate but economically related nations, or the excessive political fragmentation into small independent states of areas that might be better off if organized into larger political units?
- (s) Expressed or apparent purpose of the donor in extending technical assistance
- (1) To what extent, and when, is the effectiveness of technical assistance for purposes of development materially affected by the image as to his purposes which the donor conveys to a recipient through what he says about the purposes of his technical assistance or by the ways in which he provides technical assistance either (a) in the particular recipient country or (b) generally? What is the effect if the recipient's image of the donor's purposes is not clear, either (a) because it is not clearly stated, (b) because the donor's officially declared purposes and/or actions are not always consistent (as to the particular recipient country or as between different countries) or (c) where the donor is a government, because of different statements of purposes which are made by various representatives of that government or in various contexts (e.g., any variations between statements made in a legislative presentation or legislative debate and those made to a host country)?
- (11) To what extent, and how, is the effectiveness of technical assistance which is extended by a donor for purposes of development affected by: (a) the fact that such assistance may also be simultaneously directed in that country toward achieving other purposes of the donor as

well (e.g., proselytizing, gaining a business toehold locally, accomplishing a short-term political objective); or (b) the fact that technical assistance has been, or is being, used by the donor for other purposes in other countries?

- (iii) Under what circumstances, if any, and how, does the association (e.g., in administration, in legislation, in organization) of technical assistance for development with other forms of assistance having other purposes undesirably distort a recipient's image of the purposes of technical assistance or otherwise adversely or favorably affect the effectiveness of technical assistance? In the case of a government, are the development purposes of technical assistance furthered by its sharp administrative, organizational, or legislative separation from all or certain other forms of assistance? (As to this question, and the preceding two, see also section II-A above.)

(t) Credit-seeking by the donor

Under what circumstances, and to what extent, is it important from the standpoint of achieving developmental purposes that the approach be one which will result in the donor receiving credit or recognition for what is done (i) in individual projects and (ii) in his technical assistance program as a whole? Under what circumstances, if any, does an effort to obtain credit or recognition lessen the effectiveness of the assistance in achieving its developmental purposes?

(u) Expressed motive, attitude, bearing or posture of the donor in his relations with the recipient

- (i) How is the effectiveness of technical assistance for development purposes increased or decreased by the attitudes, bearing, posture, or expressed motivation (a) of a donor government or institution and (b) of the individuals who actually participate in the furnishing of assistance in their relations with (i) a host government and (ii) individual recipients or beneficiaries of the assistance?
- (ii) Under what conditions and to what extent, in the case either (a) of a government or institution or (b) of individuals, does each of the following somewhat overlapping, and not necessarily alternative or mutually

exclusive, types of attitude, bearing, posture, expressed motivation, or personal approach enhance or limit the effectiveness of technical assistance for development purposes: (i) the approach of the social worker; (ii) the approach of the religious zealot; (iii) the approach of the moral uplifter; (iv) an attitude of charity or humanitarianism; (v) an expressed belief that the donor and recipient have common problems that require the cooperation of both; (vi) an attitude of discharging a moral or religious obligation to help less fortunate people; (vii) an attitude of enlightened self-interest (e.g., national security, increased trade, raw materials, markets); (viii) an articulated belief that the assistance involves mutual self-interest; (ix) the approach of a teacher; (x) the approach of a friend or a brother; (xi) an attitude of equality? What other types of attitudes, etc., may contribute to, or detract from, the effectiveness of such assistance?

(iii) How, in terms of the effectiveness of technical assistance for development purposes, can a donor best rationalize, explain or express his motives in extending such assistance?

(v) Commencement of a program in a new country. What special elements of approach are involved when a donor (i) first considers a proposal to undertake, (ii) agrees to undertake, (iii) plans, (iv) makes arrangements with the host government for, and (v) commences a technical assistance program in a country where he is not then providing technical assistance?

(2) Selection of primary methods of operation and forms of donor-host government operational relationships

Once the major elements of an effective general approach have been identified (II-B-2-b-(1) above), the next questions concern: (i) the selection of those primary methods of operation (or combination of methods) which are best adapted to carry out such an approach under various circumstances; and (ii) a determination of the forms of donor-host government operational arrangements or devices which are most useful under different conditions.

(a) Primary methods of operation. There are a number of basic ways in which a governmental or institutional donor can (i) perform a task which requires technical skill, knowledge, etc., or (ii)

communicate skill, knowledge, etc., to the people of another country. Among the most important ways are the following:

- (i) Sending foreign (U.S. or third country) technicians and other personnel to the host country to teach, train, advise, or otherwise help local personnel.
- (ii) Sending personnel of the host country abroad for education and other forms of training (i.e., so-called "participant training").
- (iii) Providing the host country with materials that either (a) themselves incorporate required knowledge or information or (b) facilitate communication (e.g., audio-visual devices, communications equipment, demonstration equipment, training aids, research equipment and materials, technical literature, textbooks, periodicals, newspapers, other forms of literature).
- (iv) Using international radio or television broadcasts for purposes of transmitting information and ideas.

Each of the foregoing methods has a number of possible major variants and questions about these variants are included in the next section (II-B-2-b-(3)). For example, in the case of U.S. bilateral programs, the foreign technician who is sent to a host country can be (i) an employee of the United States Government (either a citizen of the United States or a citizen of a third country, and either a direct-hire or contract consultant), (ii) an employee of a contractor with the United States, (iii) an employee of the host government whose employment is financed by the United States, (iv) an employee of a contractor with the host government whose contract is financed by the United States, or (v) an employee of some other government, business concern, voluntary agency, foundation or multilateral institution whose dispatch has been stimulated, facilitated, or arranged, although not financed, by the United States Government. Similarly, personnel of a host country may receive their training in the United States, in a third country, in U.S.-financed schools abroad, or in regional institutions.

Moreover, each of the foregoing methods can be, and in U.S. bilateral programs ordinarily is, used in combination with one or more of the others, and at least one important operating device, the university contract, has been consciously fashioned to blend several methods together and should, because of its wide use, itself be classified as a major method of operation.

In selecting operating methods the following questions require examination:

- (1) In terms of speed in achieving desired results, breadth of impact, and permanence in effect, what generalizations can be made as to which one, or what combination, of the following frequently utilized methods of operation is most effective in helping to solve the various kinds of major problems identified in the answers to the questions in II-B-1 above and in carrying out any general approach which the analysis described in II-B-2-b-(1) above indicates to be the most appropriate:
  - (aa) sending foreign technicians to a host country,
  - (bb) participant training,
  - (cc) university contracts,
  - (dd) other kinds of training and technical service contracts,
  - (ee) the provision of training and technical materials,
  - (ff) the furnishing of communications devices, and
  - (gg) international broadcasting?
- (ii) What generalizations can be made about the advantages and disadvantages, and the capabilities and limitations, of each of the foregoing methods of operation (and combinations of methods) under each, or frequent combinations, of the following circumstances?
  - (aa) When a primary objective is the performance by the donor himself of a task requiring skill, knowledge, etc. (i.e., performance technical assistance).
  - (bb) When a primary problem is that of communicating (i) technical skills and techniques, (ii) primary or secondary level subjects, (iii) college level education, or (iv) graduate level training.
  - (cc) When a primary objective is to communicate values, standards, concepts, attitudes, patterns of behavior, or methods of thinking.

- (dd) When a major problem is that of developing motivation.
- (ee) When a primary objective is to create or change (i) a government institution or (ii) a social institution (e.g., central political institutions, a public health system, an educational system, an extension system, a market system, thrift and credit institutions, community institutions).
- (ff) When the rendering of the technical assistance required involves extensive operational activities.
- (gg) When it is desired to achieve wide communication and recommunication.
- (iii) What major methods of operation, other than those specified in (i) above, can be identified or devised, and what generalizations can be stated about the advantages and disadvantages, and the limitations and capabilities, of each in the several different contexts listed in (ii) above?
- (iv) How are the generalizations reflected in the answers to questions in (i), (ii) and (iii) above importantly affected, or subject to particularized refinement, by any of the following:
  - (aa) the stage of a host country's development,
  - (bb) the cultural characteristics of a local country, and
  - (cc) whether a country is, or the particular problems involved concern: (i) a village-type society, (ii) a nomadic society, (iii) an urban society, or (iv) some other form of rural society.
- (v) Based on the answers to the questions in (i), (ii), (iii) and (iv) above, what factors can be identified as the most important ones to consider when selecting methods of operation in any given case?
- (b) Forms of donor-host government operational relationships. Over the past few years, the United States Government and other institutional donors have developed and employed a number of different basic patterns and kinds of relationships in working and cooperating within a country with the host government. In some cases the

devices or arrangements established reflect a desire to find an effective means for securing, and for handling the problems involved in, the joint financing of programs or projects; in other cases they are designed to provide an operationally convenient method of doing things together; and, in still other instances, they are designed to facilitate the provision of advice in ways that will minimize offense to local sovereign sensibilities or decrease the direct involvement of a governmental donor in the host government's decision-making or administrative processes. Frequently, a combination of the foregoing considerations, and sometimes still other considerations, may be involved in the decision. To some extent, also, these devices and arrangements overlap, or are the same as, some of the methods of operation enumerated in (a) above, and they are relisted here in order to emphasize the extent to which basic methods of operation may be affected by the form of relationship with a host government which may be most appropriate. Among the various kinds of arrangements which have been used in the U.S. bilateral programs the following may be mentioned:

- (i) servicios (as constituted in Latin America) and other similar joint operational organizations (e.g., the JCRR in Taiwan);
- (ii) joint funds;
- (iii) so-called third-party contracts, under which the United States finances the employment of personnel or a contractor (who may be a business concern, a foundation, a university, etc.) by the host government to provide advice, render services or perform other functions;
- (iv) an advisory relationship between U.S. Government-employed technicians and counterpart personnel in established agencies of the host government; and
- (v) a relationship involving a contractor with the U.S. Government who provides advice, renders services or performs some other function.

Occasionally the arrangement can be more complex because a particular program or project may also involve the cooperation or participation of another donor or several other donors (e.g., another government, a foundation, a multilateral institution).

In selecting the form of relationship that is most appropriate the following questions should be answered:

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- (i) In terms of speed in achieving desired results, breadth of impact, permanence of effect, good relations between the donor and recipient, and efficient administration, what generalizations can be made about the advantages and disadvantages, and the capabilities and limitations, of each of the foregoing forms of relationship under each, or frequent combinations, of the following circumstances?
  - (aa) When performance technical assistance is primarily involved.
  - (bb) When achievement of a primary objective involves extensive operational activities in the host country.
  - (cc) When a primary objective is the creation of a new, or a change in an existing, (i) government institution or (ii) social institution.
  - (dd) When a primary objective is to render technical advice to personnel of another government.
- (ii) What forms of inter-governmental relationship, other than those described above, can be identified or devised, and what generalized conclusions can be stated with respect to the advantages and disadvantages, and the capabilities and limitations, of each of these under each of the several circumstances listed in (i) above.
- (iii) Which of the following factors, and what other factors (in addition, of course, to the host government's own attitudes), may materially affect the desirability of selecting one or another of the possible forms of relationship in a given country, program, or project:
  - (aa) The stage of a host country's development.
  - (bb) The general maturity and stability of the host country's political institutions.
  - (cc) The period of a country's independence and the character of any former colonial government.
  - (dd) The general political orientation of the country, and the closeness and friendliness of relations between the governments of the host and donor.
  - (ee) The character of political leadership.

- (ff) The number of educated and trained people in the host government, and the level of their training, education, and sophistication.
- (gg) The present existence or non-existence in the host government of an agency which is concerned with the technical field or fields involved in the technical assistance, and, where such an agency exists, the prior experience, general quality of personnel, availability of suitable counterparts, character of organizational arrangements, efficiency, and kind of administrative procedures in the agency.
- (hh) The pay and employment systems of the government, both in terms of theory and in operational fact.
- (ii) The substantive areas in which advice is to be given or other work done, and particularly the degree of sensitivity of these areas and their closeness to matters involving political controversy, important government policies, or national planning.
- (jj) The extent to which technical assistance activities will be (i) restricted to work with the central government, (ii) involve work with political subdivisions, and (iii) require field activities.
- (kk) The size and complexity of the program or project.
- (ll) The contemplated duration of the program or project.
- (mm) The number of locals and the number of foreign technicians who are likely to be involved in the activity.
- (nn) The kind of training or teaching that is contemplated in connection with the activity.
- (oo) The number and the forms of the relationships which have already been established between the host government and other donors.
- (pp) The current extension, or contemplated extension, by the donor to the host government of other (non-technical) assistance forms of aid which are either (i) complementary to the technical assistance program or (ii) wholly unrelated thereto.

- (qq) The extent and form of contemplated host country contributions to the activity.
- (rr) The degree of the host government's enthusiasm for the particular activity.
- (iv) Based on the answers to questions (i), (ii) and (iii) above, what general guidelines can be established to assist a donor in selecting the form of relationship that will be most appropriate in a specific case?

(3) Techniques in executing the several primary methods of operation

The first portion of the preceding section (II-B-2-b-(2)-(a)) identified, and raised questions about the comparative advantages and disadvantages of, the several primary methods of operation in providing technical assistance. This section is concerned with refinements in the form of each of these methods of operation, with the factors which influence the effectiveness of each, and with the techniques in execution that will be most productive. However, this section does not deal directly with, although final operational answers may often be affected by, various problems relating to management, administration, organization, and a donor's capacity to perform which are encountered in the actual implementation of technical assistance programs. The latter are covered in a subsequent section (II-D), with the present section being confined to the best means of achieving desired results in a host country and assuming a capacity on the part of the donor to carry them out.

Specific questions about each of the several methods of operation are first separately asked and then, in three final subsections (II-B-2-b-(3)-(f), (g), and (h)), a number of general questions, affecting two or more methods of operation, are posed.

For purposes of convenience in framing the individual questions, this section is written in terms of the United States Government as the donor of the technical assistance. Most, although not all, of these questions would, if slightly rephrased, be equally applicable to the programs of other donors.

(a) Sending U.S. or third country technicians to a host country

(i) Identification of the various roles of technicians

Technicians and other non-administrative personnel who are sent abroad under the U.S. bilateral programs may be required to perform any one, or some combination, of the following quite distinct roles and sub-roles:

- (aa) To identify, analyze or diagnose general or specific (technical or non-technical) problems requiring solution in a country.
- (bb) To provide advice (which may be technical, non-technical, or both) in the solution of problems or the conduct of operations to one or more of the following (among others):
  - (AA) High-level government personnel (e.g., cabinet officials).
  - (BB) Lower-level government personnel.
  - (CC) Field personnel of the central government.
  - (DD) Personnel of provincial and local governments.
  - (EE) University personnel.
  - (FF) Business leaders.
  - (GG) Labor leaders.
  - (HH) Rural people.
- (cc) To work in the field, at the grass roots level, ordinarily in conjunction with central government and/or local officials.
- (dd) To conduct demonstrations.
- (ee) To teach or train locals at various levels (e.g., primary school, secondary school, college, graduate school, vocational school, adult education school) through such diverse methods as the following:
  - (AA) Formal class-room instruction.
  - (BB) Demonstration.
  - (CC) In-service training.
  - (DD) Apprenticeship.
  - (EE) Seminars, workshops, and conferences.
- (ff) To engage in performance technical assistance (e.g., conduct a geological survey, inoculate the inhabitants of a village).
- (gg) To engage in a continuing operational type activity - to "do" things.

(hh) To serve as a staff adviser in assisting other U.S. technicians in the latter's performance of their roles (e.g., advice by a training officer on training techniques; by a communications media specialist on audio-visual techniques; by an anthropologist, sociologist or psychologist on local cultural problems and the ways to deal with them; by a public administration specialist on how best to tackle problems of government organization and administration which are encountered by an agricultural technician in the ministry with which he is working).

(ii) What qualities are required for a technician to be effective?

(aa) In general. What are the personal qualities, either inherent or learned (by experience or special training), which are (i) essential in and (ii) contribute materially to the effectiveness of, any U.S. personnel working abroad on technical assistance programs? How is the answer to the foregoing question affected by the level of a country's development and differences in cultural setting?

(bb) Qualities required in technicians performing various specific roles. In addition to those reflected in the answer to (aa) above, what personal qualities are (i) essential in and (ii) contribute materially to the effectiveness of, a technician who is to perform each one, and each common combination, of the several alternative roles of a technician which are listed in (i) above? How is the answer to the foregoing question affected by the level of a country's development, the individual's particular technical field, and differences in cultural setting?

(cc) Checklist of specific personal qualities of possible importance. Generally, and as to each of the alternative roles listed in (i) above and as to common combinations thereof, to what extent is each of the following, to some extent overlapping, qualities essential or important in a technician?

(AA) Technical competence.

(BB) Dedication or missionary zeal.

(CC) Spiritual qualities.

(DD) A capacity to motivate other people.

(EE) A capacity for leadership.

(FF) A capacity to communicate with other people.

- (GG) The ability to teach or to train.
- (HH) The ability to project himself into the situation of another person.
- (II) Cultural adaptability.
- (JJ) A capacity to instill confidence in other people.
- (KK) A capacity to organize and manage.
- (LL) Sophistication.
- (MM) Inventiveness.
- (NN) Patience.
- (OO) Dignity.

How is the answer to the foregoing question affected by a country's level of development and differences in cultural setting?

- (dd) Undesirable qualities. What are the personal qualities of an individual which, if present, materially decrease the effectiveness of a technician either generally or in a country at a certain stage of development, in specific cultural surroundings, or in the performance of particular technician roles?
- (ee) Age, sex, eminence, race and creed as factors in a technician's effectiveness.
  - (AA) Age. Under what circumstances, in what areas, in what technical fields, and in which technician roles, does the age of a technician as such (apart from questions of physical and mental vigor or disability) make a significant difference in a technician's effectiveness? What are relative advantages and disadvantages under different circumstances of (i) individuals who are at, or above, the usual retirement level, (ii) persons in their middle age, (iii) recent college graduates, and (iv) intern-level technicians, and when is a person in one group readily substitutable for one in another? Where a number of technicians are required in the same field, are combinations of different age levels practicable?

- (BB) Sex. What is the comparative effectiveness of male and female technicians in countries at different levels of development, in various cultural environments, with different local groups or classes, and in performing the several roles, or common combinations of roles, which are listed in (i) above?
- (CC) Possession of degrees, eminence and prestige. Apart from their relevance to his actual technical competence, in what areas, in what technical fields, and in what technician roles, does the possession of degrees by, or the eminence or prestige of, a technician materially influence his effectiveness?
- (DD) Race and creed. To what extent, if any, and where, does the race or creed of a technician have a material bearing on his acceptability and upon his effectiveness?
- (ff) Language. In what geographic areas and in what technician roles is it important for a technician to have (i) the capacity to read, write, understand and/or speak, or (ii) the capacity to exchange common greetings and courtesies in either (a) the native languages prevalent in the area where he works or (b) the European language that qualifies as the predominant second language, or both? In each instance where it is of importance, how important is it in balance when measured in terms of any difficulty in recruiting people with, and of the time required for a person to acquire, the desired degree of proficiency in the language in question? To what extent, and with what loss of effectiveness, is it practicable for the technician to work through interpreters or to surmount a language barrier through the use of audio-visual techniques? Is poor proficiency in a local language better or worse than no proficiency in it?
- (gg) Balancing various factors. In the light of the answers to (aa) through (ff) above, what specific qualifications can be stated as essential for technicians generally or for technicians who are to work in countries at certain stages of development, in different cultural settings, and in various technician roles? What desirable qualifications can be dispensed with and what undesirable qualities can be overlooked when problems of recruitment make it difficult to obtain personnel who meet all the desired qualifications?

(iii) Compensation through other technicians for deficiencies in the desired qualities in a particular technician

To what extent is it possible to compensate for deficiencies in certain desired qualities, skills and capacities in a particular technician through support from other mission personnel who possess such qualities, skills or capacities?

(iv) Consequences of employing technicians not meeting desired qualifications

What are the probable consequences of employing a technician who lacks one or more of the qualifications which are indicated in the answer to (ii) above to be essential for the effective performance of particular technician roles in the area where he is to work? Under what circumstances is one justified in taking risks in employing such an individual?

(v) The problem of "too many Americans"

(aa) To what extent, where, and under what specific circumstances does one encounter a serious problem of "too many Americans"?

(bb) Which of the following factors, and what others, affect (i) the existence, importance and nature of any problem of "too many Americans," (ii) the extent to which, and when, technical assistance personnel of the United States contribute to any such problem, and (iii) the adaptations, if any, which should be made in either the size, composition, or method of conducting the technical assistance program in order to remove or alleviate the problem?

(AA) Alternative ways of achieving the same technical assistance results.

(BB) Country needs for technical assistance - extent and character.

(CC) Country desires for technical help - national priority attached thereto.

(DD) Country reactions to technicians.

(EE) Quality of technicians.

(FF) Degree of geographic dispersion or concentration of personnel.

- (GG) Extent and character of activities of non-U.S. donors (Soviet and non-Soviet Bloc).
    - (I) Willingness to supply technicians.
    - (II) Quality, number, attitude, and mode of living of such technicians.
  - (HH) Capacity of the technicians to identify themselves with the local culture and society.
  - (II) Mode of living of U.S. technical assistance personnel.
  - (JJ) Presence or absence of other large foreign groups.
  - (KK) Employment status of technician - whether employed directly by the U.S., by a U.S. contractor, by a U.S. organization not connected with the U.S. Government, by a multilateral institution, or by the host government, with or without U.S. financing.
  - (LL) Extent of local xenophobia.
  - (MM) Proportion of total American community represented by U.S. technicians and families.
  - (NN) The extent to which personnel associated with the technical assistance program, as contrasted to other American personnel, are responsible for the existence of any problem.
- (cc) When there is such a problem, and the problem derives from the combined presence of U.S. nationals of a number of different groups (governmental, non-governmental, or both), including U.S. technical assistance personnel, what factors should determine the priority to be accorded to the continued presence of the different groups?
- (vi) Third country technicians
- (aa) Under what circumstances, in what geographic areas, in what technical fields, and in what technician roles, can a third country technician who is employed or otherwise financed by the United States (i) be more effective than, or (ii) serve as an acceptable substitute for, a U.S. national?

- (bb) In addition to factors reflected in the answers to questions in (ii) through (v) above, which of the following factors, and what others, are important in determining when, if at all, and then, if so, in what technician roles, for what countries, from what countries, in what technical fields, and on what basis, a third country technician should be engaged:
- (AA) Proficiency in a local language.
  - (BB) Cultural affinity with the locals of a host country.
  - (CC) Comparability of the environment and level of economic development in the country of the third country technician with that existing in the host country.
  - (DD) Problems of security and security clearance involved in his employment by the U.S. Government.
  - (EE) Political factors.
  - (FF) Differences between the U.S. and country of the technician in customary methodology and approach (e.g., different approaches to education).
  - (GG) Differences between the United States and the country of a technician in prevailing political, social or economic philosophy (e.g., different concepts of government; different views as to the role of private enterprise).
- (cc) If, because of any of the factors brought out in answer to the questions in (ii) through (v) and (aa) through (gg) above, the use of a third country technician would be desirable, when, if it is practicable to do so, is it preferable to arrange to have the technician supplied by a foundation, the country of which the technician is a national, or a multilateral institution rather than supplied directly by the United States?
- (dd) In the light of the answers to questions (aa) through (cc) above, what general policy should be adopted with respect to the employment and other use of third country technicians?

(vii) Employment arrangements in providing technicians.

In the light of the answers to relevant questions in (ii) through (vi) above, and any other factors, under what circumstances is it desirable to provide a technician through each of the following methods?

- (aa) Direct employment by the United States.
- (bb) U.S. contract with an independent contractor to provide technicians (either a business concern, foundation, voluntary agency, university, or other private organization).
- (cc) U.S. turnkey contract with an independent contractor in which technical training of local personnel is undertaken in connection with the construction, establishment or operation of a facility (e.g., a manufacturing plant, a school).
- (dd) Third party contract under which the local government employs the technician directly but is reimbursed in whole or in part by the United States for the costs thereof.
- (ee) Arrangements by the United States with a multilateral institution, a third government, or a private organization to provide the technician without reimbursement.
- (ff) Inducements to private organizations to undertake activities which will bring the technical assistance desired (e.g., treaties of commerce, navigation and friendship, tax incentives, etc., that will induce technical assistance-bringing private investment to enter a country).

(viii) Attitudes, techniques, and approach of a technician.

In addition to those reflected in pertinent answers to questions under II-B-2-b-(1) above (concerning general approach), and particularly II-B-2-b-(1)-(u), what, if any, generalizations can be made concerning the personal attitudes, techniques and approach which are most effective on the part of an individual technician either generally, in specific geographic areas, or in performing particular technician roles? How, if at all, do such attitudes, techniques and approach differ markedly from those which would be most effective in doing comparable tasks in a U.S. setting, and can any such differences be clearly identified and defined? What types of personal relationships should be established between a technician and local personnel with whom he works

in order to maximize the effectiveness of his work either generally or in particular geographic areas, with particular classes of people, or in performing the various specific technician roles? For example: (1) Should the relationship be one of close and intimate friendship or an arm's-length relationship? (2) How critical should the technician be, and how hard-boiled? (3) Should the relationship be marked by give-and-take? (4) How much attention should be given to technical matters as such, and how much to developing a personal relationship, instilling confidence and creating motivation? (5) How much concession and adaptation to local ways of doing things are necessary? (6) How can the technician best deal with problems of local pride, sensitivity to criticism, and any desire to save face? (7) Under what circumstances, if any, does the achievement of quick or dramatic results by a technician in a single project stimulate local motivation, leave a lasting impact, or lay the foundation for further technical assistance by him that will be effective? Under what conditions is more progress made by repeated and long-continuing association of the technician with local people with whom he is working on a variety of small, less spectacular, more-slowly-germinating projects?

(ix) The role of demonstration

Communicating skills, knowledge, information, etc., by demonstration is a technique common to most of the primary methods of operation, but it has particular relevance to the activities of a foreign technician in performing technician roles, and hence questions pertaining to it are appropriately considered here.

(aa) Which of the following, and what other major roles, can demonstration effectively play in the process of providing technical assistance?

(AA) That of convincing government officials of the validity of, and of the desirability of spreading on a wider scale, the activity, technique, approach, etc., demonstrated.

(BB) That of inducing local people to adopt and to repeat on a wide scale the particular practices, skills, procedures, techniques, etc., demonstrated, or of communicating the specific technical knowledge or information embodied in the demonstration.

(CC) That of communicating an approach to problems (e.g., experimentation, self-help), creating motivation, or developing a rapport with local people.

- (DD) As an element in, or adjunct to, the formalized training of locals in techniques, approach, etc., or in preparing them to use demonstration as a device in their own work.
- (EE) As a means of experimentation to determine what will be the most effective approach to a particular problem.
- (bb) How important is demonstration or a demonstration project as a technique in performing under various circumstances each of the roles identified in the answer to (aa) above, and how does it compare in effectiveness with other possible techniques?
- (cc) What factors in (i) the demonstration itself and (ii) the surrounding circumstances of the demonstration (e.g., the nature of the local society, habits of learning, etc.) are most important in determining whether demonstration will be an effective technique in performing each of the roles identified in the answer to (aa) above?
- (dd) What generalizations can be made concerning any other measures which should (i) precede, (ii) accompany, or (iii) follow a demonstration if it is to be an effective technique in performing each of the roles identified in the answer to (aa) above?
- (ee) What kinds of things (e.g., skills, techniques, procedures, knowledge, information, concepts, values, patterns of behavior, attitudes) can be effectively communicated by demonstration? What kinds of things cannot be effectively communicated through this technique?
- (ff) Are there certain technical fields in which demonstration is a more effective technique than in others? Are there some in which it is not effective at all?
- (gg) To what extent do various types of demonstration, or demonstration as a technique in performing each of the roles identified in (aa) above, depend for effectiveness in furthering development upon repeated demonstrations by the donor (as contrasted with locals) at the same place or in many different places?
- (hh) When, because of its (i) size, (ii) intensity, (iii) cost, (iv) duration or (v) constant repetition, does demonstration cease to be demonstration?

(x) Techniques for multiplying impact

The problem of how best (where this is important to the effectiveness of technical assistance) to secure the widest impact (i.e., of stimulating and facilitating recommunication, of multiplying the effects of whatever the donor does, and of effectively reaching the widest audience) is involved to some extent in all methods of operation and often is best solved by using a combination of methods. However, the question has particular applicability to the foreign technician who is working in a host country, and hence can appropriately be raised here.

(aa) Which of the following, and what other, techniques are most effective in achieving widespread communication or recommunication of (i) skills, knowledge, information, techniques, values, concepts, habits of behavior and attitudes in (ii) societies at different stages of development, societies with different cultures, and special classes and groups?

- (AA) Identifying and working with people who, because of their personality, position, prominence or some other attitude, are important or potentially important local change agents.
- (BB) Undertaking demonstrations (see (ix) above).
- (CC) Developing local human models.
- (DD) Creating cadres.
- (EE) Developing central government institutions.
- (FF) Employing audio-visual techniques.
- (GG) Distributing written materials.
- (HH) Working with and encouraging the establishment of local organizations and movements (e.g., 4-H clubs, boy scouts, management associations).
- (II) Conducting lectures.
- (JJ) Promoting, arranging, conducting or otherwise participating in conferences, seminars and workshops.
- (KK) Conducting courses.
- (LL) Establishing and participating in productivity centers, research centers, etc.

(bb) What factors, in addition to the degree of literacy, the patterns of learning, and the nature of the communications complex, are most important in determining the techniques that will be most effective in a particular society or with a particular group or class in achieving widespread communication or recommunication of skills, knowledge, information, techniques, concepts, values, patterns of behavior, and attitudes?

(xi) Techniques in training

When local training of individuals is preferable to, or a desirable adjunct to, participant training (see (b)-(i) below), under what circumstances is it better to proceed through (i) formalized courses, (ii) apprentice training, (iii) on-the-job training, (iv) demonstrations, (v) workshops, (vi) seminars, (vii) conferences, and (viii) other recognized training methods? What generalizations can be made about the comparative differences, if any, in the effectiveness of each such method when employed in a U.S. setting and their effectiveness when used in various other societies?

(xii) Supplying technicians who exercise executive or administrative responsibilities in, rather than perform an advisory role to, a local government

When, due to the non-availability of locals who are in any way equipped for the tasks, a host country has an urgent immediate need for foreign personnel to fill positions in its government agencies or for foreign personnel who can perform (as contrasted to teach) skilled tasks on a continuing basis in the local private economy (artisans, business managers), what methods of providing such personnel are available and preferable until locals can be trained in adequate numbers to replace them? (This situation is sometimes presented in newly independent countries in which the prior colonial government was largely, and in some cases wholly, staffed with colonial civil servants, and/or the skilled trades preempted by colonial nationals, and where, with independence, the colonials departed.) What special techniques, safeguards, and approach are required in such a situation, and what other special technical measures may be necessary in order to eliminate the requirement for this kind of foreign personnel as quickly as possible?

(xiii) The best technician package in a mission

Is there any specific group or blend of technical skills which should be available in any mission? In any particular mission what combination of skills will maximize the possibility of a good technical assistance job?

(b) Participant training

In this section, it has seemed appropriate to include certain questions about the non-developmental benefits that may be derived from participant training. The whole question of participant training is so closely linked with the general question of exchange-of-persons programs that a disregard of the variety of factors, apart from, or in addition to, developmental ones, affecting and/or motivating such programs would be unrealistic even though such factors should more logically be treated under II-C below (relating to technical assistance for non-developmental purposes).

(i) Participant training vs. local training

In every situation (although in many situations there may be only one realistic immediate alternative), it is necessary to determine whether the training desired can best be achieved by foreign technicians who directly train locals or who help to establish local institutions which train locals, or by sending locals abroad for training. The more specific questions in this regard are the following:

- (aa) On a worldwide basis, and in terms of the effectiveness of technical assistance for developmental purposes, to what extent should emphasis be placed on local training and on the development of local training institutions rather than on participant training?
- (bb) In terms of furthering development, what factors are most important in determining in a particular country and at a particular time the relative emphasis which should be given to participant training, on the one hand, and to local training and the development of local training institutions, on the other hand? When participant training would otherwise be preferable, but a country is suffering from a serious shortage of skilled personnel, what attention should be given to the effects of the absence of numbers of such personnel from the country for the periods which would be involved in their training? What, if any, short- or long-term arrangements can be worked out that might minimize problems of this character?
- (cc) In an individual country, what are the criteria that should be employed in determining whether a particular person, a specific group or class of individuals, or persons in a particular field should be trained locally or trained overseas?

- (dd) To what extent may other non-developmental purposes of technical assistance be sufficiently important to justify a course different from the ones which may be indicated in the answers to (aa), (bb) and (cc) above?
- (ii) U.S. participant training vs. third country training, training in U.S. overseas schools, or training in regional institutions
  - (aa) Which of the following factors, and what others, are most important in determining whether training in the U.S., in a third country, in a regional institution or in a U.S. overseas school (e.g., American University at Beirut), or some combination thereof, would be more effective in terms of development purposes for a given individual, for a particular group or class of individuals, or for the bulk of the nationals of a specific country?
    - (AA) Language capacity of participant.
    - (BB) Level of education, skill and prior experience of the participant.
    - (CC) Age, race or sex of participant.
    - (DD) Differences between, or the comparability of, the development stage, economic conditions, political environment, cultural patterns, and problems in the participant's country and those in the United States and other possible places of training.
    - (EE) Technical field in which the training is to be provided (e.g., labor, small industry, public health, education).
    - (FF) Kind of training to be provided (e.g., graduate courses, undergraduate training, vocational school, degree training, in-plant industrial training, observation of plant operations).
    - (GG) Preference of host government.
    - (HH) Preference of individual participant.
    - (II) Distance and time involved to point of training.
    - (JJ) Political factors.

- (KK) Differences in methodology and approach between U.S. and potential third country training areas (e.g., education).
  - (LL) Differences in indigenous significance attached to training in, or degrees from, training institutions in the U.S. and in potential areas for third country training.
  - (MM) Differences in prevailing political, social or economic philosophy in the United States and potential third country training areas (e.g., different concepts of government, different views as to the role of private enterprise).
- (bb) What effect does the place of a participant's training (e.g., (i) country of training, (ii) locale of training within a country, and (iii) kind of institution) have on such factors as the following?
- (AA) The value of training in terms of the indigenous problems the participant will face upon his return.
  - (BB) The willingness of the participant (i) to return to his country, (ii) to work in the hinterlands, (iii) to make use of his training, etc.
  - (CC) The adaptability of the participant to his local home scene upon his return (capacity to contribute, to settle down, to adjust himself, etc.).
  - (DD) The acceptability of, and the treatment accorded to, a participant upon his return (e.g., on the part of his government, his associates, and his supervisors).
- (cc) To what extent may other non-developmental purposes of technical assistance be of sufficient importance to justify a course which is different from that which is indicated by the answers to questions (aa) and (bb) above?
- (dd) In the light of the answers to (aa) through (cc) above, what policy should be followed by the United States in determining when training should be in a third country, in a U.S. school abroad, in a regional institution, or in the United States?

(iii) Kinds of training

- (aa) Project vs. non-project oriented training. What are the respective advantages and disadvantages of project and non-project oriented training? Under what circumstances, in what fields, with respect to what special classes and groups, and in what geographic areas is non-project training justified? What, if any, special factors should be present whenever non-project oriented training is authorized?
- (bb) Undergraduate training. Under what circumstances, if any, and to what extent, should undergraduate education be provided to participants?
- (cc) Degree training. Under what circumstances should the training permit, or affirmatively provide for, the acquisition by a participant of a degree? To what extent would it be desirable and practicable, whenever the acquisition of a degree has particular importance, to develop new and different degrees or other means for the recognition of accomplishment, in participant training?
- (dd) Observation tours. To what extent, and under what circumstances, are observation tours an effective means of providing technical assistance to participants? What generalizations can be made about the conditions under which such tours should be supported, and what are the factors which determine whether, when undertaken, this type of participant training will be effective?
- (ee) Generalizations. What generalizations can be made about the kinds of participant training which are most appropriate for persons from particular geographic areas or from countries at different stages of development?

(iv) Length of training

What is the optimum length of participant training courses for participants from various areas and in various technical fields? Are short tours effective and worth their cost? Is there any minimum period short of which training in a particular field or for participants from a particular area is not effective in achieving its developmental purpose?

(v) Content, emphasis, and techniques in participant training

Although the great number of widely different fields involved and the tremendous differences among participants from many lands

will probably preclude any universal generalizations, what, if any, conclusions might be stated that would have broad applicability to participants in particular technical fields or to participants from particular geographic areas concerning the content of courses, the emphasis, and the techniques which are most likely to maximize the effectiveness of the training in accomplishing its ultimate purposes? To what extent does the answer to the foregoing question indicate course content, emphasis and techniques which are different from, or represent specialized adaptations of, those which are most effective in providing comparable training to nationals of the country where the training takes place? What is the relative importance of formal classroom instruction, seminars, workshops, laboratory work, field trips, work projects, on-the-job training, use of audio-visual materials, etc.? How much attention should be given to theory, practical application, approach to problems, experimentation, study and work habits, etc.? Can new and better training methods and techniques for participants be developed, and should greater efforts be made in this direction? To what extent should courses be shaped in relation to the cultural and economic environment to which the participant will return, and how much effort should be made, as part of the training, to show the participant the ways in which the things which he learns can be applied in, and adapted for, his own country? To what extent should instruction for the participant be at the same or a lower level, and at the same or a slower pace, than the level and pace of instruction for nationals of the training country? To what extent can the training course, consistent with its technical purposes, provide cultural and other non-technical benefits?

(vi) Emphasis on communication

To what extent should the training program emphasize communication - i.e., (i) the role of the participant as a recommunicator of what he has learned to others upon his return home and (ii) the techniques by which he may do this most effectively?

(vii) Potential collateral benefits of training

(aa) Cross-cultural benefits. What collateral cross-cultural benefits can, and should where possible, be derived from participant training? Which of them, if any, should be emphasized?

- (bb) Psychological, ideological and political impact. To what extent, and how, do (i) the training itself and (ii) the personal experience of being a participant have, or offer an opportunity for, a significant, favorable psychological, ideological or political impact on a participant? What should this impact be? How, if desirable, can this impact be maximized?
- (cc) Other non-technical benefits. In terms of attitudes, habits of work, values, standards, approach, etc., what other non-technical benefits can be derived from participant training, of what importance are they, and what emphasis should be given to them?
- (dd) Influence of potential collateral benefits on character and place of training. To what extent should the factors brought out in the answers to questions (aa) through (cc) above be permitted to affect the character and place of training which might be indicated solely by reference to the technical needs of a participant?
- (viii) Other major elements in the success of participant training
- (aa) Qualifications of participant. In terms of (i) language proficiency, (ii) general background and experience, and (iii) technical competence, what minimum qualifications are required in a participant in different fields for his training to be effective? To what extent can certain deficiencies (e.g., language) be successfully remedied by special preparation, and can other deficiencies be overcome by a careful tailoring of the training courses and through making other adaptations in the training program? Are there identifiable traits and qualities which, if present or absent in a particular participant, are likely to prevent or facilitate his physical, psychological, social and cultural adjustment to foreign training generally, or to foreign training in certain areas, and thus perhaps materially to affect the value of the training to him?
- (bb) Orientation of participant. What kinds of orientation and training and other forms of pre-conditioning are necessary to the success of the training program of a participant in various fields or from various areas? To what extent can this orientation and training better be accomplished (i) before the participant leaves his country of origin, (ii) after he arrives in the country where the training is to take place, or (iii) in some intermediate, transitional country en route (e.g., the Philippines)?

- (cc) Reception of the participant in the country of training. To what extent do the character of his reception in the training country and the nature of his initial pre-formal training period there affect the value of the training which a participant subsequently receives, and what factors are most important in this respect?
  - (dd) Social experience in training country. What kind of social environment and social experience is most conducive to the effectiveness of the training? How important are these in providing other non-technical benefits of the character which may be indicated as desirable in the answer to the questions in (vii) above? Is association with other participants more or less important than association with nationals of the training country? To what extent should travel within the training country be encouraged and supported? What kinds of social and cultural experiences are likely to prove most valuable; which most detrimental?
  - (ee) Administrative support. What kinds of housekeeping, logistical and other measures in support of a participant are necessary in order to assure the most valuable training experience?
- (ix) Post-training period
- (aa) Readjustment of the participant to, and his reception and re-acceptance in, his own country upon return. What steps can, and should, be taken by the donor and/or the host government to facilitate a participant's readjustment to his own cultural environment and his reacceptance by friends, working colleagues and the local community as a whole? What major problems are frequently encountered, and how can each be most effectively dealt with?
  - (bb) Effective utilization by a participant of his training. What problems which are frequently encountered impede, and what measures which the donor and/or host government can take often enhance, the effective use by a participant of the training which he has received? To what extent does detailed preplanning of a participant's post-training assignment in advance of the actual training reduce the problems of readjustment and the problems of using his training upon return (at least where project-oriented training is involved)? What special difficulties arise which should be specially dealt with in the case of non-project oriented trainees?

- (cc) Follow-up technical assistance support of participant.  
Once a participant has returned, what should be done by the donor of technical assistance to enhance and preserve the benefits of the training - toward (i) keeping the trainee abreast in his technical field (if he has one); (ii) assuring continued motivation; (iii) multiplying any cultural benefits derived from the training; (iv) facilitating and encouraging the trainee to communicate his newly acquired skills to others; (v) helping to break bottlenecks which impede the effective use of the training; and (vi) assisting the trainee to adapt the things which he has learned to problems in his own culture? Which of the following techniques, and what others, are effective for the foregoing purposes: (i) maintaining continuing personal contact between a technician of the donor and the participant; (ii) maintaining continuing donor-technician contact with the participant's supervisor; (iii) building on personal friendships developed during the training; (iv) providing participants with membership in the training country's professional societies; (v) furnishing the participant with up-to-date literature in his field; (vi) arranging refresher courses; (vii) establishing local societies of returned participants; (viii) according returned participants special attention in the local U.S. community; (ix) arranging seminars and conferences; and (x) according special recognition for unusual accomplishments by returned participants?
- (x) Increasing the number of individuals available for participant training

If, because of its value for technical training or because of other values which it may also provide, participant training should be increased either generally, in particular countries or in particular fields, what should be done to increase the supply of those qualified to receive such training by (i) encouraging and assisting with local education of a kind that will provide an increasing number of individuals with the prerequisites necessary; (ii) helping to enlarge the number of locals who speak and understand English; (iii) aiding the local government so to organize itself and so to phase training that larger numbers of personnel can be spared for the periods involved in their training; and (iv) adjusting training curricula and training methods so that they will be useful in training a broader and less initially well qualified group of participants than those who can benefit from the character of overseas training presently available?

(xi) Training for individuals who are not sponsored by their government

When there are individuals or classes of individuals whose training abroad would further the developmental purposes of technical assistance (and in some cases other purposes as well), but who are unable, because of political conditions or other factors, to obtain sponsorship by their government under the regular participant program, under what circumstances, if any, is it desirable, and through what methods is it practicable, to provide such training (e.g., something comparable to the leader-grant program)?

(xii) Special problems in training in third countries, regional institutions, and U.S. schools abroad

What special factors influence the effectiveness of, and what special problems are encountered in, training in third countries, regional institutions, and U.S. schools abroad, and how can each be dealt with?

(c) Supplying materials

What generalizations can be made about the extent to which, and the circumstances under which, each of the following types of materials, used either alone or in conjunction with other methods of operation, can play an effective role in communicating information, knowledge, skills, ideas, values, attitudes, patterns of behavior, etc., in (i) other countries generally, (ii) countries at different stages of development or with different cultural settings, and (iii) particular technical fields?

- (i) General literature.
- (ii) Textbooks.
- (iii) Other technical literature.
- (iv) Newspapers and periodicals.
- (v) Radio, television and other devices for mass communication.
- (vi) Audio-visual devices.
- (vii) Other training aids.
- (viii) Research equipment.

- (ix) Demonstration equipment.
- (x) Facilities (e.g., a school and the equipment for it).

When is the provision of such materials essential to the success of other methods of technical assistance operation? When does the utility of providing such materials depend upon their provision in combination with other methods of technical assistance operation?

(d) Contracts

Technical assistance contracts are simply a device whereby an independent third party is engaged to carry out one, or some combination, of the foregoing three primary methods of operation (i.e., supplying foreign technicians, providing participant training, or supplying materials). Therefore, for the most part, answers to the questions raised in (a), (b) and (c) above will probably be generally applicable when contracts are involved. However, a number of specific questions should be asked:

- (i) In terms of contract duration, character of the relations established, etc., what kind of contractual arrangements are likely to be most effective in the different technical fields and in different areas?
- (ii) In cases where a contract seems advisable and a choice among several types of contractors is possible, what factors are most important in determining which type of contractor is likely to be most effective - that is, whether a university, a foundation, a voluntary agency, a business concern, or, in rare cases, a multilateral institution or another government, would be preferable? In what circumstances does each of these represent a preferred technique?
- (iii) What other special considerations (other than those relating to problems of actual administration) affect the effectiveness of contracts with each of the various types of contractors identified in (ii) above? (Special questions concerning university contracts are raised in (e) below.)

(e) University contracts

University contracts, a much utilized, specialized form of contract which was identified in (d) above, normally combine the features of both (i) participant training (see (b) above), (ii) technicians operating overseas (see (a) above), and frequently also (iii) materials' supply (see (c) above). Hence, in general, in terms of the factors which govern their effectiveness as a means of providing

technical assistance (apart from matters dealing with implementation, which are raised in section II-D), the answers to the questions raised in (a), (b) and (c) (as well as in (d)) above will generally be applicable to university contracts as well. There are, however, a few special questions.

- (i) Duration. What, if any, generalizations can be made about (i) the minimum and (ii) the optimum lengths of a university contract in terms of their effectiveness for various purposes, in various fields, and in various geographic areas, or about the minimum or optimum duration (whether the product of one contract or a series of successive contracts) of the relationships which are established by such a contract?
- (ii) Fostering local university independence. To what extent, if at all, should the university contract be operated in such a fashion as to increase and strengthen the independence of the local university with which the contractor is working from local governmental domination and to encourage complete academic freedom of the institution?
- (iii) Sisterhood concept. Is the so-called "sisterhood" concept, which has been said to underlie many university contracts, a valid concept? If so, what precisely is this concept, how should the contractor university's technical assistance be adapted to furthering this concept, and what steps should the contractor take to place the relationship embodied in this concept on a permanent basis?
- (iv) Research. To what extent, if at all, is it useful to require or permit a university contractor to undertake research that relates (i) to the implementation of the contract or (ii) more broadly, to the most effective means of providing technical assistance in the technical field or geographic area to which the contract pertains?
- (v) Other factors. What other special factors influence the effectiveness of a university contract in achieving the objectives of technical assistance for developmental purposes?
- (f) Other subsidiary methods of operation
  - (i) In the light of the answers to questions in (a) through (e) above, to what extent, and under what circumstances, should technical assistance be directed to the encouragement, establishment, operation, financing, or other support of the following?

- (aa) Regional training institutions.
  - (bb) American or other developed-nation schools located overseas in less developed areas (e.g., American University in Beirut, Roberts College in Turkey, American University in Cairo, the Christian Medical College in Vellore, India).
  - (cc) Research centers (e.g., technological, economic, sociological, basic science).
  - (dd) Productivity centers.
  - (ee) Special U.S.-located institutions which are designed to provide technical assistance in a particular technical field or with respect to a particular geographic area through (i) training participants concerned with, (ii) preparing U.S. technicians for work in, or (iii) undertaking research in the special problems involved in, such technical field or geographic area.
  - (ff) General economic and other forms of surveys.
- (ii) What general factors are most important in maximizing the effectiveness of each of the foregoing subsidiary methods of operation?
- (g) Use of an indigenous military establishment as the vehicle through which to provide technical assistance that is not primarily of a military character
- (i) Under what circumstances, if any, is it desirable and practicable, and through what special methods of operation and techniques, to provide technical assistance which is not primarily military in character to the members of a local military establishment?
  - (ii) In terms of effectiveness in achieving developmental purposes, what are (i) the advantages and disadvantages of, (ii) the special problems encountered in the use of, and (iii) the factors influencing the success of, this technique?
  - (iii) Can technical assistance which is not primarily military in character be provided without seriously interfering with military training or otherwise unduly decreasing the military effectiveness of the indigenous military establishment?

When the answer to the foregoing question is in the negative, under what circumstances, if any, is it nonetheless desirable to proceed to furnish such technical assistance? How can the regular training programs and routine of a local military establishment be revised and organized so that technical assistance of a non-military character can be provided in a way which is consistent with such training and routine? Can arrangements be worked out under which military training and technical assistance of a non-military character are mutually supporting?

(h) Miscellaneous questions as to techniques

The following miscellaneous questions concerning techniques, some of them touched upon elsewhere, are identified for specific consideration:

- (i) Elements of a successful project. Which of the following, and what other, elements are particularly important, and under what circumstances, in determining the probable effectiveness of a specific project?
- (aa) Ability of the local to understand the utility and practicability of the project.
  - (bb) Simplicity.
  - (cc) Economic feasibility.
  - (dd) A felt indigenous need for the innovation which the project introduces.
  - (ee) The inclusion of incentives and inducements for local cooperation.
  - (ff) Detailed preplanning and pre-evaluation of the project.
  - (gg) Local cooperation in the planning and conduct of the project.
  - (hh) Careful adaptation of the project to the cultural, as well as the physical and economic, environment.
  - (ii) The degree of self-help involved in the project.
  - (jj) The likelihood that the project will stimulate individual local motivation.

- (kk) The physical tangibility of results that can be anticipated from the project.
  - (ll) The immediacy of identifiable results.
  - (mm) The likelihood that the project will stimulate group (community, national or special class) action.
  - (ii) Tying technical assistance to development projects. When, and to what extent, is it desirable to tie the provision of technical assistance to the provision of aid for major development projects? When is it better to separate, and to make a careful differentiation between, technical assistance and economic development assistance?
  - (iii) Securing compliance with conditions. When programs or projects involve the undertaking of certain obligations by a host government and the performance of these obligations affects the success of such programs or projects, what measures and techniques, which are consistent with continuing good relations and the achievement of the ultimate developmental aims of technical assistance in the country, are most effective in persuading or otherwise inducing the government to carry out such obligations?
- (4) Channels of aid - classes of donors
- (a) Identification of major classes of aid donors
- The following represent the major classes of aid donors:
- (i) Governmental
    - (aa) U.S. Government.
    - (bb) Foreign governments.
      - (AA) Free World (developed and less developed).
      - (BB) Soviet Bloc (developed and less developed).
    - (cc) Multilateral institutions.

(AA) Emphasizing technical assistance in particular (e.g., UNTA, OAS, specialized agencies of UN, Colombo Plan, ECAFE, United Nations Special Fund).

(BB) Emphasizing development generally (e.g., IBRD, IDA, Latin American Development Bank, IMF).

(ii) Non-governmental (U.S. and foreign)

(aa) Business.

(bb) University.

(cc) Foundation.

(dd) Labor union.

(ee) Voluntary agency.

(AA) Religious.

(BB) Charitable.

(ff) Other (e.g., chambers of commerce, professional societies, trade associations).

(b) Comparative effectiveness of various classes of donors

In terms of effectiveness for developmental purposes, what are the relative advantages and disadvantages (i) generally, (ii) in various technical fields, (iii) in countries at the various major stages of development, and (iv) in different cultural settings of technical assistance which may be provided by each of the classes of donors identified in (a) above? What are the elements that distinguish the technical assistance which can be furnished by each class, and what in general are the potentialities of, and the limitations on the effectiveness of, technical assistance which may be furnished by each? What factors other than effectiveness in promoting development should be taken into account in determining whether aid which is provided by a particular class of donors will be more or less effective than that which may be provided by other classes?

(c) Special problems encountered by each class of donor

In terms of effectiveness for developmental purposes, what, if any, problems which are involved in the extension of assistance are unique to each class of donors identified in (a) above, and how, if this were desirable, could each of these problems be dealt with?

(d) U.S. Government policy in relation to various classes of donors

From the standpoint of maximizing the developmental purposes of technical assistance, what should be the U.S. policy with respect to (i) encouraging, (ii) utilizing as contractors under its bilateral programs, (iii) contributing financially to, and (iv) otherwise assisting and supporting, each of the classes of donors identified in (a) above? What factors other than maximization of the developmental achievements of technical assistance should be taken into account in the formulation of U.S. policy, and how do they affect the answer to the foregoing question?

c. Adaptations in the form of technical assistance in particular technical fields

The precise kinds of technical assistance which are most appropriate in each one of the some dozen different technical fields are affected not only by the answers to questions in a and b above, but also by factors that are unique in each field. The specific substantive problems which should be examined and the special questions that must be raised differ markedly from one technical field to another, and it is impracticable to include an inventory of the problems and special questions in all of these fields in the body of this outline. This section merely identifies the general line of inquiry which is necessary in the case of every technical field.

(1) Identification of major technical fields

The following represent the major technical fields in which the United States now provides technical assistance:

- (a) Education.
- (b) Health.
- (c) Agriculture.

- (d) Natural resources, industry, mining, and power.
- (e) Transportation.
- (f) Housing.
- (g) Social welfare.
- (h) Community development.
- (i) Labor.
- (j) Communications (including audio-visual).
- (k) Public administration.
- (l) Basic science.
- (m) Financial and economic advice - country planning.
- (n) Public safety.

(2) Appropriateness of various technical fields as subjects for technical assistance

To what extent does each of the foregoing technical fields represent an appropriate subject for technical assistance in cases in which technical assistance is being employed as an instrument for development? Does the list which is presented in (1) above represent a logical division of technical subjects, or would some other consolidation, division or regrouping provide a better functional approach to the problems encountered in development? What other fields, if any, which are not specifically listed and which may not be clearly embraced by those which are listed, such as law or recreation, represent appropriate subjects for technical assistance which is designed to serve a developmental purpose?

(3) Special questions as to each technical field

- (a) In what specific respects, if any, should the approach, methods of operation, techniques, and channels of aid which are described in the answers to questions in b above be modified to meet the particular needs in each technical field? To what extent does the answer to the foregoing question differ significantly as among different categories of countries?

- (b) In each technical field, to what extent, and how, do the concepts, doctrines, approach, and technical solutions which may be sound in the United States differ from those which are appropriate in the various categories of less developed countries? What preconceptions, prejudices, biases, customs and habits that are associated with the technical field in the United States should be especially guarded against when endeavoring to deal with problems in that field elsewhere? To what extent are American solutions to problems in the technical field transplantable with appropriate adaptations, and to what extent must entirely new, locally evolved, specially tailored solutions be developed?
- (c) What, if any, (i) basic rationale, (ii) general body of doctrine, (iii) short- and long-term objectives, and (iv) widely applicable guidelines for analysis, planning, programming and operations might usefully be developed in any of the technical fields?

d. Adaptations in the form of technical assistance to reflect the peculiar problems of special groups and classes of local people

From time to time, in earlier portions of this outline, passing questions have been raised as to the applicability of various approaches, methods and techniques of technical assistance to different groups and classes of people. This section addresses the problem more specifically.

- (1) Which of the following, and what other, special classes or groups of locals are ones that may require special attention in the conduct of a technical assistance program?
  - (a) Women.
  - (b) Youth.
  - (c) University students.
  - (d) Intellectuals and professional groups.
  - (e) Religious leaders and religious groups.
  - (f) Political leaders and political groups.
  - (g) Government bureaucrats.

- (h) Merchants.
  - (i) Business leaders.
  - (j) Industrial workers.
  - (k) Labor leaders and unions.
  - (l) Artisans.
  - (m) Landlords.
  - (n) Peasants.
  - (o) Village leaders.
  - (p) Nomadic leaders and nomadic groups.
  - (q) Tribal leaders and tribal groups.
  - (r) Urban masses.
  - (s) Unemployed.
  - (t) Minorities.
  - (u) The military.
  - (v) Other social groups (including such special manifestations as castes).
  - (w) Older people.
- (2) To what extent, and how, does the effectiveness of technical assistance to, or otherwise involving, each special class or group identified in the answer to question (1) above depend either generally or in particular areas on refinements or adaptations in approach, methods of operation, techniques, and channels of aid?
- (3) As to each of the groups reflected in the answer to question (1) above, what specific factors can be identified as of particular importance in the construction or administration of a technical assistance program affecting its members?

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3. Influence of Other Major Factors on the Effectiveness or the Desirability of Employing Technical Assistance as an Instrument for Development

In section II-B-2 above, attention was primarily directed to the ways in which technical assistance as such might be made more effective (i.e., to the approach, methods of operation, techniques and channels of aid employed in technical assistance itself). However, technical assistance cannot be treated as a wholly isolated phenomenon. Even apart from questions of policy and purpose, the desirability of using technical assistance at all, and the manner of its use, may be affected by at least three other factors.

One of these three factors - namely, indigenous capacity - has been repeatedly adverted to before, and it should to a considerable extent be reflected in the answers which are developed to the questions asked in section II-B-2 above. It is reintroduced here in order to summarize its various facets and to suggest its possibly crucial importance in determining the extent to which a particular technical assistance program can be effective in materially helping another country to solve its development problems.

The second of these factors - namely, the relationship of effective technical assistance to other supporting measures - is closely related to certain aspects of the first. It concerns those cases in which technical assistance alone, without a further contribution of resources by either the host government or some aid donor, will be of only negligible or limited value in furthering indigenous development.

The third factor - namely, cost - concerns the extent to which the human, physical, and financial expenditures which may be required to make a particular technical assistance program effective (including local or donor expenditures for any indispensable supporting measures) are justified by the results to be expected. It also involves the question of the comparative costs of different alternative approaches, methods of operation, techniques, or channels of aid, since differences in these costs may make it advisable to select a course of action which, the factor of cost aside, would not be the most desirable one.

a. Indigenous capacity

To what extent, and how, is the desirability of providing technical assistance at all, or the effectiveness of various approaches, methods of operation, techniques, or channels of aid (as reflected in the answers to questions in 2 above), affected

by the capacities and characteristics of the host country in each of the following respects?

- (1) General resource availabilities.
- (2) Financial capabilities.
- (3) Institutional base.
- (4) Developmental stage.
- (5) General level of skill and education.
- (6) Readiness to accept change.
- (7) A desire and willingness to seek and work for change - to engage in self-help.
- (8) Preparedness to engage in a mutual effort with the donor to affect change.

b. Relationship of effective technical assistance to other supplementary or supporting measures

The central question is this: To what extent is the effectiveness of a technical assistance program as an instrument for development dependent upon other supporting or supplementary measures?

This question must be looked at from at least two standpoints: (i) those measures which are required to make a particular technical assistance project effective, and (ii) those measures which may be necessary if the information, knowledge, skills, etc., which are communicated to selected nationals through the project are to be put to active use on a widespread basis throughout an economy or society or in an important segment thereof. In each of these cases, moreover, the measures may be either (a) ones that involve local resources, (b) ones that require external resources, or (c) ones that require both types of resources.

The collateral or supplementary measures on which the effectiveness of technical assistance may often depend can be grouped as follows:

(1) Local resources required for a particular technical assistance project or activity

Such resources may be either people or things, or both. Where such resources are required, the following subsidiary questions must be asked:

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- (a) To what extent can the needed resources be supplied on a self-help basis by the persons or groups involved and to what extent is some form of local-currency financing by government (local or U.S.) necessary?
  - (b) If, in the answer to (a) above, it appears that some form of local-currency financing by some government is necessary, to what extent is the local government able and willing to finance such local costs through its own revenues?
  - (c) If, in the answer to (b) above, it appears that the local government cannot or will not finance some portion of such local costs from its own revenues, to what extent can and should counterpart revenues and/or various forms of PL 480 currencies be used to cover the local costs?
  - (d) If the answer to (b) above is partially or wholly in the negative, and counterpart and PL 480 local currencies are not available, to what extent can and should the United States (through either a counterpart-generating commodity program, the purchase of local currency with dollars, or the use of local currency which it already owns) finance the local costs?
  - (e) Where choices are available as among the different sources and means of local financing mentioned in (a) through (d) above, what factors should be most important in making a decision?
- (2) External resources required for a particular technical assistance project or activity

Where these external resources represent a relatively minor proportion of, and only a small cost factor in, the activity, they would normally, in U.S. bilateral programs, be considered as simply the supply component of the technical assistance activity itself, and no special problem would be presented. On occasions, however, the success of a specific project may turn on a substantially larger external-resource supply component. Without this larger component, whether it is described as "technical assistance" or some other form of aid, the project may be impossible to implement.

- (3) Local resources required to maximize the benefits of a technical assistance project

A particular technical assistance project may frequently directly reach only a few local people. At the same time, the real value of the project from the standpoint of development may be in the much wider dissemination, or in the application on a massive scale, of the skills, know-how, techniques, information, etc., which the project was

intended to communicate to the few. This broader dissemination or massive application may be accomplished (as suggested in section b above) in a variety of ways (e.g., by developing and operating government institutions, by widely repeating a demonstration activity included in the project, by recommunicating through other channels to a wider audience). These further steps may eventually require, and over a long period, the use of local resources which are many, many times larger than those required in the initial project - resources for capital investment, for operations, and for maintenance (e.g., fertilizer, seed, pumps, vaccines, books, buildings, agricultural extension agents, the financing for a credit system or for a land reform program). Where this situation does exist, then the effectiveness of the original technical assistance will ultimately depend on the ability to find and mobilize these additional resources. To the extent that individual or group self-help is not the answer, mobilization of the requisite resources will normally require the availability of local currency for the purpose, and this requirement will raise substantially the same questions as those listed under (1) above. Such mobilization may also require, when the particular human or physical resources needed are locally in short supply, a decision by the host country as to the priority that it will accord to the particular activity in comparison to other activities which are in competition for the same resources (e.g., a decision to build an education system in preference to improving the health system).

(4) External resources required to maximize the benefits of a technical assistance project

Because the human or physical resources needed to maximize the benefits of a particular technical assistance project may not be available locally (either because they do not exist at all or are more urgently needed for other purposes), the ultimate effectiveness of a technical assistance project of the character described in (3) above may depend on the availability of additional external resources. These external resources may be very much larger in amount than those which were required in the initial project and the need for them may be a continuing one over a long period. Where this is true, either the host country must devote the necessary foreign exchange to acquire these resources or, if it lacks the necessary foreign exchange or is unwilling (for reasons of priority) to devote any of its available foreign exchange for the purpose, the ultimate effectiveness of the project will depend upon the willingness and ability of the donor of technical assistance (or some other aid donor) to provide such resources.

- (5) External resources required to provide the inducement or motivation for local actions required for the effectiveness of a technical assistance project

Occasionally, for any of a variety of different reasons, a donor of technical assistance finds that his ability to initiate a project or to obtain the necessary local cooperation depends upon the provision of aid that is unrelated to the project itself, either as a form of inducement or as a means of developing motivation.

Thus the probable effectiveness of any technical assistance program or project must be examined from the standpoint of the ability and willingness of the host country and/or the donor (and, where relevant, other donors) to provide any of the foregoing categories of additional resources that may be essential to achieving the objectives of such project or program. Similarly, in designing a particular technical assistance program or project, consideration must be given to the extent to which each of the various possible alternative approaches, methods of operation and techniques is dependent upon the availability of resources from any of the categories listed.

c. Cost

In designing a total worldwide technical assistance program, in constructing a country program, or in preparing a specific project, two basic cost questions are involved.

- (1) What are the comparative costs (including costs of indispensable supporting measures), measured in terms of human, physical and financial resources and viewed from both the recipient's and donor's standpoint, of various alternative approaches, methods of operation, techniques and channels of aid for the accomplishment of the objectives sought?
- (2) What is the relationship between the costs of each of the possible alternatives and the degree of the effectiveness of each? To what extent do the costs of these alternatives vary inversely with their effectiveness? In the event that cost is a major factor, which alternative provides the optimum cost-benefit ratio?

4. Collateral Effects of Using Technical Assistance as an Instrument for Development

- a. What collateral effects are likely to ensue from the employment of technical assistance for development purposes along the lines indicated in the answers to the questions in I-B-2 and I-B-3 above?
- b. To what extent do the collateral effects reflected in the answer to a above coincide with, or differ from, any of the other purposes for which technical assistance might be selected as an instrument by a particular donor? (See I-A above.)
- c. To what extent do the answers to a and b above either (i) indicate the desirability of following courses of action which are different from those which would otherwise be derived from the answers in I-B-2 and I-B-3 above or (ii) reinforce their desirability?

5. The Capabilities, Limitations and Effects of Technical Assistance as an Instrument for Development

Based on the answers to questions in II-B-2 above, and taking into account the three special factors listed in II-B-3 above (indigenous capacity, the relationship of non-technical assistance measures, and cost), what are the capabilities and limitations of technical assistance in solving the developmental problems reflected in the answers in II-B-1 above? What realistically can one hope to achieve in various areas and in solving various types of problems, and with what speed, (i) using various levels of technical assistance effort, (ii) employing various alternative approaches, methods of operation, techniques and channels of aid, and (iii) utilizing various non-technical assistance supporting measures? How do the anticipated achievements under each combination of factors compare with the minimum needs as determined by policy decision? What are the collateral effects, either adverse or favorable, which may be anticipated as the inevitable or likely consequences of extending technical assistance for developmental purposes and under different circumstances (see answers to II-B-4 above), and how do these affect the over-all value and desirability of such assistance and the manner in which it is provided?

6. Projection of Future Requirements for Technical Assistance for Developmental Purposes

A long-range projection of technical assistance requirements depends upon some quantitative and qualitative assumptions with respect to the general developmental objectives to be achieved - with respect to (a) the rate and the extent of development that will be sought through technical assistance both generally and in specific areas and (b) the extent to which other non-technical assistance resources will be made available when the effectiveness of technical assistance (or more often the degree of its effectiveness) turns on their availability (a question that frequently cannot be fully answered by only a single aid donor, such as the United States Government). The definitive selection of such assumptions from the great variety of those which are possible is, of course, of the essence of policy-making, and in the absence of policy decisions in this regard one must limit one's questions to those of the following character:

- a. Having in mind the capabilities and limitations of technical assistance for development purposes (as reflected in the answer to II-B-5 above), and upon the assumption of a continuing long-term objective to maximize through technical assistance the orderly continuous development, as independent nations, of all the less developed free countries of the world, what, if any, reliable projection can be made of the magnitude and character of the technical assistance which might be used effectively in the next two decades both (i) generally and (ii) in specific countries? To what general extent are these requirements dependent on supplementary aid resources of a non-technical assistance variety and can any rough indications be given of how the size and character of these requirements might change as progressively more limited assumptions were made as to the probable availability of such supplementary aid resources?
- b. Is it possible, based upon the inquiries called for in II-B-1 through II-B-5 above, to project very rough curves which would show the probable broad general trends (upwards or downwards, sharply or gradually) over the next several decades (generally and in individual countries): in (i) the capacity of less developed countries effectively to use technical assistance; (ii) the character of general emphasis as among various functional fields; (iii) the optimum number of participants (with some indication of fields of training and place of training - i.e., whether in the United States, third countries, regional institutions or American schools overseas); (iv) the requirements for foreign technicians in major technical fields; (v) the requirements for university contracts; and (vi) the volume and character of technical assistance that can be effectively utilized by a country as it progressively proceeds up the ladder of economic development?

- c. Would it be possible and useful, as to individual countries, to determine the general parabolic curve in the growth of knowledge which must be achieved in order to make possible the parabolic curve in output which will be necessary if, given anticipated increases in population, a certain assumed level of per capita increase in gross national product is to be achieved and, then, to use such "growth-of-knowledge" curve to provide some indication of the gap in professional and non-professional skills which must be filled at various stages in order to achieve the indicated output levels, and from the latter to construct a technical assistance requirements curve?

C.

Technical Assistance as an Instrument for Purposes Which Are  
Not Primarily Developmental in Nature

As to each of the non-developmental purposes for which technical assistance may be an effective instrument (see II-A above), substantially the same general method of analysis should be employed, and substantially the same types of questions should be asked, as those which are outlined in section II-B above (relating to technical assistance as an instrument for development). This should be combined with an effort to identify the particular issues which may be most materially affected by variations in the specific purposes that are sought through technical assistance, and a few suggestions in this regard are included in II-B-3 above. However, it has been impracticable, as part of the body of this outline, to include any inventory of the precisely phrased, specific questions which should be asked about technical assistance as an instrument for each of such other purposes.

In a manner similar to that suggested in II-B-6 above (relating to technical assistance for development purposes), an attempt should be made to construct a rough projection of the order of magnitude and broad general nature of future (for the next ten or twenty years) requirements for technical assistance for each of the purposes that may be stipulated. Moreover, since it may be found that technical assistance for one purpose (e.g., a development purpose) may also simultaneously, either wholly or partially, effectively serve other desired purposes, some indication should be given as to the extent to which, and the ways in which, requirements under the projections suggested in this section overlap, or coincide with, those which are reflected in the projections developed pursuant to II-B-6 above.

D.

The Implementation and Administration of  
Technical Assistance Programs

Sections B and C above examined the problem of technical assistance from the standpoint of requirements, seeking to determine the kinds of technical assistance programs which, if they could be successfully implemented, would be most effective in achieving selected purposes.

This section is concerned with the problems involved in actually meeting the requirements for technical assistance as those requirements are defined pursuant to sections B and C above. It involves, first, the basic question of the extent to which it is possible to mobilize and effectively to use the resources which are required to provide technical assistance of the types and quality, and in the amounts, indicated as necessary by the analysis outlined in those sections; and, second, (a) the programming, operational and administrative procedures and (b) the organizational arrangements and relationships which are most likely to assure the effective implementation of the kinds of technical assistance programs which are needed. What processes and methods of administration and operation are most likely to assure the provision of technical assistance of the kind, quality and amount desired? How, through various techniques of administration, can the United States best mobilize the necessary resources from all possible sources, control the quality of technical assistance extended, make maximum effective use of the resources that can be mustered, assure the timely extension of assistance, assure its extension with the minimum red tape consistent with proper execution and control, and keep costs at a minimum? (The term "resources," as used in this paragraph and elsewhere in this section, refers to external resources (i.e., those of donors) rather than to host country resources, except where otherwise specifically noted.)

Because this is a United States Government study, this section generally emphasizes problems of implementation which confront the United States as a donor of technical assistance. Other donors are confronted by comparable, but by no means identical, questions; and therefore, while some of such questions are noted in passing, they are for the most part not analyzed in any great detail in this document. Most exceptions to this general procedure involve matters of relationship between the United States Government as a donor and other donors in those cases in which the United States is contributing financially toward, or otherwise supporting, the activities of another donor, or working jointly with other donors in providing technical assistance.

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The analytical method employed in this section does not make the same distinctions among technical assistance programs for different purposes that are reflected in the analyses which are proposed in sections B and C above with respect to the most effective kind of technical assistance for each major purpose. Differences in purpose, when translated into actual technical assistance requirements, will occasionally affect, sometimes materially, both the magnitude and character of the operational, administrative and organizational problems that must be solved; and usually such problems are either specifically noted or raised through questions. However, in general, it would appear that the major questions which concern implementation are sufficiently applicable to all varieties of technical assistance (i.e., regardless of the purposes sought) to justify their proposal without simultaneously delimiting them to any specific purpose.

Questions in this section are grouped in the following principal categories:

1. Programming.
2. Execution of Programs and Projects.
3. Organization.
4. Other ICA Management and Administrative Problems.
5. Administrative Problems Relating to a Host Government.
6. U.S. Government Capacity for Implementation of Effective Technical Assistance Programs.

Since the subsidiary questions under each of the foregoing headings are myriad, the outline merely identifies in skeletonized form, and does not pursue in depth through an explicit statement of subordinate issues, the general subjects as to which an inquiry should be made. The detailed refinement of these subjects is more appropriately a function for the appendices.

1. Programming

This particular subsection concerns the question of how, through the choice of programming procedures and techniques and the choice and training of personnel concerned with programming, one can best contribute to the development of individual country programs and projects, and a worldwide program, which give substantive expression to the kind of analysis reflected in sections A, B and C above.

a. Procedures and techniques

(1) The development of country technical assistance programs and projects by ICA

- (a) In general. What general procedures and techniques of analysis, diagnosis, and programming are most likely to produce on a continuing basis the kind of technical assistance that is most responsive to the actual need? More specifically, what procedures and techniques are best in:
- (i) The initial and subsequent continuing diagnosis and analysis of the local country setting for the purposes of framing, and continually adapting to changing needs, the general approach to a country's problems.
  - (ii) The construction of specific country operational programs, including general decisions as to primary methods of operation and the techniques to be employed in execution.
  - (iii) The planning and development of individual projects, including specific decisions as to primary methods of operation and the more detailed consideration of techniques in execution.
  - (iv) The programming of particular components of a country program, such as participant training?
- (b) Personalized vs. institutionalized programming. To what extent, and in what ways, is it desirable to institutionalize programming (and programming techniques and procedures), and to what extent should programming be personalized? Insofar as programming is institutionalized, how does one assure that personnel who are responsible for, participate in, or review the products of, programming:

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- (i) do not apply a stereotyped model;
  - (ii) think along the analytical lines suggested in sections A, B and C above;
  - (iii) continuously incorporate the results of prior experience and research into their efforts;  
and
  - (iv) maintain a fresh, imaginative, and always critical approach?
- (c) Functional vs. non-functional approach. What are the respective advantages and disadvantages of a functional approach and a non-functional approach at different stages in the process of program and project development? Which of them, if either, should be emphasized or employed exclusively at each specific stage? How can the two approaches best be reconciled and related so as to provide the most effective results? What safeguards should be incorporated in procedures to prevent possible abuses in either approach?
- (d) Project vs. non-project programming. To what extent, and how, at different stages of the process, should planning and programming be related to specific projects?
- (e) Translation of general policy into specific programs and projects. What helpful rules, guidelines, and procedures might be developed to assist programmers in making the series of translations which are usually necessary in converting broad, loosely stated national policies and objectives into concrete, specifically directed country programs and projects which are wholly responsive to such policies?
- (f) Taking account of capacity for implementation. In the development of technical assistance programs and projects, what factors should be taken into account in determining the feasibility from the standpoint of implementation, and the capacity of the donor to carry out, technical assistance programs which, from the standpoint of the answers to questions in II-A, II-B, and II-C above, would be the most effective?
- (g) Effect of Congressional and budget cycles. Assuming that there were no predetermined (annual) Congressional and budget cycles, what kind of a programming cycle would lead to the development of the most effective technical assistance programs?

(2) Programming relationships in the development of technical assistance programs and projects by ICA

Subsection (1) above was written in terms of technical assistance alone, and as though the donor concerned was the only technical assistance donor. However, the technical assistance program of the United States Government (i) normally represents only one of a number of elements in the relationships of the United States Government to another country, (ii) frequently constitutes only one of several directly or indirectly related forms of assistance which the United States Government is simultaneously extending to the country, and (iii) usually is only one among a variety of technical assistance programs in the country. These circumstances, plus the primary responsibility and concern of the host government in every case, raise the following additional questions:

- (a) Relationship of technical assistance program to other forms of aid. What generalizations can be made about the extent to which, and how, the programming and development of technical assistance programs should be related to, or be part of the same process as, the programming of other non-technical assistance programs of the donor which (i) are necessary to the effectiveness of the technical assistance, (ii) are otherwise related to, or affected by, the technical assistance program, or (iii) are wholly independent, of the latter? When related or common programming is indicated, what procedures and techniques are desirable to insure a proper recognition of, and adequate attention to, any unique features of each form of aid, and to prevent the inappropriate subordination of one to the other, either in consideration given or in final program emphasis?
- (b) Relationship of capital development planning and programming to technical assistance programming. As a special converse application of the issue raised in (a) above, what policies, procedures and techniques should be employed in order to make certain that planning for capital assistance takes into account, and results in necessary arrangements for, the extension of technical assistance which is required as either (i) a preliminary to the furnishing of such assistance or (ii) an essential concomitant in making it effective? More specifically, how can this problem best be handled in relation to (i) the Export-Import Bank, (ii) the Development Loan Fund, and (iii) international lending institutions?

- (c) Relationship of technical assistance programming to the programming of cultural exchange programs. Assuming that programs primarily for purposes of cultural exchange can be, and should be, treated as different from, and programmed and/or administered separately from, exchange programs for other purposes, and as a special application of (a) above, to what extent, and how, should the programming of technical assistance programs be related to the programming of cultural exchange programs? What steps should be taken to assure that the two (i) mutually support one another to the maximum extent, (ii) provide the optimum combined desired results, and (iii) are not unnecessarily and undesirably duplicative of each other?
- (d) Relationships to other aid donors. What generalizations can be made about the best procedures, techniques, arrangements and organizational relationships (i) at the country level, (ii) at the governmental (Washington) level, and (iii) between the two levels, for working with (a) other governments furnishing technical aid, (b) multilateral technical assistance institutions, and (c) private organizations, in the planning and development of technical assistance projects and programs? How is the foregoing answer affected by the number and the character of the other aid donors involved? How can the presence and the activities of other aid donors best be taken into account, and reflected, in the planning and programming processes of ICA which are referred to in (1) above? How, conversely, can ICA best assure that character and scope of the technical assistance activities which it contemplates are known to, and recognized in the planning and programming of, other technical assistance donors? As an important specific application, what machinery, procedures and techniques of planning, programming and coordination would be most effective in working out associated or cooperative technical assistance programs with the OEEC or any successor organization comprising essentially the same nations? How can any relationships between U.S. Government technical assistance programs and non-technical assistance programs of other aid donors best be taken into account both in U.S. Government aid programming and in the programming of the other aid donors? (As to this general subject, see also II-D-3-a below.) What, if any, special problems of planning and programming relationships, which may require special procedures, techniques, or machinery, are involved in the case of each of the following:

- (i) private investors;
- (ii) multilateral organizations or foreign governments providing capital assistance (e.g., IBRD, IMF, IDA, Latin American Bank, IFC); and
- (iii) thrift and credit institutions?

To what extent, if at all, and how, should ICA programming and planning procedures and techniques of the character reflected in the answers under (1) above be adjusted to take account of (i) the increasing activities of other aid donors in the technical assistance field or (ii) the development of any cooperative arrangements, to which the U.S. Government is a party, for the extension of technical assistance (e.g., any arrangements emerging out of current OEEC discussions)?

- (e) Relationships to host government. What generalizations, if any, can be made about the best procedures and techniques to employ at various stages in the process of developing country programs and projects in working with host governments? What kind of organizational arrangements work best? To what extent, and how, are the answers to the foregoing two questions affected by a country's level of development, by its cultural characteristics, or by other identifiable factors? To what extent, and how, are such answers affected by the long- or short-term character of the technical assistance program of the donor, the long- or short-term availability of the donor's funds, and similar factors identified in section II-B-2-b-(1)-(p) above (duration and continuity of technical assistance)? How do the answers to any of the foregoing questions affect the answers to questions in (1), (2)(a) and (2)(d) above? How, in turn, are the answers to the questions in this section (i.e., (2)(e)) affected by the answers to (2)(a) and (2)(d) above?
- (f) Relationships where a program or project involves two or more host countries. What, if any, generalizations can be made about the best methods and machinery for handling the planning and programming problems involved when a program or project involves two or more host countries? (See, for example, the situations suggested in II-B-2-b-(1)-(r) above.)

b. Responsibilities in ICA technical assistance programming

- (1) Between Washington and the field. What in general should be the respective roles and responsibilities of ICA/Washington and the USOMs at each separate stage in the process of developing individual country programs and projects?

- (2) Between the technical services and other offices. What in general should be the respective roles and responsibilities at each separate stage in the process of developing individual country programs and projects of, on the one hand, the technical services in ICA/W and the USOM technical divisions and, on the other hand, the regional offices in ICA/W and program offices in the USOMs?
- (3) Other. What other roles and responsibilities in the ICA programming process require clarification, either in Washington or in the field?

c. Programming personnel

- (1) What personal qualities, knowledge, special training and experience are most important in persons whose primary responsibilities include the programming and planning of ICA technical assistance programs and projects?
- (2) What knowledge, special training and experience are desirable in those persons who, while not primarily responsible for the planning and programming of technical assistance programs, participate significantly at some stage in the program process?

d. Exchange of programming experience

What procedures, techniques and machinery are best adapted to encourage and facilitate the exchange of experience, and the maximum cross-fertilization in ideas, between programmers in one functional area and those in another, between program personnel working in one geographic area and those concentrating on other areas, and between U.S. programming and planning personnel and personnel concerned with similar problems in international institutions, other governments, and private organizations?

## 2. Execution of Programs and Projects

This subsection concerns major specific problems involved in the actual execution of technical assistance programs.

### a. Providing U.S. or third country technicians to work in host countries

This subsection is primarily intended to identify those problems of recruitment, training, assignment, utilization, and support involved in efforts to provide foreign (U.S. and third country) technicians required to carry out technical assistance programs in host countries. However, since the development of any technical assistance program, its general management, and the operational support of all its components (including, but not limited to, the technician component - e.g., participant training, university contracts) depends upon the availability of other (non-technician) types of personnel as well, this subsection will also deal seriatim with the similar, if not identical, problems involved in securing, retaining and supporting such other types. This subsection should be read in connection with subsection II-B-2-b-(3)-(a) above, relating to the factors which, from the standpoint of host country needs, are most important in determining whether the sending of U.S. or third country technicians to a host country will prove effective. (See also II-C above.)

- (1) Basic systems in meeting technician requirements. From an operational standpoint, and in terms of most efficiently and effectively meeting technician requirements, which one, or which combination, of the following systems, or what other system, is best as a general ICA approach?
  - (a) The recruitment and use of career technicians assigned to USOMs for regular tours of duty or special assignments.
  - (b) The use of short-term consultants.
  - (c) The use of technicians supplied through a contract.
  - (d) The employment of technicians by a host government with U.S. financing.
  - (e) The use of career technicians to service a region or group of missions.

- (f) The use of personnel of other institutions (government or private) on some sort of rotation or exchange basis with regular ICA career personnel.
- (g) The greater use of an intern system to provide certain classes of junior technicians or to fill certain other personnel requirements.
- (h) The establishment of a Point IV Youth Corps, or the use of the Selective Service System apparatus, to meet the needs, if any, for the kind of personnel who might be made available through such channels.

From an operational standpoint, under what circumstances is it preferable to use one, or some combination, of such methods rather than another?

(2) Recruitment, screening, and employment

- (a) Recruitment standards. Based on the answers to questions under II-B-2-b-(3)-(a)-(ii) above (relating to the qualities required for a technician to be effective), what changes, if any, should be made in the standards presently applied by ICA in its recruitment? To what extent would such changes in standards be likely to increase or decrease the supply of qualified applicants?
- (b) Recruitment methods. What, if any, improvements could be made in present recruiting methods, and what new recruiting methods might be devised, in order to increase the number of qualified applicants? What, if any, new, or presently inadequately tapped, groups of potential recruits could be drawn upon? Would any of the alternatives suggested in (1) above increase the available areas from which to fill personnel needs? What factors about a prospective employee's employment in ICA should be stressed (both to him and to his family) in order (i) to increase the likelihood of his acceptance, (ii) to present a realistic picture of the conditions and problems which he and his family will face, and (iii) to enable a man and his family to reach an informed personal judgment as to whether, all things considered, he and they will fit into, and be prepared to accept, and to adapt to, the physical, cultural and work environment into which the position will bring them?
- (c) Screening. To what extent, if at all, and, if so, how, can present methods of screening be improved, or new methods be introduced, to increase the likelihood that applicants

who are accepted (i) will have the qualifications which are required and (ii) will not have qualities which are undesirable (as those qualifications and qualities are indicated in the answers to II-B-2-b-(3)-(a)-(ii) above)? What presently available tests might be employed, and what new tests might be developed, to assist in identifying the presence or absence in particular individuals of qualities which are either desirable or undesirable, and might any of such tests be of sufficient value to justify any time or cost involved in their use?

- (d) Family considerations. What family factors are important to take into account when determining whether a man is likely to be an effective employee in the overseas position for which he is being considered, and how can these factors best be identified (e.g., through the current family interview technique)?
- (e) Streamlining employment procedures. What, if any, steps might be taken by ICA, or the U.S. Government as a whole, to reduce the interval between the date of initial tentative acceptance by an applicant and his final acceptance and availability for actual employment in order (i) to maintain the employee's enthusiasm, (ii) to reduce attrition, and (iii) to fill requirements more rapidly? Would it be desirable and practicable to accelerate, or to give special government priority to, security and medical clearances?

(3) Training and orientation

For employees in general, and for the various categories of technicians and other special classes of employees in particular, which of the following, and what other, types of training and orientation should be provided, and where, when, for whom, and how, should each such type of training be made available?

- (a) General orientation for overseas work.
- (b) Orientation with respect to specific countries.
- (c) Communication techniques.
- (d) Language.
- (e) Technical refresher courses.
- (f) Sabbaticals for further study or special training in substantive matters in technical fields.

- (g) Specialized types of training in:
  - (i) program development,
  - (ii) management of ICA programs,
  - (iii) overseas work in the various technical fields, and
  - (iv) overseas training techniques.
- (h) On-the-job training.
- (i) Internships.
- (j) Orientation in U.S. history and policies.
- (k) Orientation with respect to Communist techniques and methods.

What changes and innovations should be made in (i) the present ICA training and orientation program as a whole or (ii) particular components thereof? How much of an investment is justified in terms of preparing and upgrading various types of employees?

(4) Job descriptions

In terms of facilitating the process of recruitment and of assuring the assignment of the right individual to each job, what improvements can be made by the USOMs in identifying, and reducing to specific, understandable terms, the specific requirements for, and the duties of the incumbent in, each position which they establish? What else can be done to minimize the possibility that a person who is assigned to a USOM will find that there is no specific job or no full-time job awaiting him upon his arrival or that the job is one for which he is not qualified?

(5) Assignment and rotation policies for career personnel

- (a) Criteria for assignments. Which of the following factors, and what others, should be the major determinants with respect to an individual's assignments: individual qualifications, prior assignments, language capabilities, urgency, difficulty, relative importance of various positions, vacancies, family considerations, individual preference, etc.? To what extent, under what circumstances, and with what limitations, should individuals in various categories (technician and other) be encouraged or permitted to become specialists in particular geographic areas or countries?

- (b) Duration of assignments. Which of the following factors, and what others, should be most important in determining the normal duration of assignments and usual rotation procedures, and in deciding on exceptions to the general rule: locale (climate, facilities, etc.); character of the position; dependence of program success on, and the value to program objectives of, personal relations developed by the individual technician; time required to win local confidence, to become culturally adapted, to discover the problems requiring attention, to learn the job to be done, to take action required, and to see projects through; effect of reassignment on continuity of effort; effect on ability to recruit and retain personnel; effect of length of assignment on morale; level and responsibility of work; dangers of losing American perspective or of becoming an uncritical host country advocate? Are there maximum and minimum limitations that should be imposed on the duration of an assignment in a particular country or area, and, if so, what are they?
- (c) Assuring continuity of programs, operations, USOM emphasis and outlook, and personal relationships with the host country personnel in spite of personnel rotation. What steps can and should be taken to minimize the adverse effects on continuity of programs, operations, and USOM-host government relations which frequently result from the reassignment of personnel - toward preserving continuity in objectives, purposes, emphasis, programs and projects and toward insuring that programs and projects which are initiated under one USOM director or technician will, unless demonstrably wrong, be carried out as planned?
- (6) Maximum effective utilization of available USOM personnel
- (7) Backstopping and support requirements of a technician

What backstopping and other support of the following types does the average technician require in order to do an effective job: (a) administrative support; (b) technical support in his own field; or (c) technical support from other areas (e.g., public administration, sociology, training, engineering)? For which types of support should he look to his USOM, to a regional staff, or to ICA/W? Are there standard materials that should be available in each USOM for all USOM personnel and for the technicians in each technical field? What steps, if any, are needed to assure that field personnel have the maximum support and backstopping which they require? Does the average technician have adequate guidelines and instructions from (1) ICA/W and

(ii) the USOM for carrying out his assignment in the most effective manner of which he, as an individual, is capable, and, if not, in what respects are such guidelines and instructions deficient, and how could these deficiencies be remedied?

(8) Maintenance of morale at overseas posts

What factors are most important generally, and what special factors are additionally important in various areas, in maintaining the morale and enthusiasm of technicians and other overseas personnel? What steps, not now being taken, could and should be taken in order to assure proper recognition of these factors?

(9) Relations between USOM personnel and the local community

(10) Measures for the separation of ineffective personnel

(11) Long-term measures to increase the supply of personnel qualified for, and interested in, ICA work overseas

Assuming continuing or growing personnel requirements, what steps could be taken by ICA or the United States Government, either alone or in conjunction with universities, foundations and other groups, either to increase the supply of personnel available for, and interested in, ICA assignments overseas ((a) generally and (b) in various specialized fields) or to increase the attractiveness or appeal of such assignments? To what extent are the size and character of this supply affected by popular attitudes toward the foreign aid program in general and toward ICA in particular, and what steps, if any, would be possible and desirable on the part of the U.S. Government to develop a greater general public awareness of the importance of service in ICA? In view of the requirements projections set forth in the answers to II-B-6 and II-C above, what long-term measures could and should be taken, and what investment should be made, in order to increase the available supply of qualified people?

(12) Special problems in the recruiting, training, supporting and handling of third country personnel

(13) Special problems involved in the recruitment, training, and support of, and in USOM relationships with, technicians employed directly by the host government but financed by ICA

(b.) Participant training

The answers to questions in II-B-2-b-(3)-(b) should indicate the circumstances under which participant training is desirable and will be most effective and some of the qualifications and preparation which participants from various areas and in different fields should ordinarily possess before they are furnished such training. This subsection provides a checklist of the operational elements that should be considered in determining how best to implement a participant training program with the characteristics therein described.

(1) Procedures and techniques of ICA

What generalizations can be made about the steps, if any, which should be taken by ICA to improve, or to replace, existing policies, procedures, practices, and techniques for:

- (a) the selection of participants;
- (b) their processing in the host country;
- (c) the planning of a participant's program;
- (d) the pre-training orientation of a participant (both in the host country and the country of training;
- (e) the provision of language training or of other means to overcome the obstacles of language;
- (f) the travel of the participant;
- (g) the reception of the participant in the country of training;
- (h) the administrative support of the participant while in the country of training;
- (i) the maintenance of a participant's morale during training;
- (j) recurrent check on the progress of each participant in the course of his training;
- (k) the processing of requests for participant training in missions and in Washington, including the obligation of funds; and
- (1) the backstopping by ICA/W of USOM participant training activities?

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(2) Steps to improve the training offered

(a) University. Which of the following steps, and what others, could and should be taken by universities (and other academic institutions involved in the program), either alone or in conjunction with ICA, to meet the qualitative and quantitative requirements for training indicated in the answers to II-B-2-b-(3)-(b), II-B-6, and II-C above: (a) augmenting and training their professional staffs; (b) providing new facilities; (c) developing new techniques; (d) revising their curricula; (e) undertaking research in the substantive fields involved in the training, in problems of communication, and in techniques of training; (f) improving university and community reception of trainees; (g) continuously evaluating the effectiveness of their work; (h) exchanging information among each other concerning their experience in operating training programs; and (i) pooling their resources when training might be facilitated by joint or cooperative training activities?

(b) Observation trips.

(c) Other.

(3) Administrative arrangements between ICA and training institutions

What, if any, improvements should be made in the administrative arrangements between ICA and universities, trade schools, other government agencies, business concerns, etc., which carry out portions of the training programs?

(4) Special administrative and operational problems encountered in third country training

(5) Role of, and ICA relationships with, the participating agencies

(6) Operational coordination of ICA participant program with other related programs

(a) The foreign nationals training program of the Department of State.

(b) The fellowship programs of the UN and the specialized agencies, and of other multilateral organizations.

(c) The foreign nationals training programs of private organizations.

- (d) Participant training programs of other nations.
- (e) Training programs under ICA-university contracts.
- (7) Organizational and administrative arrangements for the handling of participant training in ICA/W and USOMs

c. Contracts

As indicated under II-B-2-b-(3)-(d) and (e) above, contracts with independent third parties frequently represent the best device for providing technical assistance. This subsection provides a check-list of some of the more important special problems confronting ICA in the use of this device and facing contractors in effectively carrying out their contracts.

(1) Negotiation of contracts and contract changes

- (a) How can the process of preparing and negotiating contracts be simplified and accelerated? Can standard forms for various types of contracts be prepared?
- (b) How can the necessity for, and the volume of, contract changes be reduced? How can the process of securing changes be accelerated and simplified?
- (c) To what extent can and should problems which have in the past caused, or may in the future cause, friction or misunderstanding as to the contractor's role, his relationships with the USOM, his relationships with the host government, and the status and privileges of his employees, be dealt with in the contract, and what kind of contractual provisions should be drawn to meet such problems?

(2) Assuring a community of objectives as between the contractor and ICA

(3) Orientation and preparation of contractor personnel for overseas work

To what extent should ICA take responsibility for, and assure, the proper orientation and preparation of contractor personnel for overseas work? Should contractor personnel be required to go through the same training and orientation programs that are prescribed for direct ICA hires?

(4) Relationship of contractor and contractor personnel to local mission

- (a) Degree of mission control over contractor and his personnel.
- (b) Coordination of contractor's activities with related portions of the ICA program.
- (c) Availability of mission facilities and other support to the contractor.
- (d) Measures for the establishment of good relations between contractor and USOM personnel.
- (e) Measures to reduce common sources of friction between contractor and USOM personnel.
- (f) Extent of assimilation of contractor's personnel into the USOM and country team.
- (g) Elimination, insofar as desirable, of disparities between terms and conditions of employment of contractor and USOM personnel; problems of status and privilege.

(5) Relationship of contractor to the host government

(6) Problems connected with special types of contracts

(a) University contracts

What steps should be taken by the universities in order to maximize their capacity to implement such contracts effectively? To what extent should they (a) augment or give special training to their professional staffs; (b) improve the leadership of university contract teams; (c) develop new specialized facilities; (d) undertake research related to such contracts; (e) adapt their curricula or develop entirely new curricula; (f) continuously and scientifically evaluate the results of their work; (g) exchange information with one another as to successes and failures in the operation of contracts and with respect to research thereunder; (h) arrange for the further orderly pooling of resources on projects beyond the competence of a single institution; or (i) improve their administrative capacity to service such contracts? What, if any, steps should be taken by ICA (or the government) in order (a) to facilitate the performance of university contracts by universities, or (b) to assist universities in making the kind of adjustments which may be indicated by the foregoing answer?

- (b) Contracts with voluntary agencies
- (c) Engineering and survey contracts
- (d) Contracts with other business concerns
- (7) Development of contractors (and particularly university contractors) qualified to render particular forms of services required by ICA in the technical assistance program

To what extent would it be desirable and practicable to develop university centers or other academic institutions which would undertake to concentrate on some one, or some combination, of the following: (a) the training of participants from a specific area or in a specific technical field; (b) the undertaking of fundamental research and development with respect to such area or technical field; (c) the training of United States personnel for overseas work in such area or technical field; (d) the development of techniques which might be employed by such United States personnel; (e) the preparation of training materials and training aids which such personnel might utilize; (f) the provision of advice on, and assistance in solving, difficult problems encountered in such area or technical field; (g) the supplying for service with ICA, either as short-term consultants, or for longer periods on some rotation basis (or on some basis of temporary exchange of positions with federal career employees), of members of its staff; and (h) the handling, servicing or backstopping of university contracts in such area or technical field?

- (8) ICA organizational and administrative measures

What organizational and administrative measures, if any, apart from those specifically covered in (1) through (7) above, might be taken in order to improve ICA relationships with, or improve the performance by, either (i) contractors generally or (ii) any specific class of contractors?

d. Supply operations

How, if at all, could present policies, procedures and practices with respect to supply support of technical assistance operations be significantly improved? From the standpoints of realistic planning, engineering, the development of specifications, procurement, delivery, distribution, storage, maintenance and use, what, if any, major weaknesses now exist, and how could each be remedied?

e. Project operations

(1) General

How efficiently and effectively are projects implemented as a general rule? What, if any, are the major sources of weakness? As to any major source of weakness, what are the primary causes? Do they reflect primarily a bad choice of projects; a wrong approach; incomplete, unrealistic or bad preplanning; poor engineering; faulty or cumbersome administrative procedures; lack of technical or operational competence on the part of those charged with project implementation or in a mission as a whole; poor mission management; inadequate Washington backstopping; inadequate project supervision; undue reliance on, or inadequate training of, locals involved in the project; absence of proper follow-up; local administrative obstacles; lack of local government support; delays, or bad phasing, in the procurement and supply of necessary materials and technicians; or other causes? Where technical assistance projects have not been fully successful, does the fault usually lie principally (i) in its choice, conception, planning and programming or (ii) in the manner of its execution? Is the lack of success traceable primarily to USOM management or to inadequacy in ICA/W support? Insofar as there are weaknesses in execution, what major organizational or administrative remedies are available? Do (i) certain forms of USOM organization, (ii) the presence in a USOM of certain kinds of special talents (e.g., engineering skill, prior business know-how, anthropological experience, economic competence, expertness in training techniques or in public administration), or (iii) certain methods of USOM operation typically result in better project execution?

(2) Factors in successful project execution

In addition to the factors suggested in II-B-2-b-(3)-(h) above, relating to the planning of a successful project, what factors are most important in assuring its effective execution?

(3) Proper scheduling and time-phasing of all project elements

What steps might be taken better to assure the proper and orderly time-phasing and blending of all the elements in a multi-element project (i.e., the arrival of technicians, the delivery of necessary supplies, the training of participants, etc.)? How does one assure the good management of a project as a whole, particularly if more than one technical division is involved?

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- f. Synchronization of technical assistance performance with the furnishing of other forms of related assistance
- g. Special problems of implementation when the success of a project depends on the joint or otherwise related actions of both the United States Government and another aid donor

3. Organization

a. General

Given the size and character of the technical assistance programs required (as reflected in II-B and II-C above) and the nature of the programming and operational problems encountered in their implementation (as reflected in II-D-1 and II-D-2 above), what kind of organizational arrangements within the United States Government and what kinds of relationships between the United States Government and other private, governmental and multilateral organizations concerned with technical assistance are most likely to provide the organizational framework through which such programs can be most effectively developed and carried out?

For the most part, the following paragraphs merely provide a short inventory, with occasional brief explanations, of some of the major areas which could be explored in seeking to provide a complete answer to the foregoing question. Many of these may be inappropriate for consideration in this study.

b. Internal organizational problems of aid donors

(1) U.S. Government

(a) International Cooperation Administration

(i) U.S. Operations Missions (USOMs). What kind of a complex or blend of different technical skills and other talents is required for a USOM to do a good (i) diagnostic, (ii) programming, and (iii) operational job (e.g., labor, industry, public administration, training, sociology, engineering)? Are certain technical skills required, or at least desirable, even though they involve fields in which no programs are currently being administered?

(ii) ICA/Washington (ICA/W)

(iii) Organizational relationships between ICA/W and the USOMs

(b) Participating agencies

(c) Other U.S. agencies

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(2) Other aid donors

- (a) In general. Except, possibly, as indicated in (b) and (c) below, the internal organizational arrangements of other aid donors for the extension of technical assistance do not represent appropriate subjects for this study.
- (b) Multilateral organizations. The organizational problems of multilateral organizations which furnish technical assistance are complicated and difficult, and if, in the future, greater reliance should be placed on the multilateral extension of technical assistance, such problems will be of increasing concern to the United States Government. In fact, the capacity to find reasonable solutions therefor may influence the extent to which various nations, including the United States, will be prepared to contribute financially to their support, and can, as a practical matter, cooperate effectively with them in the administration of their own bilateral programs. Moreover, the United States, as a member of these multilateral organizations, has a responsibility, and is in a position, to participate, along with other members, in decisions affecting the way in which they do organize for, and go about, the task of extending technical assistance. In the past, the United States has in fact often played an important role in the measures which have been taken by some of these organizations (e.g., UNTA) to improve their structure and procedures, as, for example, the assignment of resident UN representatives in certain countries and the closer integration of the activities of UNTA and the specialized agencies. At the same time, the problems involved are of a highly specialized nature, and their solution also involves major policy considerations that lie far beyond the realm of technical assistance alone. Hence it is doubtful how far this study can constructively contribute to their solution. At the most, perhaps, it should seek to identify those organizational and administrative factors which (i) influence the relative effectiveness of such organizations as channels for the extension of various kinds of technical assistance (see II-B-2-b-(4)-(b)) or (ii) affect the ability of the United States Government to coordinate the programming and operation of its own bilateral technical assistance programs with their programs.

- (c) Requests from other aid donors for technical assistance in the organization and operation by them of technical assistance programs. To the extent that other nations are urged to initiate, or to increase, technical assistance programs and, in turn, request advice in the organization and administration thereof (as one European nation has already done), it will probably be appropriate for the United States Government to provide such advice. While the character of the advice which should be given in any case is beyond the scope of this study, the results of this study may provide materials which will be useful in doing so.

c. Problems of organizational relationships

- (1) Between the International Cooperation Administration and other elements of the United States Government

In terms of improving the effectiveness of technical assistance programs of the United States Government, what, if any, steps should be taken to change or clarify the present organizational relationships between, or the respective roles of, ICA and the several U.S. agencies and classes of agencies identified below, both (i) in Washington and (ii), where relevant, in the field.

(a) The Department of State ✓

- (i) Insofar as technical assistance is concerned, what should be the nature of the control, direction or supervision which is exercised by the Department of State in Washington (through either (i) the coordinator's office, (ii) the geographic areas, (iii) the Inspector General, (iv) the special assistant to the Secretary for Cultural Affairs, or (v) other divisions) over (a) country aid levels, (b) program objectives, emphasis and content, (c) the implementation of technical assistance programs and (d) ICA administration? At what stage or stages in the programming and implementation cycles should such control, direction or supervision be exercised? For what purposes should it be exercised? How, and through what channel or channels, should it be exercised? How can necessary operational responsibility and independence best be reconciled with necessary policy control?
- (ii) In the field, what control, direction or supervision should be exercised by the Ambassador over the technical assistance programs?

- (b) The participating agencies (e.g., the Department of Agriculture)
  - (c) Supporting agencies (e.g., the U.S. Information Agency)
  - (d) Other agencies separately administering technical assistance programs. Should any other agency be administering bilateral technical assistance programs abroad? What sorts of problems does such separate administration raise? How can such problems be minimized?
  - (e) Other agencies administering non-technical assistance aid programs which are related to technical assistance or which may sometimes include a technical assistance component (e.g., the Development Loan Fund, the Export-Import Bank)
  - (f) Agencies administering exchange programs. Should such programs be separately administered? What problems does separate administration presently create? How might such problems be minimized? Is it possible, and, if so, is it desirable or undesirable, to separate technical and cultural goals in (i) planning, (ii) programming, or (iii) program implementation?
  - (g) The Department of Defense
- (2) Between the United States Government and other aid donors

Two major categories of problems are involved. They are:

- (a) Persuading other nations to institute or increase technical assistance programs. Insofar as this is indicated to be desirable by the analysis in II-B-2-b-(4)-(b) above, what steps can and should be taken to persuade other nations to increase or change the character of their technical assistance programs or to increase their contributions to multilateral institutions administering technical assistance?
- (b) Coordinating U.S. Government technical assistance programs with the comparable programs of other aid donors. What organizational or administrative steps would (i) desirably increase the cooperation between the United States and other donors of technical assistance and of related forms of aid and (ii) improve the coordination, and maximize the combined effective impact, of the programs of the two.

These problems differ somewhat in relation to different classes of donors - i.e., as among multilateral institutions, other national governments, foundations, universities, voluntary agencies,

and private business concerns. They are most pressing in the case of donors who are administering major technical assistance programs, but they are also involved in the case of multilateral and national donors who are extending other forms of assistance which (i) contain a technical assistance component, (ii) depend for their effectiveness on technical assistance supplied by other donors or (iii) provide support which is necessary for the success of some technical assistance program.

Several particularly important areas of inquiry can be identified.

First, generally, what kinds of international arrangements are becoming necessary in order to give appropriate recognition to, and to provide a sensible organizational structure which reflects, the actual presence of many governments, multilateral institutions, and other non-governmental organizations in the field of technical cooperation and in other related fields of assistance?

Second, in view of the situation described in the preceding paragraph and in the light of U.S. efforts to persuade other governments to increase their technical assistance activities and their contributions to multilateral institutions which administer technical assistance, to what extent should this alter the approach of the United States? To what extent can it and should it proceed independently with its own programs, working unilaterally with local governments in the planning and implementation of such programs?

Third, what kind of arrangements among aid donors are necessary at the host country level? To what extent is mutual support possible and desirable, and in what areas? To what extent should there be a free exchange of (i) planning, (ii) programming, and (iii) operational information, and interchange of experience, among the United States Mission and other aid donors? Should the approach to a host government be joint or separate? Should each donor assume responsibility for different segments of the program?

Finally, what attitude will non-Soviet Bloc donors take toward Soviet Bloc technical assistance programs and how, if at all, should non-Soviet Bloc technical assistance programs take into account, or be related to, those of the Soviet Bloc?

d. Organizational problems of aid recipients

What kinds of organizational arrangements should be made by a host government (i) to facilitate its dealings with donors of technical assistance, (ii) to coordinate and control the relationships of its various components with aid donors, and (iii) to support and supervise its subordinate elements in carrying out local government responsibilities in connection with technical assistance programs?

4. Other ICA Management and Administrative Problems

a. Degree of emphasis on technical assistance

Is technical assistance relegated to an inappropriately subordinate role in relation to other forms of assistance? Is it "suffocated" by emphasis on, and by the procedures adapted to, other forms of assistance? Does top management in the USOMs and in ICA/W give technical assistance enough attention? If the answers to the foregoing questions are in the negative, what organizational or administrative measures would correct the situation?

b. Basic management practices

- (1) Delegation of responsibility to USOMs. In the case of technical assistance, to what extent and with respect to what kinds of matters, should delegation of responsibility to the field be decreased or increased? Is more or less support from, and more or less review by, ICA/W desirable?
- (2) Clear lines of responsibility and authority. From the standpoint of technical assistance, are lines of authority clear and responsibilities adequately defined? Is there undue compartmentalization or diffusion of ICA/W backstopping or other functions?
- (3) Degree of institutionalization. From the standpoint of the effective extension of technical assistance, and in terms of programming, operations and administration, is ICA presently under- or over-institutionalized?
- (4) Flexibility. Do present organizational arrangements, administrative practices, programming rules, and operational methods provide adequate flexibility for the planning and conduct of effective technical assistance programs which are responsive to requirements?

c. Support of USOMs by ICA/W

In what ways, if any, is the support provided by ICA/W to the field inadequate or of the wrong kind? Is such support efficient, effective, and sufficiently prompt? If not, what improvements are feasible?

- (1) Technical support
- (2) Operational support
- (3) Program support

- (4) Administrative support. Does the administrative side of the organization (both in Washington and the field) adequately support, and provide the proper services for, the technicians, or is its approach restrictive and negative?

d. Procedures

- (1) Appropriateness of general ICA rules, regulations and procedures to technical assistance operations. Do the general rules, regulations, and procedures of ICA fit the particular operational requirements of technical assistance? Are these rules too much tailored to the needs of defense support and special assistance? Would it be desirable to have separate ones for technical assistance?
- (2) Are present procedures unduly cumbersome, involved and slow, and, if so, what can be done to simplify them and to speed them up? Given, on the one hand, the political consequences of delays and, on the other hand, the dangers of mistakes (often with far-reaching implications) as a result of inadequate preparation, control, or policing, what is the proper general balance between procedural red tape and relatively unrestricted action? Is the whole pattern of present procedures self-defeating? Do they delay program implementation to an unacceptable extent? Or, contrariwise, do they generally represent a necessary, minimum, and proper framework?

5. Administrative Problems Relating to a Host Government

- a. In carrying out its responsibilities in the implementation of the technical assistance program.
- b. In providing administrative support to the USOM.

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6. U.S. Government Capacity for Implementation of Effective Technical Assistance Programs

a. At present

Taking into account the needs (as reflected in the answers to questions in II-B and II-C above) and problems of administration (as reflected in the answers to questions in II-D-1 through II-D-5 above), what number, size and types of technical assistance programs does the United States Government have the capability of effectively implementing today? Assuming that needs indicate the desirability of an increase, what are the major obstacles to such an increase: (i) insufficient or inadequate human resources (technical or non-technical); (ii) physical resources; (iii) financial resources; (iv) inadequate knowledge and understanding of the local problems; (v) U.S. institutional limitations; (vi) lack of leadership; (vii) management deficiencies? To what extent, how rapidly, and through what measures could these obstacles be removed or reduced? Would changes in approach, methods of operation, techniques or the channels of aid employed increase present capabilities?

b. In the short-term future

c. In the long-term future

E.

Systematic Evaluation and Research in the  
Field of Technical Assistance

The term "evaluation," as used in this section, means the orderly measurement of the progress of a project or a program toward its defined objectives. So defined, evaluation represents not only an indispensable tool in assessing the extent and value of past accomplishments but also an important instrument for the accumulation of certain types of basic research data. For this reason, and because the problems of translating the results of evaluation and of other forms of research into operational and program terms are similar, questions about evaluation and research are here grouped together in one section.

1. Systematic evaluation

Evaluation of the success of a technical assistance project or program may involve any one or more of the following types of measurement:

(1) measurement of the progress of a specific project or program in accomplishing defined physical objectives of the project or program (e.g., the elimination of yaws, the completion of a geological survey, the installation of a well);

(2) measurement of the progress of a specific project or program in effecting basic changes in human resources and in institutions which are objectives of such project or program (e.g., the creation of an effective agricultural extension system, the development of habits of saving, the instilling of motivation for self-help, a change in attitudes toward work); and

(3) measurement of the progress in accomplishing the end purposes (or the ultimate objectives) of an entire technical assistance program for a country and the relative contributions of various specific projects and programs thereto (e.g., economic and social development, increased per capita consumption, elimination of an inflationary situation, political stability).

Each of the foregoing categories presents its own unique problems, since major variations in the nature of the things to be measured require the use of qualitatively different yardsticks in determining

progress and effect. The first category is the easiest. Physical benchmarks can be selected and the kinds of things to be measured and judged are often the kinds of things on which qualified individuals are accustomed to pass judgments every day.

Unfortunately, only a relatively few technical assistance projects and programs can appropriately be measured in exclusively physical terms. Nearly all of them also include as a primary or exclusive objective the successful communication to others, and the use by them, of knowledge, information, values, habits, skills, etc. Very frequently, in addition, the test of success is the extent to which matters which have been communicated to local individuals become, if one can use this somewhat nebulous term, "institutionalized." Under such circumstances measurement of achievement becomes more difficult. Intangible factors assume increasing importance, and a solution of the measurement problems involved usually requires:

- (1) the identification of physically observable manifestations of intangible changes which are both (i) significant indicators of the occurrence of changes and (ii) susceptible to reasonably precise measurement, and

- (2) the development of reliable techniques for gathering and evaluating data with respect to such manifestations.

Turning to the third type of measurement, there is again the problem of finding proper yardsticks, yardsticks that will measure progress toward a broad general purpose. This may be relatively easy or difficult depending upon (i) the nature of the purpose sought (compare, for example, the yardsticks that can be employed in measuring economic development and those which might be utilized in determining progress toward political stability) and (ii) the availability and reliability of any general or specific statistical data which are needed in applying the yardsticks which are appropriate. The third category also introduces the new and even more difficult problem of finding ways to measure, both quantitatively and qualitatively, the extent to which the successful implementation of specific projects and programs was responsible for, or contributed to, the broad general purpose sought. In most cases achievement of the purpose (e.g., economic development at a certain rate, political stability, increased per capita consumption) will be the compound of many influences, and the isolation (not to mention the quantitative, or even the qualitative, appraisal of the significance) of individual projects and programs which contribute thereto may be impossible.

Effective evaluation therefore depends upon finding satisfactory answers to each of the following questions:

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a. Selection of yardsticks

What standards, criteria or yardsticks are most appropriate:

- (1) for measuring progress toward objectives in various types of specific projects and programs;
- (2) for evaluating the comparative effectiveness of different approaches, different methods of operation, different techniques, and different channels of aid in furthering the attainment of various types of project and program objectives;
- (3) for determining the extent to which the purposes of a country technical assistance program are being achieved;
- (4) for identifying the factors which are retarding, limiting the effectiveness of, interfering with, or increasing the originally estimated costs of, a specific project or program or preventing fulfillment of the purposes of a country technical assistance program;
- (5) for reaching validly supportable conclusions concerning (a) the qualitative and quantitative contribution of a particular project or program to the achievement of a country program's purposes and (b) the relative effectiveness of various types of projects and programs in this regard?

b. Definition of objectives

How can one best state the purposes and objectives of various types of projects and programs so as to facilitate subsequent measurement of progress theretoward with yardsticks that are appropriate? For purposes of evaluation, which of the following factors, and what others, should be covered in any initial statement with respect to the objectives and character of a project or program: (i) the changes sought, (ii) the anticipated side effects, (iii) the areas of direct results (geographically and by groups), (iv) the areas of indirect results, (v) the tempo anticipated, and (vi) the estimated costs?

c. Collection of base data

What data should be collected before, or at the outset of, a project or program to provide a base against which to measure its progress and determine its effects?

d. Identification of benchmarks

As to different types of projects and programs, what are the most significant benchmarks that can be selected? In particular, when dealing with the growth or creation of institutions, the changing of attitudes, values, habits and modes of thought, and other matters that have an intangible quality, what kinds of indicators of change are both (i) most useful and (ii) susceptible to reasonably accurate measurement?

e. Systematic evaluation as a built-in element in every project and program

To what extent would it be advisable to incorporate systematic evaluation, with the attributes reflected in a through d above, as an integral element in every project and program hereinafter undertaken, and how could this best be done? How, in developing appropriate methods and procedures, does one allow for, and properly reflect, the recurrent need in many projects and programs to adjust or change the original objectives as a result of experience gained in its initial implementation or because of new or previously overlooked factors which influence, but are external to, the project or program?

f. Continuing post-project and post-program evaluation

Since a particular project or program, or an aid donor's association therewith, may be physically completed long in advance of the time when the ultimate effects thereof can be ascertained, what efforts should be made in the post-project or post-program period to measure continuing progress and to determine ultimate effects? (E.g., the ultimate purpose of a project may be to increase agricultural production and to do so through the establishment and effective operation of an agricultural extension system. However, the project itself may be limited to training certain people in the United States in agricultural extension techniques, persuading the local ministry of agriculture, perhaps through a provincial demonstration project, that such a system would be advisable, rendering advice in the organization of the system, and helping to establish a local training school. Training may be extremely effective by all measurable standards, and the government may become thoroughly convinced of the value of such a system and accept, and put into practice, the advice given on the organization of the system and the establishment of a school. But the real tests of accomplishment will only come much later and will probably lie in whether, some years later, there is an effectively operating extension system and, beyond this, in its contributions to increased food production.)

g. Host country cooperation

To what extent, and how, is it advisable, or necessary for effective results, to tie the host government into the process of evaluating various types of specific projects and programs and the degree of success in achieving the more general purposes of a country technical assistance program? To what extent does the institution of systematic evaluation require a host government to set up special machinery for the collection and processing of data? To what extent does the participation of a host government provide, as a by-product, the opportunity for effective and practical technical assistance in the handling of statistics, in systematic analysis, in techniques of research, etc.?

h. Guidelines and instructions

If a decision should be reached to do so, what preliminary studies would be necessary, what guidelines and instructions would be required, what procedures would be most suitable, and what special training might be necessary, in order to establish a systematic evaluation process which incorporated the elements indicated in the answers to a through g above?

2. Research

- a. In addition to, in lieu of, or irrespective of the existence of, a systematic evaluation process of the character which is indicated by the answers to questions under 1 above, what, if any, research program should be sponsored or promoted by the United States Government as a whole or by ICA on the problems with which technical assistance is concerned? What should be the scope of such a program, and to which categories of questions in this outline should it be primarily addressed, and in what sequence? Should it include research in the physical sciences for the purpose of finding solutions to major technical problems confronting less developed countries (e.g., the solution of problems of aridity by the desalinization of ocean water or by the artificial stimulation of rainfall)?
- b. In terms of (i) the value of possible results, (ii) the importance of solving the problems involved from the standpoint of basic U.S. interests, and (iii) the size and character of past and prospective investments of U.S. resources (of all kinds, not merely technical assistance) in efforts to solve such problems, what magnitude of U.S. Government investment would be justified in a research program of the character reflected in the answer to a above? What relative priority should be accorded to such a program from the standpoints of (i) ICA resources, (ii) U.S.

Government research efforts and expenditures for research, and (iii) the preemption of qualified research personnel and research facilities? To what extent would the university and foundation communities be prepared to underwrite, support, and participate in, a major research effort of this character?

- c. Under what circumstances, to what extent, and how, should an effort be made to enlist the support or participation of (i) less developed countries and (ii) other developed countries in any such research program or in particular segments thereof?
  - d. Should such a program include the initiation by ICA of pilot projects and other controlled experiments which would be designed to test the comparative effectiveness under various circumstances of different methods of operation, different approaches and different techniques?
3. Systematic continuing collection of technical assistance experience

In addition to (i) the orderly accumulation of experience which would be gathered through a systematic evaluation process (established as a result of answers to questions listed under 1 above) and (ii) the collection of experience through organized research, what, if any, procedures should be established for the systematic and continuous collection and analysis of the experience of ICA personnel in the conduct of technical assistance programs? Would it be practicable, and, if so, desirable, for ICA to arrange to obtain, possibly on some reciprocal basis, the continuously growing experience of other governments, multilateral institutions, foundations, and other private organizations in the field of technical assistance?

4. Dissemination and use of information derived from evaluations, from the results of research, and from the collected experience of technical assistance field personnel

What steps could and should be taken by (a) USOMs and (b) ICA/W: (i) to review, analyze and evaluate, (ii) to make maximum practical use of in programming and operations, and (iii) to disseminate in understandable and usable form to all who might profit therefrom, the information derived from systematic evaluations (see 1 above), the results of research (see 2 above), and the collected experience of personnel in the field of technical assistance (see 3 above)?

5. Organizational arrangements

What, if any, special organizational arrangements or new assignments of responsibility are required in (a) ICA/W and (b) USOMs in order:

- (i) to plan, undertake, supervise, coordinate or arrange for desirable research activities in areas related to technical assistance;
- (ii) to establish procedures for, plan, oversee, conduct, or collect the information produced by systematic project and program evaluations;
- (iii) to establish procedures for, plan, undertake, or supervise the organized continuing collection of the experience of ICA personnel in the field of technical assistance;
- (iv) to evaluate and distribute in usable form to interested consumers the information which is derived from research, systematic evaluation and collected experience;
- (v) to initiate, arrange for, undertake or supervise changes or innovations in technical assistance programming and operations which research, systematic evaluation, or accumulating experience may indicate to be desirable?

F.

Special Technical Assistance Problems

There are a variety of special problems affecting, or connected with, technical assistance that do not fit conveniently into any previous portions of the outline but which merit special identification. They include the following:

1. Technical Assistance to Dependent Overseas Territories (DOTs)

Under what circumstances is such assistance desirable? Should it be limited to special types of aid? What should the criteria be (e.g., the lack of requisite skills in the metropole, an inadequate number of metropole technicians, U.S. views as to what is needed, the status of a nation's evolution toward self-government and independence)? What special problems are presented in planning, programming, and administering aid to DOTs, in working with the metropole government, and in working with the local authorities?

2. The Termination of Projects

How should one plan and prepare for the termination of a project so that the project can be terminated as a U.S. project at the proper time and the job turned over to the people of the host country with some assurance that they will carry it on with reasonable effectiveness? Apart from the accomplishment of its purpose (or alternatively the conclusion that its purpose cannot be successfully accomplished), what factors should be taken into account in deciding precisely when to terminate a program or project? For example, does one consider (i) the popularity of the project, (ii) the attitude of key government officials, (iii) the local role, status and indigenous relationships of technicians involved, etc.? What criteria can be developed to determine whether the desired change has been achieved, or the necessary agencies and institutions of change sufficiently well established that one can be confident the desired change will come about?

3. The Mobilization of American University Resources in Support of an Effective Technical Assistance Program

4. Technical Assistance in Support of Activities Which Do, or May Eventually, Compete with U.S. Activities

5. Public Information Support of Technical Assistance

6. Technical Assistance on a Loan or Cash Reimbursement Basis

7. Planning and Initiating a Technical Assistance Program in a New Country

G.

General Summary Questions with Respect to  
U.S. Technical Assistance Programs

Taking into account the answers to questions in the preceding sections (II-A through II-B), what generalizations can be stated in answer to the following broad questions concerning U.S. technical assistance activities?

1. Size and character of future technical assistance programs

a. Bilateral programs

In the light of (a) the purposes sought (II-A-5 above), (b) the capabilities and limitations of technical assistance as an instrument in achieving such purposes (II-B-5 and II-C above), (c) projections of future requirements for technical assistance upon various assumptions (II-B-6 and II-C above), and (d) the present and potential future capacity of the United States Government to implement technical assistance programs, what ten-to-twenty-year projections can be made with respect to the general trends in, and the general magnitude, emphasis and character of, the bilateral technical cooperation programs which, competing resource requirements aside, should be undertaken by the United States Government?

b. Multilateral programs

Taking into account the same general considerations as those listed in a above, what similar projections can be made with respect to the level and character of technical assistance programs which the United States Government should support in, and the magnitude of the contributions which it should make to, various multilateral organizations?

c. Balance between bilateral and multilateral programs

What factors might or should affect the relative emphasis on, or the proportionate allocation of U.S. resources to, bilateral and multilateral technical assistance programs which is indicated by the answers to a and b above?

2. Capabilities and limitations of projected technical assistance programs

What would be the capabilities and limitations, in terms of achieving the purposes sought, of technical assistance programs of the

magnitude and character projected pursuant to question 1 above either (a) alone or (b) in combination with various types and sizes of related non-technical assistance programs and activities which significantly affect the capabilities of technical assistance?

3. Priority of technical assistance

In terms of broad U.S. interests, and in relation to (a) all other types of aid programs and (b) other U.S. activities (e.g., defense, domestic programs) which may compete for the same human, physical and financial resources, what priority should be accorded by the United States Government to the support and implementation of (a) technical assistance programs of the magnitude and character projected pursuant to question 1 above and (b) any related non-technical assistance programs and activities upon which the effectiveness of technical assistance depends? How, if at all, does the answer to the foregoing question require revisions in the magnitude and character of programs projected pursuant to question 1 above and in any related programs and activities? To what extent, and in what ways, would any such revisions affect the capabilities and limitations of future technical assistance programs as reflected in the answer to question 2 above?

4. Basic changes in Executive Branch policies and objectives

In what respects, if any, do the answers to questions 1 through 3 above and to questions in sections II-A through II-F above require any basic changes in national objectives or major Executive Branch policies?

5. Changes in legislation

To what extent, if at all, would the implementation of technical assistance programs which reflected the answers to questions 1 through 4 above and to the questions in sections II-A through II-F above require legislation?

6. Changes in basic organization

What, if any, changes in basic Executive Branch organization would be desirable in order most effectively to implement (a) technical assistance programs of the size and character which are reflected in the answers to questions 1 through 4 above and to the questions in sections II-A through II-F above and (b) any related non-technical assistance programs and activities?

7. Changes in other related programs

To what extent, if at all, do the answers to questions 1 through 4 above or to questions in sections II-A through II-F above require changes in related non-technical assistance activities and programs?

8. Research on technical assistance

In the light of answers to questions 1 through 4 above and to the questions in section II-E above, what kind of a technical assistance research program, if any, should the U.S. Government sponsor or support, and what priority should be accorded thereto?

9. Increasing the capacity of the United States to support technical assistance programs

In the light of answers to questions 1 through 4 above, what major efforts should be made by the United States Government to increase the capacity of the United States to implement technical assistance and related programs, what priority should be given thereto, and to what extent, and over what time periods, might such efforts actually increase that capacity?

10. Increasing the participation of other governments in technical assistance and related activities

In the light of answers to questions in sections II-A through II-F above and to questions 1 through 4, 7 and 9 above, what steps should be taken by the United States Government to secure an increase in, or a change in the character of, the technical assistance programs of other governments?

III

METHODOLOGY

Part I of this document outlined the specific purposes of this study. Part II inventoried major questions relating to technical assistance with which the study should be concerned. This portion considers the problems which are involved in obtaining answers, or better answers than are presently available, to those questions. It deals successively with (A) principles which should govern the study; (B) sources of information for the study; and (C) problems of general methodology.

Many of the questions raised in Part II are not, as indicated in I-B and I-C above, susceptible to examination in this initial, relatively short-term study, and must therefore be dealt with as part of an organized, longer-term research effort. Certain other questions are of policy nature and raise considerations that lie wholly or partially outside the field of technical assistance, such as the ten listed in II-G above and those in II-A-4 and 5. As to such questions, the study (or any following research) can only furnish certain basic data which will contribute to, and cannot itself provide, the necessary answers.

A. Controlling Principles in the Conduct of the Study

The following general principles should be controlling in the formulation and conduct of the study.

1. Orientation to the future. The study should be aimed at the future and not at the past. Its purpose should be to lay a foundation for the most constructive form of technical assistance programs in the decades ahead, and not to find fault with, or to fix blame for any mistakes in, what others have heretofore done. Emphasis should be placed on the opportunity to contribute to a creative, forward-looking undertaking of great potential significance.
2. Humility in approach. The study should start with the premise that technical assistance, applied on its present scale and in a cross-cultural context, is a new instrument in history, and should recognize that whenever technical assistance of this character is involved, mankind is still at the primer level, deficient in his knowledge and understanding of the nature of the problems involved and of the approach and techniques which are appropriate for the solution of such problems. It should also begin with an appreciation that many of the necessary answers cannot be obtained quickly.

3. Research emphasis. The study should be conducted on the most scientific basis possible within the time period available, and when, because of limitations of time, a particular issue cannot be fully explored in this fashion during the course of the study, any conclusions reached should be clearly labeled tentative, and the issue should be specifically identified as one for subsequent more thorough research. Although, for the time being, the evaluated judgments of experienced people may constitute the only evidence, or at least the best evidence, and should therefore be fully utilized in the study, one should beware of, and should subject to the most searching disinterested scrutiny, many of the general opinions which are held in this field. There have been far too many uninformed and opinionated lay pronouncements on the problems of technical assistance which have gained wide acceptance. There is also ample reason to believe that current technical assistance dogma is in part the product of popular myths and ingrained Western cultural biases, and it may well be that many of the presently widely held views about the subject will prove to be little more than folklore when scientifically collected data are objectively reviewed. At the same time the study cannot ignore the urgent need for the best answers obtainable at an early date, even though such answers must be tentative and may require subsequent revision in the light of more methodically accumulated data. In the initial study, as contrasted with the continuing longer-term research programs which should accompany and follow it, there will have to be some compromise between the demands which the swift current of the times places upon the operators of programs that shape history and the standards on which a true scholar would insist.
  
4. Selectivity. Because the time available for the study is short in relation to the profundity and the number of the issues involved, the study must emphasize selected questions which are both of critical importance and susceptible to constructive examination during the period available. Questions which do not qualify under such standards should be assigned for separate consideration. The study can only represent a beginning in a process of orderly research that must continue indefinitely, and an effort to overreach its practical capabilities will only defeat its purpose. Restraint must be exercised in selecting the subjects to be explored, in defining the scope of individual studies, in choosing the samples of field experience that will be collected, and in determining the individuals whose views are to be sought.

5. Maximum exploitation of available materials. Some studies have already been made, and considerable has heretofore been written, on technical assistance and related subjects. While much of this material may be of questionable scientific probity, it should be systematically collected as part of the study, and it should be utilized in reaching conclusions to the fullest extent that careful evaluation demonstrates its reliability and relevance.
  
6. Maximum utilization of current and projected studies by others. Insofar as operationally practicable, and politically feasible, the study should utilize the findings of, and encourage, support, cooperate with, or directly participate in (as may be most appropriate in any specific case), other current or projected studies and research projects of ICA or outside groups that are significantly related to major questions listed in Part II hereof. Every reasonable effort should be made cooperatively to dovetail related undertakings toward the end of producing the most useful combined products within the period available. In cases where ICA missions or divisions are currently contemplating the initiation of important related study or research projects, they should receive full encouragement and support from this study, including financial support, if necessary, and, where this would be appropriate, an attempt should be made to shape them to the needs of this study. Among the more important current, or presently projected, studies that may relate to this study, the following should be identified:
  - (1) The ICA-initiated study of the participant training program.
  - (2) The ICA study, originally initiated by a Cabinet Committee chaired by the Secretary of Labor, of high-level human resources.
  - (3) The Ford Foundation-sponsored study by the Committee on The University and World Affairs.
  - (4) The study by the Department of State of the international exchange program.
  - (5) The proposed study by the Department of Defense of its role in the international education field.
  - (6) The Carnegie Corporation-sponsored study by Michigan State University of inter-university contracts.

7. Maximum utilization of available experience. For some fifteen years in ICA and predecessor organizations, and for longer or shorter periods in multilateral organizations, other governments, and private institutions, thousands of men and women have been engaged in the actual process of providing technical assistance. The study should make every effort to collect, distill and evaluate this experience, which constitutes, as of today, the most valuable reservoir of reliable source material.
8. Minimum interference with current operations. Most ICA offices and missions are seriously understaffed, and their current work loads are often heavier than they can effectively handle. The same situation may well obtain in the case of other institutions (governmental or private) that are presently conducting technical assistance programs abroad. Accordingly, the study should be conducted in such a fashion as to impose the least possible burden on programmers, operators and administrators. Demands for specially prepared written materials should be kept to a minimum and restricted to those instances where necessary information cannot be obtained in any other fashion. Interviews and discussions should, where possible, be substituted for requests for specially prepared reports. Where information can be obtained from lower-level personnel, higher-level personnel should not be approached. Necessarily, however, the task of tapping the reservoir of individual experience cannot be avoided.
9. Host government cooperation. Since the subject matter of the study concerns the problems of less developed countries and since by far the largest body of experience in dealing with these problems is that of the governments of such countries, the study should, wherever this is feasible, undertake to secure the cooperation of such governments in any research efforts and case studies which are attempted. Other governments should be impressed with the fact that the study provides an opportunity both to improve the quality of the technical assistance which they receive and to cooperate in making available the experience which they themselves have accumulated for the benefit of other governments that are similarly situated.
10. Cooperation with interested individuals and groups. ICA, while its experience may be substantially broader than that of any other single organization or group, has no exclusive monopoly on valuable experience in the field of technical assistance. Hence, within the stringent practical limitations imposed by the need for selectivity (see 4 above), the study should endeavor to secure the maximum cooperation, support and contribution from individuals, groups, and organizations which are in a position to provide scientifically useful information on the subject. Such individuals, groups, and organizations include:

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- a. Members of the U.S. Congress, and particularly those who have served on, or are currently members of, the Senate Foreign Relations Committee, the House Foreign Affairs Committee, the Senate Appropriations Committee, the House Appropriations Committee, the Senate Government Operations Committee, or the House Government Operations Committee.
  - b. Other U.S. executive agencies (e.g., USIA, HEW, Labor).
  - c. Foundations.
  - d. Selected business concerns with extensive overseas operations.
  - e. Selected voluntary organizations.
  - f. Selected multilateral institutions.
  - g. Selected foreign governments.
  - h. Selected universities, and university research centers, engaged in technical assistance activities, or in area studies or in studies in particular disciplines that bear importantly on questions involved in technical assistance.
11. Solicitation of a multiplicity of viewpoints. The field of technical assistance is so complex and as yet so unpioneered scientifically that it would appear wise to examine it from a variety of different angles. The points of view of diverse groups of individuals should be sought - of the operators of different types of technical assistance programs; of the recipients of various kinds of technical assistance; of experts in the technical fields of knowledge and in the several disciplines that are most involved; of individuals who can look at the problems of technical assistance in the perspective of history and in relation to the major trends of our times (the Arnold Toynbees, the Barbara Wards, and the Dr. Schweitzers); and of other generalists who, by reason of the breadth of their experience and knowledge, have a capacity to synthesize information and views that come from many sources.
12. Free access to all sources of information. If the study is to be an effective study, one in which the most efficient use is made of the time of the study group, its members must have the latitude to go anywhere and to talk informally to any person, ignoring ordinary channels except as protocol may occasionally otherwise require (as in the case of other governments and multilateral institutions). Any requests for a major report or study should of course be made through the normal command channels of the government agency concerned.

B. Sources of Information for the Study

The data on which the study should rely fall into the following categories:

1. Previously recorded experience. Prior experience with technical assistance, and conclusions based on that experience, as they are reflected in significant studies, evaluations and other writings of -
  - a. those who have participated in the conduct of technical assistance activities (including internal audits, evaluations, and terminal reports) for (i) the U.S. Government, (ii) foreign governments, (iii) multilateral institutions, or (iv) private institutions;
  - b. those who have been directly affected by the extension of technical assistance (host governments and their people);
  - c. independent generalists who have observed, or conducted studies of, technical assistance (e.g., Congressional groups, Executive Commissions, the Comptroller General); and
  - d. independent specialists (specialists in some technical field or in the behavioral sciences) who have observed, or conducted studies of, specialized features of the technical assistance problem.
2. Previously unrecorded experience. This includes the prior, as yet unrecorded, experience of the thousands of individuals who have heretofore participated, or who are now participating, in technical assistance programs, either as donors or recipients, and the conclusions, based upon such experience, which such individuals have formed. It also includes the previously unrecorded views of other competent observers and students in this and allied fields.
3. Newly developed data. These include the data which can be developed from actual field surveys and from other forms of research or study projects that are promoted by this study or from other studies that are presently under way or contemplated.

C. Methodology

The following represent some of the major steps in the conduct of the study.

1. Identification of the specific questions to be explored in the study, the types of data that will contribute most to the answering of each, the techniques available for the collection of such data, and the individuals or organizations which are most qualified to employ such techniques and/or to evaluate the data collected.
2. The collection, organization, and evaluation as to reliability, of significant previously recorded materials on the subject.
3. The identification of other major studies and research projects which are now under way or contemplated and which relate to the problems of technical assistance, and necessary actions to arrange for collaboration with, participation in, or continuing information about, such studies and projects.
4. The methodical collection through interviews in depth, possibly supplemented by questionnaires, of the unrecorded experience and opinions of a representative sample of individuals who have participated in, or otherwise closely observed, the actual operation of technical assistance programs with respect to selected issues on which they are qualified to speak. In the case of U.S. Government personnel and the personnel of U.S. Government contractors, the sample should be relatively large. Limitations of time will determine the extent to which members of any of the following types of organizations can be personally approached:
  - (1) Technical assistance organizations of foreign governments (e.g., the United Kingdom, France, Belgium, Germany, Japan, Israel, Canada).
  - (2) Multilateral institutions dispensing technical assistance (e.g., UNTA, the several specialized agencies (ILO, FAO, WHO, ICAO, etc.), OAS, the Colombo Plan.
  - (3) Multilateral institutions dispensing related forms of assistance (e.g., IBRD, IMF).
  - (4) Business concerns engaged in overseas operations.
  - (5) Foundations.
  - (6) Universities.
  - (7) Voluntary organizations.

A large number of such interviews will be part and parcel of the specific field surveys and research projects referred to in 5 and 6 below; but a substantial amount of such interviewing should be undertaken as part of a regular interview program which is independent of such special surveys and projects.

5. The conduct of scientifically designed field surveys in depth by inter-disciplinary teams. Such surveys could be of any one, or all, of the following types:
  - (1) Surveys of representative countries, which are representative in the sense that each is a reasonably good prototype of countries at a particular stage of development and with comparable cultural characteristics and in the further sense that, among them, they offer both a good cross-section of the various methods of operation, approaches, techniques and channels of aid that have been employed in technical assistance and examples of successful and unsuccessful projects and programs in the major technical fields.
  - (2) Surveys in selected technical fields (e.g., health, education, agriculture) in which comparable technical problems would be examined in a number of countries which represented different levels of development and offered diversities in culture or in which different approaches, methods of operation, techniques or channels of aid had been employed in dealing with such problems.
  - (3) Surveys with respect to specific non-technical problems occurring widely (e.g., technical assistance in relation to urban problems or in approaching village-level development) in which an effort would be made, through examining experience in a number of countries, to identify those approaches, methods of operations, techniques and channels of aid which offer the best solutions, either generally or in certain circumstances.

Surveys in the first category will clearly be necessary. Resources and time (as well as the realistic prospects of producing, through the general country studies, reasonably satisfactory interim answers) will determine whether, and if so, to what extent, surveys in the other two areas will be included.

6. The conduct of special studies and research projects on selected subjects of major significance. Some might involve field surveys as one element, others might consist of the collection and

evaluation of existing materials or the conduct of tests, and still others might assume a different form. A few among the many subjects for which such special studies or research projects might be considered are the following:

- (1) technical assistance in country development planning;
  - (2) technical assistance in relation to (a) urban societies, (b) nomadic societies, (c) other tribal groups, (d) village societies;
  - (3) community development;
  - (4) the role of law and order in development;
  - (5) Soviet Bloc technical assistance;
  - (6) English language training;
  - (7) standards and techniques for the evaluation of technical assistance projects and programs;
  - (8) technical assistance in relation to private enterprise;
  - (9) analysis of the human and institutional factors that led to major development break-throughs in countries which have recently made great strides forward (e.g., Japan, USSR, Puerto Rico, Mexico);
  - (10) the use of indigenous military establishments as a vehicle through which to provide technical assistance of a non-military character;
  - (11) techniques in the selection of personnel for technical assistance work overseas; and
  - (12) orientation and training of personnel for technical assistance work abroad.
7. The identification of questions which require long-term or continuing research.

## APPENDIX II - Preface

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### Further Note on

#### Distinctions Between Two Basic Types of Technical Assistance

There are individuals who assert that lines can and should be drawn between (i) performance technical assistance, or some forms of performance assistance, and (ii) communication technical assistance for purposes of legislation, funding, and administration. To some extent such lines have been drawn to distinguish between the functions of the United Nations Technical Assistance program and those of the United Nations Special Fund. Within the United States Government many persons argue that technical assistance which is associated with capital projects - surveys, engineering services, feasibility studies, etc. - should be provided as part of the capital package, funded out of development aid funds, and disassociated from the administration of technical assistance which is not related to specific identifiable projects of economic significance. This question is raised elsewhere in the outline.

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APPENDIX II-B-1-d

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Notes on the Time Factor

The time factor, as it relates to both (i) the maximum speed which certain problems can satisfactorily be dealt with and (ii) the maximum period within which a solution must be found, is in some respects one of the most crucial questions and it has all too frequently been overlooked. Its answer may add a new dimension and give a radically new character to the picture in particular countries. It may place seriously restrictive time limitations on, and thereby perhaps drastically affect the approach to, the solution of problems or, alternatively, may require (and such action may or may not be successful) the massive infusion of resources as a stop-gap to permit some relaxation of these time limitations. To put it another way, the character of the setting which may emerge pursuant to the analysis outlined in II-B-1-a of the outline may reflect the widespread existence of a situation in which the forces for change are so great that unless ways can be found of telescoping major development (at least as reflected in substantially higher standards of current living) into a very short period of history (development which in the West took generations and in some respects centuries), these forces for change will dictate politically extreme solutions, solutions of a type that may for many years preclude the possibility of orderly economic and social development of a country as a free and independent nation. The factor of time, therefore, may make imperative an approach which is additive to, or substitutive for, the approach which might otherwise be the most logical, most orderly, and most consistent with balanced growth. The approach required may in fact differ radically from the latter and necessitate entirely new techniques.

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Examples of the Kind of Special Questions Which Should Be Asked  
in Refining Approach, Methods of Operation and  
Techniques in Each Technical Field

- a. Public Health - What kind of a medical and health system can operate most effectively in the local setting? What are the questions to be asked and the criteria to be applied in making a decision? Does the situation call for a system which is wholly unique? What types of health problems should it be primarily equipped to deal with? What should be the relative emphasis on preventive as compared to curative measures? What kind of a doctor-intern-nurse-nurse's aide-midwife-public health officer complex should be developed now, ten years from now, and several decades hence? Etc.
- b. Education - What concepts and purposes of education best fit? Should emphasis be shifted from a system relying on memory to one that emphasizes capacities of intellect? What kind of an over-all education system is best fitted to present needs and what kind of a system should be built toward ten, twenty and thirty years hence? What short-cuts, if any, would be desirable under present circumstances? How can modern devices of communication be most effectively employed? On what types of education should emphasis be placed at various stages? Can one establish any pattern or patterns with respect to the most desirable sequence? Should technical assistance itself get into the business of direct mass education or direct special vocational education? When is it desirable to support indigenous self-sufficiency in general higher education; in specialized forms of higher education? Should technical assistance provide for degree training? To what extent should literacy be emphasized as a first prerequisite? Could we, and would we be better off if we should, give primary emphasis to selected substantive fields, relying on audio-visual techniques, demonstrations, etc., which are not dependent on a capacity to read? What are the factors other than more widespread primary education which contribute to the growth and the maintenance of a more literate population? What do people read when they become literate and how does this affect them? How important is literacy to the development of various types of less developed countries and of countries at various stages in the development process? Should we place more stress on supplying, developing, and helping to manufacture locally, textbooks, other technical and non-technical reading materials, training devices, audio-visual equipment, devices for mass communication (e.g., radio, television, etc.), etc.? What stress should be placed on adult education? How does increased literacy bear on the solution of other problems? How can service in an indigenous military establishment be used as a vehicle for education?

## APPENDIX II-F-3

### The Mobilization of American University Resources in Support of an Effective Technical Assistance Program

The American universities are today playing an increasingly important role in the efforts of the United States to implement an effective technical assistance program. The question which now confronts them, and which is of equal concern to the foundations that contribute financially to their work and to the United States Government which relies heavily upon their support, is this: What should the future role of the universities be in relation to the technical assistance and other international programs of the United States, and how, in cooperation with the foundations, the United States Government, and other private organizations, can this role be most effectively carried out? This question is one of the central questions which is being addressed by the recently established Committee on The University and World Affairs, and its conclusions should contribute materially to efforts to make the best possible use of American academic resources in improving and carrying out technical assistance programs.

The following is a summary of some of the more important general problems which require examination in answering the foregoing question.

#### A. University contracts

##### 1. Role of university contracts

What role, if any, should the university contract play in the conduct of an effective overseas technical assistance program? Is the original "sisterhood concept" of real value or is some other concept more valid?

##### 2. University support of university contracts

What steps should be taken by the universities in order to maximize their capacity to implement such contracts effectively? To what extent should they (a) augment or give special training to their professional staffs; (b) improve the leadership of university contract teams; (c) develop new specialized facilities; (d) undertake research related to such contracts; (e) adapt their curricula or develop entirely new curricula; (f) continuously and scientifically evaluate the results of their work; (g) exchange information with one another as to successes and failures in the operation of contracts and with respect to research thereunder; (h) arrange for the further orderly pooling

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of resources on projects beyond the competence of a single institution; or (i) improve their administrative capacity to service such contracts?

3. ICA role

What, if any, steps should be taken by ICA (or the government) in order (a) to facilitate the performance of university contracts by universities, or (b) to assist universities in making the kind of adjustments which may be indicated by the answer to 2 above?

B. The participant training program

1. Future requirements

After taking into account the possibilities for, and the advantages and disadvantages of, increasing (a) local training in a host country, (b) training in regional institutions, and (c) third country training, what are likely to be the optimum requirements for the training of participants in American universities during the next several decades? Can these requirements be broken down in terms of fields of training, level of training, duration of training, and major geographic sources of trainees?

2. University support of the training program

In order to meet the needs reflected in the answer to 1 above, what steps can and should the universities take by way of (a) augmenting and training their professional staffs; (b) providing new facilities; (c) developing new teaching techniques; (d) revising their curricula; (e) undertaking research in the substantive fields involved in the training, in problems of communication, and in techniques of training; (f) improving university and community reception of trainees; (g) continuously evaluating the effectiveness of their work; (h) exchanging information among each other concerning their experience in operating training programs; and (i) pooling their resources when training might be facilitated by joint or cooperative training activities?

3. ICA role

What steps should the ICA (or government) take in order (a) to facilitate the operation of the training program and (b) to assist the universities in undertaking the measures indicated as desirable in the answer to 2 above?

C. Research in the problems of development in less developed countries

1. To what extent should the American universities, either on their own or as a result of government or foundation sponsorship, gear themselves for, and then undertake, a massive research attack on the problems involved in the development of less developed countries and on the role which external assistance can play in solving such problems?
2. If, in response to 1 above, it should be concluded that a tremendously enlarged research effort should be made in the fields indicated, can we map out an organized academic-community-wide research program which, if implemented, would greatly increase our knowledge with respect to such things as the following: (a) the processes by which development takes place; (b) the factors (external or internal) that further or hinder development; (c) the role which education plays or might play in development; (d) the techniques of training and education best adapted for use in societies at various stages of development or with different cultures; (e) techniques of communication; (f) the manner in which institutions develop; (g) the relative importance in the development process of capital, human resources and institutions; (h) differences in approaching problems of development in urban, nomadic, village, tribal, and other forms of rural societies; and (i) the effectiveness of various forms of technical assistance in effecting changes necessary for development?
3. Would it be desirable and, if so, practicable to secure the participation of, and to work with, the universities of other countries in carrying out a research program of the character described in 1 and 2 above?
4. What roles should government and/or the foundations play in developing, coordinating, financing and otherwise facilitating a program of the kind described in 1 and 2 above?
5. What arrangements might be made for the better interchange among our universities and other institutions engaged in research of information about, or derived from, research in fields of the type described in 1 and 2 above, and how can the results of such research best be transmitted to, and incorporated in, the operations of ICA and other organizations engaged in extending foreign assistance?

D. Long-term increase in the output of college graduates who are qualified and trained for, and interested in, foreign aid work

1. Requirements

What are the probable requirements during the next 10-20 years for personnel who will be qualified and trained for, and will be interested in participating on a career basis (or from time to time in some other capacity) in, the conduct of foreign aid and other similar programs of the United States Government, foundations, international institutions, voluntary agencies, and business concerns?

2. Role of the university

To what extent, and how, should university curricula, degree requirements, graduate programs, post-graduate internships, and other specialized post-graduate training in particular fields be revised in order to assure an output of personnel of the types and numbers necessary? For example, if this were desirable, what arrangements might be made for overseas internships in various fields and for the completion of graduate training overseas in ways that would support the technical assistance program?

3. Role of ICA

What steps should be taken by ICA (or the government) to support any of the measures indicated as desirable in the answer to 2 above?

E. Short-term increase in the supply of personnel qualified for foreign aid work

1. What part can the American universities play in helping to train and orient personnel who are now employed, or might in the next 5 years be recruited, by ICA or other foreign aid agencies?
2. To what extent can the universities help in identifying the qualities that are most important in carrying out various foreign aid activities, in devising tests to determine the absence or presence of these qualities in particular individuals, and in preparing tailored training courses and training materials to supply such qualities when they are of a kind which can be taught or developed?

F. Increased availability of university personnel for government service

1. The central problem

Increasingly, and particularly under the stimulus of large research grants from, or contracts with, foundations, the cream of the intellectual community is not only drifting away from the government and concentrating in the academic and foundation communities but is also becoming more difficult to pry loose for short tours of duty with the United States Government. The entire government suffers from this trend but the difficulty is often accentuated in the case of foreign aid work, particularly in those cases where the task is one that cannot be effectively performed except over a period of from 1-4 years. Individuals in this class are, and probably will continue to be, required both as short-term consultants (2 months to 1 year) and for longer-term assignments (1 year to 4 years).

2. The university role

How can the universities, with or without government assistance, augment and/or reorganize their staffs so that on a continuing long-term basis they can make their most talented people available both for short-term consultancies and for 1-4-year terms of service, while at the same time discharging their other university roles? Is it possible to gain acceptance of a philosophy that a man's career in the academic world will be advanced rather than prejudiced by recurrent tours of duty with the Federal Government? Is it essential that such tours of duty result in the kind of published research that today appears to be the sine qua non of advancement in the academic world and, if so, how could this be arranged? Would it be possible to view service by an individual in a foreign country, particularly in a field which represents his primary area of teaching or research, as being of equal importance, in terms of his advancement, to the publication by him of original materials? Would it be sound to view service in a foreign land as increasing an individual's value to an academic institution to an extent that equals, or even exceeds, the increase in his value which might result from any other form of activity during the same period? How might the sabbatical concept be adjusted so as to accommodate itself to government needs?

3. The role of ICA

What steps would be necessary on the part of ICA (or government) to support and encourage measures of the kind which may be indicated by the answer to 2 above?

G. Development of specialized American university centers for the support of foreign activities

1. To what extent would it be desirable and practicable to develop university centers or other academic institutions which would undertake to concentrate on some one, or some combination, of the following: (a) the training of participants from a specific area or in a specific technical field; (b) the undertaking of fundamental research and development with respect to such area or technical field; (c) the training of United States personnel for overseas work in such area or technical field; (d) the development of techniques which might be employed by such United States personnel; (e) the preparation of training materials and training aids which such personnel might utilize; (f) the provision of advice on, and assistance in solving, difficult problems encountered in such area or technical field; (g) the supplying for service with ICA, either as short-term consultants, or for longer periods on some rotation basis (or on some basis of temporary exchange of positions with federal career employees), of members of its staff; and (h) the handling, servicing or backstopping of university contracts in such area or technical field?
2. What kind of initiative and support would be required from ICA (or the government) for the establishment and subsequent operation of centers of the type described in 1 above?

H. The nature of degrees

1. International comparability of degrees

What steps might the universities take which would lead to the international recognition of the proper comparability of various degrees which are issued by institutions of learning in different countries?

Today in many areas of the world there is a preconceived quality tag attached to degrees which are issued by universities in different countries. This preconception often has no basis in fact and yet it may control employment and advancement in business or government, as well as an individual's social status, and affect local attitudes toward education.

2. The sanctity of degrees

In many less developed countries, the holding of a particular degree, or of a degree from a particular institution or an institution in a particular country, is a major determinant in

the whole employment structure, even though the degree, or the fact that it has been won from a particular institution or in a particular country, bears no relationship whatsoever to the kind of job in which some or all of the individuals who hold such a degree may be engaged. The courses which are prerequisites to such a degree not only often fail to provide the kind of education and training which the holder requires for his work but also sometimes develop attitudes and habits which positively detract from his effective performance thereof. How, by creating new degrees and attaching a high prestige tag thereto (or by some other step), can we create a situation in which the criteria for the effective performance of a job will be fully recognized in the standards and indicia of academic attainment which are made a condition precedent for employment therein?

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