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Office of the Area Controller
Guatemala City, Guatemala

REPORT OF EXAMINATION AND EVALUATION
OF THE
INSTITUTE FOR EDUCATIONAL RESEARCH AND IMPROVEMENT

(TIME)

CONTRACT AID/REPAS No. 7
AND

PROJECT No. 596-11-660-2012

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I. SCOPE OF EXAMINATION

At the request of AID/W, contained in AIDTO A-189, dated 11/12/65, we have performed this survey to assist the AID/W Audit Division in its current audit of the AID Research and Analysis program. Specifically our assistance was requested in connection with the Institute for Educational Research and Improvement (IIME), established under AID/REPAS Contract No. 7 with Michigan State University (MSU).

Our examination encompassed two areas:

- A. Financial support provided by ROCAP following conclusion of the MSU Contract on June 30, 1964.
- B. Independent evaluation concerning:
 - 1) Current status and source of support of IIME;
 - 2) Extent of operations by IIME subsequent to termination of ROCAP support;
 - 3) Effectiveness of IIME and impact of publications on education in Central America.

During the course of our audit we visited the IIME office at the University of San Carlos (USC) in Guatemala, where we interviewed the present Director. Interviews were conducted with the Senior Officials within ROCAP and USAID/ Guatemala who were familiar with the IIME program. Ne

reviewed all pertinent files available in both ROCAP and USAID/Guatemala offices, including progress reports and the final report of the Contractor (MSU). Our survey was performed during the months of December, 1965 and January, 1966. Prior to issuance of this report it was reviewed by interested USAID/Guatemala and ROCAP officials; general agreement was expressed concerning our findings.

II. BACKGROUND INFORMATION

The Institute for Educational Research and Improvement (IIME) was created as a research center by agreement between Michigan State University and the University of San Carlos of Guatemala. The Inter-university (MSU-USC) Cooperative program of IIME was to conduct research development and planning for secondary and higher education in Central America. The program was financed from June 29, 1962 to June 30, 1964, with \$610,000 received by Michigan State University under Contract AID/REPAS No. 7, dated June 29, 1962. This contract was amended in June, 1964, to extend the contract period through September 30, 1964. Prior to September 30, 1964, it was determined that several publications would remain in process of completion at termination of the contract period and ROCAP was requested to furnish financial support to enable USC to continue the work of IIME.

Accordingly, ROCAP Project "Regional Development of Higher Education" No. 596-11-660-12, was revised to provide \$60,000.00 to finance local costs of IIME for a period of six months. The revision contemplated that financial assistance would be for the period July 1 to December 31, 1964.

However, the Agreement was later amended extending the period of IIME operating under ROCAP financing to June 30, 1965. No additional funding was involved.

III. SUMMARY OF MAJOR FINDINGS

In essence, the IIME Program was believed good in theory but much of its potential benefits have been lost. The United States Government expended \$670,000.00 on the project to create an institute which appears to be well on its way to extinction. IIME publications of good potential value are in a state of relative suspension due to the lack of a forceful regional organization capable of implementing utilization of the knowledge gained from research. This was also a significant weakness in the administration of IIME by its failure to apply research findings to concrete solutions at various levels of education in Central America.

The program did not receive the acceptance in Central America that it warranted. This was at least in part due, it is believed, to an unfavorable American image created...

by some of the MSU representatives.

Contract reimbursement was made by AID/W and the project was programmed in Washington. This eliminated field review of fiscal policy and created no firm ties between MSU and ROCAP or USAID (S). As a result field supervision was not acceptable to MSU.

At the present time IIME is operating with part-time limited staff financed by the University of San Carlos. Productively, IIME should be classified as dormant. If revitalized, it would be a regional entity under CSUCA and the regional national universities.

In this event it is anticipated that IIME would request additional financial assistance.

IV. AUDIT FINDINGS

A. Financial Support Provided by ROCAP - \$60,000

ROCAP support was provided under revisions Nos. 2 and 3 of ROCAP Project No. 596-11-660-12 titled "Regional Development of Higher Education". These revisions, dated 6/25/64, and 8/11/64, respectively, provided \$60,000.00 to enable the University of San Carlos of Guatemala to continue the work and further the development of IIME during the period from July 1, 1964, to December 31, 1964. During this period of time a working group was to finish the studies

that were pending, finalize corrections and complete publications.

A budget of local costs was presented by the Interim Director of IIME and approved by Consejo Superior Universitario Centroamericano (CSUCA) and ROCAP. (See Exhibit A).

ROCAP advanced \$20,000 and was thereafter to reimburse approved reported expenditures to replenish the advance funds. A final "No Pay" voucher was to be submitted to the Area Controller to clear the advance.

Reimbursement vouchers have been submitted by San Carlos University and paid totaling \$40,664.88. A Bill of Collection was subsequently issued for the overpayment of \$664.88 and payment received in January 1965. Final "No Pay" voucher submitted at our request was processed during the course of our review. Documentation supporting all expenditures reported eligible for reimbursement were examined by us and appeared appropriate. For comparison of budgeted and reported expenditures see Exhibit A.

During January and February, 1965, IIME recessed due to termination of ROCAP support. It was determined that there existed a \$7,800.00 unexpended balance of the \$60,000.00 grant at December 31, 1964. ROCAP authorized this balance to be used to continue the program of IIME

with a minimum of personnel. In this manner IIME renewed its activities and operated during March, April and May (1965) with one director, two full time investigators, one part-time investigator and one secretary.

B. Current Status and Source of Support of IIME

1) Organization

At the outset, the MSU Contract had a vague bilateral and regional purpose. IIME was considered to be an institution within the University of San Carlos in Guatemala, offering regional services. It obtained regional status (technically but not operationally) under the Consejo Superior Universitario Centroamericano (CSUCA) in December, 1962. However, IIME lacked regional effectiveness due to the structure of its governing council, composed of staff members of San Carlos. This problem was the subject of considerable criticism during the tenure of the MSU Contract. During that period, the IIME program was administered by two Co-Directors, one being the chief of party from MSU, who signed as Co-Director for disbursement of MSU/AID/REPAS funds. The inter-university governing board was composed of three members from MSU and three from the University of San Carlos. Other Central American Universities were not represented on the board.

The University of San Carlos expressed its satisfaction with the above arrangement and resisted proposals to change the administration of IIME by integrating the Board of Directors with university representatives of other Central American countries. It stated that "University autonomy was being affronted - never would the Consejo permit outsiders to interfere with the 'sister relationship - in perpetuity' declared by MSU and San Carlos".

CSUCA approached San Carlos University with the proposition IIME be structured along regional lines. The Consejo Superior of San Carlos, at first, rejected the suggestion and instead, counter proposed IIME be administered solely by the University. However, CSUCA declined this gesture. After due consideration, the University Consejo ratified CSUCA's proposal. Presently, however, IIME is dormant but if revitalized would be a regional entity under CSUCA and the regional national universities. The problem of IIME will be further studied by the Rectors at the forthcoming CSUCA meeting scheduled for May.

2) Source of Support

After June 30, 1965, the University of San Carlos, in order to continue the IIME program in a limited capacity, authorized and is financing two technicians and one secretary

on a part-time basis. Minimum requirements of office supplies are also being furnished by the University. Extent of present operations may be illustrated by the current employment of three part-time personnel as compared with thirty full-time and twenty part-time employees during MSU participation under AID/REPAS Contract No. 7.

Title to non-expendable property purchased under the above mentioned contract was vested in ROCAP, June 18, 1964. Of this equipment items needed for present limited operations are being utilized by IIME.

Present limited support may be an effort to maintain minimal activity pending determination of future status. The future of IIME will not be resolved until the report is issued on the May meeting of CSUCA. If revitalized, it is probable that CSUCA will develop a proposal for a regional IIME to be supported by funds secured from international organizations. In all probability, this educational research organization would continue to be maintained in its San Carlos University setting.

If CSUCA fails to revive IIME, it will probably become a center for University of San Carlos studies.

C. Extent of Operations by IIME Subsequent to Termination of ROCAP Support

During the period July through December, 1965, there

were six publications in process. These were in the process of being published with the limited resources previously discussed and financed by the University of San Carlos.

When published, this will complete the publications to be printed from studies conducted by IIME and financed by AID through the \$610,000.00 Contract with MSU. No further studies can be undertaken by IIME while continuing to operate with extremely limited financial support.

D. Effectiveness of IIME and Impact of Publications on Education in Central America

As publications are the end product of the IIME program, effectiveness of IIME would normally be measured largely in terms of acceptance and utilization of such publications. This, alone, is an area in which it is extremely difficult to furnish a quantitative analysis because of prejudices and conflicts of honest opinion. However, in this survey, other factors unique to this situation must be considered in order to submit a comprehensive evaluation.

1) Publications:

To date thirteen publications have been printed relating to middle education; five were printed within the MSU contract period and eight during January-June 1965. Six were in the process of being printed at December 31, 1965. Most publications are the result of several studies

encompassing the five Central American countries and condensed into one publication. However, certain publications relate to specific countries where situations exist peculiar to that country.

Thirty-six completed studies, in pre-publication format, were reviewed by Dr. Russel Davis, Educational Consultant of Harvard University. Dr. Davis rated the studies as follows:

<u>Evaluation</u>	<u>No. of Documents</u>	<u>Percent of Total</u>
Good or extremely promising	3	8.3%
Good in part or generally useful	15	41.7
Poor in part or minimally useful or interesting	12	33.3
Generally poor	<u>6</u>	<u>16.7</u>
Totals	<u>36</u>	<u>100.0%</u>

*Note: Taken from estimates provided in Summary of the Davis Report.

The consensus among the educational specialists we interviewed was that the publications should have greater potential utility than Dr. Davis indicates. It must be emphasized that this was the first instance of conducting this type of research studies in certain of the countries.

The publication of IIME's final analysis of the results of its investigations of secondary education and its costing of plans for improvement brought into focus the need for a secondary teacher education program in each country. We were advised that in Guatemala, IIME's preliminary report on secondary education influenced the Ministry of Education's studies of urgent needs in that area. Actual and projected changes in the Guatemalan public education system have become evident since an IIME trained technician was appointed Director General of the Ministry of Public Education.

Though we cannot judge the impact of IIME on other national universities, we are of the opinion it did make considerable impact on SCU through studies utilized by the University.

If accepted and properly utilized, the information and data compiled should be beneficial in the planning and development of middle and higher education in all the Central American region.

An apparent weakness of the project was that research was completed in a vacuum without making application of research findings to concrete solutions at various levels of education in Central America. We were informed that MSU wanted to establish a follow through system on research with a new

REPAS or ROCAP contract. However, because of the obvious conflict between the roles of the Ministries of Education (primary and secondary education) and the Universities (higher education), no workable solution was found to join these two politically sensitive areas in all five countries. Many of the technicians in the field familiar with Central America, considered this venture politically naive and that other means should be developed to apply research findings.

2) Factors Adversely Affecting Effectiveness

The project was programmed in Washington and suffered from loose ties in the field. It was apparently designed without a real understanding of problems which would be encountered.

The MSU co-director of IIME assumed broad powers of responsibility including that of co-disbursement of IIME funds. Three men from MSU and three others from USC made up the Board of Directors.

This is believed to have been a mistake as the MSU representative should have been acting in only an advisory capacity. There was some reaction of "gringo intrusion", which led to resentment to some degree on the part of members of San Carlos and other Central American Universities, who became a part of the IIME staff.

The representatives of MSU often by-passed CSUCA, ROCAP and USAID/Guatemala until reluctant cooperation was obtained from them quite late in the program, particularly after complaints of MSU/IIME independent operations in the Central American countries. On field trips to various countries the impression was made and feeling expressed by University and Ministry officials that MSU members were promoting the concept that they were better equipped to do a development job because they were not the U.S. Government. One U.S. Ambassador felt that, after a meeting with MSU representatives, the perspective of the MSU men did not reflect what he felt to be U.S. policy. It would appear that MSU's concentration on furtherance of goals set by MSU for its own campus program was of such magnitude as to be detrimental to the IIME project.

The contract with MSU specified that contract reimbursement would be made by AID/W. No review of vouchers or fiscal policies was possible in the field even though REPAS sent its representative to the field - unfortunately after the problem had developed. Thus the contract provided free rein to MSU with no ROCAP or USAID supervision. Little attention was given to evaluation of local pay scales before hiring Latin American personnel. As a result, salaries

were paid to local employees in excess of normal rates for comparable services in other institutions in the region, leading to individual difficulties upon termination of MSU Contract. This also caused resentment among associates who were not able to participate in the high pay bracket.

A significant weakness was the failure to train enough Central Americans in research techniques in relation to the huge expenditure supporting the project. This neglect of the local training factor resulted in the failure to prepare enough Central Americans to assume major research responsibilities.

V. SUMMARY

Obviously the Contractor did not accomplish project objectives; mainly it is believed, because the Contract was ill conceived and very poorly administered. Lack of specified field supervision by an AID entity can probably be singled out as the biggest contributing factor to the failure of the project.

REPORT OF EVALUATION OF TIMEComparison of Budget and Reported Expenditures
ROCAP Grant Support

	<u>Budget</u>	<u>Reimbursed Expenditures</u> *
Personal Services	\$46,000.00	\$47,714.95
Visits and Conferences	2,900.00	1,050.76
Other Direct Costs	<u>11,100.00</u>	<u>11,899.17</u>
	<u>\$60,000.00</u>	\$60,664.88
Less: Bill of Collection issued for overpayment and paid		<u>664.88</u>
Reimbursed Expenditures		<u><u>\$60,000.00</u></u>

* Audited by ROCAP