

Good

Copy of recommendation

Columbia University
Placement Bureau

Murray E. Polakoff

Mr. Murray E. Polakoff has been connected with my work at Columbia ever since I joined that institution, in 1947. I learned to know him as an eager student whose work showed early promise of independent achievement. The range of his study comprised, besides economic theory, the economics and the economic history of antiquity. This led him to an intensive occupation with the sociology of the economy. In this field I believe he has successfully carried on the theoretical efforts aiming at the development of a distinctive method of institutional analysis. His gift of lucid exposition and his enthusiastic transmission of intellectual insights of a theoretical character designate him as a teacher on the graduate level. Fairness in debate, tolerance for diverging opinions, objectivity in the appraisal of arguments mark him a true scholar. His published work shows him intent on a deeper penetration of the methodological differences dividing the contemporary mind in the appraisal of the study of the economy in general. It is in this direction that one would eminently expect his further creative efforts to bear fruit. I should like to add that as a man and colleague his modest and yet virile personality cannot fail to arouse spontaneous response.

The economy in all aspects, comparative and developmental, including primitive

TO WHOM IT MAY CONCERN

Dr. Nicholas Halasz, the well-known author, biographer and lecturer belongs to the intellectual elite of the Hungarian emigration from the Horthy regime. As a historian and political scientist he attained a specialized knowledge of contemporary public affairs in Europe. His experience in this realm is indeed of a rare order. Dr. Halasz' scholarly and literary erudition has matured in intimate contact with the most educated circles in the Continental centers of culture, mainly Paris. In Hungary he had belonged to the group of sociologists and political analysts contributing to my friend's, the late Professor Oscar Jaszai's scholarly monthly Twentieth Century. In the United States he continued as a non-party liberal to write in Professor Jaszai's journal a weekly world survey which was a focus of informed opinion.

Dr. Halasz is perhaps best known as an author for his CAPTAIN DREYFUS, which was translated in full length into six languages and, as a Readers' Digest abbreviated version, into some seventeen. Other books, NOBEL, A BIOGRAPHY, ROOSEVELT THROUGH FOREIGN EYES and particularly his IN THE SHADOW OF RUSSIA - EASTERN EUROPE IN THE POSTWAR WORLD, a historical survey of seven countries: Hungary, Czechoslovakia, Bulgaria, Rumania, Albania, Jugoslavia and Poland, presented him as a thinker and moral personality of stature. The unusual quality of his talents is rooted in the interplay of a genuine objectivity and a passionate liberal inspiration which results in a sweep of fresh perspectives, based on an up to date knowledge of fact.

Dr. Halasz is a man jealous of his integrity, urbane in his ways, yet of a highly responsible, clear-cut character.

Karl Polanyi
Columbia University (ret'd.)

~~EG~~

(7) on the fact or suggestion?

I am convinced that Mr. Levinson should be given a further chance to develop his abilities, improve his equipment and enrich his experience on the hard road of great scholarly achievement in its recognized forms.

1. The applicant was first known to me in Spring 1950 as a member of my Course on General Economic History. He obtained grade 'A'. Ever since that time I followed his work and development closely. ^{I may} ~~I should~~ therefore say that I know him well, ^{I and regard him as} ~~as~~ one of the ~~intellectually~~ outstanding members of the younger generation whose dedication to the study of the more formal aspects of the social sciences is ^{honest} ~~as great~~ as his indubitable capacity to master the conceptual and methodological problems entailed in such a person. ~~person~~.

2. Not to my knowledge. I should rate him as a personality in his own rights firmly grounded in a substantial character.

3. ~~The applicant's~~ ^{his} unusual intellectual ability was ^I in the first years of our acquaintance somewhat blurred by the emotional overtones of his ~~uncompromising~~ absorption with valuational problems. It might have appeared doubtful ~~at the~~ ^{the applicant} ~~time~~ whether ~~he~~ would overcome a tendency to ~~take~~ the intensity of his value experience for clarity of conceptualization in regard to the conditions under which those values occurred. I am convinced, ^{however}, ~~that~~ ^{he} ~~the applicant~~ is now safely past this danger point, ^{and heading towards positive} ~~achievement in~~ ^{the fundamental areas of} ~~the social sciences as they relate to the economic field.~~

4. Research and lecturing. I deem him capable of independent system building and of an effective presentation of his theorems by way of mouth. ^{He} ~~possesses the gifts of a writer~~ ^{with vigor, and rare logical fervor.} ~~gift of writing~~

5. Most decidedly so. I have had occasion to acquaint myself with the manuscripts of various articles and essays (only partly published) from the author's pen in these last years. Invariably they showed the signs of a ^{robust} ~~talent~~ to tackle questions of method with a passionate earnestness and with a convincing show of purposefulness that could not fail to impress.

CONFIDENTIAL REPORT ON APPLICATION for GRANT

Social Science Research Council

230 Park Ave., New York 17, N. Y.

Name of candidate Daniel R. Fusfeld

Report requested of Dr. Karl Polanyi

PLEASE type or write with black ink ON ONE SIDE of this sheet, so that it can be photographically reproduced for study by committee members.

1. How long, how well, and in what capacities have you known the applicant?

I have known him since February 1947, as a prominent member of my economic history course which counted some seventy graduate students. Later on I met him off and on in a seminar I was conducting ^{and} as contributor to a collective publication.

2. THE APPLICANT'S GENERAL QUALIFICATIONS AS A RESEARCHER—Has he demonstrated by his past work superior aptitude for scientific research? Do you regard him as being or likely to become a significant contributor to knowledge? How would you compare him with other researchers in his field, in respect to the quantity and quality of his work?

The applicant possesses both the will and the aptitude for scientific research. His is a strong talent for purposeful thinking and massive formulation of results. I am confident that his formal gifts — an excellent memory, a sharp mind and constructive ability — will in course of time lead to significant additions to our knowledge. On a scale of 1 to 10, I would rank him about 8 both as to quantity and quality of his work, without any hesitation.

3. THE APPLICANT'S SPECIFIC QUALIFICATIONS FOR THE PROPOSED PROJECT—Has he long specialized in the particular area of investigation represented by his present project? If pertinent, has he the requisite foreign language facility or any other special skills needed for effective work? Are his personal relations such that any necessary cooperation can be expected, either in this country or abroad as the case may be?

The candidate specialized in the field of economic history ever since I knew him. His teaching subjects at Hofstra College were mainly centered on European economic history. I had occasion to see some of the outlines, and noted his increasing interest into this field. More recently the anthropological boundaries of the early Middle Ages attracted his attention. How far his reading encompasses the medieval scene, I would not be able to say.

(Please turn over)

CONFIDENTIAL REPORT ON APPLICATION for GRANT—Continued

Name of candidate Daniel R. Fusfeld

Report requested of Dr. Karl Polanyi

4. THE PROJECT—Is it feasible? Is it well designed? Is it likely to yield significant new knowledge?

The suggested studies seem to open up a field rather than circumscribe a project. The latter is approached ~~rather~~ through the avenue of special monographic researches broadly interrelated through an institutional ^{Survey of} approach to a definite region of economic history. In the long ^(such a) run this method of work may very well yield significant results.

5. OTHER COMMENTS—Are there other facts or suggestions to which you believe our Committee should give attention in considering this application?

Dr. Fusfeld possesses industry, ability and a will to produce a recognized advance in his field. Having watched his life and work, I trust his achievements will repay our confidence.

(If more space is needed, please use extra sheets of this paper and write on one side only.)

Signed _____ Date Oct 25, 58

Position or Title Prof. of Economics (Inst.)

Institution Columbia Univ.

Daniel R. Fusfeld
Supplementary Statement A

Long-range research goals. I plan a comprehensive history of the development of the market economy of Western Europe, its spread, its impact on the non-Western world, and the processes of institutional change that were involved. Not designed as a text, it will be a documented research study on a large scale and a broad canvas. Concepts and materials from economics, history, sociology and anthropology will be used. Sources of material are secondary for the most part, partly because of my geographical location and partly because this is primarily a work of analysis and synthesis. I expect to complete a book on this subject in perhaps 10 years.

A general outline of the entire work has been completed, together with a detailed outline of the early sections. Some portions have been written in first draft. My plan is to work on several particularly important sections over the next few years, and hope to complete within the next two years two studies that have already been begun:

1. A paper on "Interaction of Cultures and the Origin of Early Medieval Economic Institutions." This will be a study of the contribution to the medieval economy made by the Celtic and other pre-Roman cultures of western Europe. The main point to be made is that early Medieval society outside of Italy was an amalgam of three cultural traditions—Celtic, Roman and German—rather than only the latter two. This study will use the results of recent work in archaeology and linguistics that have provided a good deal more information than has hitherto been available.

Daniel R. Fusfeld

2. A paper on "Ideas and Ideologies in the Economic Development of Early Modern Europe." This will be a study of the development of attitudes conducive to economic growth and institutional change, including the Protestant ethic and conspicuous consumption (bringing together Weber's and Veblen's contradictory approaches), the entrepreneurial attitude, and the scientific point of view. Much of this material will be covered in my graduate seminar on Economic Development, and I hope to have gathered most of the material for the written paper by the end of the 1958-59 school year.

Closely related work that will be included in the larger study includes a recently published paper on "Neo-Classical Economics and the Ideology of Capitalism," which examines some of the relationships between economic theory, ideologies and economic institutions. At the present time I am writing a paper on "Public Finance and Economic Development in England, 1485-1640." This is an investigation of the relationship between English public finance on the one hand and economic growth and the development of markets on the other in early modern England. It will be published in a volume of papers on Taxation and Economic Growth, edited by Dr. Richard Lindholm and sponsored by the Schalkenbach Foundation. The deadline for this is April, 1959. This paper will also be part of the larger work.

Fusfeld

Meyer

Research Projects in Process

Daniel R. Fusfeld

1. A paper on "Public Finance and Economic Development in England, 1485-1640." This is an investigation of the relationship between English public finance on the one hand and economic growth and the development of markets on the other in early modern England. It will be published in a volume of papers on Taxation and Economic Growth, edited by Dr. Richard Lindholm and sponsored by the Schalkenbach Foundation. My deadline for this is April, 1959.

2. A paper on "Interaction of Cultures and the Origin of Early Medieval Economic Institutions. This will be a study of the contribution to the medieval economy made by the Celtic and other pre-Roman cultures of western Europe. The main point to be made is that early Medieval society outside of Italy was an amalgam of three cultural traditions--Celtic, Roman and German--rather than only the latter two. This study will use the results of recent work in archaeology and linguistics that have provided a good deal more information than has hitherto been available. A portion of this paper is already written, but further work will await completion of the paper on early English public finance.

3. A paper on "Ideas and Ideologies in the Economic Development of Early Modern Europe." This will be a study of the development of attitudes conducive to economic growth, including the Protestant ethic and conspicuous consumption (bringing together Weber's and Veblen's contradictory approaches), the entrepreneurial attitude, and the scientific point of view. Much of this material will be covered in my graduate seminar on Economic Development, and I hope to have gathered most of the material for the written paper by the end of the 1958-59 school year.

4. A book-length work on the Development of Economic Institutions in Western Civilization. The first three projects are part of this broader one--which probably will not come to fruition for 10-15 years. The book will be a comprehensive history of the development of the market economy of Western Europe, its spread, its impact on the non-Western world, and the processes of institutional change that were involved. Not designed as a text, it will be a documented research study on a large scale and a broad canvas.

5. Translation of Carl Menger's Die Irrthümer des Historicismus in der deutschen Nationalökonomie. I am doing this in the interstices of my other work, partly as a completely different project to keep me from going stale on the others, and

partly to become more fluent in German. Translation of this essay is complete in first draft, and I plan to do more translations of the Menger-Schmoller polemics with a view toward publication with an introductory essay. Next on the list is Schmoller's Die Volkswirtschaft, die Volkswirtschaftslehre und ihre Methode.

Social Science Research Council

230 Park Avenue, New York 17, N. Y.

Murray Hill 9-1623

We shall be grateful for your appraisal of the candidacy of

Daniel R. Fusfeld

for a Faculty Research Fellowship of the Social Science Research Council. For the guidance of the selection committee, we are seeking the judgments not only of those named as references by the candidates but also of others who may have had opportunities to assess their work.

As is stated in our announcement, the faculty research fellowship program has the threefold purpose of giving recognition to young social scientists who early in their careers have demonstrated conspicuous research ability and promise, providing opportunity for the greater realization of this promise, and demonstrating the compatibility of good teaching and significant research in a variety of academic settings. An appointee is enabled to devote half of his time for three years to his own research, while continuing to teach.

The questions on the enclosed report blank indicate some of the points on which the selection committee obviously needs information. We shall, however, welcome any further comments from you which will help the selection committee in weighing the qualifications of this candidate against those of others for the small number of awards which can be made this year.

It will be particularly helpful if you can give us your estimate of the present candidate's ability and promise as compared with other scholars in his own field.

With thanks for your anticipated response, I am

Sincerely yours,

COPY

Private

I have been in close touch with Mr. Revere in my capacity of Co-Director of an Interdisciplinary Project on the 'Economic Aspects of Institutional Growth', at Columbia University, 1953-55. He participated in our Seminar and was briefed to work on a paper which was eventually included in Vol. 2 of "Selected Memoranda", multigraphed under the auspices of the said Project. This essay is now expected to be included in a book to be published by "The Free Press", Glencoe, Ill. within the current year. - Mr. Revere is a young scholar of exceptionally fine intellectual faculties and, as I have cause to assume, a first class teacher of young people. His powerful organizing capacity and far above the average faculty of planning, mapping out, integrating, and generally directing educational activities should make him an invaluable asset in the higher ranges of school administration.

COPY

I am taking the liberty of writing to you on behalf of Mr. Robert B. Revere who, as I understand, is applying for admission to the Program in American studies in view of following a curriculum for a Ph.D. degree.

My acquaintance with Bob is of some two years' standing. I first heard of his interest in Oriental studies from a young colleague of his, at Chicago. He thus came to participate in a Seminar ran by the Interdisciplinary Project at Columbia University, 1953-55, and was ev. briefed to work on a paper concerning the ancient Near East - the essay is now expected to be included in a book to be published by The Free Press, Glencoe, Ill. - I have cause to assume him to be outstandingly qualified as a teacher of young people; as an organizer of tutorial plans, material, texts and formulations of almost any kind; and, generally, speaking, a person of exceptional administrative, directive and managerial qualities in the educational field. I would, e.g., expect him to integrate peripheric areas of study with the unclear subject of the Program; to map out text-books in the Far Eastern areas; and similar undertakings of a structural character, provided, of course, the required intellectual equipment, and, especially, methodological training will be forthcoming, so as to enable him to make full use of his mind and energy.

I am,

Sincerely yours,

More than a year ago I first met Mr. Robert Revere. He belongs to a small group of brilliant young men of the University of Chicago with whom I happened to have a friendly contact. His own account of his endeavors gives to my conviction an accurate picture of his very clear grasp of his personal mission as well as his need for a high level equipment in the light of his ultimate purposes as a scholar and teacher. When on making his acquaintance I learned from him that he was seeking a job as a teacher of oriental history, I secretly smiled. Within a year he had accomplished just that. Four months ago I asked him to join as a part time Research Assistant an Interdisciplinary Project exploring inter alia a hypothesis concerning the ancient history of the Eastern Mediterranean and Western Asia. While teaching full time at his School he has read, and produced systematic notes from: Bury, Casson, Dumbabin, Eiselen, Fleming, Garstang, Glotz, Gurney, Jarde, Michell, Olmstead and Rostovtzeff (S.Russia). The energy of his penetration equals his capacity for working. And, as I can confidently add, his philosophical appreciation of the pedagogic problem is on the level of his unusual insight in the perspectives of the history of civilization.

In all sincerity I was deeply impressed by the plan of study put forward by the applicant. Not often, if ever, have I met with such a conscious and deliberate preparation for the attainment of the intellectual requirements of a great pedagogical aim that has to be performed within a definite professional framework. The humanistic perspective here set out and the path to practical achievement on professional lines ^{is} equally admirable. I feel sure that in a year or two the applicant will be put in a position in which he may confidently look to institutional encouragement of his ideas in the teaching field.

Karl Polanyi
Director, Interdisciplinary Project,
Columbia University
423 West 120th Street, Apt. 76
New York 27, N.Y.

Mr. Revere was a close friend in their College years in Chicago of my son who is now with the Air Force. In the last three years, personal acquaintance and friendship has confirmed the high regard my son always had for the applicant's robust intellectual equipment, purposefulness, perseverance in cementing the ground for a clearly conceived and logically developed idea. Mr. Revere possesses a rare sense of proportion in evaluating historical developments and integrating them into a coherent structure. He is a born teacher, always alert to rectify his own approach if he feels that the hearer missed the point. A healthy humor makes him the opposite to stuffiness. Simple and strong, straightforward and fundamentally good, one may rightly call him a nice guy.

His plan on the need for which he elaborated on many occasions impressed me by its scope and clarity. I am convinced that given the opportunity of further study the applicant will fill a gap in our general education. In view of the rapidly unfolding events, this must indeed appear as more and more urgent.

Nicholas Halasz
35 West 85th Street
New York 24, N.Y.

February 25, 1957

Copy of recommendation for Professor K. William Kapp,
to Conference Board of Associated Research Councils,
Committee on International Exchange of Persons

Unexpectedly, I had to enter a hospital for a month, an event that caused a much deplored delay in a dispatch of this answer.

Its laudatory tenor and emphatic all-round support for the applicant need, I feel, some explanation. Although my personal contacts with the applicant were few -- we had very little occasion to meet since, at my initiative, we got acquainted some five years ago -- I formed a definite opinion of his character, theoretical equipment, intellectual and spiritual personality which in course of time established him in my mind as one of the most hopeful scholarly representatives of a positive social philosophy on the American scene. Hence the unqualified expression of my strongest support for an applicant in whom I see high promise of important achievement.

The applicant's proposal, I venture to say, is a veritable mirror of his personal character, professional qualification and ability to accomplish his purpose. His research project strikes me as a well thought out presentation of a significant approach to a problem which in the nature of things must occupy the minds of all those -- and they are not a few today -- who are burdened with the high responsibility of selecting the topics, the methods and the persons to be entrusted with the task of surveying the social tissues in the lands presently opening up to Western influence. Nothing could be more fortunate, I feel, than the chance which permits this moral mood and type of mind to react on a scholarly and scientific supervisory level to the human implications of our contact with continents and subcontinents newly exposed to Western scrutiny.

I hope it is in order for me to comment on the personal qualities of a man who might be chosen to meet in a representative capacity peoples of other countries. Professor William Kapp combines the scholar's intellectual discipline with the charm of approach and natural dignity of a born diplomat. A radiant goodwill and a genuine friendliness emanates from a personality that possesses the unmistakable attributes of spiritual eminence.

IMPORTANT NOTICE: The reference form is printed on translucent paper which serves as a photographic negative in duplication. For this reason entries should be "carbon-backed"—i.e., typed on one side only, with carbon paper placed so that the carbon surface faces the back of the sheet being typed, thus creating a reversed image on the back of the typed sheet.

CONFERENCE BOARD OF ASSOCIATED RESEARCH COUNCILS
COMMITTEE ON INTERNATIONAL EXCHANGE OF PERSONS

Confidential Report on Applicant for a Government Grant
Under Public Law 584, The Fulbright Act

For the information of the Committee on International Exchange of Persons, the Department of State, and the Board of Foreign Scholarships:

Name of applicant: Professor K. William Kapp Lecturing
 Lecture subject(s) or Economics Research
 Title of proposed research: The Economic and Social Effects of River Valley Projects (Irrigation) in China and South East Asia Country: Thailand
 Report requested of: Professor Karl Polanyi Name and Position
 Address: _____

1. How long and how well have you known the applicant? _____

2. By checking (X) the appropriate block (using typewriter or black ink) please rate the candidate in terms of the following:	Outstanding	Well Qualified	Acceptable	Not Recommended	No Opinion
A. Qualifications (ability, training and experience) for proposed activity _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Skill (if applicable)					
1) in undergraduate teaching _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2) in graduate teaching _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3) in scholarly research _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Ability, in your judgment, to establish effective personal relationships _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Capacity, in your judgment, to adjust to living and working conditions in the country for which he is applying _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Please cite any health or personality factors concerning the applicant or members of his family which might either limit or enhance his effectiveness in the appointment applied for: _____

CONFERENCE BOARD OF ASSOCIATED RESEARCH COUNCILS
COMMITTEE ON INTERNATIONAL EXCHANGE OF PERSONS

**Confidential Report on Applicant for a Government Grant
Under Public Law 584, The Fulbright Act**

For the information of the Committee on International Exchange of Persons, the Department of State, the United States Educational Foundation
or Commission concerned, and the Board of Foreign Scholarships

Name of applicant Professor K. William Kapp

Signed _____ Date _____

Please return this report to the Executive Secretary, Conference Board of Associated Research Councils, Committee on International Exchange of
Persons, 2101 Constitution Avenue, Washington 25, D. C.

I am applying for a grant in connection with the opening at Chulalongkorn University, Bangkok. The description of this opening is as follows:

"The Dean of the Faculty of Political Science at Chulalongkorn University requests a lecturer with considerable teaching experience in general economics and in a specialized branch of the field. He would teach courses at both graduate and undergraduate levels; plan basic courses for students desiring to major in economics; plan an economics curriculum for students majoring in political science; and conduct research. A specialist in the economics of underdeveloped countries would be especially welcomed."

I have taught courses in general economics and specialized fields both at undergraduate and graduate levels for 20 years. My fields of specialization include economic growth and development, history of economic thought, comparative economic systems. I have lectured extensively on problems related to the American economy and American economic thought. I would be glad to lecture in any of the aforementioned fields.

As a member of our undergraduate and graduate curriculum committees at Brooklyn College and as an academic counsellor for graduate students in economics I have had considerable experience with curriculum planning in economics in general and the planning of courses for students desiring to major in economic in particular.

I hold a Doctor's Degree in Political Science from the University of Geneva (Switzerland). My graduate studies at the Graduate Institute of International Studies (Geneva) were related to political science and international relations.

Together with three colleagues from the Departments of History, Political Science and Anthropology I am participating in the teaching of two interdepartmental graduate courses entitled "Nationalism and Independence" and "Methodology in the Social Sciences and History". I am also serving on the Foreign Areas Committee at Brooklyn College (operating under a grant from the Carnegie Corporation) and while at Columbia University I served on the Columbia College Contemporary Civilization Staff Committee and am one of the four editors of the two volume edition entitled "Introduction to Contemporary Civilization in the West."

My research activities and publications in the field of economics and the behavioral sciences as well as my collaboration in interdepartmental and interdisciplinary work both at Columbia College and at Brooklyn College have given me considerable familiarity with the type of problems that are apparently under consideration at Chulalongkorn University.

Statement of Proposed Activity (Research).

The Economic and Social Effects of River Valley Projects (Irrigation) in China and South East Asia.

My interests in an analysis of the economic and social effects of irrigation in China and South East Asia grows out of my findings in India where I spent the academic year 1957/58 in an effort of ascertaining the socio-economic impact of river valley projects within the context of India's development effort. The results of my research which refer to the Indian economy alone are being published in the form of several articles. (See the enclosed list of publications).

During my stay in India the economic development in China and particularly the apparently central role which irrigation seemed to play in her development effort began to attract increasing attention. What interested Indian and Western economists in this connection were the factors that might possibly account for the admittedly limited effects which irrigation has had on output and yields per acre in India compared with the allegedly substantial increases of farm production and yields in China during the last two years. While India, in 1958, used only 50% of the new irrigation facilities created during the First Five Year Plan and was able to achieve only limited increases of yields per acre from irrigated lands over non-irrigated lands China now boasts of increases in farm output and yields that exceed the Indian figures by more than 100%. If this contrast in performance is confirmed in terms of reliable data it would seem to raise major question not only for the future of India's development effort but for the whole balance of economic and political power in the Orient and the world.

In the light of my findings in India the following specific questions seem to call for an answer as far as China and other countries in South East Asia are concerned. They are listed here as an indication of some of the problems to be investigated:

- 1) What are the investment criteria used in China in connection with the choice of alternative types, sites and scales of different irrigation projects ?
- 2) What efforts are being made to enlist the participation of the peasants in the farm program in general and the irrigation schemes in particular ? What is the effect of authoritarianism in this connection ?
- 3) What role do the Co-operatives play in the effort to increase the area under irrigation and to make the maximum use of available irrigation facilities ?
- 4) What water rates charged in China ? If so, what is their relative significance ? What is the response of peasants to such charges ?
- 5) How are administrative functions distributed between central and local authorities both in the execution of the project and the distribution of water to individual tracts of land ?

Statement of Proposed Activity (Research)

- 6) What provisions are made to promote the use of fertilizers, manure, improved seeds, mechanized equipment and storage facilities ? To what extent are fertilizers and manure actually used ?
- 7) What are the procedures followed in other parts of South East Asia in connection with the planning and administration of irrigation facilities and their use ?
- 8) In addition to answers to the foregoing questions it would be important to collect data on the extent of irrigation, yields per acre, changes in crop patterns and the effect of irrigation on farm employment.

In Bangkok I would be able to consult and interview experts working in the field of water resources development in South East Asia. I would be in close contact with the planners and administrators of the Thai Royal Irrigation Department. My discussion in 1958, with several officials of the Economics Division and the Bureau of Flood Control and Water Resources Development of ECAFE of the United Nations in Bangkok have convinced me that I would find there good facilities for the conduct of my research.

As in the past I shall have the collaboration of my wife who worked with me in India and is the co-author of two of my publications.

As far as the possible contribution of my research is concerned I can only say that I am ultimately aiming at a comparative study of the economic and social effects of river valley projects in India and China.

While no plans for the publication of the contemplated study have been made I anticipate no difficulties in publishing my findings either in a form of a book or a series of articles.

Finally I should like to mention that Brooklyn College is endeavoring to enlarge its Foreign Areas Program. Further research related to the economies of China and South East Asia and close contact with the Buddhist culture of Thailand would enable me to acquire considerable familiarity with problems essential to our Far Eastern Program.

Brooklyn College
Brooklyn 10, N. Y.

K William Kapp
Professor of Economics

List of Publications

Economic Analysis

- 1936 Planwirtschaft und Aussenhandel, Geneva, Librairie de l'Universite, Georg and Cie, 1936 XI-140.
- 1939 Economic Regulation and Economic Planning: A theoretical Classification of Different Types of Economic Control. American Economic Review, 1939, XXIX, 760-773.
- 1942 "Post-war Problems of Industrial Demobilizations" in E. Stein and J. Backman, (Ed.), War Economics, Farrar and Rinehart, New York, 1942 pp. 417-443.
- 1943 Rational Human Conduct and Modern Industrial Society, The Southern Economic Journal, X, 2, 1943, 136-50.
- 1946 (Co-editor) Introduction to Contemporary Civilization in the West, A Source Book, 2 vols. New York, Columbia University Press, 1946, 1100 and 1200 pp.
- 1949 Economic Planning and Human Freedom, Weltwirtschaftliches Archiv. 1949, pp. 29-54.
- 1949 History of Economic Thought - A Book of Readings, New York, Barnes & Noble, pp. 444. Fourth Printing 1960. (Co-author Lore L. Kapp)
- 1950 The Social Costs of Private Enterprise, Cambridge, Harvard University Press, 1950, 287 pp.
1958 German Translation, Volkswirtschaftliche Kosten der Privatwirtschaft, Tuebingen, O. B. Mohr pp. 228.
1959 Japanese Translation, Iwanami Publishing Company, Tokyo.
- 1950 Political Economy and Psychology, Kyklos, IV, 4, 291-315.
- 1953 An Integrated Approach to the Business Cycle (Review Note), American Journal of Economics and Sociology, XII, 4 pp. 4, pp. 425-926.
- 1954 Economics and the Behavioral Sciences, Kyklos, VII. 3, 205-225. reprinted under the title "La ciencia economica y las ciencias de la conducta humana" in Historia y Sociologica de la Economia, Universidad Nacional de la Plata, 1960 pp. 111-142
- 1955 Sozialkosten. Handwörterbuch der Sozialwissenschaften. 10 Lieferung Göttingen, pp. 524-527.
- 1957 Approaches to the Integration of Social Inquiry, Kyklos, X, 4, pp 374-400.

- 1959 River Valley Projects in India: Their Direct Benefits. Economic Development and Cultural Change. October, VIII, pp.24-47
 (Reprinted in part in Mercurio (Rome, 111, 1960, No.8 pp 47-51.)
- 1959 River Valley Projects in India: Problems of Evaluation and Social Costs, Kyklos XII, 4, pp. 589-604.
- 1960 Economic Development, National Planning and Public Administration, Kyklos, XIII, 2, pp. 172-204.
- 1961 Toward a Science of Man in Society, Martinus Nijhoff, The Hague.
 (in print)

The Social Costs of Private Enterprise, Revised and enlarged edition, The Asia Publishing House, Bombay, India.

In preparation:

External Costs and External Economies, ~~External Costs and External Economies~~, Concepts and Measurements. Paper to be presented at the annual meeting of the Gesellschaft fuer Wirtschafts und Sozialwissenschaften 1961.

Problems of Foreign Economic Cooperation

- 1937 Memorandum on the Efforts made by the League of Nations towards a Solution of the Problem of Raw Materials submitted to the International Studies Conference of the International Institute of Intellectual Cooperation, Geneva Research Center, Memorandum No. 1, 1937, IV - 110. Appendix 37 pp.
- 1941 The Breakdown of Inter-Allied Economic Collaboration in 1919, Planning Pamphlets, No. 6, 1941. 39-51
- 1941 The League of Nations and Raw Materials, 1919-1939, Geneva Studies vol. XII, 3, 1941, 64 pp.

The Teaching of Economics

- 1946 Teaching of Economics - A New Approach, The Southern Economic Journal, vol. XII, 1946, 376-385.
- 1947 Methods of Visual Presentation and the Teaching of Economics, American Economic Review, 1947, vol. XXXVII, 652-4.
- 1950 Workshop Techniques in an Economics Course, Journal of Higher Education, vol. XXI, 1950, 206-10.
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1. History of Economic Thought; Economic Analysis

- 1950 The Social Costs of Private Enterprise, Cambridge, Harvard University Press, 1950, 287 pp.
Selections reprinted in Man in Contemporary Society, A Source Book prepared by the Contemporary Civilization Staff of Columbia College, Columbia University, Vol. II, Columbia University Press, 1956, pp. 196-221; and H.L. Levin, Business Organization and Public Policy, A Book of Readings, Rinehart and Company, New York, 1958, pp. 358-372.
- 1955 Sozialkosten. Handwörterbuch der Sozialwissenschaften, 10 Lieferung Göttingen, pp. 524-527.
- 1956 History of Economic Thought - A Book of Readings
(Formerly published as Readings in Economics, 1949) New York, Barnes and Noble, 1956. (Co-author Loro L. Kapp).
- 1958 Volkswirtschaftliche Kosten der Privatwirtschaft, Hand- und Lehrbucher aus dem Gebiet der Sozialwissenschaften, Tübingen, J.C.B. Mohr, pp. 228
(Translation of "The Social Costs of Private Enterprise")

2. Comparative Analysis of Socio-Economic Systems

- 1936 Planwirtschaft und Aussenhandel, Geneva, Librairie de l'Université, Georg and Cie, 1936. XI-140.
- 1939 Economic Regulation and Economic Planning: A Theoretical Classification of Different Types of Economic Control. American Economic Review, 1939, vol. XXIX, 760-773.
- 1942 Post-war Problems of Industrial Demobilizations in E. Stein and J. Backman, (Ed.), War Economics, Farrar and Rinehart, New York, 1942 pp. 417-443.
- 1949 Economic Planning and Human Freedom, Weltwirtschaftliches Archiv, 1949, 29-54.

3. Economic Development and Cultural Change

1959 River Valley Projects in India: Their Direct Benefits.
Economic Development and Cultural Change. (Chicago) accepted
for publication.

River Valley Projects in India: Problems of Evaluation and
Social Costs, Kyklos (Zuerich) accepted for publication Oct. 1959

Economic Development, National Planning and Public Administration
Kyklos (Zuerich) accepted for publication Jan. 1960

Hindu Culture and the Retardation of Economic Development
in preparation.

4. Economics and the Behavioral Sciences

1943 Rational Human Conduct and Modern Industrial Society
The Southern Economic Journal, vol. X, 2, 1943, 136-50

1946 (Co-editor) Introduction to Contemporary Civilization
in the West, A Source Book, 2 vols. New York, Columbia
University Press, 1946, 1100 and 1200 pp.

1950 Political Economy and Psychology, Kyklos, vol. IV, 1950
4, 291-315.

1953 An Integrated Approach to the Business Cycle (Review
Note), American Journal of Economics and Sociology,
July, 1953.

1954 Economics and the Behavioral Sciences, Kyklos, VII. 3,
205-225.

1958 Approaches to the Integration of Social Inquiry,
Kyklos Fasc. 4, 1957, pp. 374-400

5. Problems of Foreign Economic Cooperation.

- 1937 Memorandum on the Efforts made by the League of Nations towards a Solution of the Problem of Raw Materials submitted to the International Studies Conference of the International Institute of Intellectual Cooperation, Geneva Research Center, Memorandum No. 1, 1937, IV - 110. Appendix 37 pp.
- 1941 The Breakdown of Inter-Allied Economic Collaboration in 1919, Planning Pamphlets, No. 6, 1941. 39-51
- 1941 The League of Nations and Raw Materials, 1919-1939, Geneva Studies vol. XII, 3, 1941, 64 pp.

6. The Teaching of Economics

- 1946 Teaching of Economics - A New Approach, The Southern Economic Journal, vol. XII, 1946, 376-385.
- 1947 Methods of Visual Presentation and the Teaching of Economics, American Economic Review, 1947, vol. XXXVII, 652-4.
- 1950 Workshop Techniques in an Economics Course, Journal of Higher Education, vol. XXI, 1950, 206-10.
- 1951 A Graphic Approach to Economics - Selected Principles and Problems. New York, Henry Holt and Company, 1951, 174 pp. (Co-author: Lore L. Kapp) revised edition 1954

CONFERENCE BOARD OF ASSOCIATED RESEARCH COUNCILS
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The person named on the attached form is an applicant for an award under Public Law 584, the Fulbright Act. The Conference Board Committee would appreciate your candid appraisal of his qualifications for the grant requested. Please mail the completed form directly to the Committee.

The reference form consists of two pages:

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On page two please give in essay form your overall evaluation of the applicant's qualifications, keeping in mind that the Committee's recommendations are based on the following criteria:

1. The applicant's professional qualifications
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3. The value of his project in terms of his own professional development, the advancement of knowledge in his field of study, and the opportunities available in the country for which he is making application.

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Columbia University
in the City of New York

OFFICE OF UNIVERSITY PLACEMENT

To Professor Karl Polanyi
(Name of Reference)

Mr. George C. Constantopoulos
(Address of Reference) has registered with this office for a teaching
appointment in (subject) Economics in a college, university or preparatory school
and has given your name as a reference.

May we ask you for a statement concerning this candidate which will include, if possible, information about training, experience, and personal qualifications, and which you are willing to have quoted to appointing officers. Your statement will be held in strict confidence insofar as the candidate is concerned, and will be used only for the information of appointing officers.

If the candidate has been employed by you will you please give the reason for termination of the appointment.

Division of Teacher Placement

Since references are duplicated by machine, please type or write in heavy pencil.

CONFIDENTIAL Statement Regarding _____ Date _____

Name _____ Official Position _____
(Type or print)

Signature _____ Institution _____

APPLICATION FOR
UNITED STATES GOVERNMENT GRANT

(Public Law 584, 79th Congress - the Fulbright Act)

INSTITUTE OF INTERNATIONAL EDUCATION

FULBRIGHT DIVISION

2 WEST 45TH STREET, NEW YORK 19, N. Y.

Confidential Report on Candidate

(Use typewriter if possible, and reverse side of sheet if necessary)

Name of Candidate William H. Bennett For study or research in England
(country)

Information is desired by the National Selection Committee concerning the applicant's seriousness of purpose, character, adaptability, and particularly personality as well as his ability as a student and capacity for independent study and research. Please give a frank appraisal of the candidate's limitations as well as his strong points. In recommending recipients of awards the Committee keeps in mind the aim of the program to foster international understanding. For this reason the Committee endeavors to recommend students who are well qualified to represent the United States abroad, and who upon their return will be disposed to interpret their foreign experience meaningfully to their countrymen.

Mr. William H. Bennett Jr III appears to me
independently well equipped to be a recipient of
a Fulbright Fellowship to England.
He is a person of so much distinction of
character and intellect, of so well
trained mind and sound ~~stature~~
that one is apt to think of him as the
perfect candidate from the point of
view of the purposes to be served
by that Fellowship. His balanced judgement,
upright bearing, precise expression and
winning modesty are perhaps the strongest
points of a personality of unusual charm.
As to his limitations, he might not excel
in violent sports. I know the candidate well
having watched his work closely, and have formed
the high opinion expressed above on solid grounds.

Signed

Position or Title

Address

Karl Polanyi
Visiting Professor of Economics
Columbia University
New York

Date

21st Dec. 1949.

Please return as promptly as possible to the INSTITUTE OF INTERNATIONAL EDUCATION
Fulbright Division

2 West 45th Street, New York 19, N. Y.

It: Rosemary

Mrs. Rosemary Muenich Arnold has my strongest recommendation for a responsible academic teaching post. She combines to an exceptional degree the qualities required for such a function. She enjoys a high scholarly status, without the drawbacks of overspecialization; ^{her} ~~her~~ great natural abilities have been developed and made effective by assiduous study; ^{studies in the} her thorough training in the economic disciplines was systematically amplified by complementary branches of the social sciences, such as economic history, sociology, and cultural anthropology. The range of her active intellectual interest and of her ^(disciplined imaginative faculties) ~~imaginative capacities~~ is ~~of a~~ remarkable scope. For over three and a half years ^{during which} I have been directing her research work on an advanced level I had ample occasion to gauge the depth of her insight, power of formulation, and her care for minute detail. Her teaching ability was tested in occasional tutoring of groups in connection with my ~~main~~ ^{course}; in this regard, too, she was outstanding. So much praise may easily appear exaggerated; I should like to stress that it is not. Indeed, I must add a word of recognition of the high human qualities of tact and character which she possesses, not to mention the sense and judgment shown by her in organizing her own efforts as well as those of her students. I feel confident that Mrs. Arnold can, in her field, be readily entrusted with ^{of a wide scope} ~~any~~ responsible academic position and that, given the chance, she will brilliantly vindicate the confidence so unreservedly expressed in these lines.

I propose to investigate the implications for political theory of the phenomenological movement in philosophy. My intention is to use the results of this research in a study of types of political theory.

By a type of theory I mean a distinctive and logically coherent combination of the following three components, regarded as essential to any political theory. The first of these I call the philosophical. This refers to epistemological and metaphysical principles. The second component is the psychological and refers to the view of human nature contained in the theory. Ethics, including both metaethical and normative theories, is the third component. According to this conception, a type of theory may be described as a logically structured set of these components on the basis of which both causal propositions and prescriptive recommendations of an institutional kind may be erected. With this conceptual apparatus my initial aim is to construct a typology of political theory, useful for both historical and analytical purposes.

Historically two dominant types of theory may be identified, namely the rationalistic type of theory and that based on empiricist principles, variously understood. These basic types may in turn be subdivided. One may point to teleological and mechanistic varieties of political rationalism. Aristotelian theory is a prime example of the former, Hobbes's Leviathan of the latter. Empiricism as a type of political theory has evolved from the psychological empiricism of Hume, so called because of the intimate relation between his philosophy and associationistic psychology, through logical to linguistic empiricism as conceptions of human nature, philosophical method, and meaning have changed.

The phenomenological movement arose out of dissatisfactions with the more traditional philosophical methods and the impasses, primarily epistemological and ethical, to which their application led. Already use of phenomenological methods has achieved results important for political theory, among the American examples of which are Asch's work in psychology and Brandt's work in ethics. Insofar as linguistic philosophy may be regarded as a kind of phenomenology, this also is significant for political theory, especially its ethical component. In view of these developments, it is desirable to determine in a systematic manner the ways in which phenomenology, understood primarily as a philosophical method, bears upon political theory through what I have defined as its essential components.

To this end, I shall wish to examine the contributions of leading phenomenologists, in particular the works of Merleau-Ponty, Polin, and Sartre among French thinkers. In addition, I shall wish to consider the work of the German forerunners to whom the French are indebted, including Husserl, Scheler, and Heidegger. My ultimate objective is to elucidate the results of the applications of the phenomenological method to the components of political theory in order to display the phenomenological type of theory for the purpose of appraising it by way of comparison with the older rationalistic and empiricist types of theory. I expect that this comparative evaluation will be not only historically informative but also of interest in the continuing quest for a political theory grounded both in the findings of philosophical analysis and empirical research.

Work in France would enable me to consult in a regular way with French scholars presently engaged in phenomenologically oriented research on the components of political theory and would also provide me ready access to the relevant materials on the phenomenological movement. An exploratory version of my study is to be published in Philosophie politique a forthcoming issue of the Annales de philosophie politique.

J.W. Chapman
30 May 1960

RECORD OF ACTIVITIES DURING VISIT TO POLAND, 20 APRIL TO 10 MAY,
1960, AT THE INVITATION OF PROFESSOR DR. GRZEGORZ LEOPOLD SEIDLER,
REKTOR, UNIwersITET MARII CURIE-SKŁODOWSKIEJ, LUBLIN

20 April: Paris-Warsaw-Lublin

- Arrived Warsaw, AF 720; met by Dr. Seidler at airport
- Visit to old city; dinner in Hotel Bristol
- Driven to Lublin; installed in Hotel Lublinianka

21 April: Lublin

- Registration with Lublin police
- Introduction to Dr. Henryk Zins, Professor of History, who served as interpreter
- Interview with Dr. Adam Wilinski, Dean of the Faculty of Law, UMCS: The social sciences in the USA and Poland
- Interview with Dr. Armin Teske, Dean of the Faculty of Mathematics, Physics, and Chemistry, UMCS: History and Philosophy of Science in USA, UK, and Poland
- Inspection of plant at the new "University City" of UMCS, conducted by Dr. Teske; meeting with other faculty

22 April: Lublin

- Press conference: Initial impressions of Poland, etc.
- Visit to Catholic University of Lublin, conducted by Dr. Zins; interview with the Prorektor; inspection of laboratories, classrooms, libraries, etc.
- Conference with Dr. Wilinski and Dr. Zins, followed by conference with students of UMCS on recent and contemporary world politics

23 April: Lublin-Pulawy-Kazimierz-Lublin

- Visit to Institute of Cultivation, Fertilization, and Soil Science, Pulawy; inspection and tour conducted by Dr. Alina Kabata
- Inspection of peasant village; visit to peasant home
- Tour of Lublin and environs

24 April: Lublin

- Visit to Maidanek Concentration Camp (on the outskirts of Lublin) with Dr. Seidler and Dr. Sand, Dean of the Humanities, UMCS; followed by press interview
- Attendance at Lenin Day Exercises, UMCS
- Interview with Mr. Awienik A. Chanow, First Secretary, Russian Embassy, Warsaw: Communism, communist ideology, socialism in the UK

25 April: Lublin-Radom-Kielce-Sandomierz-Lublin

- Visit to Radom and Kielce with Dr. Seidler and Dr. Sobolewski, Professor of Law
- Attendance at meeting of Kielce District Judges and Prosecutors addressed by Dr. Seidler and Dr. Sobolewski on the subject of the use of legal and judicial procedures in the development of socialist consciousness; discussion; introduction to the First Secretary, Kielce District, PZPR

26 April: Lublin-Zamosc-Lublin

- Lecture to UMCS students, followed by questions: "Rousseau Today: The Prerequisites of Effective Democracy"
- Conference with leaders of UMCS student organizations: General, Socialist, Peasant, and Catholic: Recent and contemporary world politics, the current political and economic situation in Poland, questions about the US, domestic politics and foreign policy
- Visit to Zamosc with Dr. Teske and others; observation of popular manifestation in Zamosc; dinner at home of Dr. Teske with other faculty

27 April: Lublin

- Conference with industrial leaders, planners, and factory managers of the Lublin District: Polish economic problems, business organization, administrative science and education, wage policy, relevance of American and Soviet experience
- Conference with UMCS leaders of student organizations on the development of exchange of students between UMCS and US universities
- Lecture to the Faculty of Law, UMCS, on American University Organization and Administration; followed by discussion

28 April: Lublin-Warsaw-Kazimierz

- Interview with Professor Dr. Adam Schaff of the Polish Academy of Science: Political theory, Marxism, philosophical foundations and social applications of dialectical materialism, source and meaning of differences on the development of Marxism in Poland and elsewhere
- Interview with the Chargé d'affaires, American Embassy: Poland
- Tour of Warsaw; drive to Kazimierz

29 April: Kazimierz

- Attendance at All Poland Conference on Elementary and Secondary School Design and Program; discussion with members of the conference
- Interview with Dr. Marian Weglarz, instructor at Warsaw Polytechnic Institute: Polish economic problems and political aspirations, Marxism and socialism, internal affairs of PZPR

30 April: Kazimierz-Lublin

- Further discussion with Dr. Weglarz: Domestic and international politics, Polish-Soviet relations, the Gomulka regime, PZPR
- Return to Lublin with Dr. Seidler, his assistant, and professor from University of Prague: Discussion of Polish problems, policies of the PZPR, relations between USSR and other nations in the "socialist camp"

1 May: Lublin

- Observation of May Day Exercises and Parade
- Discussion with Dr. Zins; tea at his home with family
- Attendance at operetta

2 May: Lublin-Krakow

- Visit to the new "University City" of UMCS with Dr. Zins, Dr. Teske, and Dr. Hubieki; inspection of laboratories and plant; conference with faculty
- Interview with Rektor of the Catholic University of Lublin: Relations between Church and State in Poland, passport difficulties
- Interview with Mr. Jan Szreniawski, First Secretary, PZPR, UMCS: objectives and policies of the PZPR
- Presentation, formal, by Dr. Seidler of Address for delivery to the Chancellor and Senate of the University of Pittsburgh
- Press conference: Impressions of Poland and Polish academic life, living standards, students, freedom, problems, etc.
- Departure by rail for Krakow

3 May: Krakow

- Met at station by Dr. Kasprzyk, Dr. Domaszewicz, and Dr. Jasinski of the Krakow School of Economics; installed in Hotel Francuski; tour of city
- Interview with Professor Dr. Stefan Bolland, Rektor of the Krakow School of Economics: Polish economic situation
- Interview with Professor Dr. Wiktor Boniecki, Dean of the Krakow School of Economics; followed by inspection of the School, plant, classrooms, dormitories, library
- Conference with the faculty of the School on world politics and the current economic and political situation in Poland

4 May: Krakow-Nowy Huta-Krakow

- Visit to Nowy Huta and Lenin Steel Works with Dr. Domaszewicz and Dr. Jasinski
- Interview with Mr. Jerzy Turowicz, Editor-in-Chief, Tygodnik Powszechny, and Mr. Jacek Wozniakowski, Assistant Editor: Relations between Church and State in Poland, policies of the PZPR, recent riot in Nowy Huta, US foreign policy, Polish-USSR relations
- Lunch at home of Dr. Domaszewicz; tea at home of Dean Boniecki; theatre; dinner at home of Dr. Jasinski; tour of Krakow coffee houses and nightclubs

5 May: Krakow-Oswiecim-Krakow

- Visit to Auschwitz Concentration Camp with Dr. Domaszewicz and Dr. Jasinski
- Visit to University of Krakow
- Dinner party at home of Dr. Kasprzyk with faculty

6 May: Krakow-Zakopane

- Drive to Zakopane with Dr. Seidler and Dr. Bolland
- Tour of Zakopane and environs with Dr. Seidler and Mr. Antoni
- Installed in Hotel Orbis; visit to Mr. Antoni's home

7 May: Zakopane-Nowy Sacz- Nowy Targ- Zakopane

- Tour of Nowy Sacz and environs with Dr. Seidler, Dr. Domaszewicz, and Mr. Antoni

8 May: Zakopane-Warsaw

- Interviews with local doctors, lawyers, private businessmen, and others: Polish standard of living, the role of private enterprise, "experiment" in decentralization at Nowy Sacz
- Departure by rail for Warsaw with Dr. Seidler and Mr. Antoni

9 May: Warsaw

- Interview with Pan Ambassador Stanislaw Kiryluk, Dyrektor, Polskiego Instytutu Spraw Miedzynarodowych: American policy toward Western Germany and China., Polish-Soviet-US relationships, educational and cultural exchange
- Interview with Dr. Bronislaw Baczko, Department of Philosophy, University of Warsaw: Analytical and historical approaches to political philosophy, the political philosophy of Rousseau, Kant, and Hegel; Marxism and Marxist thought in Poland and France; relationships between the PZPR and the universities in Poland
- Interview with Charge d'affaires, American Embassy; presentation of Dr. Seidler to the Charge

10 May: Warsaw-Copenhagen

- Final discussions with Dr. Seidler: Impressions of Poland, Summit Conference, possibilities for further cultural and educational exchange, etc.
- Departure for Copenhagen

LIST OF PERSONS MET, INTERVIEWED, OR WITH WHOM EXTENSIVE CONVERSATIONS WERE HELD

Uniwersytet Marii Curie-Sklodowskiej, Lublin, Plac Litewski 5

Prof. Dr. Grzegorz Leopold Seidler, Rektor (PZPR)
Prof. Dr. Adam Pazewski, Prorektor
Prof. Dr. Kazimierz Sand, Dean of the Humanities (PZPR)
Prof. Dr. Armin Teske, Dean of Mathematics, Physics and Chemistry
Prof. Dr. Adam Wilinski, Dean of the Faculty of Law
Dr. Henryk Zins, Professor of History
Prof. Dr. Wlodzimierz Hubicki, Professor of Chemistry
Dr. Zbigniew Sobolewski, Asst. Professor of Law
Mr. Jan Szreniawski, First Secretary, PZPR, UMCS

Wyzsza Szkola Ekonomiczna, Krakow, ul. Rakowiecka 27

Prof. Dr. Stefan Bolland, Rektor (PZPR)
Prof. Dr. Wiktor Boniecki, Dean (PZPR)
Prof. Dr. Lezek Kasprzyk, Political Philosophy, First Secretary PZPR
Dr. Roman Domaszewicz, Economics
Dr. Boguslaw Jasinski, Political Philosophy (PZPR)
Dr. Roman Chorosnicki, Economics

Warsaw

Pan Ambasador Stanislaw Kiryluk, Dyrektor, Polskiego Instytutu
Spraw Miedzynarodowych, ul. Warecka 1-a, Warszawa (PZPR)
Prof. Dr. Adam Schaff, Palac Kultury i Nauki, Institut Filozofii,
Warszawa (PZPR)
Dr. Bronislaw Baczko, Uniwersytet Warszawski, ul. Krolewska 2 m. 14,
Warszawa (PZPR)
Dr. Marian Weglarz, Wzdziak Architektury, ul. Koszyowa 55 (PZPR)

Others

Mr. Awienik A. Chanow, I Sekretarz Ambasady Lwiazku Socjalistycznych
Republik Radzieckich, Warszawa
Dr. Alina Kabata, Institute of Cultivation, Fertilization, and Soil
Science, Pulawy
Mr. Jerzy Turowicz, Editor-in-Chief, Tygodnik Powszechny, ul. Wislna
12, Krakow
Mr. Jacek Wozniakowski, Assistant Editor, Tygodnik Powszechny
Mr. Romoszkon Antoni, Strazyska Villa Jemiota, Zakopane
Dr. Roman Szporluk, Nuffield College, Oxford

SWARTHMORE COLLEGE

Department of Political Science

CONFERENCE ON A PROPOSED JOURNAL OF POLITICAL THEORY: A REPORT

A conference was held at Swarthmore College under the auspices of its Department of Political Science, on April 21-22, 1961, for the purpose of exploring questions growing out of a proposal for a journal devoted to political theory.

The participants were: John W. Chapman, University of Pittsburgh; David Easton, University of Chicago; William Ebenstein, Princeton University; Carl J. Friedrich, Harvard University; John H. Hallowell, Duke University; John Ladd, Brown University; John D. Lewis, Oberlin College; Harvey C. Mansfield, Ohio State University; J. Roland Pennock, Swarthmore College; Frederick M. Watkins, Yale University; J. W. N. Watkins, London School of Economics and Grinnell College; Bryce Wood, Social Science Research Council.

A "Proposal for a New Journal," which had been prepared by Professors Pennock and Chapman and had been circulated in advance, served as the basis for discussion. (Appendix A.) Professor Pennock presided, and Professor Chapman served as rapporteur.

The conference first considered the need for a specialized journal of political theory. Here discussion was directed to two related questions. The first of these had to do with the current availability and quality of manuscripts in the field of political theory. The second was the probable and potential impact of a journal on the supply, quality, and direction of writing in that field.

Need

Is there presently sufficient material of high enough quality to justify the launching of a new journal? On this question serious doubts were expressed by several members of the group, while others were more confident on this score. It has been the experience of both The American Political Science Review and The Journal of Politics that there is an abundance of material. The Review receives between 250 and 300 manuscripts per year, one third to one quarter of which may be broadly classified as political theory. But most of these are not of distinguished quality. The main hindrance to work in political theory at the present time, apparently, is not limited facilities for publication. Indeed, some fear was expressed that a new journal might merely take articles away from the existing publications; but the Editor of The American Political Science Review entertained no anxiety on this score.

The utility of a journal devoted to political theory was felt, however, not to depend primarily upon the present availability of manuscripts

of good quality. Moreover, the supply of articles is probably elastic, as was revealed in the experience of Politica and The Midwest Journal of Political Science. More important than the elasticity of supply, it was argued, is the probability that the introduction of the proposed journal, if it maintained top quality standards, would affect writing in the field beneficially. Not only would such a journal stimulate the production of articles but also it may be expected to give direction to effort. In particular the journal would be valuable to the extent that it could: (1) encourage interchange between those engaged in empirical research and specialists in theory; (2) provide theorists with their own audience, limited though that might be in numbers; (3) develop a group of scholars with a common set of interests, though with no preferred line of approach; (4) lead to the refinement of issues; and (5) encourage cumulative thought and analysis. These potential benefits were believed to outweigh the risks indicated by present manuscript flows and to justify the existence of a specialized journal of political theory.

The example of Nomos, the annual publication of the American Society for Political and Legal Philosophy, was cited to illustrate the way in which a channel of publication, drawing on an organized scholarly endeavor, can provide an intellectual focus and give shape to thought. The American Journal of International Law was offered as another example.

Additional considerations were advanced to support the desirability of a new journal. There is now no journal of political theory. (It was pointed out that five years ago a committee appointed by Professor Harold D. Lasswell, then President-Elect of the American Political Science Association, had urged that the need for a journal devoted to political theory be carefully considered.) The interdisciplinary and international features of the proposed journal would be of particular value. In some areas of theory there is already a tendency toward cumulativeness; the new journal would strengthen this trend. Emphasis was placed upon the desirability of cultivating greater intellectual interchange among philosophers, theorists, and more empirically oriented students, especially in comparative politics and with reference to the problems involved in the democratic development of economically retarded nations. The prime task of the journal would be to establish quality standards of work on the part of scholars in different disciplines and traditions.

The sense of the meeting appeared to be that while it would be difficult to justify the creation of a new journal on the basis of present productivity in the field alone, the productive possibilities of the proposed journal did warrant its establishment. It could have a significant effect upon the amount, quality, and orientation of research and writing in political theory.

Editorial Policy

It seemed indispensable that the journal should deliberately pursue a policy of elicitation, designed to take advantage of the opportunities revealed within the field for stimulation, greater integration of research and theory construction, and cumulative analysis.

In addition, it was thought valuable to promote communication among the disciplines that bear upon political theory, to provide an avenue for

cross-criticism between theorists and empiricists, and to encourage the application of theory to questions of politics. Particular mention was made of the use of symposia on emergent problems, and of the ways in which a common focus---for example, on matters of comparative democratic development---could promote a spirit of common enterprise among theorists and researchers.

Solicitation was felt to be essential, though not without its dangers, and especially so in the initial issues. Cautions were raised about the necessity for setting and maintaining standards of performance. More generally, decisions on editorial policy were seen as opportunities to display imagination and initiative in the evoking of articles not only on questions intrinsic to the field but also on matters of public policy.

Sponsorship and Financing

The conference turned next to the questions of sponsorship, organizational and financial. An organizational sponsor seemed essential for a journal that must regularly generate new materials. The possibility of seeking sponsorship from the American Political Science Association was canvassed first. There was no doubt that the Association would take a cordial interest and give such an enterprise its blessing. But if its name were to be used it would be likely to want official representation, and the advantages it could offer, as a general purpose organization, seemed to lie mainly in the access it could facilitate to a relatively large audience (though its mailing list could be purchased inexpensively without further connection), and in possible economies or conveniences in overhead costs. The Association is not likely to have new funds to spare for support (though it might join in asking for such); and unless a new constituent subgroup were organized it would not with its existing program generate an additional supply of manuscripts. An expanded program that would be more helpful was proposed in the 1956 committee report previously referred to; and its adoption might conceivably solve a theory journal's needs. But there is no immediate prospect of this, and meanwhile other avenues must be investigated.

The consensus appeared to be that organizational sponsorship of some sort would be highly desirable. In view of the interdisciplinary and international character of the proposed journal, it seemed that the American Society for Political and Legal Philosophy would be the most appropriate sponsor. Such sponsorship could be combined with informal cooperative relations with other professional associations. It would be very useful to have the closest possible relations not only with political scientists generally but also with philosophers and with sociologists, especially political sociologists, in whose work there is much interest both here and abroad. An editorial board, without being formally representative in character, could reflect the variety of interests and disciplines to which the journal should appeal.

In connection with the matter of sponsorship and anticipating the problem of financial support, it was announced at this point that the University of Pittsburgh has made known its willingness to publish a political theory journal through its Press and to underwrite the operation for the first few years. (Appendix B.) The University would be pleased to do this for a journal sponsored by an association and with editorial control entirely in the hands of the sponsoring organization or such persons as it chose for the purpose. It was the feeling of the conference that this generous offer

provided a most promising arrangement and that further planning should assume its probable acceptance.

Organization and Format

With reference to the problem of editorial leadership the advantages and disadvantages of both an editorial committee and a single responsible editor were analyzed. Although instances were cited where committee control is said to work well, it was maintained that political theory lacks the unity of outlook essential to the success of this method. Concern was expressed that a committee would diffuse responsibility, constrain initiative, and perhaps defeat the need for creativity in the formulation of editorial policy. On the other hand, the committee form of direction would lighten the burden and perhaps facilitate solicitation. Especially in political theory, because of diversity of standards, orientations, and clientele, it was argued that a committee would provide balance and make individualized appeals possible.

A responsible editor, supported by a working editorial board, may be the instrumentality most appropriate to the nature of the undertaking.

The question of frequency of publication was examined in the light of financial resources, the probable supply of high quality material, and the need to sustain interest. Either two or three issues per year were seen as preferable to either one or four.

Conclusion

To summarize, the conference concluded that creative potentialities rather than present realities would justify publication of a journal of political theory. Especial satisfaction was felt with regard to its proposed interdisciplinary and international character. The aims of stimulation and interchange could be accomplished through sponsorship by the American Society for Political and Legal Philosophy combined with the development of cooperative arrangements with professional associations serving correlative disciplines. Intellectual vitality could probably best be generated by focusing responsibility upon a single editor backed by a sympathetic interdisciplinary and international board. The offer of financial sponsorship from the University of Pittsburgh was welcomed as a service to international scholarship.

The conference decided that a proposal for a journal should be prepared and placed before the December 1961 meeting of the American Society for Political and Legal Philosophy in an effort to secure the sponsorship of that Society and with a view to publication by the University of Pittsburgh Press. Responsibility for the development of the proposal was accepted by Professors Penneck and Chapman.

Other actions determined upon included: Preparation of a report on the conference and its distribution to interested persons; promotion of discussion of the journal proposal at the coming meetings of the Institut International de Philosophie Politique, the American Political Science Association, and the International Political Science Association, and in other

places; continued consultation about the nature of the journal; and informal exploration for possible candidates for the editorship and the editorial board.

John W. Chapman
University of Pittsburgh
18 May 1961

Appendix A

PROPOSAL FOR A NEW JOURNAL

Title

POLITICAL THEORY: An International and Interdisciplinary Journal

Purpose, Nature, and Scope

The purpose of this journal is to provide a forum in which scholars may present the results of investigations contributing in one way or another to the body of political theory. No journal with this specialized purpose now exists. In consequence findings, analysis, and argument that bear upon political theory are scattered among a wide variety of journals whose foci are philosophical, ethical, or political in more narrow senses of that word. It seems likely that the lack of a journal of political theory not only furthers the impression of a scarcity of serious work in the field but also tends to discourage and to add to the difficulties of cumulative and systematic effort therein.

The nature of the journal is prescribed by the comprehensive and synthetic nature of the field itself. Work in political theory may stress or it may eschew ethical questions, just as it may or may not set great store by the methods of "value free" science for its purposes. More specifically, it may address itself to problems of political ethics, to linguistic analysis, or to the development of scientifically derived and authenticated trends, tendencies, or laws. From a slightly different perspective, political theory comprehends research and analysis the purpose of which is the clarification of the implications of value and policy alternatives, explanatory and diagnostic efforts, the logical analysis of concepts and conceptual frameworks, the making available of the thought of the past, and deliberately integrative and prescriptive works.

From one point of view the scientific study of politics, as of any subject, is shot through with theory. There is no dividing line in principle between theories that are part of the general body of political theory and those that pertain to a particular branch of the subject, such as political

parties, or local government. But the political theorist as such—the general theorist of politics—has a function to perform in attempting the endless job of integrating theories evolved in special areas of political science into a whole, a consistent and rationally ordered body of theory. This involves him in the task of checking the theoretical conclusions, or suggestions, advanced by specialists in one field with those forthcoming from other quarters. If this process is to be successful, it calls for help from the specialists as well as from the generalists. They must advance their materials for synthesis and also criticize the work of the generalists from the points of view of their respective specialities. It will be a special concern of this journal to encourage and to provide a forum for this kind of collaborative activity.

Moreover, materials converge upon political theory from many disciplines. The work of social scientists outside departments of political science is often of great relevance to political theory. Their contributions, too, whether of a positive, normative, or a prescriptive nature, should be sought for and welcomed in the pages of a journal devoted to the advancement of political theory.

The scope of the journal would be both international and interdisciplinary, in recognition of the synthetic nature of the field and of the national approaches thereto. Data and analysis from the fields of psychology, sociology, history, economics, and philosophy bear directly upon political theory, the central task of which is to bring these to a focus on valuational and institutional concerns of the kinds conventionally described as political. Additional complexity is introduced by the variety of approaches to these matters that spring from the philosophical traditions and practical concerns of different nations. Acquaintance with different methodologies, philosophical presuppositions, and directions of research should be mutually illuminating to scholars of differing nationalities and intellectual climates. Existing compartmentalization and insulation of thought invites deliberate encouragement to intellectual ventures that cross national and specialist boundaries.

Editorial Policy

In the publication of articles, the selection of works for review, and in the preparation of analytical bibliographies, priority is to be given to works that are synthetic and integrative in purpose and nature. The central aim of the journal is to give recognition and encouragement to such efforts from whatever source they may come and in whatever form they may appear, with due regard for logical and evidential considerations. Given the existence of a journal the purpose of which is to elicit and to publish the results of systematic thought in the field of political theory, it may be expected that there will develop greater interdisciplinary awareness on the part of scholars and higher degrees of intellectual discipline in their work. Such an editorial policy should encourage a rigorosness and cumulativeness of thought comparable to that now in existence in many other fields.

Appendix B (COPY)

UNIVERSITY OF PITTSBURGH

Chancellor of the University

April 20, 1961

Dear Professor Chapman:

I was delighted to hear that there was some prospect of a new journal in the field of political theory. There certainly has been a need for a journal in this field to relieve the much overburdened current publications. I congratulate you and your colleagues on your plans in this respect.

Should you decide that the University of Pittsburgh might be of some help, we would of course be delighted to know that fact. Should you want to publish the journal here, we would be happy to underwrite the journal financially for the first few years of its existence. I would assume, of course, that a determined effort would be made to increase subscriptions as soon as possible so the University's contribution would not be extensive.

Whatever the outcome, the efforts you are making are most commendable. My best wishes on the success of this project.

Cordially yours,

Edward H. Litchfield

Dr. John W. Chapman
Associate Professor
Department of Political Science

VITAE

MARSHALL M. LEVINSON
Assistant Professor of Economics
Department of Economics
Pennsylvania State College

Date of birth: May 8, 1925

Marital status: Married

EDUCATION: B.S.S. in Economics cum laude, City College of New York, 1949.
Minors: Sociology, History, Philosophy.

M.A. in Economics, Columbia University 1950. One-half of residence requirements toward Ph.D. degree completed.

Areas of Major Concentration: History of Economic Thought, Economic Theory and Welfare Economics, Economic History, Institutional Economics, Monetary Economics and Fiscal Policy, International Trade -- Minor Areas of Specialization include the Sociology of Knowledge, Philosophy and Psychology.

TEACHING EXPERIENCE: City College of New York, 139 Street and Convent Avenue, New York City, September 1949 to June 1950. Fellow in Economics; Subjects taught: Evolution of Economic Thought, Money and Banking, Principles of Economics.

Department of Economics, Pennsylvania State College, State College, Pennsylvania - September 1950 to present. Assistant Professor of Economics. Subjects taught: History of Economic Thought, Development of Capitalistic Institutions (General Economic History), Institutional Economics, Methodology in the Social Sciences, Monetary Theory and Fiscal Policy, Principles of Economics.

PUBLICATIONS: Books -- Over the summer of 1949 I collaborated with Professor Charles B. Fowler, CCNY economics department, on a text in social security, contributing four chapters: "The Great Hazards of the Modern Economy," "Financing Social Insurance," "Health Organization in the United States," "Social Insurance and the Law." The book is now being readied for publication.

Articles - "Full Employment and the World Economy," New Republic, 11/12/49; "Social Security and Increased National Welfare," and "Financing Social Security," CCNY Business Review, 12/49; The following have been submitted for publication: "The Theory of Substantive Economics -- A Methodological Reformulation," Quarterly Journal of Economics; "An Integrated Theory of Social Science," Ethics. The following is forthcoming: "The Human Being: Sleep and Dreams, A General Field Theory," Complex, A Psychoanalytic Journal; "Behind the Korean Situation," The Progressive.

M.A. Thesis: "Social Security and the State of Industrial Arts," May 1950.

Intended Subject of Ph.D. Dissertation: The Integration of Society and Economy.

RESEARCH: For some time now I have been engaged in research which seeks to reformulate the foundations of economic theory by integrating the theory of economics with a dynamic theory of society. The above mentioned article that I have submitted to the QJE represents a summary of my research findings.

Memberships, Honors: American Economic Association, Economic History Association, American Association of University Professors, graduate fellowship, Phi Beta Kappa.

Academic Committees: At Penn State -- Departmental Advisory Committee, representing junior members of the department (Instructors through Associate Professors); Member of Departmental Committee to select division head of economics; Sponsor and member of Group Dynamics Research; Joint Coordinator of elementary economics.

REFERENCES

Professor Karl Polanyi
Columbia University
Graduate School
Department of Economics
New York 27, New York

Professor Joseph Dorfman
Columbia University
Graduate School
Department of Economics
New York 27, New York

F. S. C. Northrop
Professor of Philosophy and Law
Yale University
New Haven, Connecticut

Professor W. N. Leonard
Chairman
Department of Economics
Pennsylvania State College
State College, Pennsylvania

Professor Dudley Dillard
Chairman
Department of Economics
University of Maryland
College Park, Maryland

Information regarding references and other matters can be obtained by writing directly to the Columbia University Placement Bureau, Columbia University, Morningside Heights, New York 27, New York.

Billy Hughel Wilkins
Box 7727, University Station
Austin 12, Texas
November 28, 1960

Age: 29

Sex: Male

Marital Status: Married

Education:

Del Mar College; Corpus Christi, Texas; A.A.; 1950 (Pre-engineering)
Texas College of Arts and Industries; Kingsville; B.B.A; 1956 (General Business)
Texas College of Arts and Industries; Kingsville; M.S.; 1957 (Business & Economics)
The University of Texas; Austin; Course work for Ph.D. completed (Economics)
(Dissertation title: "Effects on the Economy of Venezuela of Actions by the
International Petroleum Industry and American Regulating Agencies"; projected date
of completion, August 1961)

Work Experience:

1960 Teaching Assistant, Department of Economics, The University of Texas
1958-1959 Teaching Assistant, Department of Economics, The University of Texas
1957-1958 Instructor, Department of Economics, Texas Technological College,
Lubbock
Summer '58 Statistics Laboratory Instructor, Division of Business, Texas
College of Arts and Industries, Kingsville
1951-1955 Transport Navigator, United States Air Force
Summers '49 and '50; Feb.-May 1951 Grain Testor, Corn Products Refining
Company, Corpus Christi, Texas

Availability:

September 1, 1961

Salary:

\$6,500.00 per academic year (opportunity for summer teaching desired)

Area of Specialization Desired:

International Economics, Resources, Economic History and Development,
Economic Theory and its History, Economic Geography, Social Control
of Industry, Latin American Economics, Political Science, General
Business.

Honors and Professional Organizations:

University of Texas Fellowship, Summer 1959, 1959-1960, Summer 1960
Member, Omicron Chi Epsilon (National Honor Society in Economics)
Member Southwest Social Science Association

References:

Professor Wendell C. Gordon, Department of Economics, The University of Texas
Professor C. E. Ayres, Department of Economics, The University of Texas
Professor E. E. Hale, Department of Economics, The University of Texas
Professor H. H. Liebhefsky, Department of Economics, The University of Texas
(References on file at the Department of Economics, The University of Texas,
Austin 12, Texas)

Admitted: September 28, 1956 ; Degree(s) Conferred:

Student's Last Name: RAFFERTY
 Other Names: BUTENS ROBERT

Age: 28 Date of Birth: October 4, 1927

Place of Birth: Baltimore, Maryland

Name and address of Parent: K. A. Rafferty, Sr.
 3201 Calif. N. E.
 Albuquerque, New Mexico

Father's Occupation (while active): Prof.

Grading System

A-Excellent
 B-Good
 C-Fair
 D-Pass
 F-Failure
 P-Postponed
 X-Incomplete
 R-Re-examination permitted
 Q-Course dropped
 Cr-Credit

In School of Law

85-100 - A
 75-84 - B
 65-74 - C
 60-64 - D
 Below 60 - F

Admission Record

Degree Credits from Univ. of New Mexico (B.B.A., 1950 & M.A., 1956):

Long Session Semester - 18 weeks Summer Term - 6 weeks

Memoranda
 September, 1956: Nonresident

COURSE NUMBER	DESCRIPTIVE TITLE	Sem. Hrs.	Hrs. per week		Sem. Grade
			Rec.	Lab.	
1ST SEM ECO 379K	56 57 GRADUATE MONETARY THEORY	3	3		B
ECO 385	FORM POLITICAL ECONOY	3	3		X A
ECO 388	ECO THEORY 1776 1848 9 0-6-09 1-524	3	3		A *
2ND SEM ECO 371	56 57 GRADUATE INCOME & EMPLOYMENT	3	3		A
ECO 386	VALUE & WELFARE	3	3		X A
RES 361	STUDY OF RESOURCES 9 0-09 1-27	3	3		A *
1ST SEM ECO 374L	57 58 GRADUATE PRICE ECO ORGANIZTN	3	3		B
SOC 396K	GRAD SEMINAR	3	3		A
ECO 377	INTERNTL CARTELS 9 09 24	3	3		A *
2ND SEM RES 394	57 58 GRADUATE RESOURCES SEM I	3	3		A
ECO 375L	THEO OF ECO DEVELOP	3	3		A
ECO 372	THEO OF ECO DEVELOP 9 09 24	3	3		A *
S S STAF362	1958 GRADUATE INTERMED BUSN STAT	3	7 1/2		B
SOCF396K	GRADUATE SEMINAR 6 06 15	3	6		A *

Male
 Female

60-61

THE UNIVERSITY OF TEXAS
 AUSTIN
 PERMANENT RECORD CARD

Page 1

This is an exact copy of the record of the student whose name appears hereon. This student is entitled to honorable dismissal unless this record carries a statement to the contrary. This transcript is not valid unless it bears the imprint of the seal of The University of Texas.

NOV 30 1960 W. B. Shipf Registrar

OVER

MAY 7 1958
 MAY 15 1958
 FEB 5 1959
 JUN 16 1960
Over leaf

COURSE NUMBER	DESCRIPTIVE TITLE	Sem. Hrs.	Hrs. per week		Sem. Grade
			Rec.	Lab.	
1ST SEM ECO 384L ECO 393	58 59 GRADUATE STD INTERNTL ECO THY SEM SOC CONTL INDTRY 6 06 15	3 3	3 3		B A
2ND SEM ECO 380 ECO 396K ECO 393	58 59 GRADUATE RESEARCH COURSE SEM MEAS OF ECO AGGR SEM SOC CONTL INDTRY -3-06 -0-306 0-9-15	3 3 0	3 3 3		A X B Q
9 WK S S ECO 393 295685	1960 GRADUATE PROB COMPETN & MONOP 03 03 09	3	5		A

C-16, 17 9-46

Student's Last Name
R A F F E R T Y

Other Names
BURNS ROBERT

This is an exact copy of the record of the student whose name appears hereon. This student is entitled to honorable dismissal unless this record carries a statement to the contrary. This transcript is not valid unless it bears the imprint of the seal of The University of Texas.
 NOV 30 1960 *W. B. Shipp*
 Registrar

THE UNIVERSITY OF TEXAS
 AUSTIN
 PERMANENT RECORD CARD
 Page 2

REGULATIONS
RECORD OF

RAFFERTY, BURNS ROBERT

THE UNIVERSITY OF NEW MEXICO
OFFICE OF THE REGISTRAR

Permanent Address 3712 Mesa Verde Drive
Albuquerque, New Mexico
Date of Entrance 6/10/47
Date & Place of Birth 10/4/27 Baltimore, Maryland
Parent's or Guardian's Name & Address Keen A. Rafferty
3712 Mesa Verde Dr., Albuquerque, N. M.
College A-S-B BUS AD GRAD-Spec Reg
Major/Concs: Gen Business Minor
Curriculum
Degree Bachelor of Business Administration,
June 5, 1950

From Albuquerque, New Mexico HS
Graduated 1946 Rank Lower 3rd

Subject	Units	Subject	Units
English	4	US Hist & C	1
Alg	2	Chem	1
Geom	1	Gen Sci	1
Pre-fl	.5	Physics	1
Sea Navig	.5	Meteor	.5
Span	2	P E	Cr
Gen W Hist	1	Total	15.5

Course	No.	Gr.	Cr.	Pts.
1947 SS:				
Engl (Intro to Rhet)	1s	C	3	3
French (Elem)	1s	C	3	3
Biol (Heredit)	48s	B	2	4
Total			8	10

Course	No.	Gr.	Cr.	Pts.
B A (Corp Finance)	110	B	3	6
Econ (Money & Banking)	111	B	3	6
Math (Intro to Statis Math)	42	D	3	0
B A (Prin of Org & Mgmt)	130	C	3	3
Total			15	18

1947-48 (1):				
Engl (Intro to Lit)	2	B	3	6
French (Elem)	2	C	3	3
Psych (General)	1L	B	3	6
Soc Sci (Intro to Soc Sci)	1	A	3	9
Hist (Western Civ)	1	B	3	6
Philos (Intro to Philos)	1	C	2	2
Total			17	32

1949 SS:				
B A (Business Law)	106	B	3	6
Econ (Labor Problems)	141	C	3	3
Geol (Historical)	2	B	3	6
Total			9	15

1947-48 (2):				
Soc Sci (Intro to)	2	C	3	3
Engl (Surv of Early Eng Lit)	53	W	(3)	0
B A (Prin of Acctg)	5	B	3	6
Psych (General)	2L	C	3	3
Govt (Amer Govt & Pol)	51	D	3	0
Total			12	12

1949-50 (1):				
B A (Investments)	115	B	3	6
B A (Business Law)	107	C	3	3
B A (Transportation)	143	B	3	6
B A (Business Statistics)	109	D	3	0
Econ (Public Finance)	152	C	3	3
Total			15	18

1948 SS:				
B A (Prin of Acctg)	6	D	3	0
Engl (Surv of Mod Fict & Dr)	57	C	3	3
Econ (Intro to)	51	B	3	6
Total			9	9

1949-50 (2):				
Econ (Prin of Foreign Trade)	119	B	3	6
B A (Prop & Casualty Insur)	128	C	3	3
B A (Marketing)	108	C	3	3
Govt (Pub Opinion & Prop)	105	B	3	6
B A (Pub Utilities)	165	B	3	6
Psych (Abnormal)	103	B	3	6
Total			18	30

1948-49 (1):				
Econ (Intro to)	52	B	3	6
Math (Elem of Coll Alg)	12	C	3	3
Geol (Physical Lab)	5L	D	1	0
Spch (Fund of Spch & Rdg)	2	D	3	0
Geol (Physical)	1	C	3	3
Engl (Informative Writ)	64	C	3	3
Total			16	15

ADVANCED STANDING:				
Basic Training, Ft. McClellan, Ala., 1946.				
Military Science			4	
Hygiene			2	
First Aid			2	
Total			8	

1948-49 (2):				
Govt (Amer Govt & Pol)	52	C	3	3

ADVANCED STANDING:				
USAFI GED Tests, College Level.				
Soc Sci (Interp of Rdg Mater in the Soc Stud)	L	Cr	6*	0
Total			6	0

(Continued on back)

Remarks: *CR, recommended by Head of Dept. ---
3 hrs. may be used for Soc. Sci. 2.

Faculty Action

This is a photostatic copy of an original transcript on file in the Registrar's office of The University of Texas.

NOV 30 1960 W. B. Shipp
Registrar

(Continued on back)

Name Rafferty, Burns Robert

NAME Rafferty, Burns Robert

Course	No.	Gr.	Cr.	Pts.	Course	No.	Gr.	Cr.	Pts.
GRADUATE SCHOOL:									
1954-55 (1):									
Ec (Hist of Ec Thought)	161	A	3						
Soc (Soc of Indus Relations)	160	B	3						
Soc (Hist of Soc Thought)	163	B	3						
1954-55 (2):									
Ec (Economic Theory)	160	A	3						
Ec (Institutional Ec)	237	I/A	3						
Soc (Collective Behavior)	102	A	3						
1955 SS:									
Gov (Sem in Pol Parties)	206	A	3						
Ec (Consumer Ec)	103	A	3						
1955-56 (1):									
Ec (Rise of Mod Indus)	163	A	3						
Ec (Recent Ec Theory)	239	A	3						
Hist (Ec Hist of U S)	185	B	3						
1955-56 (2): <i>Master's Program</i>									
Ec (Master's Thesis)	300		6						
Ec (Comp Ec Systems)	154	Auditor							

Valid as official transcript when bearing original signature and seal of the University.
 Date: 4/27/56
 Issued to: University of Texas
 Scholastic Status: In good standing
 Signed: Office of Admissions and Records.
 By: *Louis Weishaup*

Rafferty, Burns Robert

Scholarship Index at U. N. M. 1.3361
 Complete Scholarship Index 623 in class of 924
 Rank in Class

Faculty Action (Continued)

Title of Graduate Thesis

Written Under

This is a photostatic copy of an original transcript on file in the Registrar's office of The University of Texas.

NOV 30 1960

W. B. Shipps
 Registrar

Transcripts Issued
 Student
 Student (f)
 Student (2)(1f)
 U of Md

11-29-50 cp
 2-27-53 ja
 3-2-56 jmh
 3-9-56 jmh

He is a connoisseur of art, an expert in literary appreciation and thoroughly at home in the world of thought that moves the thinkers and writers of his time. As a student and researcher he is conscientious to the point of pedantry, as an original scholar he combines courage with care, breadth of approach with love of detail.

The applicant belongs to that rare group of individuals whose undisputed eminence in scholarship and professional qualification make it difficult to insist with an equal emphasis on his personal qualities as a man, friend, and representative of the positive aspects of the environment that has treated him. His intellect is as sharp as a razor and is yet directed by judgment and wisdom. By professional standards his achievements rank highly and have already won him recognition beyond his narrower field. In short, only a very few combine so high qualities in so winning a frame. His sense of responsibility would not allow him to accept an assignment he either does not approve of or believes himself not to be suited for.

Name ADAMS, Warren B.

Personal History

Born: Minneapolis, Minnesota on February 7, 1924
Marital Status: Married with daughter two years old
Military Service: Officer in U.S. Navy, 1942-46, South Pacific

Academic Training

Undergraduate Work:

University of Minnesota; 1941-44; no degree
University of California at Berkeley; 1946-47; AB degree

Graduate Work:

University of California at Berkeley; 1947-53; Ph.D. degree

Fields offered for degree:

Economic Theory - Professors Fellner, Dorfman, and Bain
Economic History - Professors Knight and Mosk
Social Control - Professor Bain
Labor - Professors Taylor, Gulick, Reynolds, and Ross
Rural Sociology (outside field) - Professor Taylor

Dissertation topic: The Land Settlement Program in Iraq, with Special Reference to the Dujaila Settlement, 1945-54

University of Johns Hopkins; 1952-53; Middle Eastern economics culture, and Arabic language

Major Positions Held

1947 - 52 Research Assistant in labor history, rural sociology and agricultural economics; University of California at Berkeley
1952 Lecturer in Elementary economics; University of California Extension Division at Berkeley
1952 - 55 Research Fellow with Ford Foundation
1955 - 57 Assistant Professor; University of Arizona team at University of Iraq
1957 - 58 Assistant Professor; Swarthmore College
1958 Assistant Professor; University of Texas

Major Publications and Professional Activity

ECONOMIC AND FARM MANAGEMENT FACTORS OF ON-THE-FARM IRRIGATION IN THE MIDDLE EAST; Paper delivered before International Conference on Irrigation held at Izmir, Turkey in September, 1956.

THE PRE-REVOLUTIONARY LAND DEVELOPMENT PROGRAM OF IRAQ; paper delivered before the Southwestern Social Science Meetings at Galveston, Texas in March, 1959

"A Note on Cost-Push Inflation and Regional Economics" A REPORT ON WAGES, PRICES, PROFITS, AND PRODUCTIVITY; (University of Texas Regional Assembly, November, 1959)

CAPITALISM AND SOCIALISM; a paper delivered before International Relations Institute of St. Mary's University of Texas, March, 1960

Discussant on Panel discussing "The Asian Peasant and Communism" at Southern Historical Association Meetings at Tulsa, Oklahoma, November, 1960.

Present Research and Professional Interests

1. Further research and publication on land reform in Iraq
2. Research project on the impact of automation on labor-management relations in a Texas plant.

Name: Thomas Roger De Gregori

Age: 25

Married; no children.

B. A. - Government and Philosophy, University of New Mexico

M. A. - Economics, University of New Mexico
Combination Minor - Government, Philosophy, Sociology

Ph.D - Candidate for Ph.D. in Economics, The University of Texas

By June I will have completed:

History and Development (6 hours)
Theory (15 hours)
Social Control of Industry (9 hours)
International Trade (6 hours)
Labor (6 hours)

Then I will lack 3 hours out of a required 12 hours
for a minor in anthropology.

Honoraries: Pi Sigma Alpha - Government
Phi Sigma Tau - Philosophy
Omicron Chi Epsilon - Economics (president, Austin
chapter)

Academic Interests: The theories of Veblen, Ayres, and Dewey;
The economies of underdeveloped areas
with special emphasis on African studies.

November 28, 1960

THE UNIVERSITY OF TEXAS
Department of Economics
GRADUATE RECORD

Name **WILKINS, Billy Hughel** Birth Date **7-17-21** Birth Place **Paducah, Texas**
 Austin Address **3041 Topeka St., Corpus Christi, Texas** Telephone Number
 Permanent Address **Secondary School Corpus Christi, High School**

SCHOLASTIC TRAINING: GIVE NAMES AND ADDRESSES OF INSTITUTIONS ATTENDED, AS FOLLOWS:

(a) College or University	Dates Attended	Degree	Date	Major	Minor
Del Mar College	1948-1950	A. A.	5-1950		
The Univ. of Texas	9-50 - 2-51				
Texas A & I College	9-55 - 8-56	B.B.A.	8-1956	Gen. Business	
(b) Professional or Graduate School	Dates Attended	Degree	Date	Major	Minor
Texas A & I College	9-56 - 8-57	M.S.	8-1957	Business	Economics

Admission to Graduate School (Date)
 July 1958
 First Minor **International Eco.**
 Second Minor **Geography**

Course Number	Descriptive Title	Sem. Hours	Grade	School
(Math. 201 & 202)	Dif. & Int. Calculus	8	C - D	Del Mar College
Eco. 209	Economic Problems	3	B	"
Eco. 201	Elements of Economics	3	A	Texas A & I College
Eco. 409	Corporation Finance	3	A	"
Bus. Ad. 355	Business Statistics	4	A	"

ECONOMICS TAKEN AS AN UNDERGRADUATE.

GRADUATE RECORD EXAMINATION Verbal **610** Quantitative **770** Advanced **690** (1/59)
 Student's score **4/58**

M. A. THESIS COMMITTEE
 Date
 TITLE OF THESIS
 Date M. A. degree conferred **AME, 1957**

Name..... WILKINS, Billy Hughe

Registration Record

Fall	Spring	Summer
1958	1959	1958
1959	1960	1959
		1960

PH.D. DEGREE

Qualifying Oral Examination: Committee Members Graduate Studies Committee

Date 3-16-59

Decision of Committee: To recommend admission to candidacy to Graduate Dean

Chairman, Supervisory Committee: Wendell C. Gordon Date 4-6-59

Members of Committee Benjamin Higgins, H. H. Liebhafsky, R. H. Montgomery
Dan Stanislawski

Dissertation Title.....

Language Examinations 1. French Date 1-22-59 2. Spanish Date 1/25/60

COMPREHENSIVE EXAMINATIONS

Examination	Date	Grade	Decision of Graduate Studies Committee
1.			
2.			
3.			
4.			
5.			

MINOR

REQUIREMENTS COMPLETED

Final Oral Examination on Dissertation: Date..... Decision of Committee.....

RECORD OF APPOINTMENTS AND HONORS DURING PERIOD OF GRADUATE STUDY

Texas A. & I. College, Lab. Inst. in statistics, July and Aug. 1957
 Texas Technological College, instructor, 1957-1958
 University of Texas, Dept. of Economics, Teaching Assistant, 1958-1959
 U. of T. Fellowship, summer 1959; 1959-1960; summer 1960

COURSES (BY FIELDS) COMPLETED AS A GRADUATE STUDENT

Name: **WILKINS, BILLY H.**

Course		Professor	University	Date	Hrs. Cred.	Grade
1. Field: Economic Theory and Its History						
Eco. 508	Development of Eco. & Soc. Thought	Dodson	Texas A & I	56-57	3	A
Eco. 508	Sem. in History of Economic Thought	Brown	"	51957	3	B
Eco. 508	Sem. in Contemporary Economic Thought	Brown	"	51957	3	A
Eco. 588	Development of Economic Thought 1776-1848	Hale	U. of Tex.	1958-59	3	B
Eco. 587L	Seminar in Contemporary Economic Thought,	Lehnarsky	"	1958-59	3	A-
Eco. 587L	Topic I: Microeconomic Theory	Hale	"	1958-59	3	A
Eco. 587L	Seminar in Contemporary Economic Thought					
Eco. 587L	Topic II: Macroeconomic Theory					
2. Field: Economic History and Economic Development						
Eco. 596	Seminar in American Economic History	Allen	U. of T.	51958	3	A
Eco. 593K	Seminar in Economic Development. Topic: Technological Revolution in Western Civilization	Ayres	"	1958-59	3	A
3. Field: International Economics						
Eco. 584L	Studies in International Economic Theory	Gordon	U. of T.	1958-59	3	A
Eco. 580	Research Course: Cartels	Lehnarsky	"	1960	3	A

[1962]

From: Karl Pelany

To: Professor Neal Wood, Secretary
Council for Research in the Social Sciences

Subject: Application for a grant by Terence K. Hopkins, Asst. Prof.
of Sociology, Columbia University (Economic Development
in Uganda, Ankoale District)

Finance: \$3500

I have been following closely the applicant's personal and intellectual development, as well as his professional career ever since - some ten years ago - he struck me greatly by his outstanding ability. He was at that time attending my Economic History Course as a student in sociology.

We have, afterwards, been jointly engaged in various research projects. Invariably, these brought the applicant's eminent interest in basic sociological method to the fore always aiming at a more intimate contact with the empirical elements in the field.

Again, it is from this angle that the present African economy project seems to me particularly promising.

The approach, underlying the present application is indeed remarkable in two ways:

it is the result of a preliminary on-the-spot study of unusual intensity and methodological penetration;

the revised approach includes a comparative study of all administrative units of the district, for purposes of orientation; this is to serve as a rest for a historical study over the critical decade of three relatively independent empirical fields: administration, economy and social stratification.

The research starts from the following tentative hypotheses which can claim prima facie plausability, while being capable of empirical refutation:

(Terence K. Hopkins - 2)

That changes in the economy tended to follow upon, rather than precede, administrative action;

That the actual leadership function, i.e., trust and sympathy of the natives, rather than the degree of cultural changes involved in the economic change determined the chances of the administrative initiative taken towards economic development.

The amount and quality of the data, available and prospective, appear entirely adequate for the probing of the work assumptions. These hypotheses are not only simple and clear, but are also of an unusual theoretical interest on a matter on which we are almost entirely in the dark.

STATEMENT OF PROPOSED ACTIVITY (Continued)

I have chosen to work from the East African Institute for Social Research because of the high quality of its studies in economic organization. Aidan Southall, its Director, has kindly invited me to do my work there (not necessarily on a Fulbright Award since, I believe, he is requesting Horace Minor as a Fulbright Lecturer for 1961-62), and I am now communicating with him about the particular people among whom it would be best to do the research. He indicates that in general there is both a need and ample opportunity to do the kind of research I have in mind.

So far as publication is concerned, I of course would want to publish the results in a scholarly journal if they should warrant it; I would also want to incorporate them into a monograph on the sociology of economic development if the general approach should prove as illuminating as I think it will.

(Continued)

SA

Termy

Copy of recommendation

Columbia University
Placement Bureau

Terence K. Hopkins

u

The applicant has been over a number of years connected with the study of economic institutions which engaged my main interest at Columbia. He joined my course in general economic history as a student of sociology and at once attracted my attention by the breadth of his interest in the social sciences combined with a capacity for the conceptualization of empirical data in the widely different fields. Soon I was able to recognize the eminent theoretical abilities that manifested themselves both in the ease with which new thoughts were received and in the flow of creative formulations with which they were enriched. A strong critical faculty was here at work balanced by a continuous endeavor at synthetic insight. Through years of personal contact I had occasion to experience the strength of character and personal loyalty that inspired his total personality. A quiet enthusiasm for the advancement of learning and the tasks of a teacher are here at work stimulating moral and intellectual effort in the younger generation.

The applicant shows promise of significant scientific achievement. As a man and teacher he stands up as a personality in his own rights. Let me add that a virile character is found combined in him with a charm of approach sure to gain him friends everywhere.

Columbia University
Department of Sociology

320M Fayerweather Hall
19 October 1962

Professor Neal Wood, Secretary
Council for Research in the Social Sciences
610 Hamilton Hall
Columbia University
New York 27, N. Y.

Dear Professor Wood:

I should like to apply to the Council for a grant to cover part of the costs of completing field work begun last year (1961-62). The research is being carried out in the Ankole District of Uganda, a culturally homogeneous area with a population of about half a million and formerly a small society in its own right.

The purpose of the research is to explain why different areas of Ankole now exhibit markedly greater degrees of economic development, and to do this first by describing in detail the history of Ankole's economy from just before 1900 (when British overrule was established) to the present, and then by relating parallel political and social developments over this period to the developments in the economy. Although the history of Ankole per se is not of much general interest, the underlying forces at work are like those at work in other former colonies, and a detailed account and analysis of their operation will, I think, add considerably to our understanding of the course and causes of economic development under conditions of overrule.

The research did not have this broad a scope initially. In my applications to the Social Science Research Council and the Conference Board of Associated Research Councils, both of which supported the project, I proposed doing a fairly detailed study of two or three basic economic activities in several local communities in order (a) to describe the organization of these activities in terms of the roles and larger social structures in which they are carried out, and (b) to compare the way these activities are organized in communities with somewhat different traditions and at different distances from an administrative or market center. I was not in Ankole very long, however, before I discovered it would be neither feasible nor valuable to pursue this plan. To do the kind of structural analysis I had intended requires a degree of general knowledge of the culture, social structure, and, in particular, recent history of the society that I was simply lacking. Nor was I helped much when I turned back to the few ethnographic accounts since they deal with (and I now think misinterpret) Ankole society as it was before the coming of the British, whereas I needed materials that would help me to explain the statistics I had been patiently putting together in order to choose the several localities I would study.

As I began working back through the District Year Books and the archives in the District Office, several generalizations emerged: major developments within the economy, without exception, resulted from administrative activity; the success or failure of an economic policy, especially in recent years, depended far more on the attitudes of the population towards the agency and personnel implementing the policy than on such things as whether the people were "ready" for the change, whether the plan required them to depart only a little or a great deal from their usual

technique or organization, or so forth. In short, it became clear that a detailed knowledge of the development of the administrative system would be necessary to an understanding of present economic organization. In turn, this required unraveling some of the complexities of the system of stratification in Ankole, since in both the pre-colonial and colonial periods the two were very closely related (though, in the past decade, they have become increasingly distinct, and a man's political or administrative power is no longer so closely associated with his social standing as it was).

The study thus went through a double shift in the focus of attention: initially focussed on a few localities, its scope was broadened to include all administrative units in Ankole in order to make systematic comparisons among them; and then its scope was broadened further, to include the history of Ankole's administrative system, economy, and stratification system. Nevertheless, and although the methodology has also been altered considerably from that initially contemplated, the aim of the study has not basically changed: it is to describe the organization of economic activity in a society undergoing a basic transformation, and to account for differences both in the way various kinds of activities are organized and in the way the same activities are organized in different parts of the society.

It was necessary to leave Ankole, in order to resume teaching, before the collection of the data was completed. What follows is a brief description of the kinds of information being collected and the work that remains to be done.

Historical materials: These are found in four principal places: the archives in Ankole, the archives in Entebbe (the national capital), the archives of the missions, and the memories of old men. I have finished working in the Ankole archives, am about one-third of the way through the Ankole materials in the Entebbe archives, and have barely started on the mission archives (but they are not particularly extensive). To make effective use of informants, I found it necessary to be fairly well acquainted with the subject matter I was asking them about, and so I worked out the procedure of not going to an older man until I had learned as much as could be learned from archival materials; when visiting him, I would outline what I knew, and then he would correct me, fill in gaps, and most important, provide information from the Banyankole viewpoint (which of course the archives virtually never do). I should add that it took a fair amount of time for these older men to talk freely with me. They are (or rather were) all among the leading men of the District and are not by any means hostile to "Europeans". But they have spent years coping with overrule, which means withholding certain kinds of information, and not until I demonstrated to them that I could discuss in detail events that had occurred 30, 40, 50 years ago did they take me into their confidence, their motive being, as one of them said, to make sure that if I was going to write about these things anyway, I write about them accurately.

The archival materials are of three main sorts: (1) Reports (e.g., the District Reports, the Agriculture Department reports, etc.); I have done about half of these. (2) The files on particular policy decisions (e.g., migratory labor, introduction of coffee, communally built roads, etc.); these are the actual working files containing all the reports, letters, and minutes on the subject, providing a virtually day-by-day account of colonial administration in process. I have gone through about a third of these. (3) Material on the administrative system itself (e.g., policies, personnel, organization, etc.); this last, in conjunction with data I am collecting from informants, is the main source of a list I am compiling of all the leading men

of Ankole from the period just before overrule through to the present. This list will allow me to trace accurately the changing composition of the elite, the causes of the changes and their effects, and thus to test a number of hypotheses concerning the characteristics of elites in a society undergoing rapid and extensive social change.

Comparative materials: Ankole District is divided administratively into 10 counties, 55 subcounties, over 300 parishes, and over 700 subparishes. In general, the headquarters at one administrative level (say, a county headquarters) records information only in terms of the units immediately below it (in this case, subcounties). Information on all subparishes is thus inaccessible for all practical purposes. The 10 county chiefs, however, once I had come to know them and they to know the purposes of the study, became extremely cooperative, and it proved possible to have them request their respective subcounty chiefs to send in various kinds of information. In addition, the Agriculture, Veterinary, Community Development, and Cooperative Departments of the Central Government keep records, usually by county but sometimes by subcounty and even by parish, and the officers in charge were almost without exception willing to let me work through their files. Finally, some statistics could be obtained only from the missions and the Indian Community's Chamber of Commerce, all of which were, after a while, very helpful. I list below (in no particular order) some of the kinds of information being collected from these various sources; for each heading there are three to five specific pieces of information; also, the attempt is being made to obtain these data for several years in a row, preferably the last 10. Population data*; Cooperative organization*; Occupational groups**; Crop acreage**; Cattle & cattle products**; Traders, markets, etc.**; Local organizations (schools, clubs, churches, etc.)*; Medical facilities*; Health conditions*; Housing conditions**; Roads, road construction**; Other construction activity***; Transportation facilities***; Technical assistance (extension work by departments)**; Water supplies***; Political activity**; Judicial activity*; Tax assessment & collection*.
(* virtually complete; ** in process of being collected; *** hardly begun.)

These data will be used first to compare areas systematically on various aspects of economic development and then to relate degree of development both to the historical materials and to other (quantitative or qualitative) characteristics of the areas. There is at present, for example, a strong positive association between school facilities and general level of well-being; having the data over a ten-year period will allow us to see whether the level of well-being rises first and then school facilities expand, or as we now think, school facilities expand first and then the level of well-being rises.

Descriptions of routine activities: In an area with over 500,000 people, a very large number of different kinds of economic activities will be carried out. But in Ankole they are carried out in a surprisingly small number of social contexts. Virtually all cultivation is done by small families living alone on their shambas; virtually all cattle-raising on a large scale is done by members of kraals; virtually all cloth and all clothing is distributed through the local shop (duka) or the agents of the shopkeepers in the monthly markets; and so forth. Thus descriptions are being collected of the more important routine economic activities, of the contexts in which they are carried out, and of the role structures, sources of personnel, etc. of these contexts. The usual procedure used to arrive at these descriptions follows: I visit a number of places, say kraals, and make extensive notes; I then talk over with my assistant(s) what we can ask the

people and what we can observe without being too disturbing, and together we draw up an interview guide and a scheme for observations; they generally make the observations and do the interviewing. These materials are seriously incomplete.

Descriptions of unusual activities: Particularly in the past decade there have been a number of developments in the kinds of economic activities carried on (a tea-estate, for example, has been started) or in the organization of economic activities (fish marketing) or in economically relevant activities (agricultural extension work). I have some information on these developments but not enough, particularly about developments that failed to take on (marketing of ghee) in comparison with those that thrived (marketing of fish). Also, some developments took hold in some areas but not in others (cooperative marketing of hides and skins), and descriptive details about the development are needed both in areas where it succeeded and where it failed.

In order to bring the data-collection to a point of adequacy, I should like to spend the summer of 1963 in Entebbe and Ankole. Much of the routine information I listed above is still being collected by assistants, but it is not possible for anyone but me to do the archival work or follow-up interviewing of the older men and the designing of the observations and interview schedules for the descriptive materials. I should like to add two points here. First, I am reasonably certain that the 3-3¹/₂ months available during the summer would be sufficient to complete the work. Second, it is important that it be done this summer, for if it is necessary to postpone the trip, it will take almost as much time to "re-enter" the society as it did to enter it initially; when I left, relations with Banyankole at all levels of the society were, I think, very good, but personnel change and those who remain have other things to think about, and to have to postpone returning to another year would just about double the time required to finish the data collection.

Based on my stay in 1961-62, I estimate expenses would be as follows:

<u>Travel.</u> Round trip economy-class passages, NY-Entebbe-NY	\$1100
Internal. A car is a necessity. The government allows between Sh.1/15 and Sh.1/35 per mile, but that is high. Expenses on a new Peugeot, including depreciation, ran about Sh.1/- per mile. I averaged about 2000 miles per month. At this rate or a little less I could be expected to travel about 7000 miles, a cost of Shs.7000/-	\$1000
<u>Living Expenses.</u> Rent, food, depreciation on furniture and equipment, household help, utilities; about \$300 per month. . . .	\$1000
<u>Research Assistants.</u> Two at Shs.400/- per month each. For 3 ¹ / ₂ months, that comes to Shs.2800/-	\$ 400
	<u>\$3500</u>

I am also applying to the Social Science Research Council for a grant to cover these expenses.

Sincerely,

Terence K. Hopkins
Assistant Professor of Sociology

list of publications attached

Terence K. Hopkins

Publications and Other Papers

- Major Social Trends (edited, under the direction of Robert K. Merton), New York: American Nurses' Association, 1956.
- An Outline for the Comprehensive Study of National Images of America (with Herbert H. Hyman), New York: Bureau of Applied Social Research, 1957.
- Sociology and the Substantive Economy, in Polanyi, et al., eds., Trade & Market in the Early Empires, Glencoe, Ill.: The Free Press, 1957.
- Rank, Influence and Leadership. Paper read at the Eastern Sociological Society meetings, 1958.
- Sociology, 1958, in New International Yearbook, New York: Funk & Wagnalls Co., 1959.
- Rank and Influence in Small Groups, Ph.D. dissertation (1959). To be published in 1963 by Bedminster Press, New York.
- Innovation, Authority, and the Foreman. Paper read at the Fourth World Congress of Sociology, 1959.
- Sociology, 1959, in New International Yearbook, New York: Funk & Wagnalls Co., 1960.
- Sociology and History. Discussion of papers on historical sociology at the American Sociological Association meetings, 1960.
- Bureaucratic Authority: The Convergence of Barnard and Weber, in Amitai Etzioni, ed., Complex Organizations: A Sociological Reader, New York: Henry Holt & Co., 1961.
- Experiments with Organizations (with Morris Zelditch, Jr.), in Etzioni, op. cit.
- Applications of Methods of Evaluation (with Herbert H. Hyman and Charles R. Wright), Berkeley and Los Angeles: University of California Press, 1962.
- Group Structure and Opinion Change, New York: Bureau of Applied Social Research, 1962. Under revision for publication.

Terence Kilbourne Hopkins

265 Riverside Drive, New York, New York 10025

ACademy 2-1538

20 Nov., 1928

New Rochelle, N.Y.

USA

Married

One, wife

A.B., New York University, 1952; Ph.D. (Sociology), Columbia University, 1959.

Assistant Professor of Sociology, Columbia University, \$8,750.

The political economy of Ankole (Uganda)

3 months

1 June, 1963

31 August, 1963

Robert K. Merton, Prof. of Sociology, Columbia University.

Herbert H. Hyman, Prof. of Sociology, Columbia University.

Karl Polanyi, RR 3, Pickering, Ontario, Canada.

Grant in lieu of earnings

Regular university salary 2580

to be foregone 1410.

Research assistant 450.

Typing & clerical 300.

2110.

2580

2110.

No.

Dec. 15, 1963

- A -

The purpose of the research is to explain why different areas and peoples of Ankole District, Uganda, exhibit markedly different degrees of economic development, and to do this first by describing in detail the history of Ankole's economy from just before 1900 (when British overrule was established) to the present, and then by relating parallel political and social developments over this period to the developments in the economy. Although the history of Ankole per se is not of much general interest, the underlying forces at work are like those at work in other former colonies, and a detailed account and analysis of their operation will, I think, add considerably to our understanding of the course and causes of administered economic development.

The research did not have this broad a scope initially. In my applications to the Social Science Research Council and the Conference Board of Associated Research Councils, both of which supported the project, I proposed doing a fairly detailed study of two or three basic economic activities in several local communities in order (a) to describe the organization of these activities in terms of the roles and larger social structures in which they are carried out, and (b) to compare the way these activities are organized in communities with somewhat different traditions and at different distances from an administrative or market center. I was not in Ankole very long, however, before I discovered it would be neither feasible nor valuable to pursue this plan. To do the kind of structural analysis I had intended requires a degree of general knowledge of the culture, social structure, and, in particular, recent history of the society that I was simply lacking. Nor was I helped much when I turned back to the few ethnographic accounts since they deal with (and I now think misinterpret) Ankole society as it was before the coming of the British, whereas I needed materials that would help me to explain the statistics I had been patiently putting together in order to choose the several localities I would study.

As I began working back through the District Year Books and the archives in the District Office, several generalizations emerged: major developments within the economy, without exception, resulted from administrative activity; the success or failure of an economic policy, especially in recent years, depended far more on the attitudes of the population towards the agency and personnel implementing the policy than on such things as whether the people were "ready" for the change, whether the plan required them to depart only a little or a great deal from their usual technique or organization, or so forth. In short, it became clear that a detailed knowledge of the development of the administrative system would be necessary to an understanding of present economic organization. In turn, this required unraveling some of the complexities of the system of stratification in Ankole, since in both the pre-colonial and colonial periods the two were very closely related (though, in the past decade, they have become increasingly distinct, and a man's political or administrative power is no longer so closely associated with his social standing as it was).

The study thus went through a double shift in the focus of attention: initially focussed on a few localities, its scope was broadened to include all administrative units in Ankole in order to make systematic comparisons among them; and then its scope was broadened further, to include the history of Ankole's administrative system, economy, and stratification system. Nevertheless, and although the methodology has also been altered considerably from that initially contemplated, the aim of the study has not basically changed: it is to describe the organization of economic activity in a society undergoing a basic transformation, and to account for differences both in the way various

kinds of activities are organized and in the way the same activities are organized in different parts of the society.

The materials collected and the methods used to collect them are of several kinds, grouped for present purposes under three headings, historical materials, comparative materials, and detailed descriptive materials.

Historical materials: These are to be found in archives in Ankole itself, in Toro (where the provincial center was located), in Entebbe (the capital of the former Protectorate), and in the missions; such materials are also to be found in the memories of old men. The archival materials are of three main sorts: (1) Reports (e.g., the District Reports, the Agriculture Department reports, etc.); (2) The files on particular policy decisions (e.g., migratory labor, introduction of coffee, communally built roads, etc.); these are the actual working files containing all the reports, letters, and minutes on the subject, providing a virtually day-by-day account of colonial administration in process. (3) Material on the administrative system itself (e.g., policies, personnel, organization, etc.). I worked through these fairly systematically, sometimes taking notes but more often copying relevant documents in whole or in part.

To make effective use of informants, I found it necessary to be fairly well acquainted with the subject matter I was asking them about. I therefore worked out the procedure of not going to an older man until I had learned as much as could be learned from archival materials. When visiting him, I would outline what I knew; he would then upon correct me, fill in gaps, and most important, provide information from the Banyankole viewpoint (which of course the archives virtually never do).

Of particular interest, perhaps, is a list I compiled of all leading men of Ankole from the period just before overrule through to the present. This list will allow me to trace accurately the changing composition of the district elite, the causes of the changes and their effects, and thus to test a number of hypotheses concerning the characteristics of elites in a society undergoing rapid and extensive social change.

Comparative materials: Ankole District is divided administratively into 10 counties, 55 subcounties, over 300 parishes, and over 700 subparishes. In general, the headquarters at one administrative level (say, a county headquarters) records information only in terms of the units immediately below it (in this case, subcounties). Information on all subparishes is thus inaccessible for all practical purposes. The 10 county chiefs, however, were extremely cooperative, and it proved possible to have them request their respective subcounty chiefs to send in various kinds of information. In addition, the Agriculture, Veterinary, Community Development, and Cooperative Departments of the Central Government keep records, usually by county but sometimes by subcounty, and the officers in charge were almost without exception willing to let me work through their files. Finally, some statistics could be obtained only from the missions and the Indian Community's Chamber of Commerce, all of which were, after a while, very helpful. I list below (in no particular order) some of the kinds of information collected from these various sources. For each heading there are three to five specific pieces of information. Also, I attempted to obtain these data for several years in a row, preferably the last 10. Population data; Cooperative organization; Occupational groups; Crop acreage; Cattle & cattle products; Traders, markets, etc.; Local organizations (schools, clubs, churches, etc.); Medical facilities; Health conditions; Housing conditions; Roads, road construction; Other construction activity; Transportation facilities; Technical assistance (extension work by departments); Water supplies; Political activity; Judicial activity; Tax assessment & collection.

These data will be used first to compare areas systematically on various aspects of economic development and then to relate degree of development both to the historical materials

and to other (quantitative or qualitative) characteristics of the areas. There is at present, for example, a strong positive association between school facilities and general level of well-being; having the data for the ten-year period will allow me to see whether over areas, the level of well-being rises first and then school facilities expand, or as I now think, school facilities expand first and then the level of well-being rises.

Detailed Descriptions of activities: In an area with over 500,000 people, a very large number of economic activities will be carried out. But in Ankole they are carried out in a surprisingly small number of social contexts. Virtually all cultivation is done by small families living alone on their shambas; virtually all cattle-raising on a large scale is done by members of kraals; virtually all cloth and all clothing is distributed through the local shop (duka) or the agents of the shopkeepers in the monthly markets; and so forth. Thus descriptions were collected of the more important routine economic activities, of the contexts in which they are carried out, and of the role structures, sources of personnel, etc. of these contexts. To obtain these descriptions, I visited a number of places, say kraals, and made extensive notes; I then talked over with my assistant(s) what we could ask the people and what we could observe without being too disturbing, and together we drew up an interview guide and a scheme for observations; they generally made the observations and did the interviewing.

In the past decade there have been a number of developments in the kinds of economic activities carried on (a tea-estate, for example, has been started) or in the organization of economic activities (fish marketing) or in economically relevant activities (agricultural extension work). I have collected some information on these developments, but particularly about developments that failed to take on (marketing of ghee) in comparison with those that thrived (marketing of fish). Also, some developments took hold in some areas but not in others (cooperative marketing of hides and skins), and I have collected descriptive details about such developments both in areas where they succeeded and where they failed.

Results Expected:

The principal result immediately contemplated is a book on the impact of overrule on the political economy of an African society. The general thesis is that economic development in Ankole resulted initially from the changes that overrule introduced into the political system and that it took the particular direction it did because of the effects of the political changes on the stratification system. The book is organized in three parts: the first depicts the political economy of Ankole during the latter half of the 19th century, before overrule; the second traces in some detail the principal changes in the polity, the economy, and the stratification system that occurred in the early years of overrule, 1900-1920; the third concentrates on the succeeding forty-year period, 1920-1960, and shows that present conditions result from the further developments which these initial changes set in motion.

In the course of analysing the materials for inclusion in this monograph, I expect to write several preliminary reports for publication, e.g., a detailed description and analysis of the establishment of indirect rule (in Ankole); a comparison of the administrations that evolved under overrule in Busoga, Buganda, and Ankole; a comparison of the relations between the cattle-people and cultivators in Rwanda (Batutsi and Bahutu, respectively) with the relations between the cattle-people and cultivators in Ankole (Bahima and Bairu, respectively); a description and analysis of the changing composition of a district elite under overrule and of the effects of these changes on economic activities; and so forth.

If the statistical and descriptive materials turn out upon analysis to be as rich as I hope they are and to be internally consistent (which, being administrative statistics, they may very well not be), they will deserve a more exhaustive treatment than can be given them

in the monograph mentioned above, and I would then write a second book dealing in detail with the various changes in the Ankole economy since World War II and with the relationships between the economic changes and the rather profound transformations in politics, education, religion, and stratification that have also occurred in this period. Whether the data are good enough to support such a detailed analysis of structural differentiation and of the emerging forms of integration, cannot be decided until I have had an opportunity to examine them fairly closely and to analyze them in a preliminary fashion.

COPY

- B -

As the foregoing suggests, the field work has been completed, the academic year 1961-62 and the summer of 1963 having been spent in Uganda. It has, however, proved nearly impossible to work on the materials during the present term, and I expect it will be no different next term. What I have been able to do is to start a detailed outline of the monograph, which I expect to have completed by late Spring, 1964, and which I intend to use to guide the analysis of the materials next summer.

This research is closely related to two kinds of work I have done in the past and am continuing to do. About ten years ago I began working in the special area of the sociology of economies (under the direction of Karl Polanyi), returned to it with this project, and have recently introduced a graduate course at Columbia on this subject. I have also worked extensively in the area of the sociology of administrative organizations (initially under the direction of Robert K. Merton) and in both research and teaching continue to work in that field as well. (My dissertation, which ended up mainly as a study of influence processes in small groups, began as a study of the way authority structures in large-scale organizations operated.)

- C -

(No longer applies.)

- D -

I am requesting from the Council an allowance in lieu of earnings to be foregone this summer. The figure I have given (\$1410) is the regular summer session salary for an assistant professor at Columbia University. Chances are that I would not in fact teach this summer but would instead take on paid research at one-third of my annual salary. I have used the lower figure since that would constitute a sufficient supplement to my regular salary to make it unnecessary to work. I am also requesting funds for a graduate assistant to work with me on the analysis (approximately 150 hours at \$3.00/hour) and for the typing of the manuscript (estimated 400 pages at 75 cents/page, allowing for revisions).

The Columbia Council for Research in the Social Sciences supported the additional field-work carried out in Ankole, Uganda, in the summer of 1963. I would have applied again to that organization, but in the meantime I have become its Secretary and feel it would be inappropriate for me to do so. The typing of the detailed outline I am drafting is being paid for with funds from the Office of the Dean of the Graduate Faculties, Columbia University.

- E -

Research Positions

- 1952-54 Research Assistant, Bureau of Applied Social Research, Columbia University, New York, New York.
- 1953-57 Seminar Associate, Seminar on Interdisciplinary Research on the Economy (a project supported by the Ford Foundation).
- 1955-57 Research Assistant, BASR, Columbia.
- 1957-58 Fellow, Social Science Research Council.
- 1958- Research Associate, BASR, Columbia.
- 1960- Chairman, University Seminar on Power and Social Structure, Columbia
- 1960- Member, University Seminar on Africa, Columbia.
- 1960-61 Consultant, Institute of Public Administration, New York, New York.
- 1961-62 Associate, East African Institute of Social Research, Makerere University College, Kampala, Uganda.
- 1962- Consultant, Interdepartmental Neighborhood Service Center, New York.

Teaching and Administrative Positions

- 1953-54 Assistant, Department of Sociology, Columbia.
 1954-55 Instructor, Department of Sociology, Upsala College, New Jersey.
 1955-56 Instructor, Department of Sociology, Adelphi College, New York.
 1956-57 Lecturer, Department of Sociology, Columbia.
 1958-59 Instructor, Department of Sociology, Columbia.
 1959- Assistant Professor, Department of Sociology, Columbia.
 1960-61 Executive Assistant, Program in Contemporary Civilization, Columbia College.
 1963- Secretary, Council for Research in the Social Sciences, Columbia University.

- F -

Books, monographs, etc.

Major Social Trends (edited, under the direction of Robert K. Merton), New York: American Nurses' Association, 1956.

Rank and Influence in Small Groups, Ph.D. dissertation, Columbia, 1959.

Applications of Methods of Evaluation (with Herbert H. Hyman & Charles R. Wright), Berkeley & Los Angeles: University of California Press, 1962.

Group Structure and Opinion Change, New York: Bureau of Applied Social Research, 1963. Under revision for publication.

The Exercise of Influence in Small Groups, New York: Bedminster Press, sometime 1964 (A considerably revised version of the dissertation).

The Staggering of Work Hours: A Sociological Study (in collaboration with Amitai Etzioni and Immanuel Wallerstein), New York: Institute of Public Administration, in preparation.

Articles, papers, etc. (selected)

An Outline for the Comprehensive Study of National Images of America (with Herbert H. Hyman), New York: BASR, 1957.

Sociology and the Substantive Economy, in Karl Polanyi, et al., eds., Trade & Market in the Ancient Empires, Glencoe, Ill.: The Free Press, 1957.

Rank, Influence, & Leadership. Paper read at Eastern Sociological Society meetings, 1958.

Innovation, Authority, and the Foreman. Paper read at the Fourth World Congress of Sociology, 1959.

Bureaucratic Authority: the Convergence of Weber and Barnard, in Amitai Etzioni, ed., Complex Organizations: A Sociological Reader, New York, Henry Holt & Co., 1961.

Experiments with Organizations (with Morris Zelditch, Jr.), in Etzioni, ed., Complex Organizations, 1961.

The nature of evaluation research, in The Proceedings of the 4th Annual Conference on Training Dental Students, Washington, D.C.: Department of Health, Education, & Welfare, in press.

The Division of Labor, International Encyclopedia of the Social Sciences, New York: Crowell-Collier, in preparation.

- G -

- \$6500 Conference Board of Associated Research Councils (Fulbright)
(approximate dollar equivalent of the value of the grant), 1961-62.
- 4380 Joint ACLS-SSRC Program in African Studies, 1961-62.
- 3500 Council for Research in the Social Sciences, Columbia University, 1963.
- 100 Office of the Dean of the Graduate Faculties, Columbia University, 1963-64.

- H -

(Does not apply)

COPY

Proposed Plan of Study

Background and Qualifications: The Project to Date

1. The project is a case study in Uttar Pradesh of Indian land tenure and land market history, land reform, the administration of the land tenure and Land Revenue systems, and the economic structure of the Indian village. In the independence movements in southern and eastern Asia reform of the system of land tenure has become an article of faith. It is time for a re-evaluation of land reform programs because a reading of the economic history of the past two centuries casts doubt upon some basic assumptions of the reformers.

2. Since 1948 I have been studying the history of markets and market institutions, their origins and growth, particularly with respect to the conditions which lead to their success or failure. I have spent a substantial part of the last three years investigating the economic organization of the Indian village and the history of the Indian land market. From 1951 to 1953 I wrote a Ph. D. thesis on Land Tenure and the Economic Modernization of Uttar Pradesh (India) for Dr. Vera Anstey at the London School of Economics.

3. My thesis traced the history of land tenure in Uttar Pradesh and compared the land reform legislation with previous British policy. A surprising conclusion was that the new Indian policy is very much a continuation of the trend established by the British. In analyzing the relationship of British policy to the stagnation of agriculture I was limited to the documents and reports available in the United Kingdom, which provided a broad picture of the movements of prices and production and of the legislative and administrative policies followed. I formulated the tentative hypothesis that the zamindari system of ownership was not the cause of agricultural stagnation on the grounds that the usual criticisms of the zamindari

Proposed Plan of Study - 2

system--insecurity of tenure, high rates of rent and land revenue, and fluctuating prices--were not supported by the evidence of official action and data. Legislation giving the tenant increasing protection, declining rates of rent and revenue, and a willingness to reduce burdens in step with price declines during the nineteen thirties were the marks of British administration. On the other hand the lack of capital, the failure of alternative employments in commerce and industry to absorb surplus rural population, the lack of channels through which economic pressures in one sector could affect activities in other sectors, seemed to provide a sufficient explanation of the difficulties of agriculture. These hypotheses do not augur well for the success for land reform

4. These conclusions rest on incomplete evidence. A full analysis will require knowledge of

- (a) the effectiveness at the local level of past official policy, especially in regard to the actual securing of tenant rights.
- (b) the motivations which govern the behavior of cultivators.
- (c) The extent to which the land reform legislation is being modified in practice.
- (d) the unofficial development of new institutions and outlooks in the villages.
- (e) the development of other agricultural, industrial, and commercial programs and the extent to which they are being integrated with the system of tenure, thus curing indirectly the ills of the land market.

Current Work on the Project

5. Since completing the thesis I have continued my work on these problems in conjunction with the Ford Interdisciplinary Project on "Economic Aspects of

Proposed Plan of Study - 3

Institutional Growth" under Professors Karl Polanyi and C. M. Arensberg at Columbia, to which I have submitted two memoranda on the organization of Indian village life. I have also been engaged in the Columbia University Seminar under the chairmanship of Professor A. R. Burns on the "Origins of the Economic Process" and have contributed a paper on pre-British Indian systems of production and distribution. At the moment I am looking into the significance for Indian Economic History of Sir Henry Maine's work and hope shortly to start upon an analysis of the relationship of the system of agricultural taxation to the systems of production and distribution.

6. In the spring term I will be giving a graduate course on "The Modern Economic History and Development of South-East Asia" for the South-East Asian Program at Yale. This fall I have been lecturing in the graduate economic history course on the economic organization of the ancient world, a subject in form and content closely related to the problems of pre-British Indian economic organization.

Proposed Further Research on the Project

7. To complete the evaluation of the land reform project in Uttar Pradesh, it will be necessary to gather the information indicated in paragraph (4). The published and documentary evidence available in the United States and the United Kingdom does not provide this information. Satisfactory evidence can be had only from local agricultural and tenurial records and from interviews with local officials. Major questions to be answered are how many cultivators were actually evicted despite protective legislation, how many families are actually dependent upon wage labor alone, how closely do rents paid correspond with recorded rents, how do the officers charged with fixing rents and revenues go about applying the standards laid down in legislation, and to what extent do downward as well as upward variations in rent charges occur outside the legal channels.

Proposed Plan of Study - 4

8. To carry out this further research I would like to go abroad from June of 1955 to September of 1956. I would remain four to six weeks in London doing further research at the old India Office and consulting with Dr. Vera Anstey of L. S. E. and Dr. Harold H. Mann of Woburn Experimental Station, Oxford; and then a full year in north India in association with either the university at Lucknow or at Allahabad, going by way of Bombay to consult with Dr. Daniel Thorner of the South East Asia Studies Program at the University of Pennsylvania. While in India I should also like to have the benefit of the advice of Professor B. R. Misra of the University at Patna and of Professor B. N. Gangulee of the Delhi School of Economics from whom I expect to learn the results of the latest research into land reform.

9. The research work will fall into five categories:

- a) Examination of the Settlement Reports, especially the early ones, and the London-Calcutta-U. P. correspondence about Revenue Settlement and land tenure which are most easily available in London.
- b) Advice from interested scholars in England and India and help in organizing my field work from the faculty of a university in U. P.
- c) Sampling official rent and revenue records at the district and tehsil (subdistrict) offices, and sampling the records of litigation over these matters and rights of tenure at the same level.
- d) Consultations with district and lesser officials
 - 1) on the problems mentioned above, and
 - 2) on the exact methods adopted by these officers in giving effect to legislative enactments and administrative orders.
- e) Consultation with cultivators and ex-zamindars to ascertain their views on the issues and facts
 - 1) to check against the official view, and

Proposed Plans of Study - 5

- 2) to discover whether they believe policy and administration to be fair and effective. This procedure should also throw light on the motives governing the behavior of the villages and indicate the way in which programs of improvement can be made effective.

Relationship of the Project to Professional Objectives

10. The project will be useful in a re-analysis of the problems of over-populated agricultural countries, and it is also preparation for wider study of these problems. In future writing and teaching I intend to pursue the historical problem of the rise of market institutions in south and southeast Asia, and the policy problem of the methods by which these "under-developed" nations hope to raise their standards of living. On the one hand I plan to broaden my historical research into a comparative economic history of the general area of Pakistan-India-Burma-Malaya-Indonesia, and on the other hand to relate the historical and comparative analysis to the developmental problems of economic organization and capital accumulation. In addition to research in these fields I intend to continue teaching the economic history of the area in the South East Asia Program at Yale, and hope that the offering here in the economics and economic history of the area may be expanded.

Language Skills

11. For most purposes English will be sufficient, since the records are in English and all officials and scholars will speak it. For interviewing in the villages, English will carry me part way. For the rest, I intend to make use of a guide-translator and expect to acquire informally and by use the conversational vocabulary I will need.

PLEASE RETURN TO
JOHN SIMON GUGGENHEIM
MEMORIAL FOUNDATION

Walter C. Neale

Account of Advanced Studies and Research

1. My advanced research to date has centered around the related problems of the economic organization of the Indian village, the history of land tenure and the market for land, land reform, and agriculture in India.

2. During the two years 1951-3 I worked on a thesis, Land Tenure and the Economic Modernization of Uttar Pradesh, India, under Dr. Vera Anstey at the London School of Economics, using the records of the old India office and the modern facilities of the High Commissioner for India. I was awarded the Ph. D. in the summer of 1953, after examination by Dr. Anstey and Dr. Harold H. Mann, Assistant Director of Woburn Experimental Station, Oxford.

3. Prior to my thesis work at London I was trained at Columbia University. During my first year there, 1947-8, I did most of my work with Professor Ragnar Nurkse in International Economics and with Professor Karl Polanyi in Economic History, including advanced work on the economy of the ancient world. My master's essay on Economic Concepts Applied to Primitive Societies was done under the direction of Professor Polanyi, and the following summer I worked on similar problems as a research assistant for the Columbia University Social Science Research Council. In the summer of 1949 I studied modern European Economic History under Professor Dudley Dillard. In my second year at Columbia, 1950-1, I continued work in International Economics under Professor James W. Angell with whom I also studied Monetary Economics. That year I studied the Russian economy under Professors Abram Bergson, Evesey Domar, and Michael T. Florinsky. While working on my thesis in London I attended and contributed to Professor Lionel Robbin's Departmental Seminar in Economics.

4. My thesis traced the history of the land market in Uttar Pradesh (U. P.) from the British conquest to the present in an effort to find out whether the zamindari system of landlords was responsible for the present poverty of the area. The evidence to be found in the documents available in England indicated that the zamindari system was not responsible for the lack of economic advance. This evidence appeared to show that, contrary to popular assumption, the tenant was not left at the mercy of the landlord, but rather has received increasing protection and privileges from the government since the middle of the last century. Continuous reduction in government revenue demands and increasing control over rents cast doubt on the common explanation that high revenue and rent payments have ruined the cultivator. Comparison of rent returns, revenue returns, and land valuations with the course of price fluctuations lends no support to the argument that price instability held back agriculture before the depression of the thirties, and at that time additional legislation reducing rents and revenue and staying execution of decrees seemed to counterbalance the effect of falling prices. Furthermore, it is clear that stagnation had set in at least a decade earlier. Even the picture of a few landlords, many tenants, and many landless laborers is open to question. The revenue and census data show a fifth to a fourth of the cultivators owning land while figures on tenants and laborers are so inconsistent as to be useless unless one assumes that individuals double-and-triple-up in capacities as laborer, tenant, and zamindar. So far as I have gone, I lean to the hypothesis that the

Account of Advanced Studies and Research - 2

trouble with Indian agriculture lies not in the tenorial system but in the lack of capital and in the failure to provide alternative occupations for redundant cultivators. A market system of organizing economic activity depends for success upon the ease with which factors can move from one occupation to another. Rational economic employment of resources being blocked in U. P., the growth of population pressure on the land inevitably led to a fall in the productivity of labor until at present marginal labor probably has a productivity of zero. While the land reform legislation has redistributed rights to land among the various claimants, it has done nothing to provide more capital - agriculture's crying need - or to establish the prerequisites of labor mobility.

5. However, the very important problems of how the zamindars maintained their privileged position, of how effective legislation was in protecting the tenant, of how successfully the reform program is being carried out, and of what progress is now being made in reorganizing and helping agriculture, and moving the surplus cultivators could not be approached on the basis of the documentary evidence in England. These are questions which can be handled only by an examination of local records and by interviews with the responsible officials and the interested parties themselves.

6. Since completing the thesis I have continued my work on these problems in conjunction with the Ford Project on "The Origins of Economic Institutions" under Professors Karl Polanyi and C. M. Arensberg at Columbia, to which I have submitted two memoranda on the organization of Indian village life. I have also been engaged in the Columbia University Seminar under the chairmanship of Professor A. R. Burns on the "Origins of the Economic Process" and have contributed a paper on pre-British Indian systems of production and distribution. At the moment I am working on the question of the significance for Indian Economic History of Sir Henry Maine's work for submission to the Ford Project, and hope shortly to start upon an analysis of the relationship of the system of agricultural taxation to the systems of production and distribution in agriculture.

7. In the spring term I will be giving a graduate course on "The Modern Economic History and Development of South-East Asia" for the South-East Asian Program at Yale. This fall I have been lecturing in the graduate economic history course on the economic organization of the ancient world, a subject in form and content closely related to the problems of pre-British Indian economic organization.

List of Publications

No publications to date. The manuscript of my Land Tenure and Land Reform in Uttar Pradesh is being read for the Yale Series in Economics, Yale University Press.

George Dalton

"Economic Theory and
Primitive Economy"
"American Anthropologist"
April 1961

I have known the
applicant well ever
since he 1950, when
he attended my course
at C. U., and later as
a member of the Valldic
group at C. U. in 1958-
1959, and the Continuation
Group 1959-61, 1958-61.

- Among the half dozen leaders
in this field.
- A group of young scholars
working in the field of the
substantive economy
in which Paul Bohannan,
the Valldic, Gustav
Fredriksson, and
Paul Bohannan
Nordstrom is outstanding

Comments: The applicant is an
arduous worker and
productive worker in the above
field. Still unpublished work appear
to keep this level.

The applicant's description
of the process is highly satisfactory
in the Mitchell's report.
P. C. R. His personal observations
appear to be very satisfactory
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the comparative treatment
of embryos.

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Working Papers of Economics
Columbia University
(1947 - 1952)

Efforts at
The main purpose
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New requirements
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his

Doctor at Columbia, having ~~been at report in~~
~~France. His~~ thesis was on Schumpeterian (3)
economics. He will be arriving Paul is a
close friend of our family and will ~~be~~ is
are staying has been staying with us ~~for~~
here tonight for an ~~other~~ stay with us, Kari's
will be ~~will be~~ having it appear, to be
continued ^{maybe} for a ~~long~~ ~~time~~ with Kari's he lives
in Frederickson.

Paul is at present enjoying a Ford
Fellowship year for 62/63 and ~~is~~
plans to leave for Europe in the last
week of August for approximately 3 months.
His hope is ~~on his return~~ ~~hoping~~ ~~that~~

Application for Faculty Research Fellowship, Social Science Research Council

(Draft)

Statement (A)

Economies of record may be regarded as of three kinds, primitive, historical, and contemporary, and are usually studied by specialists from different social sciences: primitive economy is almost exclusively the concern of anthropologists such as B. Malinowski, M.J. Herskovits, and R. Firth. Economies of the nineteenth and earlier centuries are the preserve of historians. Contemporary economies are the concern of economists, whose interests are such as not to place great value on detailed knowledge of primitive and historical economies, or, indeed, on familiarity with other social sciences. Typically, neither economic anthropology, economic history, nor, say, sociology is regarded as necessary preparation for work in economic theory and in conventional fields of applied economics such as international trade and public finance. Because most fields within economics are concerned exclusively with aspects of our own type of ~~primitive~~ economy, for their purposes economists quite successfully can regard the economy as a set of economic mechanisms capable of intensive analysis without reference to social matters or to markedly different economic structures. It is seldom that the economic theorist has need to consider ~~primitive~~^{family} religion, or even government. What deserves emphasis is that it is not the idiosyncratic habits of economists which cause them to ignore so much, but rather the special structure of the Anglo-American type of economy, which for most economists is the economy of exclusive concern.

One reason why comparative economic systems is something of an undeveloped area within economics is that the enormously successful methods of formal economic theory are in some cases inappropriate (e.g., ^{to} primitive economies), and in other insufficient (e.g., ^{for} Soviet economy) to analyze all types of economy. ~~Notwithstanding~~^{however,} one cannot transfer exclusive concern with economic mechanism to the field of comparative economy because one cannot disentangle the economic from the social in several types of economy.

Two kinds of recent change create the need for more work in comparative economy, and especially for theoretical ~~new~~ apparatus which would allow systematic comparison of widely differing economies of record. The recent

changes may be summarized, as follows:

Not bad

(A) (1) The first is experienced change in economic organization in Western Europe and America; ~~attention~~ the movement away from relatively uncontrolled capitalism to mixed or controlled economies, sometimes called "New Dealism" in the United States, and the "Welfare State" in Great Britain and Scandinavia. Another variant of controlled capitalism was the organization of fascist economy in Germany and Italy. A second set of recent ~~economic~~ changes is the creation of ^{Soviet} communist economies in Russia, Eastern Europe, and China; and a third set is the structural transformation ~~of~~ ⁱⁿ underdeveloped areas formerly studied as primitive economies by anthropologists. (C)

(B) (2) The changes in functioning economies, labeled above, are responsible for the emergence of fields of interest as common ground for several of the social sciences. Area studies programs such as Soviet Studies and African Studies, and underdeveloped area transformation, are fields now worked in by specialists from all the social sciences.

(3) It is time, perhaps, that someone ingested the principles of all these economic structures. The purpose of my intended research is to write a scholarly book on Comparative Economic Organization, of interest to several fields of social science. I propose to consider eight economies of record under six categories:

- I. Primitive Economies
- II. Medieval European Economy
- III. Nineteenth Century Market Industrialism
- IV. Controlled Market Economies of the Twentieth Century
 - (A) The British Welfare State
 - (B) American New Dealism
 - (C) ~~Nazi~~ The Economy of Nazi Germany
- V. Soviet Economy
- VI. Economic Organization in Developing Areas

As they relate to the above economies, the general themes of the work fall under three broad headings, each of which may be illustrated by particular points.

(1) To derive useful criteria for distinguishing between markedly different economies, so that the same set of questions can be put to each in order to make firm contrasts and generalizations. (a) To show what is common to all economic systems, and then to show those characteristics of structure and process which create the differences among economic systems. More specifically, to show that some of the economies listed above differ markedly from one another in the different organization of common elements: the varying roles ^{* dependence upon} of money, external trade, and markets; the different ways of organizing ~~the~~ production processes; and, finally, in the different relation between economic and social organization (e.g., family and political organization). (b) It will be shown that resource ^{allocation} endowment, techniques of production, and human cooperation (division of labor) are the constants, so to speak, of all economies; it is the special form they take, and the special set of institutional practices which link them so as to assure repetitive performance in material goods provision, that mark off types of economy from one another. good

(2) To relate methodological questions to matters of substance. (a) For example, by showing that the difference in the way the anthropologist analyzes primitive economy and the Western economist analyzes industrial capitalism, stems from essential differences in the organization of the two types of economy, as well as from the differences in the traditional concerns of the two social sciences. (b) To consider the usefulness of economic anthropology and economic history in the treatment of comparative economy. (c) To consider the relevance of Western economic theory to the analysis of types of economy other than market industrialism. (d) To investigate the extent to which the use of machine technology imposes similar constraints on differently organized economies, with the result that economic organization in non-industrialized economies takes a wider range of forms than in industrialized economies. Put differently, to show that although the extensive use of industrial technology is compatible with markedly different systems of economic organization e.g., the United States and Soviet Russia, the constraints imposed on economic organization by the use of machines create specific socio-economic characteristics shared by all industrial economies despite their organizational dissimilarities; and that such ~~socio-economic~~ characteristics rarely are present in non-industrial economies

(3) To consider issues arising from contemporary economic and social change in the West and in underdeveloped areas, ^{from the well part of} by analyzing concepts and findings ~~mentioned~~ in the earlier portions of the work. (a) To show that several developing economies in Africa and Asia are creating economic structures which combine elements of the Welfare States of Europe and America and central planning of the Soviet Union, with institutional practices from their traditional, primitive structures. In this connection an attempt will be made to determine some limits of variation in economic organization in the newly developing economies, and to consider in what ways and for what reasons the developing economies can and do depart from the Anglo-American and the Soviet models, and still retain viable economic structures consistent with tolerable ~~rates of growth~~.

If the Fellowship is granted, I shall spend the calendar year September 1962 to August 1963 on the work. This will entail further reading, organizing notes of works read, articles and drafts written, my current year's research notes on Liberian economy, and writing drafts of chapters. I should like to spend three months in England completing my research on various periods of British economy, and the remaining nine months using the libraries at Columbia and Harvard. I intend to have a draft of the book by August, 1963.

Statement (B)

My teaching, writing, and empirical research during the last ten years have been concerned with most parts of the proposed work. I would estimate that I have written drafts and articles comprising one-third of the intended book. I will be able to make use of material in the written work listed below and in Statement (F), and themes contained in my lecture notes.

1. At Boston University and Bard College I ~~was~~ taught courses and ~~gave~~^{gave} tutorials and seminars in Comparative Economic Systems, Economic Development, and Economic Theory.

2. My M.A. thesis was on the economic aspects of Great Britain's National Health Service.

3. My Ph.D. thesis analyzed two critiques of nineteenth century industrial capitalism (the work of Robert Owen and of Karl Polanyi), and related them to British, European, and American changes in economic organization occurring in the twentieth century. The proposed project will make use of about one-fourth of my thesis, but in much revised form.

4. From June 1961 through August 1962 I shall be doing empirical research as part of Northwestern University's Economic Survey of Liberia. The purpose of the project is to derive a developmental plan for the Liberian economy. I am especially concerned with problems and methods of drawing the primitive, subsistence sectors into commercial activities.

Statement (D)

I will not need funds for transportation from Liberia to England and the United States. Northwestern University will pay for my return trip. The SSRC Fellowship is for full maintenance in lieu of university salary for the ^{calendar} year beginning September 1962. I estimate that I will spend about \$400 for typing services and \$100 for travel within the United States.

Statement (E) Academic Positions Held'

Instructor in Economics, Boston University, 1953-1955.

Instructor in Economics, University of Maryland Overseas Program:

five months in England and five months in Germany, 1955-1956.

Instructor in Economics, Boston University, 1956-1960.

Assistant Professor in Economics, Bard College, 1960-1961.

Research Associate in Economics (Assistant Professor level),

Northwestern University Economic Survey of Liberia, 1961-1962.

Statement (F)

To date, my publications and unpublished drafts are concerned with primitive economy, underdeveloped areas transformation, and comparative economic organization'

- (a) "A Note of Clarification on Economic Surplus," American Anthropologist, June 1960.
- (b) "Economic Theory and Primitive Economy," American Anthropologist, February 1961.
- (c) (With Paul Bohannan), "Review of Rostow's Stages of Economic Growth," American Anthropologist, April 1961.
- (d) (Edited with Paul Bohannan), Markets in Africa (Northwestern University Press, African Series, in press).
- (e) (With Paul Bohannan), "Anthropology and Economic Development" (in draft).
- (f) "Production in Africa," (in draft).

I am able to supply copies of any of the above, to the Committee.

Statement (G)

Aside from my teaching salary, in 1960-1961 I received a total of \$2,100 as a consultant ~~with~~^{to} the Human Environments in Central Africa project, sponsored by the National Academy of Sciences. My participation entailed co-editing a book, Markets in Africa, and writing an article, "Production in Africa." Some of this material is related to the proposed project.

Harry

October 27, 1959

Harry W. Pearson

Karl Polanyi, Adjunct Professor of Economics, (retired)

R.R.3, Pickering, Ont., Canada

The applicant has been personally known to me since I joined the graduate faculty of Columbia University, in 1947. From 1953 to its termination in 1958, he served as Executive Secretary of an Interdisciplinary Project on the economic aspects of institutional growth with which I was connected, at Columbia University. Resulting from this Project, a book on Trade and Market in the Early Empires was published in 1957 with The Free Press, Glencoe, Ill. He was co-editor of this work and one of its chief contributors. Several articles from his pen represented an economist's contribution to three distinct fields in the social sciences - economic history, economic anthropology, and economic sociology. The first was an essay on the oikos controversy - a significant theme

6
in the realm of the economic life of antiquity. As a result it was found that the true difference was the part played by markets in ancient and in modern society. An other paper dealt with "Parsons and Smelser on the economy." This fundamental sociological analysis of a recent work gave rise to a discussion by Professor Smelser of the general position upheld in Trade and Market. A third essay carried the provocative title "The economy has no surplus: critique of a theory of development." The sub-headings show clearly the drift of the argument: A rationalist concept; Reifying the profit concept; Surplus - the economic aspect of institutional change. A fundamental counter-critique by Professor M. Harris followed in the form of a leading article in the American Anthropologist, in 1959. However, it did not fail to underline the substantial merits of Pearson's novel approach, just as Professors Parsons and Smelser paid generous tribute to his original treatment of the basic issues, while insisting on their divergent views.

The applicant's proposed program is the mature fruit of his world of thought and the work done by him, as reflected in the essays listed above. It is an attempt at a positive resolving of the radical divergences of approach which divide the social sciences as a whole, on the very subject which is the *raison d'etre* of these disciplines, namely, society. The intriguing figure of John R. Commons is, in Pearson's view the embodiment of a specifically American approach to the problem of the economy in a democracy. Instead of a set of harmonies, institutions should be viewed as a mechanism for the tolerable resolution of the inevitable disharmonies at the root of social existence.

Harry Pearson

At no time during my long years as an educator at all levels and in several countries have I met a young fellow who surpassed Harry in integrity of character, interest in fundamental educational problems, and intellectual capacity to formulate these, from the theoretical and practical angle. A pervading sense of responsibility towards his own manifest gifts and distinction of attitude are perhaps the most striking traits of this modest young man. He has it in him what it takes to cope on a high level with the educational task we are confronted with. He possesses the human and scholarly qualities needed to attain such an aim in the course of his own life's work, and to lead others in its pursuit.

The dual aim could hardly be formulated with greater clarity: The first postulates a greater unification of analytical and institutional economics; the second, the integration of the resulting approach with the other human sciences. The latter is, of course, impossible, without some degree of success in the former. This has not, hitherto been sufficiently realized. The unification of the economic disciplines requires a precision of method which was often absent with the institutionalist "unifiers", while those fully competent to employ the tools of analysis failed to seek the ^{broader} ~~border~~ aim. A basic ambiguity of the term 'economic' itself may indeed ^{as he posits} have played a crucial part in past failures to advance towards a meaningful social science course.

K. A. Murray

[Harry Pearson]

A. "Intellectual Autobiography"

The focal point of my intellectual interests is the study of economic activity as a problem in social organization. This includes defining the economy so that it can be understood as a social system, investigating the essential patterns of economic organization, and examining the changing interrelationships between man, economy and society. This interest is enforced by the conviction that such an effort is an essential prerequisite to intelligent thought and policy regarding our own increasingly 'social' economy. It is reinforced by the belief that this approach will make economics available, as it never has been, to the other social sciences.

For as long as I can remember I have been interested in finding causes and abstracting principles as the means of understanding whatever I wanted to or had to learn. The words 'fundamental' and 'basic' early became characteristic elements in my vocabulary, and learning, for me, seems always to have progressed to the degree that I thought I understood in the sense of 'being inside' the thing. How this interest in shape and system finally focussed on the social world I am not sure. As an undergraduate I majored in English literature, and there found myself increasingly interested in literature as it reflected and clarified

social history. The fact that my approach to learning and that of my teachers was deeply influenced by the awesome social events that for me, began with the depression of the 1930' was probably decisive. At any rate the experience and reflection provided by three years of army service during World War II finally convinced me of my real interest, and, of all the social sciences, I chose to study economics because it had come to assume a pivotal position in my thinking about social processes. This, by the way, is one of the little ironies of this "intellectual autobiography," for the more I study the organization of economic activity the less convinced I become of its primal role in the life process.

I do not think that I 'aimed' at a career in teaching until relatively late in my graduate study at Columbia. I was scornful of 'ivory towers' and wanted to 'do something' with what I learned. But brief sorties into the 'practical' fields convinced me that I was, without judging the quality of the state, an intellectual, and I believe that the real home for the intellectual is in the colleges and universities. Here is the place where we can search for causes, patterns and interrelationships with allegiance only to the truth, in a community of similarly dedicated fellows. And perhaps most important, once in a college I found that I greatly enjoyed teaching. It is home to me.

The thread of consistency which runs through my interests and defines my objectives as teacher and scholar may perhaps best be described as the resolution of the dilemma posed by Dostoyevsky's "Grand Inquisitor." As a scholar, to investigate the degree to which man living in society is capable of choosing his fate. As a teacher, to add in some measure to the knowledge and perhaps the intellectual courage necessary for a generation of students to choose between "God" and the "Devil."

[Harry Pearson]

B. Statement of Plans

Should my request for a Faculty Fellowship be granted I would like to study the conceptual foundations of economics in an effort to clarify the position of my discipline in its relation to the other social sciences and to a host of so-called 'non-economic' factors which impinge increasingly on 'economic' activities. I believe such an effort is required, because there is active confusion over the meaning of economics, and the lack of clarity makes many problems in research and teaching more obscure than they need be. Is economics, for example, a science of choice? in which case it applies to many situations and is a branch of logic concerned primarily with 'economizing' activities of individuals. Is it a social science whose province is man with needs, social structure, goals, and the dynamic interaction of these as social system? If so, how does it differ from sociology? Can the two conceptions be reconciled?

The problem of the conceptual confusion at the base of the discipline of economics is one which I have been thinking of continuously, as the pressure of circumstance allowed, for perhaps seven years, stimulated by the thrust and counter-thrust of great teachers and scholars. As a result I am convinced that the formal or "scarcity" definition of economics too narrowly circumscribes our interests and our understanding of the human economy. To understand deeply the economic problems of our

world and of worlds past and remote we must, I feel sure, get closer to the substantive elements of the economic order -- to the whole man, to nature, techniques and the physical aspects of economic activity, and especially to the myriad patterns of organization which sustain the whole. I have had the splendid opportunity of working in this direction as a student and, for the last two years, as a research associate, with Professor Karl Polanyi of Columbia University whose work, I believe, makes it possible to resolve the conflicting conceptions of economics and its role in the social sciences.

Up to now most of these efforts at conceptual clarification have been directed toward the solution of specific research problems connected with the organization of trade, money, and exchange in non-market economies. Four years of teaching economics have convinced me, however, that results achieved in this area will prove fruitful when applied to certain widely recognized problems that arise in teaching economics. Among these there are two which I should like the opportunity to think through.

The first of these is the construction of an introductory course (and thereby an economics curriculum, for one follows from the other) which allows the highly developed tools of price analysis to be compounded in a meaningful way with the analysis of the increasingly important non-market controls which operate in and modify our economy.

The second is the problem of fitting economics into the general or integrated social science course. Here we must face squarely the relationship between economics and the other social sciences, for the aim of such a course, is to examine the interaction of man, economy and society. And three years of working with the social science course tell me that we cannot achieve a successful integration until we know how to work with the economy as a social system.

These problems are linked by reason of their common dependence for solution upon a conceptual clarification of economics as a social science. Because they are problems with which I am constantly faced both as a teacher and departmental administrator, a clarification would enormously improve my effectiveness in both functions. I feel that a wider contribution might also be made, especially by clarifying the position of economics vis a vis the general social science course.

The locale of my study, if I should receive this grant, would be Columbia University. There all of the library facilities are available to me, and there is, in and around Columbia, active discussion of just these problems which concern me.

[Harry Pearson]

C. Relationship of proposed program to Program of Liberal Education at Adelphi College.

Adelphi College, like many liberal arts institutions, is struggling with the problem of building a curriculum which emphasizes the core values of the liberal tradition in education while still providing those basic essentials of technical know-how required for the professional in the modern world.

Two aspects of this general problem are related to the teaching of economics. Besides starting the training of the relatively few professional economists, economics should provide the core training for the profession of business management or administration. It should also provide, for all students, a richer understanding of the economy, its operation and its relation to man and society.

The Administration of Adelphi College is actively interested in providing a program of training in the general field of business which aims at widening social horizons and deepening understanding of the functions and responsibilities of business in the modern community. I am greatly interested in seeing that economics, in its contribution to learning for this profession, provide exactly the same function. I am convinced that a conceptual clarification of the meaning and function of economics will contribute to our mutual objectives.

Those of us who are committed to the liberal tradition in education have the responsibility of developing courses and instruction which extend the breadth and depth of vision and understanding. Moving in this direction Adelphi College is building a curriculum which breaks down, in some measure, the barriers between the disciplines in order to make clear the essential interrelationships involved in the study of man and his works.

Toward this end five departments of the Social Science Division have been building and teaching, teaching and building, a social science course in which the wholeness and unity of man in society are emphasized. Much of the building and planning for such a course necessarily depends upon the erection of a conceptual foundation which makes clear the basic interrelationships of the various social science disciplines. I have been a teaching and planning member of this group for three years, since its inception, and I am convinced that one barrier to successful integration is the conflicting conceptions of what economics is, and how it is related to the other social sciences. Clarification of this relationship would very much improve our understanding and, thereby, our teaching of this course.

1
preparation
The applicant has been my student in 1951 and later a member of the Interdisciplinary Project on "The economic aspects of institutional growth at Columbia University (1953-58) ~~of which he was a member~~ which worked under my direction. He actively collaborated in the ~~in the~~ editing of the collective work "Trade and Market in the Ancient Empires", The Free Press, Glencoe, Ill. (1957), 1957. Cf. p. VI. In close contact ~~over~~ over the years I found in him a thinker and researcher of a directed intensity of mind that marked him out as a young scholar of parts.

The applicant has been engaged over a number of years in specializing in the economic history of Dahomey. He is therefore not only a trained economist but also conversant with the substantive approach in its more recent theoretical development. Moreover, the Interdisciplinary Project was an undertaking of Professor C.M. Arensberg and myself. Our joint publication of 1957 contained what was to my knowledge the first study of Dahomean historical material handled from the angle of economic anthropology. Cf. ~~Rosemary Arnold~~ Chapters VIII and IX on Dahomey by Rosemary Arnold (Barnard College). Professor Arnsberg's "Anthropology as History" (Chapter VI) contained the underlying methodological argument.

The applicant's well conceived project may, in my conviction, open new vistas in the study of underdeveloped countries.

33. Statement of Proposed Training Program

The present research project proposes to study the effects of French colonial administration on the economic institutions of native Dahomey.

The applicant is a collaborator with Professor Karl Polanyi on a study near completion entitled "Economy and Society in Historic Dahomey". This study of the economic institutions of the 18th century pre-colonial Kingdom of Dahomey has revealed that market institutions, though widespread, were restricted to local food markets. The factors of production, land and labour, were embedded in non-economic institutions such as kinship and local settlement structures, and voluntary associations. Concepts of institutional analysis were applied to describe the functioning of the economic process in this framework. These concepts were originally set forth in the volume "Trade and Market in the Early Empires" (1957).

The present project is intended to continue the study of the economic institutions of Dahomey under colonial administration (1894-1960).

Market institutions form the focus of empirical research. Modern Western economies can be described as a system of interconnected markets. Product markets and factor markets (i.e. land, labour and capital markets) are here integrated into a system oriented on prices and generally

responsive to the price mechanism.

The extent to which a market system has developed in Dahomey during the colonial period will be studied. This will involve examination of the effects of colonial administration on:

1. Local markets for food.
2. Markets for manufactured products. (Joint markets for food and manufactured products will also be included.)
3. Markets for labour.
4. Markets for land and natural resources.
5. Market organization of the export sector.
6. Markets for capital including the effects of currency administration.
7. The extent to which the foregoing markets are integrated into a market system.

The one-year program is to be organized as follows:

(a) Paris, 3 months:

Examination of relevant published materials and archives on French colonial administration in Dahomey. Interviews with certain university professors (Collège de France) and government officials.

(b) Dakar and Porto Novo, 3 months:

Study of the relevant materials and archives of the Institut Français d'Afrique Noire. Discussions

Abraham Rotstein

with research workers of the Institute at the main center in Dakar and in the Dahomey section at Porto Novo.

(c) Field Work in Dahomey, 6 months:

This will include a study of at least one local food market in the interior. Attention will be centered on price changes, changes in supply, changes in volume of the measures used, response to seasonal conditions, and distances of suppliers from the market place.

Markets for manufactured products, labour, land and capital will be studied by visits and interviews in urban centers, with government officials, business personnel and trade union officials. Attention will be centered on the development of a system of wage labour, the extent of organization of natural resources and export products under the price mechanism and the outlets available for private capital.

An attempt will also be made to describe the non-market sector of the economy including any transitional forms which may exist.

Abraham Rotstein

Reasons for undertaking such a study include an interest in the economic history of West Africa stimulated by previous research, and an interest in institutional methods of analysis appropriate for the study of these economies.

My long-range plans are to teach economic history at a university.

Wm (Har)

Columbia University
in the City of New York

OFFICE OF UNIVERSITY PLACEMENT

To Professor Karl Polanyi
(Name of Reference)

423 West 120th Street, New York 27, N.Y.
(Address of Reference)

Mr. Paul Medow has registered with this office for a teaching appointment in (subject) Economics in a college, university or preparatory school and has given your name as a reference.

May we ask you for a statement concerning this candidate which will include, if possible, information about training, experience, and personal qualifications, and which you are willing to have quoted to appointing officers. Your statement will be held in strict confidence insofar as the candidate is concerned, and will be used only for the information of appointing officers.

If the candidate has been employed by you will you please give the reason for termination of the appointment.

Division of Teacher Placement

Since references are duplicated by machine, please type or write in heavy pencil.

CONFIDENTIAL Statement Regarding Dr. Paul Medow Date July 23, 1961

Dr. Paul Medow has been closely connected with my teaching work at Columbia since 1952 and continued to belong to the circle of my most highly valued students and young friends. He has been intimately associated with the growth of my own thought over almost a decade and is to this day a source of stimulation and broadening of my endeavours in the fields of economic studies to which I have devoted myself. He belongs to that small group of younger scholars to which I owe most for the advancement of the method and still incomplete system of substantive economics to which I wished to contribute these last fifteen years. Over this time I learnt to know in Paul Medow a personality as tenaciously adhering to his own inner light as capable to expand into new areas of scholarly experiences and insights. His intellectual powers and his devotion to the scientific teaching tasks and pursuits which he has elected to serve, distinguish him from even the highest average of gifted graduate students. I had the honour to lead during the years of my career as academic lecturer. Flawless integrity and a never failing creativity make him into a personality that would in any academic environment make his mark and indeed, tend to rank him among the leading personalities. I think of persons here who are willingly recognized by their surroundings because their intrinsic eminence imposes itself on those who are themselves of sufficient quality to welcome the chance of further self-improvement.

Name Karl Polanyi Official Position Professor of Economics,
(Type or print) (retired)

Signature _____ Institution Columbia University

Paul M

1. CURRICULUM VITAE (March 1959) Paul Medow

a. Name: Paul Medow

Age: 33; born March 30, 1926 in Prague.

Place of birth: Prague, Czechoslovakia

Address: 561 W 141st St Apt 69, New York 31, N.Y.

Telephone: WAdsworth-6-0519

b. Citizenship: Naturalized US citizen.
Entry in US: Dec. 1939
Date of Naturalization: August 1944.

c. Married: two children (boys-ages 5 and 2)

d. Education: College of the City of New York 1944
Cornell University 1945-1950 B.A.S.
(Electrical Engineering; International Relations)
Columbia University 1951-
(International Relations, Economics)

e. Military experience:
US Army, (Infantry) 1944-45.

f. Employment:
1) Harvard University, Refugee Interview Project, (Interviewer) 1952
2) Columbia University, Russian Scientific Dictionary Project, (Research Assistant) 1953
3) International Geological Congress, Mexico City, (Simultaneous interpreter, French-Russian-English) 1956
4) Rutgers University, (Instructor in Economics) 1957-
courses: 1) Comparative Economic Systems
2) Economic History of Europe and United States
3) Economic Resources
4) Principles of Economics.

g. Travel abroad:
England, France, Switzerland, summers of 1957 and 1958.

h. Sports: tennis

i. Passport: I have one.

3. DEGREE PROGRAM

I am a candidate for a PhD degree at Columbia University, in the Department of Economics.

In the U.S.

My faculty sponsor is Prof. W. F. Florinsky.

I have passed my oral examinations in April 1957.

Since that time I have been teaching full time at Rutgers University and writing my dissertation.

A study trip abroad would prolong my candidacy by less than a year.

4. DISSERTATION

The subject of my dissertation is: "A Re-examination of Soviet Planning Institutions in the light of Schumpeter's Theory of Economic Development".

Its aim is to appraise the Soviet planning institutions not as substitutes for market relationships in a static economy but primarily as substitutes for the capitalistic way of introducing innovations.

This study is partly theoretical and partly empirical.

The theoretical part is essentially completed. In it I have isolated those elements in Schumpeter's Theory of Economic Development that have universal validity, and apply, therefore to the analysis of planned economic development as well as of economic development under market conditions. In addition I have examined the implications for the institutional form that these elements are likely to assume in new countries of the initial need to borrow innovations from abroad.

In the empirical part which is not yet completed, I propose to examine the character of the principal institutions in the Soviet economy that perform the developmental functions in Schumpeter's sense and to note the significance of their form for the form of other related economic institutions.

The method that this requires is essentially as follows:

On the basis of existing knowledge concerning the institutional structure of the Soviet economy, and of the functioning of key institutions to examine each of its most conspicuous institutional arrangements in terms of a) their relevance to one or more of the five elements of economic development noted by Schumpeter; or b) their adjustment to other institutional arrangements performing a developmental function.

5. COMPETENCE IN THE RUSSIAN LANGUAGE

My knowledge of the Russian language has been derived from

- a) my parents, who were born in Russia
- b) courses in advanced reading and literature (readings in Russian) at Cornell University
- c) translations from Russian into English (
- d) practice in simultaneous interpretation (French-Russian-English at the 20th International Congress of Geologists (Mexico City) in 1951)
- e) following Russian language articles in Russian economic journals.

As a result I am able to read and speak Russian almost as well as English. My knowledge of economic terminology, however, is inadequate.

6. OTHER STUDY OF RUSSIA AND THE SOVIET UNION

At the undergraduate level (Cornell University) I have studied

- a) the history of Russia and the Soviet Union (2 semesters)
- b) 19th century Russian literature (2 semesters)
- c) the economy of the Soviet Union (seminar - one semester)

At the graduate level I have studied

- a) the economy of the Soviet Union (one semester)
- b) the economy of the Soviet Union under the Five Year Plans - (seminar - 2 semesters)

7. REFERENCES

1. Prof. M. E. Florinsky, (Columbia University) faculty adviser
2. Prof. A.R. Burns, (Columbia University)
3. Prof. A. P. Burns, (Columbia University)
4. Prof. K. Polanyi, (Columbia University)
5. (Will supply upon request)

8. PREFERENCES AMONG SOVIET UNIVERSITIES

- 1) University of Moscow

While I am not well informed concerning its courses and staff, I have read accounts of seminars held at the University of Moscow, on the role of prices in planning that indicate high professional competence.

- 2) University of Leningrad.

9. FAMILY SITUATION

At the present time I plan to continue teaching economics at Rutgers University. I have other sources of income.

My wife would like to accompany me if this is possible. She has been studying Russian literature at the graduate level.

Ford! Careful with
no. 1. There is room
for exactly three
2 lines only

Martin to
the line!

- through
1. Since 1952, as my student. Later his collaboration with the Ford Project at C.U. Eventually, I became acquainted with his family.
 2. On a scale of 10 I would rate him 9 for ability; 8 for competence; 10 for energy and promise. He possesses the gifts of original thinking, of a natural fusing of abstract and empirical elements in his material, of an easy and forceful formulation of proposition and argument. He rates with me among the top two or three young Americans of my experience for promise of all-round achievement, both on moral and intellectual grounds.
 3. Yes.
 4. Paul Medow's mental curriculum is singular for a fact rare with the offspring of the Russian emigration of the early 'twenties: - he seems not to have been intensely exposed either to specifically Marxist or anti-Marxist influences. What with the scholarly and artistic background of his family, and the narodnik bent of his early environment, he has remained almost unaffected by the two dominant preoccupations of his generation. He is a reformer of that disillusioned type so frequent among the thoughtful of the younger generation who direct their studies towards new foundations such as in effect the late Joseph Schumpeter's theoretical work may offer. Paul Medow is in no sense a sympathizer of Soviet Russia. I am convinced that his closer knowledge of the U.S.S.R. will strengthen even further his emphatically objective approach towards the Russian social developments.
 5. The applicant's proposal is in my view a sound one. Schumpeter's theory of economic development which is recently gaining ground in regard to nineteenth century capitalism may well contain concepts applicable to other forms of industrial economy. It might then serve to explain their relatively high rate of accumulation. Schumpeter pointed out in concrete terms the economic institutions which he thought were responsible for the rapid progress of the West. The applicant intends to identify in the U.S.S.R. (maybe later also in Japan) the analogues within the ~~Soviet~~ economy which operationally correspond to factors in Western capitalism. Such a conceptual penetration of the mechanism of U.S.S.R. economy may produce most valuable insights.
 6. It is my strong belief that Paul Medow possesses unusual qualifications for the task he proposes to engage in. His Russian background should work out as a great advantage in study-contacts and facilities of ~~international~~ observation in regard to the techniques of economic life. He is a most presentable individual of great personal charm, of a high level of education in the fields of literature and philosophy, of ~~amazingly~~ sturdy physique and boundless capacity for work. His personality, cultured ways and distinguished manners make him a very desirable representative of his country.