

15

CONTRACT/AGREEMENT DATA SHEET	B 23187	1. M/SER/AAM/A/SUP Action Monitor CME	2. Date PIO/T Received in M/SER/AAM/A/SUP 12 / 6 / 88
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COMPLETE EACH BLOCK FOR BOTH NEW ASSISTANCE/ACQUISITION AND MODIFICATION ACTIONS

1. Contract (Agreement)/Number OTR-0158-A-00-9033-00 (New)	2. Date PIO/T Received in M/SER/AAM/A/SUP 12 / 6 / 88
4. Contractor/Recipient Name Institute for Development Research	5. Contractor Acronym IDR
6. Project Title Private Voluntary Development Issues for the 1990s	7. Project Number 938-0158
8. Project Officer's Name S. MacCarthy	9. Bureau or USAID Symbol FVA/PVC
10. PIO/T Number 938-0158-3-9384000	21. Budget Plan Code EDSA8913810-KG11 App. 72-1191021.6 All. 946-38-099-00-76-91
11. TYPE OF ACTION A. New Acquisition/Assistance B. Amendment/Modification 1. New/Revised Scope 2. Funded Extension 3. No Cost Extension 4. Transfer of action from AID/W to Mission/Mission to AID/W 5. Incremental Funding 6. Overhead Rate Adjustment 7. Contract Closeout 8. Other C.FPR or FAR H.B.13	22. Country or Region of Performance Worldwide 23. A. This Action Increases or Decreases TEC by \$ - 0 - B. Total Estimated Cost of Contractual Document \$ 48,833 24. Amount of Non-Federal Funds Pledged to the Project - 0 -
12. Amount of this PIO/T Obl. U.S. \$ 45,721	25. Effective Date of this Action 10/25/88
13. Amount <input checked="" type="checkbox"/> Obligated <input type="checkbox"/> Subobligated <input type="checkbox"/> Deobligated by this Contract or Amendment U.S. \$ 45,721 45,721 <i>this T</i> 48,833 <i>this Action</i>	26. Estimated Completion/Expiration Date 10/24/89
14. Cumulative Obligation (Life of Contract) U.S. \$ 48,833	27. Contractor DUNS Number 19-473-0529
15. This Action Funded Through 10/24/89	28. Consultant Type Award <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
16. Date Contractual Documents Signed by AID Official 11/17/89	29. Number of Person Months (PASA/RSSA only) N/A
17. Incrementally Funded Contracts <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	30. Number of Persons (PASA/RSSA only) N/A
18. Host Country/Counterpart Institution (University Contracts) N/A	31. CONTRACT TYPE A. Fixed Price (specify: <input type="checkbox"/> FFP <input type="checkbox"/> FPRU <input type="checkbox"/> FPEPA <input type="checkbox"/> FPI) <input checked="" type="checkbox"/> D B. Cost Reimbursement (specify: <input type="checkbox"/> CR <input type="checkbox"/> CPFF <input type="checkbox"/> CS <input type="checkbox"/> CPAF <input type="checkbox"/> CPIF) C. IQC and Requirements Contracts D. Grant/CA/PASA/RSSA E. Contracts with Individuals
20. ADVANCE A. No Advance B. Advance Non-FRLC C. Advance FRLC B	32. Negotiator's Typed Name P.M. Merrill

Combined with Data Sheet B-23401

ENTERED FEB 17 1990 COORS SECTION

32. Negotiator's Typed Name P.M. Merrill	33. Negotiator's Signature <i>Pamela M. Merrill</i>	34. Date Signed 11/23/89
35. Contract/Grant Officer's Organization Symbol W/MS	36. Contract/Grant Officer's Signature <i>CR [Signature]</i>	37. Date Signed 1/23/89

**CONTRACT/AGREEMENT
DATA SHEET**

B 23401

1. M/SER/AAM/A/SUP
Action Monitor

cme

2. Date PIO/T Received in
M/SER/AAM/A/SUP

1 / 18 / 89

COMPLETE EACH BLOCK FOR BOTH NEW ASSISTANCE/ACQUISITION AND MODIFICATION ACTIONS

1. Contract/Agreement/Number

OTR-0158-A-00-9033-00 (New)

4. Contractor/Recipient Name

Institute of Development Research

5. Contractor Acronym
(IDR)

6. Project Title

Private Voluntary Development: Issues for the 1990s

7. Project Number
938-0148

8. Project Officer's Name

S. MacCarthy

9. Bureau or USAID Symbol
FVA/PVC

10. PIO/T Number

938-0158-3-9384000 A1

21. Budget Plan Code EDSA-889-13810-KG11

App. 72-1191021.6 All. 946-38-099-00-76-91

11. TYPE OF ACTION

A. New Acquisition/Assistance

B. Amendment/Modification

1. New/Revised Scope

2. Funded Extension

3. No Cost Extension

4. Transfer of action from AID/W to Mission/Mission to AID/W

5. Incremental Funding

6. Overhead Rate Adjustment

7. Contract Closeout

8. Other

A

Combined
with
Sheet
B23187

22. Country or Region of Performance

Worldwide

23. A. This Action Increases or Decreases TEC by

\$ -0-

B. Total Estimated Cost of Contractual Document

\$ 48,833

24. Amount of Non-Federal Funds Pledged to the Project

-0-

C.FPR or FAR

12. Amount of this PIO/T

Obl. U.S. \$ 3,279

25. Effective Date of this Action

10/25/88

13. Amount Obligated Subobligated Deobligated
by this Contract or Amendment

This U.S. \$ 3,112 (\$ 48,833) - This Action

26. Estimated Completion/Expiration Date

10/24/89

14. Cumulative Obligation (Life of Contract)

U.S. \$ 48,833

27. Contractor DUNS Number

19-473-0529

15. This Action Funded Through

10/24/89

16. Date Contractual Documents Signed by AID Official

11/17/89

28. Consultant Type Award

YES

NO

29. Number of Person Months (PASA/RSSA only)

N/A

17. Incrementally Funded Contracts

YES

NO

30. Number of Persons (PASA/RSSA only)

N/A

18. Host Country/Counterpart Institution (University Contracts)

N/A

19. Campus Coordinator (University Contracts)

N/A

31. CONTRACT TYPE

A. Fixed Price (specify: FFP FPRD FPEPA FPI)

B. Cost Reimbursement

(specify: CR CPFF CS CPAF CPIF)

C. IOC and Requirements Contracts

D. Grant (CA/PASA/RSSA)

E. Contracts with Individuals

D

20. ADVANCE

A. No Advance

B. Advance Non-FRLC

C. Advance FRLC

B

32. Negotiator's Typed Name

P.M. Merrill

33. Negotiator's Signature

Pauline M. Merrill

34. Date Signed

11/23/89

35. Contract/Grant Officer's Organization Symbol

W/MS

36. Contract/Grant Officer's Signature

CR Eldridge

37. Date Signed

11/23/89

38. SUBJECT TO STATUTORY REQUIREMENT

- A. Walsh-Healey Act, Manufacturer*
- B. Walsh-Healey Act, Regular Dealer*
- C. Service Contract Act
(U.S. ONLY - Guards, Maintenance, Laborers)
- D. Davis-Bacon Act (Construction)
- E. Not subject to Walsh-Bacon Act
(Most AID Contracts)

E

*Equipment, Supplies, Materials, and Commodities

39. Country of Manufacture

US N/A

40. CURRENCY INDICATOR

- A. U.S. Dollar
- B. Local Currency
- C. Combination
- D. Unfunded

A

41. SUBCONTRACTS

Is there a provision for a subcontract? (Contracts only)

YES NO

42. TYPE OF SERVICE

- A. Training of Participants
- B. Technical Assistance to Host Country
(Program, Project related except A&E Services)
- C. A&E Services
- D. Construction
- E. Research
- F. Technical Services to AID
(other than training; usually operating expense)
- G. Training Service for AID
- H. Equipment, Materials, Supplies, Commodities
- I. Translation Service

F

43. CONTRACT/AGREEMENT SOURCE

- A. U.S. Contractor/Grantee
- B. Non-U.S. Contractor/Grantee
- C. Combination of A & B

A

44. TYPE OF AMERICAN OWNERSHIP

(U.S. Persons or Firms Only)

Minority

- A. Asian/Pacific Islander
- B. Black American
- C. American Aleuts or Eskimos
- D. American Indian
- E. Hispanic

G

G. Non-Minority

45. METHOD OF SOLICITATION

- A. Sealed Bid
- B. Competitive Proposal
- C. Combination/Competition
- D. Other Competition
- E. Noncompetitive

E

46. LABOR SURPLUS AREA PREFERENCE

Labor Surplus Area

- A. No Preference
- B. Tie Bid Preference
- C. Total Set Aside
- D. Not a Labor Surplus Area Preference Award

D

47. TYPE OF BUSINESS

- A. Source: Non-U.S. and Used Outside U.S. & Possessions
- B. Source: Non-U.S. and Possessions
(Foreign Purchases Used Inside U.S.)
(If U.S. Source, complete C through Q)
- C. Firm - Profit Making & PSC's

G

Non-Profit Organizations

- D. Private Educational Organizations
- E. Hospitals
- F. Research Institutions, Foundations, and Laboratories
- G. Other

Private Voluntary Organizations

- H. U.S. Registered
- I. U.S. Non-Registered
- J. Foreign

State/Local Government

- K. Educational Institutions
- L. Hospitals
- M. Research Organizations
- N. Other

O. International Agricultural Research Organizations

- P. Public International Organizations
- Q. U.S. Cooperatives

48. Women Owned Business?

YES NO

49. TYPE OF AWARD

Small Business

- A. Not Set Aside
- B. Partial Set Aside
- C. Total Set Aside
- Other Than Small Business

H

- D. Personal Service Contract
- E. Individual Non-Personal Service Contract
- F. U.S. Government
- G. University
- H. Non-Profit Organizations and PVOs
- I. Large Businesses

50. Paying Office:

Payment will be made by

MIFM/PAFD

51. SYNOPSIS PRIOR TO AWARD

C

- A. Synopsized prior to awards
- B. Not synopsized due to emergency
- C. Not synopsized for other reasons

52. COMPETITIVE SOLICITATION PROCEDURES

L

- A. Normal full and open competition *
 - B. Architect - Engineer
 - C. Basic Research Proposal
 - D. Multiple Award Schedule
 - E. Alternate Source - Reduced Cost
 - F. Alternate Source - Mobilization
 - G. Alternate Source - Engineering/R&D Capability
 - H. Small Business Set-Aside
 - J. Labor Surplus Area Set-Aside
 - K. LSA/Small Business Set-Aside
 - L. Other than full and open competition
 - M. Small Purchases
 - N. 8(a) Program
 - P. Otherwise authorized by statute
- *If, 'A', block 57 must be completed*

53. NUMBER OF OFFERORS

1

- 1. Only one offeror
- 2. More than one offeror

54. APPLICABILITY OF COMPETITION IN CONTRACT ACT (CICA)

- 1. Pre-CICA
- 2. Post-CICA

N/A

55. AUTHORITY FOR OTHER THAN FULL & OPEN COMPETITION

C

- A. Unique Source
- B. Follow-on Contract
- C. Unsolicited Research Proposal
- D. Patent/Data Rights
- E. Utilities
- F. Standardization
- G. Only One Source - Other
- H. Urgency
- J. Mobilization
- K. Essential R&D Capability
- L. International Agreement
- M. Authorized by Statute *
- N. Authorized Resale
- P. National Security
- Q. Public Interest

**If 'M', block 56 must be completed*

56. SPECIAL AUTHORITY FOR NON-COMPETITIVE ACTIONS

(Impairment of Foreign AID Programs) Authorized Under AIDAR Sec. 706,302.70(b)(3)

4

- 1. PSC's Awarded Under Sec. 636(a)(3)
- 2. An Award of \$100,000 or Less by an Overseas Contracting Activity
- 3. Written Determination by Assistant Administrator or Administrator
- 4. None of the above.

57. SPECIAL SELECTION PROCEDURES

3

- 1. University Selection Procedures
- 2. Collaborative Assistance Procedures
- 3. None of the above

ORIGINAL
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20623

JAN 17 1989

Ms. Jane G. Covey
Executive Director
Institute for Development Research
710 Commonwealth Avenue
Boston, Mass. 02215

SUBJECT: Cooperative Agreement No. OTR-0158-A-00-9033-00

Dear Ms. Covey:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A.I.D.") hereby provides to Institute for Development Research (hereinafter referred to as "IDR" or "Recipient") the sum of \$48,833 in support of a program on Private Voluntary Development: Issues for the 1990s as more fully described in the Schedule of this Agreement and Enclosure 2 entitled "Program Description."

This Cooperative Agreement is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives for the indicated period set forth in Section C. of Enclosure 1 of this Agreement.

This Cooperative Agreement is awarded to the Recipient on condition that the funds will be administered in accordance with the terms and conditions as set forth in Enclosure 1 entitled "Schedule," Enclosure 2 entitled "Program Description," and Enclosure 3 entitled "Standard Provisions," which have been agreed to by your organization.

ORIGINAL

5

Please have an authorized representative sign the original and all copies of this letter to acknowledge receipt of the Cooperative Agreement, retain one copy and return the original and remaining copies to the undersigned, being sure to return all copies stamped "Funds Available."

Sincerely,



Carolyn R. Eldridge
Grant Officer
Management Services Branch
Office of Procurement

Enclosures:

1. Schedule
2. Program Description
3. Standard Provisions

ACCEPTED:

INSTITUTE FOR DEVELOPMENT RESEARCH

BY: Jane G. Conroy
TITLE: Executive Director
DATE: 2/13/89

FISCAL DATA

PIO/T No.:	9384000 and Amendment No. 1
Project No.:	938-0158
Appropriation No.:	72-1191021.6
Allotment No.:	946-38-099-00-76-91
Budget Plan Code:	EDSA-89-13810-KG11
This Obligation:	\$48,833
Total Obligated Amount:	\$48,833
Total Estimated Amount:	\$48,833
Technical Office:	FVA/PVC
DUNS No.:	19-473-0529
IRS Employer ID No.:	04-614-1190
Funding Source:	FVA/PVC
Effective Date:	Date of signature by Grant Officer

FUNDS AVAILABLE

Maria Craig
JAN 25 1989

o/c 4190

Program Acctg Fin Division
Office of Financial Management

SCHEDULE

A. Purpose of Cooperative Agreement

The purpose of this Cooperative Agreement is to provide assistance to IDR for its program on Private Voluntary Development: Issues for the 1990s. This is more specifically described in Enclosure 2 to this Cooperative Agreement entitled "Program Description." The Recipient's proposal is incorporated as part of the program description and is attached hereto. In the event of an inconsistency between the Recipient's proposal, the program description, and this schedule; the schedule and then the program description shall take precedence.

B. Substantial Involvement Understandings

It is understood and agreed that A.I.D. will be involved in the following:

The draft Scope of Work for the study of the institutional capacity of the International Institute for Rural Reconstruction (IIRR) is subject to renegotiation prior to the commencement of any overseas travel associated with the implementation of the study.

C. Period of Agreement

The effective date of this agreement is the date of the Cover Letter and the estimated completion date is October 24, 1989. Funds obligated hereunder are authorized for program expenditures beginning October 25, 1988 and are anticipated to be sufficient through the estimated completion date.

D. Funds Obligated, Payment, Estimated Cost

1. The total estimated amount of this Cooperative Agreement for the period shown in paragraph C. is \$48,833.

2. A.I.D. hereby obligates the amount of \$48,833 for the purposes of this Cooperative Agreement for the period cited in paragraph C. and as shown in the budget below.

3. Payment shall be made to the Recipient in accordance with procedures set forth in Enclosure 3 - Additional Standard Provision entitled "Payment - Periodic Advance."

E. Budget

The following is the budget for this Cooperative Agreement. The Recipient may not exceed the total estimated amount or the obligated amount, whichever is less (see paragraph D above). Revisions to this budget shall be made in accordance with Standard Provision of this Agreement, entitled "Revision of Agreement Budget."

<u>Cost Element</u>	TOTAL FR: 10/25/88 TO: 10/24/89
Conference	\$12,382
IIRR Study	24,870
Administrative Costs	11,581
Total	<u>\$48,833</u>

Notes to Budget:

The Recipient is allowed 5% flexibility among line items in the budget.

F. Reports and Evaluation

1. Financial Reporting

a. Financial reporting requirements shall be in accordance with the method of payment Standard Provision cited in paragraph D above.

b. The original and two copies of all financial reports shall be submitted to A.I.D., Office of Financial Management, Program Accounting and Finance Division (FM/PAFD), Washington, D.C. 20523. In addition, one copy of all financial reports shall be submitted to the technical office specified in the Cover Letter of this Cooperative Agreement.

2. Program Performance Reporting

a. The Recipient shall submit quarterly program performance reports, and a final report, which briefly present the following information:

(1) A comparison of actual accomplishments with the goals established for the period, the findings of the investigator, or both. If the output of programs or projects can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.

(2) Reasons why established goals were not met.

(3) Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

b. Between the required performance reporting dates, events may occur that have significant impact upon the program. In such instances, the Recipient shall inform A.I.D. as soon as the following types of conditions become known:

(1) Problems, delays, or adverse conditions that will materially affect the ability to attain program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of project work units by established time periods. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any A.I.D. assistance needed to resolve the situation.

(2) Favorable developments or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.

c. One copy of each program performance report shall be submitted to the technical office specified in the Cover Letter of this agreement.

G. Indirect Cost Rates

In the absence of a negotiated indirect cost rate agreement, A.I.D. will finance overhead costs not to exceed \$11,581.

H. Title to Property

Not applicable

I. Special Provisions

Authorized Geographic Codes for Procurement

The authorized geographic code for this agreement is "000." No procurement under Geographic Code 935 or of restricted commodities is anticipated under this program.

Enclosure 2

PROGRAM DESCRIPTION

The principal activities that will be performed under this cooperative agreement are (1) the preparation of a paper on the issues for private voluntary development in the 1990s for the OECD/DAC NGO conference entitled "Strengthening Non-Governmental Partners in Developing Countries" in Paris on November 22-23, 1988, 2) participation in the DAC NGO conference, (3) preparation of a follow-up paper on the implications of the DAC deliberations on the development strategies of U.S. PVOs, and (4) the development of a case study documentation of the local organization development capacity of the U.S. PVO, International Institute for Rural Reconstruction. The Recipient's proposal for these activities is incorporated as part of this program description and is attached hereto.

A.

Grant Proposal

**PRIVATE VOLUNTARY DEVELOPMENT:
ISSUES FOR THE 1990s**

October 25, 1988

Presented to:
Office of Private Voluntary Cooperation
U. S. Agency for International Development
Washington, DC

Presented by:
Institute for Development Research (IDR)
710 Commonwealth Ave.
Boston, MA 02215

PRIVATE VOLUNTARY DEVELOPMENT: ISSUES FOR THE 1990s

The 1980s have been referred to as the decade of the NGO. Severe economic setbacks in many Third World countries and growing concern with the failure of conventional government - to - government assistance to reach the truly poor have led to a dramatic shift of attention in the direction of non-governmental development agencies, including increased allocation of financial resources. It remains to be seen whether this new found interest will establish a new trend, or simply prove to be another short-lived development fad. The outcome may well depend on the extent to which donors, and more importantly voluntary sector organizations, come to terms with the issues that this upsurge in interest has brought to light. These issues include the following:

1. **Is there something distinctive about the nature and development role of voluntary organizations? Or is it appropriate to view them primarily as low cost substitutes for government in the delivery of essential services? If they are different, what is the nature of the difference and what are the implications?**
2. **What are the implications of the reality that Southern NGOs are rapidly growing in size, strength and sophistication? What is the role, if any, of the Northern voluntary development organization? What must the Northern organizations do to adjust to the new reality?**
3. **When donors, Northern PVOs, and Southern NGOs speak of development are they talking about the same thing? Or are they working from different theories and visions? To the extent their theories and visions differ, what are the implications?**
4. **What is voluntarism? Does it have a role in development? What is the relationship between voluntarism and the effort to "professionalize" the "voluntary" agency? When AID deals with private voluntary organizations it imposes a test of "privateness." Should it also be applying a test for "voluntarism?" What is the difference?**
5. **What is the necessary and appropriate role of voluntary organizations in development education in the North? In the South? What is the appropriate outcome of development education? What is the responsibility of Northern organizations for the possibly negative development education impact of their fund raising messages?**
6. **Is increased donor interest in the voluntary sector a positive development? Or is it pushing the organizations of the voluntary sector toward becoming small scale carbon copies of more conventional development agencies? Do donors have a positive role? What must they do to adjust to this role?**
7. **How should voluntary sector performance in development be evaluated? Should PVOs be held to the same criteria as conventional development agencies? Or do the attempts to apply such criteria reflect a misunderstanding of their distinctive nature and role?**
8. **Are there neglected dimensions of the development problem that PVOs are addressing? Or are such claims merely an effort to avoid coming to terms with inefficiencies and lack of technical capacity?**

The leadership of InterAction has acknowledged the importance of a number of these issues and the need for U.S. PVOs to confront them. Within AID, PVC has committed itself to helping U.S. PVOs realign their roles in ways consistent with the changing nature of North/South relations in the voluntary sector. Unfortunately, the debate on the more fundamental issues has been confined to a relatively small group within the various sectors. The majority of decision makers in both donor and voluntary sectors are still looking at the issues from fairly conventional perspectives. Participation in grappling with these issues must be broadened and deepened.

Many U.S. PVOs took great pride in what they considered to be their move in the late 1970s from relief and welfare agencies to development agencies. Yet many of the Southern NGO leaders who attended the May 1988 InterAction Forum in Philadelphia concluded that most of what they heard and observed confirmed their impression that U.S. PVOs, on the whole, remain predominantly relief and welfare organizations poorly prepared for appropriate roles in the changing North/South context. Progress is being made, but formulation of new roles and relationships is just beginning. More initiative and leadership from within the U.S. voluntary sector would be productive in meeting this challenge.

IDR, through its NGO Leadership Fellows Program; field work in Asia; work with selected U.S. PVOs on strategic assessment; relationships with key donors; research and writing, and participation in key national and international conferences on the voluntary sector, has been an active participant in the ongoing debates on the role of voluntary development agencies.

In recognition of IDR's contributions to bringing the critical issues into focus, the OECD has asked David Korten, Vice President for Asia, to prepare a short issues paper for its meeting on donor/NGO relationships in Paris, November 22-23, 1988. The OECD has asked that the paper be concise, focused, and provocative. Dr. Korten will be participating in that meeting as a member of the official AID delegation.

IDR considers the preparation of the paper for the OECD meeting an important opportunity to help insure that the more fundamental issues are addressed at this meeting and would like to respond to the OECD request. IDR would also like to proceed after the Paris meeting to develop a more comprehensive issues paper. This paper would draw on discussions of the Paris meeting, plus reactions to the initial paper. While intended to be relevant to a broader audience, it would focus particularly on issues that the U.S. PVO

community must confront in its own programs as well as in its role as foreign aid advocate. Both papers will draw on the insights that IDR has been developing into key issues facing voluntary development organizations. The intent in both papers is not to present definitive positions on the issues, but rather to shape their presentation in ways that stimulate new insights and provoke substantive debate. For this reason, both papers will present what may be unconventional and controversial positions.

In addition to the preparation of the papers described above, IDR proposes to develop a case study of the International Institute for Rural Reconstruction. This agency, based in Cavite, Philippines, is recognized as a pioneer in the development and dissemination of field tested grass roots development approaches. It has developed a network of affiliate and alumni organizations that potentially enable it to have a significant impact on development world wide. IIRR has received institutional support grants from AID/PVC to enable it to build institutional capacity for strengthening its international training and extension services in order to more fully actualize this potential. As IIRR develops capacities for extending its services, it faces prototypical issues of voluntary sector development agencies. How does it formulate and implement strategies that respond to new demands, and build on its distinctive capacities? What are the challenges in changing its relationship to its national affiliates and alumnae associations? How do its vision and the vision of its donors fit? What are the implications of differences that may exist in terms of IIRR and donor policies and practices?

A study of IIRR will provide the opportunity to document the progress and process of a globally important institution as it grapples with challenges of the 1990s and will complement the conceptual papers proposed above. The attached draft Scope of Work describes the purpose and methods of the case study in more detail.

IDR is submitting this unsolicited grant proposal to AID's Office of Private Voluntary Cooperation to cover the costs of preparing the two papers, participation in the OECD meeting in Paris, and preparation of the IIRR case study. Estimated preparation time for the first paper on "Voluntary Organizations in Development: Issues for Donors" is 5 days. Estimated preparation time for the second paper on "Development Roles of the Voluntary Sector: Coming to Terms with a Changing Reality" is 20 days. Total budgeted time for these two papers is 25 days. Dr. Korten will be traveling from Manila, Philippines. He will extend his trip to Paris to include visits to Washington, D.C., New York, and Boston for consultations with AID, other donors, and selected PVOs. These meetings will include debriefing of the Paris meeting and discussion relevant to the second paper. The paper for

the OECD meeting will be delivered to the OECD and to the AID Office of Private Voluntary Cooperation not later than November 15, 1988. The second paper will be delivered to the AID Office of Private Voluntary Cooperation not later than January 30, 1989. Both papers will be prepared by Dr. Korten.

Jane Covey will lead the team preparing the case study of IIRR. She will be involved in all phases of study design, data collection and analysis and report preparation. David Korten or David Brown will participate in data collection in Cavite (IIRR headquarters), in the study analysis, and will contribute to the written report. The estimated preparation time for the study is 50 days. Covey will travel to New York City, Ghana, Bangladesh and the Philippines for field site visits, and will meet with AID/PVC staff in Washington for debriefing. The study report will be submitted no later than March 15, 1989. Bio-data on Jane Covey, Dr. Korten and Dr. Brown, IDR's organization capacity statement, and a summary budget are attached.

DRAFT SCOPE OF WORK
A STUDY OF INSTITUTIONAL CAPACITY OF IIRR
by the Institute for Development Research

I. OBJECTIVES

This study will analyze and assess the results to date of institution building activities of IIRR under a Cooperative Agreement [OTR-0286-A-00-7132-00] with AID. The objectives of the study are:

1. To document and assess the institutional capacity of IIRR in the areas of strategic planning, international training, and development of its affiliates and alumni associations.
2. To evaluate the performance of IIRR against its objectives for building its international training and extension programs.
3. To recommend actions to AID/PVC which support institution building by IIRR.
4. To recommend actions that IIRR can take to build its capacity and increase program effectiveness.

II. RESULTS OF THE STUDY

The study is expected to provide a number of outputs to both AID and IIRR. These include:

1. An organizational assessment which includes analysis of IIRR's purposes, strategy, operations, and management.
2. An assessment of IIRR's process for meeting the objectives of its Cooperative Agreement with AID/PVC.
3. A midterm evaluation of IIRR's performance under the Cooperative Agreement with AID/PVC.
4. Feedback to IIRR on key organizational issues.

III. FRAMEWORK FOR THE STUDY

A. THE COOPERATIVE AGREEMENT

In 1987, AID awarded a three year grant to IIRR to provide support to increase IIRR's "development management capability to indigenous institutions," and in particular to "increase the scope and impact of the training and outreach capability of IIRR, its network of affiliated National Rural Reconstruction Movements, its network of RR Alumni, specifically through the development and transfer of technology for rural development." Previous grants from AID had supported all IIRR program areas, but this Cooperative Agreement excludes its "social laboratory" activities in the Philippines and focuses specifically on its International Training and Extension services. The major outputs of the grant include increased training volume, increased internationalization, development of new training modules and materials, and closer

linkages with other agencies and IIRR's networks of affiliates and alumni associations.¹

It is felt by PVC that this period of institutional transition for IIRR calls for close monitoring of the grant. Consequently IIRR and PVC agreed to conduct a midterm evaluation. PVC believes that IIRR's reports to date on the progress under the grant have not communicated a full picture of progress made and problems encountered. In particular, it feels IIRR has not communicated adequately how it has responded to recommendations for improvement in a number of areas.

B. IIRR INSTITUTIONAL DEVELOPMENT

This study recognizes that IIRR is in the process of examining its purpose, strategy, structures, and operations in light of its mission and unique competencies within a rapidly changing environment. It assumes that the terms of the cooperative agreement are consistent (though not necessarily identical) with chosen future directions of the institution, and that the results of the study can be used by IIRR to further its own internal processes of planning and program assessment.

C. IDR APPROACH TO THIS ASSIGNMENT

IDR's mission is to promote peoples' active participation in their own social and economic development through programs which enhance the institutional capacity of development agencies. It works particularly with non-governmental organizations because they have a special capacity to link the interests of the poor to the processes of social change and economic development. IDR views this assignment as an opportunity for learning by both AID/PVC and IIRR. By designing and implementing a collaborative process in which the study team responds to the legitimate concerns and interests of both AID/PVC and IIRR, we expect to develop a mutual learning process that will positively contribute to both parties.

The proposed study will not be a conventional "external" evaluation geared only to the interests of the donor agency. Neither will it be an internal evaluation primarily geared to IIRR's agenda. We are entering this study in the more complex "both-and" framework that seeks to serve the shared interests of both parties and also recognizes that some interests are inevitably in conflict. The approach will require that IDR be an "independent" actor balancing and respecting the interests of both AID/PVC and IIRR, and being accountable to both parties but solely responsible for the outcome of the study. In taking this approach, we are cognizant that we are proposing a challenging process that requires trust and cooperation as well as analytic and assessment skills.

IV. THE STUDY

A. CENTRAL QUESTIONS

The study will be guided by key questions that relate to institutional development within IIRR since the inception of the Cooperative Agreement. These questions represent interests expressed by both AID and IIRR during discussions about the study scope and purpose. They will guide the study in all its phases -- information collection, analysis and reporting. They are:

1. What progress has IIRR made to date on developing institutional capacities under the terms of the Cooperative Agreement?

¹ See enclosures #1 and #2 to Cooperative Agreement No. OTR-0286-A-00-7132-00, August 18, 1987.

2. Are IIRR's program activities and operational capacities consistent with the direction of its programs under the terms of the grant?
3. How is IIRR responding to institutional challenges (in both its organization and its affiliates) that affect its ability to achieve the purposes of the grant?

B. AREAS OF INQUIRY

In order to answer the three major study questions, analysis and assessment will focus on the following areas:

- o IIRR institutional capacity will be studied including strategic planning, development and implementation of program and management strategies, and program assessment capability.
- o IIRR's International Training Program will be examined against objectives of the grant, and will include assessment of the basic approach and methods. Attention will be given to the degree to which training has become internationalized.
- o IIRR's network of National Movements and Alumni Associations will be assessed including goals of these organizations, relationship of IIRR and its network organizations, and the capacity of affiliates and network agencies to promote rural development.

The study will not include analysis of IIRR's social laboratory program in the Philippines since this program is not included within the Cooperative Agreement. However, to the extent these social laboratories are a component of International Training, they will be considered as part of the assessment of that program.

C. STUDY APPROACH

The study will encompass IIRR including its headquarters operations in Cavite, Philippines, its New York office, and a sample of its Affiliates and Alumnae associations. It will focus on assessing IIRR's performance in building its institutional capacity consistent with the intent of the Cooperative Agreement, but because concerns have been raised about IIRR capacities to plan and manage itself which have direct impact on its ability to meet the objectives of the grant, the study will necessarily involve a broad institutional analysis. The study will also identify key decisions and analyze their impact on the organization's capacity to build international training and strengthen its network of affiliates and alumni associations. Finally, it will examine progress made on implementation of key decisions and program strategies.

The study draws conceptually on notions about effective organizations and organization change. The study will address key elements of an "effective" organization (such as clarity of purpose and shared values, ability to mobilize resources toward common goals, clearly articulated theory of social change, and programs that translate goals and social theory into effective action). This framework will provide the basis for assessing IIRR's current institutional strengths and weaknesses as a development organization. But an equally important element of the study draws on theory about organization change to better understand and assess IIRR's progress toward accomplishing the strategic and operational adjustments required of it by its environment, and in particular by the Cooperative Agreement. IIRR's experience in planning and implementing programs, personnel, management and other related changes will be examined, and placed in historical perspective.

We are aware that the study itself is an event in the stream of activities that have a bearing on IIRR's institutional development. The process of asking about what an organization is doing to solve problems, build systems, etc., interacts with ongoing processes -- with not very predictable consequences. The study methodology will be designed to interact with ongoing

institutional processes in constructive ways.

This work will draw on recent studies and evaluations of IIRR, grant reports, internal documentation of institution building efforts, and program planning and evaluation documents. Key personnel will be interviewed including officers of the organization, board members active in areas of concern to the study, selected staff from New York, Cavite, and national movements and alumni groups. Additionally, selected individuals from cooperating organizations (e.g., UNICEF, NEDA) will be interviewed. Field visits will be made to the Ghana NRRM, SARRA regional meeting in Bangladesh, and Cavite.

The evaluation team consists of two outside evaluators from the staff of IDR (Jane Covey and David Kortzen) and an inside evaluator from IIRR (Robert O'Brien) who will work collaboratively throughout all phases of the study. It will be the primary responsibility of IDR staff to formulate the study, collect and analyze the data, make assessments and recommendations and prepare the final report. It will be the primary responsibility of the IIRR team member to facilitate the process by using his intimate knowledge of the organization and working relationships with key persons. He will advise the outside team members through all phases of the study, make relevant information available, and act as liaison to the organization.

D. STUDY CONSTRAINTS

Various constraints limit how much a comprehensive and accurate portrayal of IIRR's institutional capacity is possible. The most significant of these is the limitation on the affiliates which can be included. The best and worst cases of the affiliate organizations -- India, Philippines and Columbia -- are excluded because of AID institutional constraints. Second, a study like this calls for considerable input and time from staff who are often already overextended. While full cooperation is expected from IIRR personnel, we anticipate that schedules and the press of other work will limit their involvement. Third, the study team is composed of three individuals based in three locations, so planning and implementation will be limited by vagaries of long distance communication. Finally, time and budget constraints will undoubtedly mean that trade offs for breadth over depth will be made in some cases.

E. WORK PLAN

The following is a preliminary sketch of the work plan for the study. It outlines major activities, schedule, and estimated person days for the external evaluators. Person days for the internal evaluator will be included in the final draft.

The study plan will be fully developed in consultation with all team members. It is expected that the data collection and analysis will be conducted in an iterative fashion. Preliminary ideas based on written documentation will be tested through interviews and field observations. Primary data will also be tested against archival records. Preliminary analysis will be shared with IIRR's evaluator to test and refine conclusions before the final report is written.

PRELIMINARY WORK PLAN

ACTIVITY	TIME PERIOD	TEAM MEMBERS	PERSON DAYS	
			IDR	IIR
Planning/ Design	December	Covey, O'Brien	3	
Document Review/ Board/NY Staff Interviews	Late Dec	Covey	4	
Site Visits (Ghana, Bangladesh, Cavite)	Jan 15-Feb 15	Covey, Kortan	28	
Analysis/Report Preparation	Feb 15-Mar 15	Covey, Kortan	14	
Debrief with AID	Post Mar 15	Covey, O'Brien	<u>1</u>	<u> </u>
TOTAL DAYS:			50	

MANDATORY STANDARD PROVISIONS FOR
U.S., NONGOVERNMENTAL GRANTEES¹

INDEX OF
MANDATORY STANDARD PROVISIONS

- | | |
|-----------------------------------|----------------------------------|
| 1. Allowable Costs | 7. Ineligible Countries |
| 2. Accounting, Audit, and Records | 8. Nondiscrimination |
| 3. Refunds | 9. U.S. Officials Not to Benefit |
| 4. Revision of Grant Budget | 10. Nonliability |
| 5. Termination and Suspension | 11. Amendment |
| 6. Disputes | 12. Notices |

1. ALLOWABLE COSTS (NOVEMBER 1985)

The grantee shall be reimbursed for costs incurred in carrying out the purposes of this grant which are determined by the grant officer to be reasonable, allocable, and allowable in accordance with the terms of this grant, any negotiated advance understanding on particular cost items, and the applicable* cost principles in effect on the date of this grant.

* NOTE: For Educational Institutions use OMB Circular A-21; for all other non-profits use OMB Circular A-122; and for profit making firms use FAR 31.2. and AIDAR 731.2.

2. ACCOUNTING, AUDIT, AND RECORDS (MARCH 1987)

(a) The grantee shall maintain books, records, documents, and other evidence in accordance with the grantee's usual accounting procedures to sufficiently substantiate charges to the grant. The grantee's financial management system shall provide for the following:

(1) Accurate, current, and complete disclosure for each AID-sponsored project or program in accordance with the reporting requirements of this grant. While AID requires reporting on an accrual basis, the grantee shall not be required to establish an accrual accounting system but shall develop such accrual data for its reports on the basis of an analysis of the documentation on hand.

¹When these Standard Provisions are used for cooperative agreements, the following terms apply: "Grantee" means "Recipient," "Grant" means "Cooperative Agreement," and "AID Grant Officer" means "AID Agreement Officer."

ADDITIONAL STANDARD PROVISIONS FOR
U.S., NONGOVERNMENTAL GRANTEES

The following standard provisions which have been checked are hereby incorporated into the grant/agreement.

- | | |
|---|---------------|
| 1. Payment - Letter of Credit | _____ |
| 2. Payment - Periodic Advance | _____ X _____ |
| 3. Payment - Cost Reimbursement | _____ |
| 4. Air Travel and Transportation | _____ X _____ |
| 5. Ocean Shipment of Goods | _____ |
| 6. Procurement of Goods and Services | _____ |
| 7. AID Eligibility Rules for Goods and Services | _____ |
| 8. Subagreements | _____ |
| 9. Local Cost Financing | _____ |
| 10. Patent Rights | _____ |
| 11. Publications | _____ X _____ |
| 12. Negotiated Indirect Cost Rates - Predetermined | _____ |
| 13. Negotiated Indirect Cost Rates - Provisional | _____ |
| 14. Regulations Governing Employees | _____ X _____ |
| 15. Participant Training | _____ |
| 16. Voluntary Population Planning | _____ |
| 17. Protection of the Individual as a Research Subject | _____ |
| 18. Care of Laboratory Animals | _____ |
| 19. Government Furnished Excess Personal Property | _____ |
| 20. Title to and Use of Property (Grantee Title) | _____ |
| 21. Title to and Care of Property (U.S. Government Title) | _____ |
| 22. Title to and Care of Property (Cooperating Country Title) | _____ |
| 23. Cost Sharing (Matching) | _____ |
| 24. Use of Pouch Facilities | _____ X _____ |
| 25. Conversion of United States Dollars to Local Currency | _____ X _____ |

1350
PIO/T

UNITED STATES INTERNATIONAL
DEVELOPMENT COOPERATION AGENCY
AGENCY FOR
INTERNATIONAL DEVELOPMENT

PROJECT IMPLEMENTATION
ORDER/TECHNICAL
SERVICES

Cooperating Country
Centrally Funded

Page 1 of 1 Pages

2. PIO/T No. **9384000**

3. Original or
Amendment No.

4. Project/Activity No. and Title
**Institute for Development Research (IDR)
938-0158**

DISTRIBUTION

5. Appropriation Symbol
72-1191021.6

6. Allotment Symbol and Charge
EDSA89 13810 KG11 946-38-099-00

7. Obligation Status
 Administrative Reservation Implementing Document

8. Project Assistance Completion Date
7-6-91

9. Authorized Agent
SER/OP/W/MS

10. This PIO/T is in full conformance with PRO/AG
Date

11a. Type of Action and Governing AID Handbook
 AID Contract (HB 14) PABA/RSSA (HB 12) AID Grant (HB 13) Other

11b. Contract/Grant/PABA/RSSA
Reference Number (if this is an
Amendment)

12. Estimated Financing (A detailed budget in support of column (3) is attached as attachment no. _____)

Maximum AID Financing	A. Dollars	(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
		-0-	45,721	-0-	45,721
B. U.S.-Owned Local Currency					

13. Mission
References

14a. Instructions to Authorized Agent
See Attached

14b. Address of Voucher Paying Office
AID/FM/PADF, Washington, D.C. 20523

15. Clearances—Include typed name, office symbol, telephone number and date for all clearances.

A. The project officer certifies that the specifications
in the statement of work are technically adequate

Phone No.
Date

B. The statement of work lies within the purview
of the initiating and approved agency programs

Date
11/8/88

FVA/PVC, Shane MacCarthy

FVA/PVC, Karen M. Poe

FVA/PVC, Larry Tanner
FVA/PVC, Lenora Watling

Date
11/8/88

D. Funds for the services requested are available

FVA/PPM, Kathy Kosar

Date
11/9/88

16. For the cooperating country: The terms and conditions set forth herein
are hereby agreed to

Signature _____ Date _____
Title _____

17. For the Agency for International Development

Signature **Barry Riley** Date **11/10/88**
Title **FVA/PPM, Director, Barry Riley**

FUNDS RESERVED BY
 POSTED
 11/11/88

14a. SER/OP/W/MS is requested to execute a Cooperative Agreement for one year with the Institute for Development Research for \$45,721. ~~This Cooperative Agreement should be effective October 25, 1988 through October 24, 1989.~~ The principal activities that will be performed under this assistance agreement are the preparation of a paper on the issues for private voluntary development in the 1990's for the OECD/DAC NGO Conference entitled Strengthening Non-Governmental Partners in Developing Countries in Paris on November 22-23, 1988, participation in the DAC NGO Conference, preparation of a follow-up paper on the implications of the DAC deliberations on the development strategies of U.S. PVOs and the development of a case study documentation of the local organization development capacity of the U.S. PVO, International Institute of Rural Reconstruction.

PIO/T Enclosures: A. IDR's Grant Proposal to FVA/PVC; B. A Draft Scope of Work for the proposed study of the institutional development capacity of IIRR to create and strengthen affiliate Rural Reconstruction institutions in developing countries; C. BIO-data on Jane Covey, David Korten and David Brown, and IDR's organizational capacity statement; D. Budget for the proposed activity; E. IDR's Financial Profile Report.

In the agreement, please note that the draft Scope of Work is subject to renegotiation prior to the commencement of any overseas travel associated with the implementation of the task.

FVA/PVC:11/3/88:6686I

Substantial Involvement

→ *Program Description plus physically incorporate proposal.*