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EVALUATION OF THE DEVELOPMENT PROGRAM GRANT
FUNDED ACTIVITIES OF THE
INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION

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I. SUMMARY

1. In May 1977 AID/W awarded a Development Program Grant (DPG) to the International Institute for Rural Reconstruction (IIRR). This DPG was for \$527,000, for a period of 3 years.
2. The final evaluation of the DPG was conducted from 11 August thru 15 September 1980 by Marian Fuchs-Carsch under a purchase order from the office of Private and Voluntary Cooperation of AID/W. The evaluator was assisted by John McAndrews, an anthropologist resident in the Philippines, who wrote a report on the impact of IIRR's field operations.
3. Overall the evaluation revealed that the DPG funds have been effectively and appropriately used to implement the intent of the grant and strengthen the mission of the Institute. The following achievements were realized over the last three years, directly or indirectly as a result of the DPG:

- The Institute adopted management, planning and evaluation systems, well adapted to the particular needs of the IIRR. These systems are now being used in the eight departments of the Institute, and are also integrated into their field research undertakings.
- The staff of the Institute has been greatly strengthened by the presence of DPG-funded professionals, and by staff development activities funded by the grant.
- International Leadership Training (ILT) activities moved from ad hoc sessions of variable quality to well constructed, regular sessions attracting high calibre participants. There are now more individual and group applications for ILT sessions than the Institute can presently accommodate. Over 130 participants benefited from ILT over the life of the DPG.

- Research documentation is starting to be systematized at the Institute. Two issues of the Rural Reconstruction Review have widened IIRR's outreach to some 5,000 development groups and individuals annually. Other publications of more specialized interest have been regularly produced; some are attached to this evaluation.
- International extension activities in support of the five National Rural Reconstruction Movements (NRRM) affiliated with IIRR helped to solve some needs of the NRRM's and to foster communications between movements.
- A number of innovations were introduced into IIRR's held operations, designed to increase the level of integration of activities and to collect information for several longitudinal studies that will be published in 1981.
- A number of extra activities were initiated in which IIRR worked with other private and governmental groups, to increase fruitful linkages in the development community.
- IIRR used the services of several external consultants to enhance their own internal systems, the development of their staff and the effectiveness of their activities. Some of these benefits were shared with the NRRMs.

The problems that were revealed by the evaluation were all relatively minor, and mainly concerned internal administrative procedures. The evaluator was impressed by the frankness of staff in revealing the problems, and their willingness to resolve them. These issues are discussed in detail in the body of this report.

4. The years from 1977 - 1980 were a time of transition for the Institute, as leadership in Cavite is gradually moving from the shoulders of Dr. Yen, the Founder of Rural Reconstruction, to Dr. Flavio, the current President. This transition period is still on-going, and marks a time of considerable change at the Institute. IIRR is a lively, bustling organization,

5. The entire professional staff of IIRR are commendable for their commitment and enthusiasm. The evaluator felt that the Institute was at a take off point, and that additional AID funding would allow IIRR to undertake a number of rewarding activities that could be shared in a greatly expanded outreach effort. The evaluator therefore recommends that AID/¹⁴ award matching funds to IIRR in line with their pending proposal. Since the DPC period marked some successful fund-raising activities by the Institute, IIRR should have no difficulty in making the match.

II. INTRODUCTION

A. IIRR: An Overview

IIRR is the outgrowth of a private national program founded in China in the 1920s by Dr. Y. C. James Yen to improve the condition of the Chinese peasant. In the 1940's after the rural reconstruction Program had been tested in different parts of China, Dr. Yen was able to influence the Chinese and U.S. governments to establish the Joint Commission on Rural Reconstruction (JCRR), which went on to play a recognized and major role in improving the living standard of the farmers of Taiwan.

In the early 1950's the Philippine Rural Reconstruction Movement (PRRM) was established. PRRM's success led the late President of the Philippines, Ramon Magsaysay, to establish the first Philippine government organization for community development, now incorporated in the Ministry of Local Government and Community Development.

The establishment of the PRRM also led to two indigenous movements being created in Guatemala and Colombia in the mid 1960's. In 1968, the Thailand Rural Reconstruction Movement was established and the last movement, in Ghana, started operations in 1975.

The International Institute of Rural Reconstruction was organized by Dr. Yen to institutionalize and internationalize the concept and program of the mass education movement. Field operations began in 1967

in Silang, Cavite about 55 kilometers south of Manila. Starting with a small staff working in a handful of villages, the IIRR today has more than 100 staff members, over 50 of whom are professionals in various disciplines of rural development. Its service development and research activities are concentrated in 81 villages of four municipalities (which serves as its local laboratory). Its extension work covers additional villages.

The Institute in Cavite is backstopped by an office in New York, which has the following functions:

- working with the board of IIRR
- coordinating fund-raising efforts, especially of private donations
- working with AID and other U.S. donors, such as Rockefeller Brothers
- recruiting expatriate staff
- liaison with other development agencies and universities
- supplying technical and other materials for the Institute's library
- public relations activities, including the production of regular newsletters and an annual report.

For the first 11 years of its life, IIRR was run much like a family business. Dr. Yen, as the founder of Rural Reconstruction, was involved in all the details of day-to-day administration, decision-making and policy-setting. In 1978, when Dr. Yen was in his mid-60's, the presidency of IIRR passed to Dr. Juan Florio with Dr. Yen still

retaining the final say in many policy areas. Thus the three years of the DPG were very much a time of transition for the Institute. Dr. Flavier has adopted a more participatory form of leadership that has contributed to the many improvements in management planning and evaluation noted in the body of this report. The evaluator felt that in 1980 the Institute could be compared to a family business that was about to go public. At the time of evaluation, the preparations for going public were still underway. Reorganization of the Institute was being discussed along with one, three, and ten year plans. The transition is not yet complete; it will be a few more years before the changes at IIR are truly institutionalized.

B. The Development Program Grant

A grant in the amount of \$527,000 was made to IIR in May of 1977. There were two amendments in 1978 and 1979 respectively. An interim evaluation covering the first 18 months of the grant was undertaken in January 1979. Currently the DPG has expired but IIR is receiving "bridging funds" awaiting the completion of this evaluation. The Institute submitted a proposal for some \$1.3 million of matching grant funds to AID/Washington early in 1980. A decision from AID/Washington on this proposal is currently pending.

The following table shows expenditures of almost \$455,000 of the DPG funds from May 1977 to the end of June 1980:

Development Program Grant Expenditures to June 30, 1980

	May 1977 May 1978	May 1978 May 1979	May 1979 May 1980	May 1980 June 1980
Salaries & Fringe benefits	40,653	53,482	106,848	20,977
Consultants	-0-	11,375	9,311	-0-
International Leadership Training (Fellowships)	5,792	23,303	12,315	-0-
International Travel	6,982	24,288	31,867	11,130
Publications	2,575	6,035	1,445	3,691
Direct Costs	5,900	15,975	20,700	2,810
Overhead	-0-	-0-	30,458	7,011
Totals	<u>61,902</u>	<u>134,458</u>	<u>212,944</u>	<u>45,619</u>

(Expenditures for July and August 1980 have not yet been received from the Philippines)

In addition to AID/W funding, IIRR also receives substantial grants from Germany and Holland. The European grants have been largely used to finance field operations in the social laboratory. In addition, the Institute has received a number of smaller grants to undertake specific field projects, such as the Rockefeller Brothers - funded women's ornamental plants project and the Asia Foundation's health project.

C. The Evaluation

The evaluation was conducted from August 11 to September 15. Marian Fuchs-Carsch, the evaluator, received a Purchase Order from the PCV Office of AID/Washington early in August. The evaluation took place in Silang, Manila, and PRRM in Nueva Ecija. Additionally, several days were spent at the Bangkok and field offices of the Thailand Rural Reconstruction Movement. In the U.S., the evaluator also spent time at the New York Office of IIRR. Prior to this evaluation, the evaluator had the opportunity to visit the Ghana Rural Reconstruction Movement on several occasions.

The evaluator wishes to acknowledge the help of several people in the preparation of this report. John McAndrews, an anthropologist residing in the Philippines who has undertaken several short-term consultancies for USAID/Manila, was able to assist the evaluator in assessing the impact of IIRR's field operations. His report can be found in its entirety in the appendices.

In addition, the evaluator wishes to acknowledge the friendly and open assistance of the staffs of IIRR, TRRM, PRRM, and the New York Office. For various practical reasons this evaluation was undertaken very quickly. The evaluator was greatly assisted by the previous planning of the Institute staff for the arrival of the evaluator. Files had been set up according to the evaluation scope of work. All center staff had submitted material covering their work funded by the DFG. The

evaluator felt that all staff were completely open and even enthusiastic about the opportunities afforded to them by an external assessment of their activities. Indeed the evaluation was seen as part of the whole process of "going public."

The timing of the evaluation was fortunate in many respects. One of the DPG - funded consultants, Dr. James Mayfield, was at the Institute for the entire period of the evaluation and made significant inputs to its content. Another consultant, Mr. David Hopkins (one-time ILT Director) was in Thailand at the same time as the evaluator, and was very helpful in discussions with TRM staff. The 13th session of the International Leadership Training (ILT) started mid-way through the evaluation. The evaluator was able to sit in on several of the sessions and have informal conversations with many of the participants.

In another regard, however, the timing was perhaps unfortunate. During the evaluator's stay in Silang, Dr. Yen fell ill in Honolulu on his way to participate in the ILT training. He was forced to return to New York for surgery. While in the hospital his wife died. Naturally the effect of these momentous events were felt by the entire staff of the Institute.

The following format has been used: findings and conclusions are presented under three main headings: personnel, activities and institutional development. A subsequent section gives an overall assessment of the use of the DPG in terms of the evaluation scope

of work. A final section discusses IIRR and the future and concludes with a recommendation for granting additional funds to the Institute.

The evaluation has 15 appendices, two of which are publications. These are attached in original copy only.

III. FINDINGS AND CONCLUSIONS

A. Personnel

1. Staff Composition and Qualifications

a) Findings

i. A detailed discussion of the staff composition and qualifications over the life of the DPG may be found in Appendix 1. The following table highlights the changes that took place from 1977 to 1980.

	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Total technical staff	31	36	49	51
a) M.D.s and Ph.D.s	4	7	9	9
b) MS. and MA.	5	7	10	10
c) BS. and BA.	22	22	30	33

ii. The DPG funded three expatriate technical positions (plus support secretaries and drivers). Dr. James Finley was hired in mid - 1977 as Director of Research and was replaced in June 1979 by Dr. Larry Cross. Dr. John Batten was hired in August 1978 as Non-Formal Education Specialist and Dr.

Thomas Olson, a Specialist in Agricultural Economics, followed in October of the same year. These three people constituted the program evaluation unit (PEU) of the Institute. In addition, each served as chairman of the Dynamic Research Group, Education and Culture Group/Education Support Services and Livelihood Group respectively. All three were also members of the Inter-group Committee for Planning and Implementation (IGCPI), the Institute's management team.

In addition, the DPG also made possible the hiring of an assistant director for the International Leadership Training (ILT) and a documentation assistant. DPG funds were also used to pay for the travel expenses of David Hopkins, the ILT director, in following up on the post training activities of ILT participants in Thailand, Bangladesh, Sri Lanka, Indonesia, India, Nepal, Ghana, Nigeria and Kenya. Two research aides for the Quantitative Economic Statistics Team (QUEST) were also hired under the DPG.

iii. Each of the DPG - funded staff outlined their allocation of time and these estimates are rounded into percentages and summarized below:

	<u>Olson</u>	<u>Batten</u>	<u>Cross</u>
Management and Evaluation Planning for IIRR as a whole	35	30	45
Supervisory and Management/ Field Work as Group Chairmen	50	50	30
ILT Contributions	5	10	5
Research in own field	10	10	20

It should be noted that DPG - funded staff all live on campus; in the evaluator's estimation, each worked a minimum of 60 hours a week.

iv. In July 1980, Ms. Gael Williams was hired as the Assistant Director for Training. She holds an MPA from the Kennedy School of Government of Harvard University where she specialized in development studies. Before coming to the Institute, Ms. Williams was the administrator of the Edward S. Mason Program in Policy and Management in Developing Countries of the Harvard Institute for International Development.

b) Conclusions

i. All DPG - funded staff have:

- o good qualifications and are committed, and hard working
- o accepted supervisory, management and technical roles
- o contributed to extensive planning and evaluation exercises
- o contributed to several sessions at ILT
- o undertaken operational field research
- o developed linkages for the Institute with national and international groups and individuals.

ii. The entire headquarters staff share good academic qualifications plus considerable experience in field, management and technical positions. All are cheerful, hardworking and dedicated. Recent intra-staff management exercises reveal considerable consensus on future directions and understanding

and acceptance of current goals, objectives, priorities and activities.

iii. The critical roles of president and vice president are discussed in more detail in section III. A. 3. Both Drs. Yen and Flavier are tremendous assets to IIRR, on the one hand for the charisma and ability to motivate staff and command loyalty, and on the other for their international reputations and fund-raising capabilities.

iv. A recent exercise has resulted in detailed job descriptions, responsibilities, and measurable indicators of achievement for the entire technical staff of the Institute. A sample job performance specification, for the President, is attached as Appendix 2. This detailed and time-consuming exercise reveals a commendable institutional commitment to organizational and individual clarity.

v. An issue that arose during the course of the evaluation was the current policy that seems to prohibit the employment of spouses. The evaluator believes that this policy is extremely wasteful of valuable human resources and recommends that the President consider the formulation of a consistent employment policy that encourages the fulltime employment of suitably qualified spouses on an equal or even preferential basis, especially for those spouses who are resident on the Institute compound.

vi. The issue of the national composition of the staff currently predominantly Filipino with about 8 Americans (some of whom are volunteers) and one British professional is of concern in a supposedly international Institute. This issue has been recognized by the Institute and is addressed in its future plans. This topic is further discussed in Section IV., IIRR and the Future.

2. Staff Development and the Use of Consultants

a) Findings

i. The following table summarizes DPG - funded consultants and their activities:

LIST OF DPG - FUNDED IIRR CONSULTANTS
May 6, 1977 to May 3, 1980

<u>CONSULTANT</u>	<u>DATE</u>	<u>OUTPUT</u>
Dr. Jacqueline Blondin (SAIDI)	August 2,3,4, 1978 September 4,5,6, 1978 November 28, 1978	Workshop on SAIDI process O.D. System Analysis Development of Group Plans
Dr. Jack Powelson	July 1 thru August 30, 1978 July 1 thru 31, 1979	QUEST, Program Analysis & Recommendations for Livelihood Group
Dr. Lyra Srinivasan	April 2 thru 28, 1979	Educational Strategies Workshop, Self-Actualiza- tion Approach to Rural Reconstruction Needs Assessment
Dr. James Mayfield	August 3 thru 30, 1979	Self-Government Program Analysis and Recommenda- tions Team Building Exercises ILT Assistance
Mr. David J. Hopkins	November 16, 1979 thru May 17, 1980	Engaged by the IIRR to assist TRAM in program planning and evaluation and in training

CONSULTANT

DATE

OUTPUT

Ms. Carmeling Santiago

May 1 thru
September 30, 1979

Self-Evaluation of Women's
Projects, Needs Assessment

ii. The Institute is divided into eight groups. They are Livelihood, Self-Government, Education and Culture, Health, Administration, ILT, People's School, and REDLIB (Research, Documentation and Library). Each group has benefited from at least seven staff development workshops given either by IIRR staff or external consultants. In addition, five people were sent for development training to Israel while others benefited from short courses at universities and colleges in the Philippines.

iii. Some staff development courses in addition to those noted above that were especially rewarding to several people were those on Management by Results given by Dale McConkey, University of Wisconsin; Agrarian Reform and Rural Reconstruction, given by Ed Reed of the REDLIB Group; and the Seminar on Needs Assessment in Rural Communities given by John Batten, with inputs from Carmeling, Santiago. A series of workshops on action research was put together by Larry Cross and offered to all technical staff at the Institute.

b. Conclusions

i. The range and quantity of in-service staff development workshops and seminars that have been offered are truly amazing.

Over the life of the DPG, seven different sessions were held for the administrative services group alone. Similar numbers of workshops have been held for and by other groups.

ii. Topics have ranged from the highly technical series of computer programming courses offered by the REDLIB group to the Management-by-Objective Seminar offered to all senior staff to the staff-wide involvement in the Going to the People Seminar on Needs Assessment in Rural Communities that involved all technical staff in a "return" to barriers to undertake planning with the people.

iii. Many of the consultants have been involved in staff development courses while also working on IIRR program activities. Examples include: Dr. James Blondin, Workshop on Organizational Development for ICEPI; Dr. J. P. Powelson, Workshop on Program Analysts for the Livelihood Group; Dr. L. Srinivasan, Workshop on Educational Strategies; Dr. James Mayfield, Team Building and Other Exercises for ICEP. IIRR is to be congratulated not only for its choice of experts in highly relevant areas but also for the multiple uses they have made of consultant time. I.e., project and program assistance, staff development, planning and evaluation guidance, IIT inputs, and help to the national rural reconstruction movements.

iv. An issue of potential concern relates to outside consultancies

and training by IIRR staff. The policy guidelines on this subject are not clear and decisions regarding individual staff cases appear to be made on an ad hoc and maybe rather unfair basis. The evaluator recommends in this connection that the President establish clear guidelines in this area of potentially great enrichment to the development of the staff and the Institute as a whole.

3. Changes in Staff and Organizational Structure

a) Findings and Conclusions

1. The impact of the change in management styles from the presidency of Dr. Yen to that of Dr. Flavier cannot be overstated. According to all informants, Dr. Yen is rural reconstruction, and during his time as President of the Institute was deeply involved in the detailed supervision of all aspects of IIRR's activities. After consultation with the board and staff, all decisions were taken by Dr. Yen and all policy was set by him. Since 1978 many of the day-to-day decisions and much of the policy setting has devolved to Dr. Flavier who in turn has adopted a more participatory style of management. His use of the Integration Assembly and the [CCF] to support him in management and policy issues is innovative in this regard. Given his wealth of experience and knowledge of rural reconstruction and the Institute, however, Dr. Yen still exercises considerable influence over management and policy decisions. Thus the entire life of the DFG may be

characterized as a transition period with all its accompanying anxieties and problems. In this context the strides in planning and management that have been made at the Institute are especially praise-worthy. The DPC - inspired improvements in organizational structure and systems have been initiated with considerable pain and again are especially commendable. The full institutionalizing of these improvements, however, will still take several years.

ii. Recent months have seen considerable activities amongst the senior staff of the Institute in achieving organizational changes in line with the 1981 and 1982 planning objectives. These organizational changes are still under discussion but reflect a sincere commitment on the part of the Institute's staff to make some difficult and painful decisions regarding outdated structures. The most recent document pertaining to organizational change can be found in Appendix 3. Implicit in these new structures are:

- a commitment to a more integrated and holistic approach to the field activities of IIRK in the social laboratories, and
- a more rational use of expatriate staff, and a widening of the international personnel.

Over the life of the DPC, expatriate staff have been used in both supervisory and research roles. Current thinking at the Institute is that this may not have been optimal. Appendix 3 describes a more efficient and effective use of the skills of

expatriate staff.

iii. During the life of the DPG one staff member, Dr. Finley, resigned at the end of his two-year contract with considerable hard feelings on either side. His replacement stayed at the Institute for only two weeks. Currently Dr. Finley's position has been taken by Dr. Larry Cross who is a very able head of the REDLIS group and who has made substantial contributions to the management and evaluation capability of the Institute.

In its employment of expatriate staff, IIRK faces a problem common to many international development organizations, namely the wide discrepancy in salaries between local and international salaries. Many senior staff are Filipinos, whose salaries are lower than that of their equivalent-ranked U.S. colleagues. This issue has led to considerable tension among staff members, and indirectly affects recruitment of expatriates. Since the Institute is committed to hiring expatriate staff from Third World countries (and maybe also from Europe), this problem is likely to be exacerbated in the near future. The Institute is currently exploring the possibilities of a two-tiered salary structure, so that all senior staff would receive international salaries, regardless of country of origin. Whatever system is used, IIRK will have to adopt a clear set of recruitment policies, with salary and benefit guidelines, to ensure that misunderstandings are minimized, and good people continue to be attracted to the Institute.

At the time of the evaluation an additional 33 participants were attending the 13th session that was to last for seven weeks.

Participants have come from 21 LDCs of Africa, Asia and Latin America, and have represented National Rural Reconstruction Movements, governments and PYOs. A number of participants, notably from Egypt, Thailand and Indonesia, have been USAID sponsored. U.S. PYO representatives include participants from Christian Relief Services, Lutheran World Relief and Save the Children Federation.

11. Through the impetus of the DPC, international training has moved from an ad hoc activity to regular sessions held twice a year. The purpose of the training is to share with participants insights gained by IIRR from its years of working with rural people. It is to provide a learning experience through which the participants gain knowledge and skill as well as the necessary attitudes to plan and implement rural reconstruction programs. One participant wrote of his experience in 1979

"I doubt if any of us who attended the training at IIRR will soon forget the lessons learned. I can still visualize Dr. Yen's pounding his fist on the lectern telling us for at least the 50th time about the 'sweat, tears and lifeblood' that went into the Ting Hsien experiment. Those were euphoric days that will remain in our hearts and minds for at least as long as we have the strength to visit piggeries, discuss irrigation, and plead the case for better latrines. However, the greatest impact that I can see from that training is in our changed attitude toward the people we serve, an attitude of servanthood. I think most of us came away from the Philippines with a heightened awareness of the enormous complexity of our task, but an exciting confidence in how much we can accomplish in alleviating suffering and building self reliance."

iii. The seven-week ILT has the following components and time allocations:

- Rural Development Issues, Problems and Needs	7 percent
- IIRR Concepts and Strategies	2 percent
- Development Process and Programs	20 percent
- Skills Development	15 percent
- Validation (long-term stay in the barrios)	34 percent
- Adaptation and Application (to individual participants, countries and positions)	9 percent
- Linkages	13 percent

iv. The course outline for the 13th ILT session is found in Appendix 6.

b. Conclusions

i. ILT is an unqualified success story for IIRR. At the time of this evaluation, the 13th ILT session was prepared and started in an atmosphere of lively festivity. The Institute's physical facilities are ideal for an international gathering of development workers. The proof of ILT's success is that the Institute has more potential participants than it can accommodate and an increasing number of requests for overseas governments and private agencies to put on ILT sessions exclusively for their staffs. ILT is also beginning to be a money maker for the Institute despite its relatively modest fees.

ii. In 1979 the Institute sent the ILT director on a combined marketing/follow-up trip. This excellent activity generated several new agency applications on the one hand while encouraging

previous ILT participants to continue to implement the lessons they had learned on the other. Despite the increase in international air fares, the evaluator recommends that IIRR consider replicating such marketing/follow-up trips after each ILT training, maybe combining these with international extension work.

iii. The evaluator noted with pleasure the IIRR support given to a Christian Children's Fund training held at GRRM. The evaluator recommends that IIRR continue to support non-rural reconstruction agencies in their development work.

iv. The documentation of ILT has been spotty. On the one hand an excellent evaluation system has been developed (see Appendix 7). On the other hand, much of the ILT curriculum has yet to be published. The publication of Section 4 of the Operations Manual (see Appendix 10), after the 13th ILT session, will help in this regard. Currently the Institute expects to have the entire curriculum published by the middle of 1981.

v. A number of participants have been so impressed with the ILT sessions that they have returned to their countries to establish rural reconstruction movements of their own. These RRM's are described as non-affiliates by IIRR, in that the Institute makes no commitment to give financial or technical support to such groups. Two groups - in India and Sri Lanka - are currently flourishing. A recent letter from the Indian Rural Reconstruction

Movement, requesting formal recognition from IIRR is attached as Appendix 16.

3. International Extension

a) Findings

(International Extension activities refer to assistance given by IIRR to its affiliate movements in Thailand, Philippines, Guatemala, Colombia and Ghana. Other forms of outreach activities are discussed in section C 3 below).

i. The table on the following page describes International Extension activities undertaken over the last three years. Those items marked with an asterisk were funded by the DPG. An additional consultancy by David Hopkins was made to TRAM in September 1980.

ii. Over the life of the DPG several staff members from the National Rural Reconstruction Movements have attended ILT sessions, sponsored by IIRR.

iii. NRRM activities are regularly reported in the Rural Reconstruction Review, published by the Institute in Silang, and the Newsletter, published by the New York office.

iv. Recently IIRR has instituted a series of joint sessions with PRRM to strengthen their planning and management capabilities.

v. IIRR provides financial support to all the NRRMs, except PRRM. These arrangements are made on an individual basis with the Presidents of the movements, and vary considerably in nature and amount.

INTERNATIONAL EXTENSION ACTIVITIES OF IIRR

DURING LIFE OF DPG

<u>Date</u>	<u>IIRR Consultant</u>	<u>NRRM</u>	<u>Purpose of Visit</u>
6/28-7/7/77	J. Flavier	GhRRM	Review of field program and technical consultation
11/27-12/4/77	P. Chin	GRRM	Study of field operation, Consultation with staff & board on funding, & developing of linkage with AID Mission
6/78	3-day IIRR-PRRM Conference	PRRM	Exchange of ideas & experiences and consultation
7/6-13/78	Dr. Yen	CRRM	Assistance with planning movement's future direction & program
7/20-27/78	Dr. Yen	GRRM	Consultation with board members, meeting with Guatemalan President with view to financial aid to GRRM, & consultation with staff re program direction
Oct. 1978	Dr. Yen	TRRM	Consultation with board and with government officials to strengthen linkages
10/6-17/78	P. Chin	AARRO Conference in Ciara, Egypt	Exploration re NRRM in Egypt & training at IIRR
10/21-28/78	D. Hopkins *	GhRRM	Assistance with staff development and developing linkages with government and AID
11/6-14/78	D. Hopkins *	TRRM	Consultation about program and assistance in establishing linkage
11/26-12/14/79	D. Hopkins *	TRRM	Assessing of field program, advice on planning, assistance with linkages with government & funding agencies
4/21-5/13/80	P. Chin	GRRM	Consultations with board & Staff, making field study, assistance in developing linkages
4/23-5/23/80	A. de Jesus *	GRRM	Conducting workshop on planning & program design
4/17-29/80	E. Claudio *	TRRM	Conducting workshop & technical consultation, particular assistance to Self-Government Group
4/17-5/3/80	M. Pernito *	GhRRM	Conducting seminar "Management of Rural Reconstruction," and assistance to field program

b) Conclusions

i. Over the life of the DPG international extension activities have been somewhat of a stepchild at the Institute. One reason for this is certainly the rising cost of international air travel which has limited the amount of direct international assistance provided by Institute staff to the rural reconstruction movement in Asia, Africa and Latin America. Another reason has been the lack of a clear I. E. director. Over the last five years I. E. activities have been divided between the New York office, with responsibilities for Latin America, and the Institute with responsibilities for Asia and Africa. The matching grant proposal establishes IIRR's intention to overcome the deficiencies in its international extension activities in the future.

ii. From the detailed and well documented trip reports it appears that what technical assistance was offered was timely, appropriate, and well received. In particular, there can be little doubt that those movements visited by Dr. Yen and/or Flavier have benefited from their ability to inspire and remotivate staff and to help to raise funds.

iii. From personal experience the evaluator knows that GHRM for reasons outside its control is in dire need of financial and material assistance. The evaluator therefore recommends that the Institute consider extending emergency funds to bail out the Ghana movement. Some problems in Ghana include the fact that the

extremely able field director is contemplating resignation since he cannot make ends meet on his current salary. Ghana is also suffering from a severe lack of all material resources. Shipment of books, farm implements and other supplies would currently be more appropriate than technical assistance. If matching funds are received from AID/Washington, the evaluator urges the Institute to consider continuing and even increasing financial assistance to GhRRM.

iv. The outcome of the evaluator's visit to PRRM and TRRM are presented in two memoranda, attached as Appendix 8. As a result of these excellent meetings, the evaluator recommends that IIRR consider the following types of international extension activities with NRRMs in future:

- Establishing a common format for research and field operations reporting. This will facilitate technical communication among movements, and should allow for greater inputs from the NRRMs to the Institutes' publications.
- Holding Rural Reconstruction conferences every 18 or 24 months, to be hosted at the NRRMs on a rotating basis. Such meetings would allow for exciting cross-fertilization of ideas and should result in replications of good projects, joint ventures, etc. By opening such conferences to other development agencies, considerable outreach could be effected. National movement would also benefit from the prestige of an international gathering, which could be tied in with local fund-raising efforts, special research projects, etc.
- Offering NRRMs a range of financial support options that might include salary support, a form of mini DPG, and a form of mini matching grant. Naturally, the quantity of such support will depend upon availability of funds to IIRR.

C. Institutional Development

1. Management, Planning and Evaluation

a) Findings

i. Appendix 9 contains a paper written by Dr. Larry Cross on the evolution of IIRR's planning system. The Institute carefully and thoroughly briefed itself on a variety of planning systems including the SAIDI and Management by Objective approaches. Over the life of the DPG, the Institute has developed a system of its own that appears to meet all of its needs. At the time of the evaluation, i.e., August 1980, final discussions of 1981 objectives were underway. Details of these and longer-term objectives are found in Appendix 15.

Evaluation systems have been Institutionalized at both the group and the Institute level. For instance, each of the eight functional groups at the Institute use Gantt charts to target and monitor monthly, quarterly and annual objectives. These charts are informally updated at weekly group staff meetings and formally updated quarterly at presentations to the Institute-wide Integration Assembly.

ii. A notable feature of the Institute's planning and evaluation system is the extent to which staff participation in decision making is encouraged. Dr. James Mayfield has facilitated a number of team building/planning workshops and

retreats for various groups within the Institute. As a result of these and other exercises, there is a high degree of consensus amongst staff members as to goals, objectives and approaches to their work.

b) Conclusions

i. Over the life of the DPG, the Institute has carefully and thoroughly examined its management, planning and evaluation systems through several series of workshops, seminars and retreats. Time was taken to ensure participation of the whole staff and to explore various systems and the strategies adopted represented a synthesis of approaches well adapted to the Institute's needs. Especially with regard to the timely preparation of annual plans, Dr. Mayfield concurs with the evaluator in believing that the Institute's planning system for an organization of its kind is "first rate."

ii. Further, the Institute is outstanding in its commitment in both theory and practice to evaluation. Evaluation is a feature of all Institute activities including the ILT and People's School curriculum, and evaluation material by ILT and P.S. participants is used directly in the planning of subsequent sessions. The evaluation role of the PEU and the ICCPI has worked efficiently in recent months.

iii. There are two caveats to this rosy picture. The first pertains to documentation which is discussed in general in the

following section. With respect to some aspects of the management system, the evaluator found that the documents were excessively complex and difficult to understand. An example is the set of procedures for adopting new ideas during the course of a planning year. This failing is probably caused by the newness of the system. However, the evaluator recommends that in the years to come IIRR managers work to simplify and streamline evaluation and planning procedures before they are institutionalized.

iv. The second caveat is more serious and pertains to the sharing of financial information between New York and Cavite. Basically the accounting and budgeting, function of dollar funds is carried out by the New York office while program planning, design, implementation and evaluation is undertaken at the Institute in Cavite. Poor communications as to current financial allocations has handicapped planning and evaluation activities in Cavite. For individual staff members this lack of shared information has led to considerable anxiety and unnecessary and unhealthy speculation as to the financial status and viability of the organization and the nature and wisdom of current resource allocations.

Communications between the two offices are exacerbated by Cavite's lack of telephone facilities which in turn necessitates a Manila relay office which communicates with Cavite by radio. Currently the costs of installing full telephone

facilities at the Institute appear to be prohibitive although IIRR staff are looking into that possibility for the future.

This situation is doubtless part of the problems associated with the transition period that the Institute is presently undergoing. The evaluator strongly recommends that in the coming years the Institute move towards an "open book" policy, where financial information is openly and regularly shared with senior staff in Cavite. It is to be expected that as Dr. Flavier takes on increasing responsibility as President of the Institute, he will oversee all aspects of resource allocation in the future. Indeed, the evaluator feels that this is essential if many of the planning and evaluation efforts of the senior staff in Cavite are to bear fruits through the excellent one - and three - year plans.

v. The Program Evaluation Unit (PEU) comprises the three main DPG-funded expatriate staff, currently Larry Cross, John Batten, and Tom Olson. Over the life of the DPG, the evaluation functions of the Unit have very naturally and appropriately been adopted by the larger IGPC (for internal management) or REDLIB (for research) groups. The benefits of this widening of the evaluation function are seen in the many evaluation outputs cited above. In the reorganization of the Institute, the PEU will no longer exist as a separate unit.

2. Research, Documentation and Reporting

a) Findings

i. Over the life of the DPG, a large number of research projects have been initiated. Some of the more ambitious include a cost/benefit study of the People's School approach and a similar study of the Upland Rice Program of the Livelihood Group. The QUEST project, which surveyed over a thousand farmers to collect data on their farm records and budgets, is now being written up for computer analysis. This longitudinal study will compare data gathered in 1977 and 1980 and should provide some fascinating information about a sadly under-researched topic. More importantly, perhaps, the results of the study will be given to individual farmer respondents to use for their own future planning purposes. This information used in conjunction with the small loan scheme funded by the German Freedom from Hunger Campaign will allow small farmers in the social laboratory to maximize returns to their investment on their land.

ii. Publication of much of the research work undertaken at the Institute has been slow. Some constraints include relatively poor research and writing skills amongst some of the junior staff placing an inordinate burden on senior staff who also had substantial management and administrative responsibilities. However, two issues of the Rural Reconstruction Review have been published and a third edition should be printed by

the end of this year. The REDLIB group, primarily responsible for documentation, is snowed under with documentation. The evaluator had a hard time choosing amongst these for the already to lengthy set of appendices. Indeed, the Institute seems addicted to documenting its every move. A set of documentation priorities would be useful.

The Operations Manual for Program Planning, Monitoring and Evaluation is written but not yet published. The Institute plans to use this as an internal document while reproducing Part 4 for use in IIT sessions and possibly for general dissemination. Appendix 10 gives the table of contents and preface to the Operations Manual.

b) Conclusions

1. The establishment of the REDLIB group has helped to bring order to the welter of research information available at IIR. The Institute's problem has been its energy in data collection and its relative lack of data analysis. The period immediately preceding the DPC was particularly notable for its lack of research publications, (see Appendix 11, List of Available Publications). Late 1980 and the whole of 1981 promises to be an excellent time for research publications. The survey data on the impact in the social laboratories will be published as will the results of the QUEST Project. Many other individual research

projects in the four operational fields -- livelihood, self-government, health, and education and culture -- will also be published. The much delayed publications of the People's School curriculum, the ILT curriculum, and the Operational Manuals are also slated for late 1980 and 1981.

Although staff changes noted in Section III. A. have affected research and documentation work, in general it must be concluded that the DPC was over ambitious in its research and documentation objectives. However, in response to DPC-funded activities several additional staff have been hired during recent months; the work of individuals attached to REDLIB Livelihood and the ECG/ESS group should ensure steady progress in the field of activities over the next few years.

11. The publications that have been produced during the life of the DPC fall into two main categories: those intended to support field activities in the social laboratory and those designed for international development workers. Of this latter type, the most recent copy of the Rural Reconstruction Review is attached as Appendix 12. These articles are written for practicing development workers. They are appropriately easy to read, informative and practical. The book, "An Experiment in Integrated Rural Development: The Mampong Valley Social Laboratory in Ghana," has been well received by universities and public and private individuals.

iii. With the addition of the new staff mentioned above and given the excellent academic qualifications of many senior staff, the Institute is now in a position to publish more scholarly research papers aimed at a slightly different audience: college professors and students, and government planners. The evaluator recommends that the Institute put considerable emphasis on this type of publication to widen its linkages and expand its reputation. Such additional visibility might attract the sort of researchers who would contribute to the Institute's desire to become a "center of excellence." Such scholars might also be encouraged to undertake joint research ventures with junior IIRR technical staff.

iv. The Institute has initiated a semestral (bi-annual) reporting system in January and July for its major donors, the GFFHC and ICCO. In the interest of staff efficiency, the evaluator recommends that if matching funds are granted by AID/Washington, the bi-annual reports to Washington be allowed to fall into this system regardless of data funding.

v. The evaluator was impressed by the level of specificity and inclusiveness of the Institute's reporting to all donors, including AID/Washington. This exercise is taken very seriously by the IIRR staff.

3. Linkages and Dissemination

a) Findings

i. The Rural Reconstruction Review goes out to some 4,000 people. About 300 copies are sent to former ILT participants and their institutions. About 400 are sent to PVOs with about 800 going to government agencies, donors, universities, and others. The rest are used as handouts and Institute brochures. Appendix 11 gives a list of available publications which attracts a small but steady stream of purchasers.

ii. The Institute is a lively and busy place. At the time of the evaluation at least a dozen visitors from various organizations dropped in at the Institute. Several formal meetings with Government of Philippines officials and representatives from private groups also took place. Various groups and individuals within the Institute have formed linkages of three major types. The first represents a linkage that has produced an ongoing active program relationship. The second type represents close working relationships and continuing interaction between the Institute and the linkage agency. The third level reflects knowledge of one another's programs, regular communication, and opportunities for future collaboration.

iii. The New York office publishes regular newsletters as well as informative annual reports; that for 1979 is attached as Appendix 13.

b) Conclusions

1. Overall IIRR is to be congratulated on the breadth and quantity of linkages with public and private groups and individuals which have been made over the life of the DPG. Appendix 14 contains a partial listing of new linkages of all levels. As has been noted elsewhere there is room for the Institute to increase yet more its linkages with national and international groups, governments and individuals. Some mechanisms to be encouraged in the future include:

- increased consultancies by IIRR staff
- assistance in non-IIRR-based training sessions in the Philippines and overseas
- increased I.E. activities
- production of scholarly documents

The evaluator recommends that IIRR continue its outreach efforts in two main ways: by spreading the results of rural reconstruction activities and by working with agencies or groups with other development approaches. In the past, extension efforts have concentrated on the first way, by means of IIT, international extension and publications. There are many opportunities, through consultancies, joint activities and technical support for instance, for IIRR to influence a wide range of development agencies all over the world.

A recent development that illustrates the range of linkages

between the Institute and the Government of the Philippines is the involvement of IIRR in the municipal level planning exercises in two municipalities of the social laboratory. Local government workers and representatives of the National Economic Development Authority spent one month at IIRR this year working with Institute staff on the preparation of these plans.

ii. The current dissemination information and experience gathered in the social laboratory is undertaken in four ways:

- informal and formal word of mouth as IIRR staff travel;
- public relations activities or publications by the New York office;
- visitation by a wide range of individuals to the Institute;
- distribution of the Rural Reconstruction Review and other publications; and
- IIT and I.E. activities and follow-up

The evaluator concludes that between 5,000 and 10,000 individuals or groups receive regular information about the Institute and the latest developments in rural reconstruction through one or more of these mechanisms.

D. Overall Assessment of DPC Funded Activities

The evaluation of work requested "an evaluation of IIRR's performance as a result of the DPC using such criteria as adequacy of performance, impact, effectiveness in terms of intent, effectiveness in terms of mission, responsiveness, and cost effectiveness."

Despite time constraints, this section of the evaluation attempts to meet these requirements.

1. In general, the evaluator has no hesitation in saying that IIRR has used its DPG funds to meet both the intent of the grant and the mission of the Institute. AID's DPG program was designed to help PVOs to strengthen their capability to do what they were already doing. In its choice of staff and consultants and its use of them, and in establishment of planning, management and evaluation systems, IIRR has significantly strengthened its ability to undertake field operations in rural reconstruction and share this information with other development workers through publications, training, and extension activities. In fact, IIRR's use of the DPG funds might well be considered a model of the value of the DPG program as a whole.

2. There are many reasons why IIRR's use of DPG funds has been so successful. Some are:

- The long history behind the Institute and its clear mission and identity, strengthened by the vital role of Dr. Yen as Founder of Rural Reconstruction and the credo which underlies all Institute activities.
- At the same time the changes in the management style brought about by Dr. Flavier's leadership have encouraged staffwide participation in decision making and creating an atmosphere in which meaningful institutional development can occur.
- The rest of the development world is now vitally concerned with just the "integration approach" that rural reconstruction represents. The message of the Institute is therefore timely and its training is eagerly sought. The timing of the DPG funds allowed the Institute to grow to meet this challenge.

- IIRR staff is commendable for its high qualifications, skills, and commitment to their mission. The DPG-funded personnel have added breadth to an already firm base.
- The Institute has a wide range of funding including a relatively small development fund reserve. Many funding sources have been added during the life of the DPG. The Institute also enjoys the advantage of excellent facilities and is now using some of its land to provide additional income through self-sufficiency farms. AID is not the largest funder of the Institute. German and Dutch funding is also substantial. Thus, unlike many DPGs to other PVOs, that to IIRR has not engendered a dangerous dependency on AID funding. While the Institute would not be where it is today without the DPG funds, it would still be operating without them. (As was noted in Section II the German and Dutch funds are largely used to support field operations in the social laboratory while AID funds have been used for institutional development and outreach.

3. Elsewhere in this report, IIRR's commitment to "working with the people" has been outlined. Both in the field (i.e., in the social laboratory and People's School) and in its ILT and I.E. activities, IIRR has been commendably responsive to the needs of those it is serving.

4. In terms of cost-effectiveness, the evaluator did not have time to generate definitive figures that could be compared with the development efforts of other agencies. The following points should be noted:

- Salaries of expatriate staff of IIRR are modest by international standards.
- Institute facilities are more than adequate, yet obtained for a nominal amount. Operations and maintenance costs are low.
- By multi-use of DPG-funded consultants and expatriate staff, IIRR has demonstrated a superior ability to get more for less.
- The rural reconstruction movement is sharply committed to a policy of thrift.

- Training costs for the People's School and ILT are exceedingly modest by international standards.
- The Institute has effected a number of energy-saving innovations such as car-pooling for professional or personal activities.

Without making any quantitative study, therefore, the evaluator suggests that IIRR's activities are indeed cost-effective as compared with other international PVO operations.

5. In terms of impact the consensus of the Institute staff is that its field operations have had a direct impact on about 60 percent of the total of 100,000 people living in the social laboratory. To this figure must be added those beneficiaries impacted on by replications elsewhere in the Philippines and overseas.

Over the life of the DPG, 104 international participants have attended international leadership training sessions. An additional 33 are currently attending the 13th session. Most participants are supervisors of public or private groups. One may estimate that each participant influences between five and 50 other people when they return to their native countries. The power of the ILT to spark programs for additional beneficiaries may be seen by the establishment of non-affiliated movements in India and Sri Lanka.

Through technical assistance to the National Rural Reconstruction Movements the Institute has directly benefited at least 100 staff people of those movements and indirectly thousands of NRRM target beneficiaries.

Through the dissemination of the Rural Reconstruction Review and other publications produced in the Philippines and New York, some 4,000 to 5,000 indirect beneficiaries are reached.

IV. IIRR AND THE FUTURE

The Institute is very future oriented. It has prepared detailed objectives for 1981 and the entire 1981 to 1983 period. It has also developed a 1990 scenario. Overall, the Institute has the following major objectives.

- i. Achieving a balance amongst its three major activities: operations research, ILT, and international extension.
In practice this means giving additional time and emphasis to the international extension component which for a variety of practical reasons has been a neglected area over the life of the DPC.
- ii. Internationalizing the Institute by hiring Third World senior professionals and encouraging dissemination of information and linkages with Third World organizations.
- iii. Providing a more integrated approach to field operations in the social laboratory.
- iv. Upgrading the quality and quantity of what the Institute calls "dynamic action research."
- v. Designing and initiating a program to address the special needs of the target population in the areas of land reform with particular attention to tenants, landless workers, and those displaced by urban industrial expansion.

The one - three - and ten year plans for the Institute are in Appendix 15.

In their matching grant proposal, the Institute requests funding for a "new ~~area~~^{thrust} in international sharing." The funds are intended to be used to expand and improve ILT and to increase technical assistance to affiliated and non-affiliated national rural reconstruction movements. Sepcifically, the Institute hopes to undertake the following activities:

- i. Continuing to conduct two ILT sessions a year while including ten-day to two-week workshops conducted outside the Philippines with affiliated NRRMs.
- ii. To improve IIRR's ILT curriculum by exploring new strategies in the social laboratory. Some of these new strategies are:
 - Rural structural transformation, i.e., a project to improve security on the land and adjustment to urbanization
 - Rural women's project to include leadership training, organization of project interest groups, village level associations, training in economic and income generating activities, and cooperative management
 - Health through non health organizations. Projects that integrate the health component with predominantly livelihood activities

- Economic institutions development program designed to organize at least four sound and viable economic institutions at village levels and to strengthen existing cooperatives
- Education for community building, involving needs identification, group organization, training of facilitators, preparation of educational packages, and resource identification

iii. To assist affiliate national movements to serve as demonstrators, training centers, and testing ground and to assist non-affiliate movements to become increasingly viable. This activity, too, will involve short-term staff assignments as needed, training for FRRM staff at the Institute, and working with NRRM boards of directors in fund raising and other activities.

The evaluator believes that these objectives are both appropriate and realizable. Due to the fund raising skills of Dr. Flavier, IIRR should have no difficulty in raising the non-AID matching funds. The evaluator has no hesitation in recommending that AID/Washington award the Institute the matching grant funds they are asking for as soon as possible.