

A.I.D. EVALUATION SUMMARY PART I

(BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS)

PP-9AX-759

IDENTIFICATION DATA

A. REPORTING A.I.D. UNIT: <u>USATD/Guatemala</u> (Mission or AID/W Office) (ES# 88-01)	B. WAS EVALUATION SCHEDULED IN CURRENT FY ANNUAL EVALUATION PLAN? yes <input checked="" type="checkbox"/> slipped <input type="checkbox"/> ad hoc <input type="checkbox"/> Eval. Plan Submission Date: FY <u>88</u> Q <u>3</u>	C. EVALUATION TIMING Interim <input checked="" type="checkbox"/> final <input type="checkbox"/> ex post <input type="checkbox"/> other <input type="checkbox"/>			
D. ACTIVITY OR ACTIVITIES EVALUATED (List the following information for project(s) or program(s) evaluated; If not applicable, list U/O and date of the evaluation report)					
Project #	Project/Program Title (or title & date of evaluation report)	First PROAG or equivalent (FY)	Most recent PACD (mo/yr)	Planned LOP Cost: ('000) (\$)	Amount Obligated to Date ('000) (\$)
520-0348	ASINDES PVO Development Program	1986	06/88	2,350	1,050

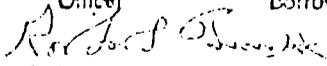
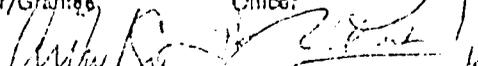
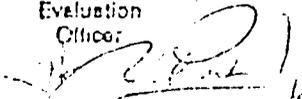
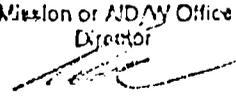
ACTIONS

E. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR	Name of officer responsible for Action	Date Action to be Completed
Action(s) Required		
The PACD of this project is June 30, 1988. Based on the findings, conclusions and recommendations of the evaluation, the Mission has decided that the project be extended and funded for up to two years. At the end of the first year the activity will be evaluated again to determine progress to date and a decision will be made on funding for the final year.		
Key actions to be undertaken are:		
1. Contract for external audit of use of grant funds	PACT and Executive Director	Feb. 1988
2. Identify and recruit new staff, e.g., new Executive Director, new Coordinator for T.A., new Assistant Executive Director, Controller, additional project staff	Board of ASINDES	April 1988
3. Complete negotiation of funding agreement with GOC	Board of ASINDES	March 1988
SEE CONTINUATION SHEET		
(Attach extra sheet if necessary)		

APPROVALS

F. DATE OF MISSION OR AID/W OFFICE REVIEW OF EVALUATION: mo 2 day ___ yr 88

G. APPROVALS OF EVALUATION SUMMARY AND ACTION DECISIONS:

Project/Program Officer Signature:  Typed Name: Richard Burke Date: <u>4/21/88</u>	Representative of Borrower/Grantee Signature:  Typed Name: Tom Kellenmann Date: <u>4/22/88</u>	Evaluation Officer Signature:  Typed Name: Tom Kellenmann Date: <u>4/18/88</u>	Mission or AID/W Office Director Signature:  Date: <u>4/25/88</u>
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H. EVALUATION ABSTRACT (do not exceed the space provided)

The purpose of this 2-year grant of \$1.05 million to Private Agencies Collaborating Together (PACT) is to strengthen ASINDES as a Guatemalan PVO umbrella organization to support PVOs operating in Guatemala. The project's major components are technical and financial assistance and training from PACT to ASINDES to improve its management and technical capabilities; technical and training assistance for the Guatemalan NGOs from ASINDES assisted by PACT; and grants to PVOs to carry out their activities. This mid-term evaluation was conducted on the basis of a review of project documents; interviews with AID, PACT, ASINDES, Ministry of Finance personnel, the project selection committee, Board members and members and non-members of ASINDES; and sub-project site visits.

The evaluation was conducted in November and December of 1987. The major findings, conclusions and recommendations are:

- Statements of policy and procedures to govern the program were prepared and adopted.
- Sixty one proposals for financing were received, and 15 projects have been approved. Grant funds for sub-projects are likely to be totally committed prior to PACD.
- Additional funds will be available for the sub-grant program, from GOG funds.
- The sub-grant program has successfully introduced the use of an independent Project Selection Committee.
- The sub-grant program has the potential of being a significant source of income for ASINDES if ASINDES' capacity to review and monitor sub-projects can be increased.

The evaluation noted the program is contributing to improvements in the operations of NGOs receiving its support. However:

- The sub-grant program takes more time of ASINDES staff than was expected.
- More attention should be given to the analysis of the economic benefits and cost-benefits relationships of sub-projects.
- More effective monitoring and evaluating systems need to be established.

SEE CONTINUATION SHEET

I. EVALUATION COSTS

1. Evaluation Team Name	Affiliation	Contract Number <u>OR</u> TDY Person Days	Contract Cost <u>OR</u> TDY Cost (US\$)	Source of Funds
John Oleson		No. 520-0000- 0-00-8041-00	\$15,000	PD&S
2. Mission/Office Professional Staff Person-Days (estimate) <u>10</u>		2. Borrower/Grantee Professional Staff Person-Days (estimate) <u>20</u>		

ABSTRACT

COSTS

A.I.D. EVALUATION SUMMARY PART II

J. SUMMARY OF EVALUATION FINDINGS, CONCLUSIONS AND RECOMMENDATIONS (Try not to exceed the 3 pages provided)

Address the following items:

- Purpose of activity(ies) evaluated
- Purpose of evaluation and Methodology used
- Findings and conclusions (relate to questions)
- Principal recommendations
- Lessons learned

Mission or Office: USAID/Guatemala

Date this summary prepared: March 15, 1988

Title and Date of Full Evaluation Report: Report of the Mid-Term Evaluation of the Specific

Support Grant Agreement from USAID/Guatemala to PACT in support of ASINDES:
DEVELOPMENT PROGRAM 520-0348.

I. PURPOSE OF ACTIVITY EVALUATED

This is the summary of the mid-term evaluation of the progress which has been achieved in implementing and the prospects for accomplishing the purposes of a Specific Support Grant of \$1.05 million made in May 1986 by USAID/Guatemala to Private Agencies Collaborating Together (PACT) in order to finance PACT's efforts to improve the capacity of the Asociación de Entidades de Desarrollo y de Servicio No Gubernamentales del Guatemala (ASINDES) to support non-government organizations (NGOs) operating in Guatemala. The main components of the Grant program are technical, training and financial assistance from PACT to ASINDES to improve its management and technical capabilities; technical assistance and training for the Guatemalan NGOs from ASINDES, assisted by PACT; and grants to Guatemalan NGOs to carry out their activities. The grant funds are available until June 30, 1988. The evaluation was conducted in November and December of 1987.

II. PURPOSE OF EVALUATION AND METHODOLOGY USED

The Grant Agreement called for a mid-term and a final evaluation of the project. It did not specify what would be the focus of, or the standards to be applied by, either evaluation. However, PACT and USAID/Guatemala agreed on a scope of work for the mid-term evaluation. It was to have four major purposes: (i) to assess progress being made on the stated goals and objectives and planned outputs; (ii) to determine any modifications necessary to the project and its implementation during the remaining life of the grant in order better to achieve the goals, objectives and outputs of the project; (iii) to determine the cost effectiveness of providing the assistance through the project's mechanisms; and (iv) to assess the effectiveness of the technical assistance being provided by PACT to ASINDES. In addressing those purposes the evaluation was to pay particular attention to the process ASINDES uses to plan, coordinate and evaluate the assistance being provided to it and the effectiveness of ASINDES' assistance to the NGOs with resources made available under the project. The Scope of Work for the evaluation included a series of particular questions to be answered.

The Scope of Work called for a two-person contract team to work with representatives of PACT, ASINDES and USAID/Guatemala in conducting the evaluation. The two-person contract team was to consist of a person with general development and evaluation experience to be contracted by USAID/Guatemala and a financial/ management specialist to be contracted by PACT. USAID/Guatemala contracted the services of John R. Oleson, a retired A.I.D. Foreign Service Officer with 20 years' experience in program planning, implementation and evaluation. PACT contracted the services of Oscar Federico Turckheim Ochoa, a Guatemalan public accountant with the Guatemalan firm of Miron & Miron.

During a three-week period in November-December of 1987 the evaluation team members interviewed some 35 persons in Guatemala who either were involved in the planning and execution of the project or were knowledgeable about the past and current operations of ASINDES. In addition, Mr. Oleson visited the sites of two of the NGO activities being assisted by ASINDES with project resources and the home office of PACT in New York to speak with its Executive Director and other key management personnel. In addition to conducting the interviews, the team members reviewed the basic documents available concerning ASINDES and the project and the various reports which exist concerning the conduct of the project. In addition, Mr. Turckheim analyzed the financial and administrative records and procedures of ASINDES and three of the NGOs which ASINDES had assisted with project resources.

A draft of the report was discussed with representatives of USAID/Guatemala and PACT in Guatemala in late January of 1988. The draft recommendations were discussed with the Board of Directors of ASINDES in February of 1988. Comments and suggestions made at those times have been included to the extent possible in the preparation of the final report.

III. FINDINGS AND CONCLUSIONS

The first year and a half of the project was devoted largely to overcoming problems associated with the preparation of the Grant's structure and resolving ASINDES' internal disputes, clarifying and improving the working relationship between PACT and ASINDES, and preparing for and beginning the implementation of the grants program. Statements of policy and procedures to govern that program were prepared and adopted; 61 proposals for financing were received; and 15 projects under that program have been approved. The Grant funds available for that program are likely to be totally committed (but not fully disbursed) during the period of the Grant. Additional funds are being made available for that program from GOG funds generated by A.I.D.'s other programs in Guatemala.

The grants program successfully has introduced the use of an independent Project Selection Committee, and it has the potential of being a significant source of income for ASINDES if ASINDES' capacity to review and monitor projects can be increased. Through its operation the program is contributing to improvements in the operations of NGOs receiving its support. However, the grants program takes more of the time of ASINDES' staff than was expected, and improvements need to be made in its conduct. More attention should be devoted to the analysis of the economic benefits and cost-benefit relationships, the prospects for self-sustaining operations by the beneficiaries, institutional improvements to be achieved by the implementing NGOs and the probable economic and social impacts of the activities. Clarification is needed of the meaning of "productive" projects. Effective monitoring and evaluating systems need to be established. A plan for generating more usable project proposals is needed, and consideration should be given to raising the maximum amount which the Grants program will provide on any one project.

Some 140 people related to NGOs have participated in five workshops organized under the Grant which is a greater number than the projected output for the whole Grant period. However, the quality and lasting value of the training has been questioned, and the survey of NGO training and technical assistance needs; and, except in two instances, the short diagnostic studies of individual NGOs which were to be the basis of the technical assistance and training components have not been done because of opposition from the NGOs. PACT agrees that the training and technical assistance aspects of the Grant program have been deficient, and proposes to make them the focus of its efforts during the coming year.

Significant steps have been taken in consolidating ASINDES as an institution. Its legal status and governing statutes have been formalized. Nine new members have joined. Administrative personnel and accounting procedures have been prepared and adopted. Contacts with other Guatemalan institution and the GOG have been increased. However, progress has been slight in introducing improvements into ASINDES' planning, programming, monitoring and evaluating activities and in the actual use of the new accounting and personnel systems. The delay in giving practical effect to these systems was due in large part to the difficulties caused by the loss of key personnel and the low morale of the staff members. Priority must be given to recruiting the staff planned for the conduct of the Grant, and steps taken to restore the morale of the staff. External audits of ASINDES and its grantees should be conducted. Just recently, a new executive director was hired and salary levels have been adjusted.

Major issues must be resolved by the Board of Directors of ASINDES if the institution-building purposes of the Grant are to be accomplished. Clarification is needed of the relative priorities which ASINDES is to give to its various institutional purposes. A strategy of institutional development and fund raising needs to be adopted. The Board needs to invest the Executive Director with sufficient authority for him to meet his responsibilities without becoming completely dependent for its information on verbal reports from him. It must make clear its determination that standard procedures be respected without inserting itself into the details of operations through pre-approval actions. USAID/Guatemala and PACT should become more engaged with the members of the Board and assist it in the difficult tasks which they face.

In order to achieve the purposes of the Grant it would be advisable to have the participation of PACT for up to two additional years. This would require an extension of the current Grant period of between one and two years.

IV. PRINCIPAL RECOMMENDATIONS

A. ASINDES

1. The Board of Directors should formulate a statement of mid-term (5-year period) goals for ASINDES which indicates the relative priorities to be attached to the various purposes of the organization. This statement should be approved by the General Assembly.
2. Once the statement of goals has been established, the Board should prepare a plan for reaching those goals. The plan should include timing, personnel and resources required and expected sources of resources. This plan should be approved by the General Assembly.
3. ASINDES should commission a study of the personnel required to carry out its objectives and the salaries and qualifications required to attract the appropriate personnel.
4. Steps should be taken to improve communications between and clarify authority and responsibility of the Board of Directors, General Assembly, Executive Director and other staffers. A concerted effort should be made to identify and resolve causes of poor morale.
5. ASINDES should give greater emphasis to providing funds on a loan rather than grant basis. This will give greater incentive to the recipient NGOs to carefully plan and execute their projects. Concomitantly, ASINDES should provide the NGOs with additional T.A. and training.

SEE CONTINUATION SHEET

K. ATTACHMENTS (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier)

Copy of final Evaluation and 15 annexes attached.

ATTACHMENTS

L. COMMENTS BY MISSION, AID/W OFFICE AND BORROWER/GRANTEE

L. Comments by Mission, AID/W Office and Borrower/Grantee

The evaluation met the requirements of the Scope of Work. The evaluators made an in-depth review of all documentation available concerning ASINDES and the project, as well as the reports of the project activities. They also interviewed more than 35 persons who either were involved in the planning and execution of the project or were knowledgeable about the activity. Two sub-project sites were also visited.

In general, the Mission, as well as PACT and ASINDES Board of Directors, are in agreement with the findings, conclusions and recommendations of the evaluation.

MISSION COMMENTS ON FULL REPORT

CONTINUATION SHEET

E. Action Decisions Approved by Mission or AID/W Office Director Cont'd

4. Formulate mid-term (five year period) institutional goals of ASINDES	Board of ASINDES	April 1988
5. Conduct external study of position descriptions, salary levels and qualifications of current staff	Executive Dir.	April 1988
6. Prepare position descriptions, delegations of authority and standard operating procedures	Executive Dir.	May 1988
7. Prepare reporting system for informing Board of progress and problems	Executive Dir.	May 1988
8. Formulate a strategy for conduct of technical assistance program	Technical Assist. Coordinator	May 1988
9. Prepare additional guidance concerning meaning of "productive" activities and standards to be applied to determine their feasibility	PACT	May 1988
10. Prepare proposal for Extension of Project for up to two years (with Evaluation at end of first year to determine progress)	PACT and Board of Directors	May 1988
11. Issue standards for reimbursement of employee expenses for program purpose	Executive Dir.	May 1988
12. Formulate plan for achieving mid-term institutional goals	Executive Dir.	June 1988
13. Prepare revised 1988 budget for ASINDES	Financial Analyst	June 1988
14. Write Implementation Letter to PACT regarding specific undertakings and steps to carry out recommendations	USAID/G	June 1988
15. GOG/ASINDES/PACT Agreement on Extension of Project	USAID/G	June 1988
16. Institute periodic meetings of ASINDES and AID to review status of project	USAID/G	June 1988

17. Formulate plan for monitoring implementation of grants (including field visits) and agree on responsibilities of staff members for its conduct	Executive Dir.	July 1988
18. Formulate strategy for raising funds in Guatemala and abroad	Board of ASINDES	July 1988
19. Consider how to increase the utilization of loans instead of grants under the program in support of NGO activities	PACT and Executive	July 1988
20. Review appropriateness of standards governing the conduct of the grants program	Board of ASINDES	July 1988
21. Arrange for availability of subject matter experts to assist ASINDES and grantees	Executive Dir.	July 1988
22. Identify persons available to assist on management/program problems	Board of ASINDES	July 1988
23. Prepare plan for necessary training of staff of ASINDES	PACT	Aug. 1988
24. Prepare plan for evaluating conduct of ASINDES' program including impact on NGOs of assistance (both financial and technical)	PACT	Aug. 1988
25. Formulate plan for achieving public recognition of role of AID	USAID/G	Sept. 1988

H. Evaluation Abstract Cont'd

- Consideration should be given to raising the maximum amount being provided under the sub-grant program.
- Clarification is needed of the meaning of "Productive Projects".
- The training and technical assistance aspect of the grant program needs to be strengthened.
- Priority must be given to recruit additional staff.
- External audits of ASINDES and its grantees should be conducted.
- Major issues such as a strategy of institutional development and fund raising must be resolved by the ASINDES Board of Directors.

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- The Board also needs to invest the Executive Director with sufficient authority.
- USAID and PACT should be more engaged with the members of the Board.
- The project should be extended and funded for up to two more years. At the end of the first year the activity should be evaluated again to determine progress, and based on the findings, the final year should be funded.

Lessons Learned Included:

- Regular communication between AID officials and officials of local counterpart is essential.
- Adequate funding provision should be made for the training of staff and the beginning of the activity.
- Plans to diversify funding sources should be an integral part of any long-term project.

J. Summary of Evaluation Findings, Conclusions and Recommendations Cont'd

B. PACT

1. PACT's resident representative must work much more closer with the Board of Directors to keep them better informed about his activities, views, etc., including attendance, where appropriate, as an observer of Board meetings.
2. The purpose of visits to Guatemala by PACT personnel should be discussed with ASINDES Executive Director beforehand for their input and comments and a trip report summarizing findings, activities undertaken should be provided to the Executive Director afterwards.
3. PACT should work in close coordination with ASINDES new Executive Director, providing individual with all needed support.
4. PACT should work closely with ASINDES' Board and staff on evaluating needs and methods for providing technical assistance and training to NGOs and prepare plan for giving greater emphasis to this area.
5. PACT should prepare a plan for training of ASINDES staff.

C. USAID

1. The Mission should increase the frequency of its contacts with the Board of ASINDES.

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2. The Mission's expectations concerning the degree and nature of the focus to be sought under the grant with regard to "productive projects and the strengthening of ASINDES itself" should be clarified for ASINDES.

3. The Mission should give an extension of the time for the accomplishments of the purpose of the Grant and provide additional resources to continue PACT's assistance for at least another two years. Such an agreement should include at minimum description of end of project status and steps to be carried out to accomplish this.

V. LESSONS LEARNED

1. Regular communication between AID officials and officials of local counterpart is essential.

2. Adequate funding provision should be made for the training of staff at the beginning of the activity.

3. Plans to diversify funding sources should be an integral part of any long-term project.

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REPORT OF THE MID-TERM EVALUATION OF THE SPECIFIC SUPPORT GRANT
FROM USAID/GUATEMALA TO PACT IN SUPPORT OF
ASINDES: DEVELOPMENT PROGRAM 520-0348

Prepared by:

John R. Oleson

Contract No.: 520-0000-0-00-8041-00

PIO/T No.: 520-0000.1-4-60139

February 20, 1988

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ATTACHMENTS.....

1. List of Persons Interviewed by Mr. Oleson
2. List of Persons Interviewed by Mr. Turckheim
3. List of Documents Consulted by Mr. Oleson
4. Written report of Mr. Turckheim
5. List of Members of ASINDES
6. Illustrative Financial Plan for
the Specific Support Grant
7. List of Projects Approved under Grants Program
8. Report of Project Proposals Received under Grants
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9. List of Technical Assistance Events Held
10. ASINDES' Staffing: Current and Recommended
11. Summary of ASINDES' 1986 Revenues and Expenses
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12. Estimated Budget for ASINDES for 1987
13. Projected Operations Budget for 1988
14. Use of PACT Grant through December 31, 1987
15. Suggested Steps to Carry Out Recommendations

I SUMMARY

This is the report of a mid-term evaluation of the progress which has been achieved in implementing and the prospects for accomplishing the purposes of a Specific Support Grant of \$1.05 million made in May 1986 by USAID/Guatemala to Private Agencies Collaborating Together (PACT) in order to finance PACT's efforts to improve the capacity of the Association de Entidades de Desarrollo y de Servicio No Gubernamentales del Guatemala (ASINDES) to support non-government organizations (NGOs) operating in Guatemala. The main components of the Grant program are technical, training and financial assistance from PACT to ASINDES to improve its management and technical capabilities; technical assistance and training for the Guatemalan NGOs from ASINDES, assisted by PACT; and grants to Guatemalan NGOs to carry out their activities. The grant funds are available until June 30, 1988. The evaluation was conducted in November and December of 1987.

The first year and a half of the project period was devoted largely to overcoming problems associated with the preparation of the Grant's structure and ASINDES' internal disputes, clarifying and improving the working relationship between PACT and ASINDES, and preparing for and beginning the implementation of the grants program. Statements of policy and procedures to govern that program were prepared and adopted; 61 proposals for financing were received; and 15 projects under that program have been approved. The Grant funds available for that program are likely to be totally committed (but not fully disbursed) during the period of the Grant. Additional funds are likely to be made available for that program from GOG funds generated by A.I.D.'s other programs in Guatemala.

The grants program successfully has introduced the use of an independent Project Selection Committee, and it has the potential of being a significant source of income for ASINDES if ASINDES' capacity to review and monitor projects can be increased. Through its operation the program is contributing to improvements in the operations of NGOs receiving its support. However, the grants program takes more of the time of ASINDES' staff than was expected, and improvements need to be made in its conduct. More attention should be devoted to the analysis of the economic benefits and cost-benefit relationships, the prospects for self-sustaining operations by the beneficiaries, institutional improvements to be achieved by the implementing NGOs and the probable economic and social impacts of the activities. Clarification is needed of the meaning of "productive" projects. Effective monitoring and evaluating systems need to be established. A plan for generating more usable project proposals is needed, and consideration should be given to raising the maximum amount which the Grants program will provide on any one project.

Some 140 people related to NGOs have participated in five workshops organized under the Grant which is a greater number than the projected output for the whole Grant period. However, the quality and lasting value of the training has been questioned, and the survey of NGO training and technical assistance needs; and, except in two instances, the short diagnostic studies of individual NGOs which were to be the basis of the technical assistance and training components have not been done because of opposition from the NGOs. PACT agrees that the training and technical assistance aspects of the Grant program have been deficient, and proposes to make them the focus of its efforts during the coming year.

Significant steps have been taken in consolidating ASINDES as an institution. Its legal status and governing statutes have been formalized. Nine new members have joined. Administrative personnel and accounting procedures have been prepared and adopted. Contacts with other Guatemalan institution and the GOG have been increased. However, progress has been slight in introducing improvements into ASINDES' planning, programming, monitoring and evaluating activities and in the actual use of the new accounting and personnel systems. The delay in giving practical effect to these systems was due in large part to the difficulties caused by the loss of key personnel and the low morale of the staff members. Priority must be given to recruiting the staff planned for the conduct of the Grant, and steps taken to restore the morale of the staff. External audits of ASINDES and its grantees should be conducted.

Major issues must be resolved by the Board of Directors of ASINDES if the institution-building purposes of the Grant are to be accomplished. Clarification is needed of the relative priorities which ASINDES is to give to its various institutional purposes. A strategy of institutional development and fund raising needs to be adopted. The Board needs to invest the Executive Director with sufficient authority for him to meet his responsibilities without becoming completely dependent for its information on verbal reports from him. It must make clear its determination that standard procedures be respected without inserting itself into the details of operations through pre-approval actions. USAID/Guatemala and PACT should become more engaged with the members of the Board and assist it in the difficult tasks which they face.

In order to achieve the purposes of the Grant it would be advisable to have the participation of PACT for at least an

additional year. This would require an extension of the current Grant period of between one and two years. Part VI of the report provides a summary of the major recommendations of the evaluators. Attachment 15 lists the steps which might be taken to carry out those recommendations.

II PURPOSE AND METHODOLOGY

On May 20, 1986 USAID/Guatemala made a Specific Support Grant of \$1.05 million to Private Agencies Collaborating Together (PACT), a U.S. private voluntary organization. The purpose of the Grant was to finance PACT's efforts to improve the capacity of a Guatemalan association of non-government organizations (ASINDES) to support non-government organizations (NGOs) operating in Guatemala. The major components of the Grant program were technical and financial assistance from PACT to ASINDES in order to improve ASINDES' management and technical capabilities; technical assistance for the Guatemalan NGOs from ASINDES, assisted by PACT; and grants to Guatemalan NGOs to carry out their activities. The outputs of the program were to be: the selection and funding of 30 NGO projects; the selection and funding of 20 "mini-grants" to the NGOs for diverse purposes; and the holding of five workshops in special events each year to provide training to 100 employees of approximately 30 NGOs. The funds under the Grant were to be available until June 30, 1988.

The Grant Agreement called for a mid-term and a final evaluation of the project. It did not specify what would be the focus of, or the standards to be applied by, either evaluation. However, PACT and USAID/Guatemala agreed on a scope of work for the mid-term evaluation. It was to have four major purposes: (i) to assess progress being made on the stated goals and objectives and planned outputs; (ii) to determine any modifications necessary to the project and its implementation during the remaining life of the grant in order better to achieve the goals, objectives and outputs of the project; (iii) to determine the cost effectiveness of providing the assistance through the project's mechanisms; and (iv) to assess the effectiveness of the technical assistance being provided by PACT to ASINDES. In addressing those purposes the evaluation was to pay particular attention to the process ASINDES uses to plan, coordinate and evaluate the assistance being provided to it and the effectiveness of ASINDES' assistance to the NGOs with resources made available under the project. The Scope of Work for the evaluation included a series of particular questions to be answered.

The Scope of Work called for a two-person contract team to work with representatives of PACT, ASINDES and USAID/Guatemala in conducting the evaluation. The two-person contract team was to consist of a person with general development and evaluation experience to be contracted by USAID/Guatemala and a financial/management specialist to be contracted by PACT. USAID/Guatemala contracted the services of John R. Oleson, a retired A.I.D. Foreign Service Officer with 20 years' experience in program planning, implementation and evaluation. PACT contracted the services of Oscar Federico Turckheim Ochoa, a Guatemalan public accountant with the Guatemalan firm of Miron & Miron.

During a three-week period in November-December of 1987 the evaluation team members interviewed some 35 persons in Guatemala who either were involved in the planning and execution of the project or were knowledgeable about the past and current operations of ASINDES. In addition, Mr. Oleson visited the sites of two of the NGO activities being assisted by ASINDES with project resources and the home office of PACT in New York to speak with its Executive Director and other key management personnel. A list of persons interviewed by Mr. Oleson is given in Attachment 1; a list of persons interviewed by Mr. Turckheim is given in Attachment 2. In addition to conducting the interviews, the team members reviewed the basic documents available concerning ASINDES and the project and the various reports which exist concerning the conduct of the project. These documents are listed in Attachment 3. In addition, Mr. Turckheim analyzed the financial and administrative records and procedures of ASINDES and three of the NGOs which ASINDES had assisted with project resources.

This report represents the information gathered and the conclusions reached by the evaluation team. It was prepared by Mr. Oleson, but includes the results of Mr. Turckheim's work. A copy of Mr. Turckheim's own written report is given in Attachment 4. A draft of this report was discussed with representatives of USAID/Guatemala and PACT in Guatemala in late January of 1988. The draft recommendations were discussed with the Board of Directors of ASINDES in February. Comments and suggestions made at those times have been taken into account in the preparation of this report.

III BACKGROUND

A. PACT

Private Agencies Collaborating Together (PACT) is an international consortium of non-governmental voluntary associations working in developing countries. Founded in 1971, PACT now has 26 members of which seven are non-U.S. organizations indigenous to the Third World. Of those seven, three are consortia of local development organizations. PACT's main purposes are to: (a) strengthen the management capabilities of its membership; (b) encourage collaboration among non-governmental agencies involved in development projects worldwide; and (c) fund programs of non-governmental organizations indigenous to developing countries which serve human needs and develop the capability of those NGOs to solve local problems. PACT gives particular emphasis to sponsoring and strengthening consortia of NGOs, to improving the management of NGOs and to encouraging activities which are financially and economically self-sustaining. PACT provides both financial and technical assistance. Most of its resources have been provided by A.I.D.

In 1984 PACT sponsored a review of the experience of others and itself in creating and strengthening consortia of NGOs. Among the major conclusions reached in that review were that: (i) an attempt should be made to have regional consortia promoted and controlled by organizations from within the region; (ii) international NGOs and consortia should involve local NGOs and consortia in all aspects of programming, implementation and evaluation; (iii) international partners of local consortia should establish relations beyond the channeling of financial resources and place emphasis on providing those consortia with information and assistance in establishing international communications; and (iv) PACT should reduce its almost exclusive reliance on A.I.D for financing.

The group which analyzed the experience in Latin America and the Caribbean warned that international partners of NGOs should not use consortia as their main channel for assisting NGOs and that consortia need to pay more attention to their relationships with local governments. The group also agreed that the following lessons had been learned: (a) members of a consortium need to have a unity of purpose and a clear view of what they want to accomplish through their consortium; (b) the process of establishing trust and common vision among consortium members is a long one; (c) only when a consortium is ready can the members determine common goals and establish common policies; and (d) some financial assistance may be

necessary in the early stages of a consortium's life, but all too often financial inputs from the outside become more the problem than the solution, and thus it is better for a consortium to rely primarily on its own initiative and funding in its early stages.

A discussion of this 1984 review is provided in PACT's Bulletin of January 1985. It provides good background for PACT's involvement with ASINDES as further described below.

B. ASINDES

The Asociacion de Entidades de Desarrollo y de Servicio No Gubernamentales de Guatemala (ASINDES) is an association of NGOs operating in Guatemala. It was founded in 1979 beginning with 31 members. The primary motive for its creation was to strengthen the voice of the NGOs in their relations with the Government of Guatemala (GOG) and especially in their demand for protection from the harassment and physical attack to which many of their staff and cooperating persons were subject in the countryside at the time. The purposes of ASINDES were and are: (i) to foster coordination among the members and with other interested organizations; (ii) to make better known the work of its members; (iii) to improve the capabilities of NGOs; and (iv) to prepare and negotiate development projects with Guatemalan and foreign financing agencies.

From its beginning the membership of ASINDES has been quite diverse. Some have connections with--and in some cases financing from-- international organizations. Examples are the Christian Children's Fund, the Salvation Army, Foster Parents Plan International and Vision Mundial (or World Vision). However, the majority of the organizations are not so connected. A few receive support from the GOG, but most do not. Many of ASINDES' members were founded by religious institutions or have been closely associated with religious institutions and especially evangelical institutions. However, the statutes of ASINDES require that the development activities of its members not be sectarian. The degree of social militancy of the members varies a great deal, and is reflected in different attitudes toward relationships with the GOG and participation in activities assisted by A.I.D. Then too, some members have traditionally sought financial assistance in Europe from sources critical of the USG's foreign policy in Latin America in general and Central America in particular, and have been concerned that those sources would not continue such support if the members became associated with A.I.D.

This diversity has made it difficult for ASINDES to reach a practical definition of its purpose, and has led to both tension and discursiveness at the meetings of the General Assembly and the Board of Directors which in turn has contributed to the conclusion reached by some NGOs that ASINDES is too "talky" and not effective. It also contributed to ASINDES' taking some five years to develop its legal statutes, and was the main reason that six members resigned from ASINDES in August 1986. In November of that year an election for the new Board of Directors was held by the remaining membership, and the GOG approved the Legal Statute of ASINDES. The new Board took office in February 1987 just one month after the official publication of the GOG's decision to approve the Statutes and legal personality of ASINDES. Today ASINDES consists of 26 member NGOs. It is the largest association of NGOs in Guatemala. A list of the members is given in Attachment 5.

To be a member of ASINDES an organization must be non-governmental; have its legal personality recognized by Guatemalan law; conduct activities involved in social development in Guatemala; and be non-profit, apolitical and nonsectarian. (It is estimated that there are approximately 400 NGOs operating in Guatemala of which about 40 would be considered development agencies.) Each active member pays a modest financial quota, and is entitled (and expected) to attend and vote at the meetings of the General Assembly, to elect the persons who hold management positions in ASINDES, to receive services from ASINDES and to present development projects to it. Membership in ASINDES can be suspended or cancelled by the Board of Directors acting with the approval of the General Assembly.

The General Assembly normally meets three times a year and extraordinarily at the request of the Board of Directors or 20 percent of the membership. During ordinary sessions the General Assembly elects the Board of Directors; approves the annual report and the annual budget submitted by the Board of Directors; and deals with any question put before it of a non-extraordinary nature. During extraordinary sessions the General Assembly approves changes in the bylaws and internal regulations governing ASINDES; and authorizes the sale, pledging or renting of any property or right of ASINDES.

The Board of Directors consists of five members chosen by the General Assembly from the membership of ASINDES for a period of two years. Those five members then decide which of them will occupy the following positions: President, Vice President, Secretary, Treasurer and Representative. The Board ordinarily meets once a month, but can meet at any time it thinks

necessary. The Board admits new members to ASINDES; names and removes the Executive Director of ASINDES; calls sessions of the General Assembly; sees that the bylaws and internal regulations of ASINDES are followed; prepares the budget and work plans for ASINDES; obtains economic resources to carry out ASINDES' activities; and makes special assignments as may be necessary. The rights and responsibilities of the individuals making up the Board are those usually associated with the positions they occupy. However, it should be noted that both the President and the Treasurer have to authorize payments on behalf of ASINDES, and that the Representative is to carry out activities as assigned to him by the Board.

The Board names the Executive Director of ASINDES who is to carry out its decisions. The Executive Director attends the meetings of the Board and the General Assembly with the right to speak but not to vote. His principal responsibilities are to: agree with the President of the Board on the actions to take; carry out the technical and administrative actions agreed to by the Board; propose a plan of work; prepare documentation for actions to be considered by the General Assembly and the Board concerning the technical and administrative matters of ASINDES; and select, appoint and remove the technical and administrative personnel of ASINDES with the approval of the Board.

The current staff of ASINDES consists of seven positions: the Executive Director, two Project Analysts, an accountant, two secretaries and a driver. The position of Executive Director has been vacant since last November when the Board accepted the resignation of its occupant. Previously there had been positions for a third Project Analyst and a Coordinator of Technical Assistance; but both were filled for only short periods of time. All personnel but one secretary report directly to the Executive Director.

ASINDES' Summary of Income and Expenses for 1986 and its Financial Balance as of December 31, 1986 are given in Attachment 11. These documents have not been audited. However, they indicate that the operating budget for 1986 was the equivalent of \$44,018 of which only 8 percent came from the dues of ASINDES' members and nearly 89 percent came from donations from abroad (62 percent from a grant from the Inter-American Foundation and 27 percent from the A.I.D. grant to PACT). 51 percent of the revenue was applied to paying for the personal services of ASINDES' employees and contractors, 18 percent for providing technical assistance, 15 percent for other types of services, 10 percent for public relations and 5 percent for training.

No comprehensive budget had been prepared for 1987 at the time the evaluation was conducted. However, it is clear that in 1987 the makeup of the operating budget had changed substantially. At the beginning of the year the grant from the Inter-American Foundation had been utilized almost entirely, while funds available under the A.I.D./PACT Grant amounted to 99 percent of ASINDES' assets. Thus the major source of revenue for operating expenses in 1987 was to be the Grant's direct support for operations and the commission of 5 percent of the amount of the grants to be made to NGOs with resources from the Grant. (For further discussion see part IV H below.)

C. A.I.D.-PACT Specific Support Grant

At the encouragement of USAID/Guatemala, PACT conducted a review in June and July 1985 of the operations and needs of NGOs in Guatemala. One of the purposes of that review was to identify organizations through which the capability of those NGOs might be improved and through which USAID might provide funds for NGOs' project activities without incurring the personnel and administrative costs of dealing with separate NGOs on a project-by-project basis. PACT was in a good position to perform the review since it already had had many years' experience working with NGOs and their consortia, and since it already had had funding relationships with several NGOs in Guatemala. Furthermore, key personnel of PACT had lived in Guatemala, and were knowledgeable about Guatemalan conditions and many of the NGOs operating there. PACT reviewed the situation of the three existing organizations of NGOs (one of which was ASINDES), and consulted with some 20 NGOs. It found that none of the organizations was capable of conducting a grant program, and doubted that any could become capable enough to do so. However, it concluded that of the three, ASINDES offered some possibility of being an effective channel for assistance to Guatemalan NGOs provided that a great deal of work and support was given to enable it to perform that function.

In March 1986 PACT presented a proposal for an Operations Program Grant to USAID/Guatemala. That proposal was the basis of the Specific Support Grant for \$1.05 million which was made to PACT in May of that year. The purpose of the Grant is to finance PACT's efforts to improve the capacity of ASINDES to support NGOs operating in Guatemala. The major components of the Grant program are technical and financial assistance from PACT to ASINDES to improve its management and technical capabilities; technical assistance for the Guatemalan NGOs from ASINDES, assisted by PACT; and grants to Guatemalan NGOs to carry out their activities. The main outputs of the program are to be: the selection and funding of 30 NGO projects; the

selection and funding of 20 "mini-grants" to the NGOs for diverse purposes; and the holding of five workshops or special events each year to provide training to 100 employees of approximately 30 NGOs. The 30 NGO projects are to meet the criteria of: (i) improving the conditions of life of their beneficiaries; (ii) addressing a locally-determined need; (iii) contributing to the capacity of the beneficiaries to plan and manage the use of resources; (iv) promoting collective action among the beneficiaries; (v) including contributions by the beneficiaries of ideas, time and materials; and (vi) addressing development problems in a way that produces results with demonstrable impact beyond the specific activity being financed.

The funds under the Grant are to be available until June 30, 1988. Up to \$500,000 may be used for the Guatemalan costs of activities of the NGOs to be assisted by ASINDES. Up to \$250,000 may be used for the Guatemalan costs of the operations of ASINDES and of PACT. The balance of the funds is available for the dollar costs of PACT's operations. The NGOs' project beneficiaries are to provide at least 45 percent in cash or in-kind contributions of the costs of the projects on a pari passu basis. The Illustrative Financial Plan of the Grant is given in Attachment 6. The actual use of the Grant funds through 1987 is given in Attachment 14. As of the end of 1987 approximately \$239,000 remained unobligated.

The Grant Agreement does not set forth the organization of the program, the end-of-project status to be achieved, the details of assistance to be provided or the timing of the achievement of the major steps to be taken under the program. However, the PACT Project Proposal did include some detail on those topics. It stated that technical assistance was to be provided to ASINDES to develop an organizational plan and to improve its capability to identify, review, select, monitor and evaluate projects from NGOs. In addition to the outputs mentioned in the Grant Agreement, the Proposal included: 10 inter-agency exchanges of information and experience per year, a functioning Project Advisory Committee, an unspecified number of individual consultations with NGOs on non-project related problems, and written guidelines for ASINDES on funding policy, project selection and reporting. (It indicated that the average NGO projects to be funded would use approximately \$14,000 of Grant funds and the mini-grants approximately \$1,000 of Grant funds.) The End-of-Project Status was expressed in terms of ASINDES' carrying out the policies and type of activities identified as outputs, and specifically mentioned the capability of processing NGO grant applications within eight to ten weeks of their receipt.

The major steps to be taken to carry out the program were to be: the hiring by ASINDES of three additional persons (a senior program director, an economist and a bilingual secretary) to its permanent staff and their on-the-job training by PACT; the selection and support of an Advisory Project Committee; the production in Spanish (during the first three months) of a funding policy statement, the project selection criteria, the description of the project selection process, the suggested format for presenting project proposals and the process for conducting project monitoring and evaluations; and the conduct of workshops to introduce those documents to the NGO community and provide training in using them.

Although the Grant Agreement makes clear that the activities supported by the grant are to be "coordinated and implemented through ASINDES," the grant is from A.I.D. to PACT. PACT remains responsible to A.I.D. for the use of the grant funds; and must provide A.I.D. with periodic reports-- both financial and narrative-- on the use of the funds and progress being made on the program. In order to exercise its responsibilities for the use of the Grant funds PACT itself handles the expenditures of Grant funds for dollar costs and must approve any use of Grant funds by ASINDES for local currency costs-- including the grants and mini-grants provided to the NGOs. That approval is given by PACT's resident advisor to ASINDES. Before giving final approval to the making of a project grant to an NGO, ASINDES' Executive Director informs USAID/Guatemala of ASINDES' intent to make the grant to allow the Mission the opportunity to raise any objections or ask any questions about it. To date the Mission has not objected to the making of any grant reported to it.

The PACT proposal had stated that there would be semi-annual financial reports and annual reports summarizing major activities and progress on projects already funded as well as the impact of the technical assistance program. However, during the first year and a half of the project those reports had not been prepared. The basic reporting mechanism being used is the quarterly report.

D. Role of the Government of Guatemala

As mentioned previously, for some time there had been tension between the GOG and many of the NGOs operating in the country. Indeed, the very formation of ASINDES was in large aimed at strengthening the voice of NGOs in their demands of the GOG for better treatment and protection from violence. However, the circumstances facing ASINDES and its members have changed quite substantially since its founding. First, the unsettled and

often violent conditions in the rural areas became less unsettled and violent as the GOG was able to prevail against the armed opposition in most areas. Second, the attitude of the GOG toward NGOs became less suspicious as it gained confidence from its successes against the armed opposition; and it became particularly positive after the election of a civilian administration in late 1985 when, at least in theory, the political level of the GOG undertook to support the work of NGOs. Third, A.I.D. became more active in Guatemala as the conditions of violence subsided and a civilian government came to power. These developments presented opportunities for expanded activities, and they presented ASINDES and its membership with the challenge of organizing themselves and making decisions re their purposes and plans which would be necessary to seize the opportunities. Unfortunately, there was not unity of criteria among the members as to how closely to seek guidance from the GOG or concerning the wisdom of seeking financial support from the GOG (and A.I.D.); and the tensions created by this issue led to the resignation of some members from ASINDES. Members of the Board urge caution in seeking closer relationships with the GOG.

In any event, today ASINDES is seeking a closer relationship with the GOG. In part this is due to the improved situation under the current civilian government. More importantly, it is a recognition of the financial "facts of life" made particularly stark by the likelihood that USAID/Guatemala would not be willing to provide additional dollar finding for grants to NGOs after the utilization of the current Grant funds.⁴ With A.I.D. encouragement, ASINDES and the GOG entered negotiations over the possible use by ASINDES of counterpart funds generated under a FY 1986 Economic Support Fund agreement for balance of payments support from A.I.D. which are owned by the GOG but subject to joint programming with USAID/Guatemala. ASINDES and the Ministry of Finance (MOF) have agreed in principle that the GOG will make a grant of two million quetzales (approximately \$800,000) to ASINDES. The funds would be used 50 percent for grants to NGOs for productive projects, 40 percent for grants to NGOs for economic and social investment in rural areas and 10 percent for administrative activities and training of the beneficiary groups. The benefitting NGOs would have to contribute at least 25 percent of the cost of any project. The funds from the GOG would be subject to the same approval and implementation process as that followed with the A.I.D. Grant funds except that the MOF rather than USAID/Guatemala would have the right to object or to question proposed grants, and reports would be made to the MOF rather than to A.I.D.

At the time the evaluation was conducted formal agreement had not been reached between the GOG and ASINDES on this support

with the main issue being whether ASINDES could assume approval of the GOG for any proposed grant to an NGO if the MOF failed to make objection within 15 days of having received notice from ASINDES of the intended grant. It was not clear the extent to which reluctance of the MOF to agree to such a provision was the result of second thoughts on the part of officials of the MOF higher than those who had negotiated the agreement in principle, of the caution which might be expected on the part of the MOF in entering the first of such grants to an association of NGOs whose work and capability had not been widely known to the MOF or of some behind-the-scenes resistance on the part of other parts of the GOG, such as the Committee of National Reconstruction (CRN), which would prefer to use the counterpart budget resources for its own programs or at least for NGOs on its own terms.

That ASINDES and the GOG had come this far in reaching an agreement reflects both the efforts of ASINDES and the willingness of USAID/Guatemala to encourage the GOG to reach such an agreement. Perhaps the potentially most troublesome aspect of the operations of the GOG is the attitude of the CRN which appears to see ASINDES as a competitor to its programs. USAID/ Guatemala may have to assist ASINDES in dealing with this problem as well.

IV PROGRESS ACHIEVED AND PROBLEMS TO BE RESOLVED

The following describes the major actions taken and the results achieved to date in implementing the Specific Support Grant and the program which it supports. Problems which exist are also set forth together with suggestions for addressing them.

A. Preparation of the Structure and Procedures to Guide the Grants Program

One of the first tasks of ASINDES and PACT under the Grant program was to decide on the structure and procedures which would be followed to carry out the program of grants to NGOs and to describe that structure and procedures in written documents to guide both ASINDES and the prospective donees. By the time of the evaluation that task largely had been completed. The work was done largely by the personnel of PACT-- both the Resident Advisor and the technical advisors visiting from PACT's New York office. The documents which express that system are: the Code of Ethics, the Policies of

Financing, the Guide for the Presentation of Project Proposals, the Guide for the Internal Processing of Project Proposals, the Description of the Role of the Project Selection Committee, the Guide for the Preparation of Agreements between ASINDES and the donees, and the Guide for Monitoring, Evaluation and Reporting.

The Code of Ethics is a general statement covering all persons associated with ASINDES (from members through employees) and the relationships among them and outside persons and institutions having dealings with ASINDES. It is not limited to the conduct of the grants program. The content is expressed in general admonitions which are familiar to U.S. organizations. They are directed at protecting both the purposes and the financial integrity of ASINDES. Perhaps the most important aspect of the Code is its prohibition on any affiliate or member of ASINDES having a representative on the Project Selection Committee and on any employee of ASINDES having a connection to a member or supplier of ASINDES. The standards of the Code have not been invoked or any sanctions imposed for failure to meet them.

The Policies for Financing covers both the technical assistance and financial assistance programs of ASINDES. It presents the general standards that govern those programs. It includes the standards in the Grant Agreement and the Project Proposal as described in II C. above, and includes some additional detail. Re the technical assistance program, the document indicates that ASINDES will provide such assistance both for the preparation, development and monitoring of projects and for technical-administrative improvements in general. It appears to require an inventory of needs to be conducted prior to the providing of technical assistance to an organization. In fact, that requirement has not been followed. (See part IV D. below.)

Most of the document deals with the standards to be applied to the financial assistance program. It does not limit eligible donees to the membership of ASINDES, but does require that a donee have the same characteristics as do ASINDES' members. It includes the possibility of providing financing to associations, unions and cooperatives of second or third degree; but does not provide standards for deciding what circumstances would justify such grants. (In fact, to date none has been made.) The maximum limits for any particular financing are to be: three years, 75 percent of the total cost of the project and the equivalent of \$24,000 per year, (this is a substantial increase over the amount given in the Project Proposal). Five percent of the approved amount of each grant will be used by ASINDES for its administrative expenses, and 15 percent of the amount may be used by the NGO for its administrative expenses.

ASINDES will finance only specific projects. It will not finance urban infrastructure, projects for foreign refugees, contributions to capital or furniture, office equipment and machinery unless they are justified as directly necessary for the conduct of the project. Projects are to improve the education, health or welfare of the benefitting groups; and, preferably, will achieve increases in their productivity, employment, and income. However, the document does not provide either quantified standards or ways to determine whether a proposal meets the standards of "productivity" or will generate sufficient increases in employment, income and well being to be justified. Nor does it indicate what will determine the size of the financing that will be granted. If financing is provided on a loan basis the terms will be negotiated individually in each case. (In fact, all financing has been on a grant basis.)

The Guide for the Presentation of Project Proposals covers the preparation of both Project Profiles and full Project Proposals. The Project Profile is a relatively short document (no more than five pages) to be presented by an organization which is not yet well known to ASINDES or which proposes a particularly new or complicated activity. It describes both the organization and the proposed activity and its objectives. If the staff of ASINDES finds that the proposed project is likely to meet the standards for financing by ASINDES, the NGO is requested to submit a formal Project Proposal. This is a document of between 20 and 30 double-spaced pages with annexes presenting background information concerning the NGO and the proposed project. The information concerning the NGO is to cover both its legal and financial situation and a description of the NGO's other programs and the results which they have had. The information concerning the proposed project is to cover its conceptualization and preparation; a description of its elements, purposes, and target beneficiaries; projections of the outputs to be achieved; its implementation methodology; and the systems proposed for control and evaluation. The Proposal is to include a time-phased workplan and detailed budget for the first year of the project and at least summary figures for the amounts which will be necessary in the second and third years should the proposal be for a multi-year activity.

The Guide states that the Proposal should describe how the project will achieve "self-sufficiency" by the end of the support from ASINDES (in one part of the document this requirement is limited to projects which are to be "permanent," while in another part no such limit is included) and it states that evaluations of the projects should compare costs of the resources invested with the results achieved. However, the

document does not provide standards or methodology for determining what cost/benefit relationship would be acceptable. It does not call for the collection of baseline data at the beginning of the project. It does not request an explanation of how the proposed project would strengthen the NGO itself or how the target beneficiaries had been involved in deciding on the need for the project and preparing its justification.

The Guide for the Internal Processing of a Project Proposal lists the main steps to be taken (and the persons responsible for those steps) from the initial contact of ASINDES with the NGO expressing interest in receiving project financing to the signing of the agreement. The document indicates that ASINDES is to place emphasis on an early weeding-out of proposals which are not likely to be financeable; that the staff of ASINDES will work with the NGOs in the preparation of the formal proposals; and that the final decision on whether or not to finance a proposal usually resides with the Project Selection Committee. It indicates that in the review process representatives of ASINDES normally will visit the NGO and the proposal beneficiaries. However, the document does not attempt to place time limits on complying with each step, and does not indicate the nature and amount of assistance which ASINDES will provide to NGOs in the preparation of the proposals. The document lists only the major steps, and does not have the detail necessary to serve as an action flow chart or statement of the responsibilities of positions within ASINDES. It does not indicate that the PACT Resident Representative and the A.I.D./ Guatemala Mission are involved in the final approval.

The Description of the Role of the Project Selection Committee concerns the institution which is considered both key to the maintenance of program standards and the major conceptual contribution of PACT to the system created to administer the Grant. The Committee consists of seven professional people who do not hold government positions; are not involved in politics; and have no connection with any of the members of ASINDES. They are chosen by the Board of Directors of ASINDES to hold office for two years. Although they are paid a modest sum for attendance at the meetings of the Committee, the members really serve because they are interested in the work of ASINDES and the NGOs. The Committee makes decisions by majority vote of those present (a quorum is four). It has final authority to approve proposed projects up to a value of the equivalent of \$100,000. Above that amount the Board of Directors of ASINDES must also approve. The Committee can request further information concerning projects brought before it, and can condition its approval of a project with requirements for changes or actions by the NGO soliciting the assistance.

The Committee is to meet every three months. In fact, it has met as often as there has been work to do, and until recently that usually has been monthly. The Executive Director of ASINDES is the liaison with the Committee, and he and the Project Analyst presenting a proposal attend the meetings of the Committee. A synopsis of the Project Proposals to be considered, together with a report of the review of the Proposal by the staff of ASINDES, are circulated to the members of the Committee before the meeting. In addition, the Committee assigns one of its members to study each Proposal so that he can better ask questions of the staff representative on behalf of the Committee.

The Description indicates no role for the Committee in other aspects of ASINDES' work and makes no provision for the Committee to be informed concerning the actual implementation and achievements of the projects which it has approved.

The Guide for Agreements between ASINDES and Recipients of Financing indicates that the Agreements will be signed by the Executive Director and President of the Board of ASINDES, by the Resident Representative of PACT and the representative of the NGO receiving the funds. The text of the Agreement is short calling for a statement of purpose, objectives, the amount and dates of disbursements to be made and of the reports to be submitted. However, more detail is contained in Annexes to the Agreements. These Annexes consist of the Project's Budget, a resume of the Project Description and the Terms and Conditions governing the Agreement. The last of these Annexes includes clauses common in A.I.D.-related agreements re books and records, access for ASINDES' monitoring personnel, and accounting and auditing. The grantee is to provide ASINDES an external audit of its use of the Grant funds. (To date, none of these audits has been conducted.)

The Guide for Monitoring, Reporting and Evaluation covers the obligations of both the NGOs and ASINDES. An NGO receiving financing is to provide descriptive and financial reports to ASINDES each quarter and at the end of the project. The reports will cover activities carried out, problems encountered, changes and adjustments made in the action plan and implementation methodology in response to the problems, a quantified presentation of progress toward the objectives and outputs, and an analysis of results achieved and any lessons learned. A format for the financial report is provided. The guide gives some general guidance concerning the questions to be asked in evaluating the projects. It does not provide standards or methodology for analyzing impact or such expectations as financial sustainability and cost

effectiveness. However, the Guide does assert that ASINDES will sponsor workshops and seminars for NGOs which will include assistance on reporting and evaluating. Furthermore, the Guide asserts that ASINDES will participate in the supervision of the projects both by reviewing and responding to the reports from NGOs and through visits by its representatives to the site of the activity.

Role and Utilization

The documents described above are a useful description of the basic structure, the standards and the operation of the grants program. The major shortcomings in the documents (e.g., lack of emphasis on improving the performance and sustainability of the NGOs themselves and the lack of specificity and guidance on the meaning of productive projects, project self-sufficiency and cost effectiveness, evaluation standards and the degree of quantification expected) reflect the difficulty of the topics and the need for ASINDES and PACT to achieve greater clarity concerning them. (For further discussion see B. below.)

However, it does not seem that these documents have been of particular utility in the conduct of the program so far. For one thing, they were not completed as early in the program as had been expected. They were still under revision during the second quarter of 1987, and not brought to conclusion until the next quarter, while the grant program had begun to operate in the second half of 1986. For another, they have not been reproduced and distributed widely among the NGOs, many of whom do not seem to be aware of their existence or content. ASINDES' modality of operation relies much more heavily on verbal information provided to interested NGOs by the Executive Director and the relevant Project Analysts and, on occasion, by the Resident Representative of PACT. Lastly, their lack of detail and specificity on many of the topics means that they are not particularly useful to the staff of ASINDES in the conduct of their duties. It appears that the Project Analysts are left to devise their own standards to be applied to Project Proposals. Should ASINDES decide to seek to interest a broader universe of potential NGOs for the grants program, it will be even more important to have written guidelines available with sufficient specificity so that efficiency and standardization of operations and judgements can be achieved.

B. Utilization of Funds Under the Grants Program

Magnitude of Effort

By the end of the third quarter of 1987 (nearly a year and a half into the project period) 61 Project Profiles requesting

\$3,086,459 had been presented to ASINDES. Nine of those requests had been rejected by the staff of ASINDES; 29 were pending the presentation of a Project Proposal; 24 Project Proposals had been presented to ASINDES of which 19 had been presented to the Project Selection Committee. Of those presented to the Committee, ASINDES had approved 15 projects for support from ASINDES of the equivalent of \$415,645, of which \$361,229 was to come from the Grant and \$48,000 from the agreement to be signed with the GOG for the use of \$800,000 in counterpart funds. Of the amount approved \$193,447 had been disbursed from the Grant. A list of approved projects is given in Attachment 7. A copy of the latest report on Project proposals received is given in Attachment 8.

Thirteen of the 15 approved projects had been presented by members of ASINDES, and one of the other two organizations joined ASINDES after getting the funding. Both large and small NGOs received support. The maximum period for a grant was two years, and the maximum amount financed was the equivalent of \$48,000. No NGO got more than one grant, although two of the recipient NGOs were so closely related that they could be considered to be one. Three of the NGOs receiving grants had representatives on the Board of Directors of ASINDES; another NGO with a representative on the Board has its proposal under revision. The time which elapsed between the presentation of a Project Profile and the final approval varied from one to eight months.

Of the 61 Project Profiles presented to ASINDES, 22 were presented in the last quarter of FY 1986, 18 during the first quarter of FY 1987, one during the second quarter of FY 1987, and the rest during the third quarter. Of the 15 approved projects, two were approved in the last quarter of FY 1986, six were approved in the first quarter of FY 1987, three in the second quarter, four in the third quarter.

Approximately \$39,000 of the Grant funds remained to be committed for additional projects, and some \$189,000 remain to be disbursed. Given the large number of Project Proposals still under consideration and the fact that the level of funding provided for some of the approved projects was cut back from the level that could have been justified, there should be no difficulty in committing all the remaining Grant funds before the end of the current Grant period although disbursements will not be completed by that time. (Indeed, in several cases the disbursement schedules for grants already approved fall beyond the current termination date of the Grant Agreement.)

The difficulty facing ASINDES arises from the seven million quetzales (the equivalent of \$2.8 million) which it is to receive from the GOG for its grant program in 1988. (\$800,000

was to have been made available during 1987 from the FY 1986 ESF counterpart, but the signing of the agreement between ASINDES and the GOG was delayed until late in the year. An additional \$2 million has been approved in principle by USAID/Guatemala and the GOG from the sales proceeds of the 1987 Title I Agreement to be available beginning in March 1988.) Utilization of all those funds would imply a rate of review and approval during 1988 over six times the rate achieved in 1987, and the utilization of funding levels well beyond the amount of projects pending for further work and review in ASINDES.

Furthermore, the analyses of only a few of the pending Project Proposals are very advanced, and many may prove to be not approvable. Obviously, meeting this challenge would call for both an expansion of ASINDES's staff of Project Analysts and a significantly more efficient use of their time as well as the use of supplementary consultants. It also would imply that ASINDES' grants program must overcome a tendency to focus on the members of ASINDES, and that ASINDES will need to reconsider the current practical maximum grant of \$48,000 per project since at that rate it would have to approve 58 projects to utilize the funds likely to be made available. At least a doubling of the maximum amount would seem to be justified both by the practicalities of processing and the goal of achieving financial balance. (See H. below.)

Role of the Project Analysts

Under the ASINDES system the Project Analysts are key to the quality of the grants program and to its productivity. It is they who are in charge of reviewing the Profiles and Proposals presented to ASINDES, assisting applicant NGOs to take the steps that may be necessary to improve the quality of the proposals so that they may be approved, and advising the Executive Director and the Project Selection Committee concerning the merits and problems of the Proposals presented to the Committee. They are the persons principally responsible for concluding that a Profile or Proposal does not merit further work or attention by ASINDES. The Project Analysts are also the persons in ASINDES who are to follow the implementation of the activities being supported under the grants program, and probably will be the persons representing ASINDES in evaluations of those activities.

Fulfilling the responsibilities of the Project Analysts has proven to be difficult. Their productivity has been hindered by the factors discussed in F. and G. below and by the need to provide much more assistance than anticipated to NGOs to get the Proposals in condition for review by the Project Selection Committee. The lack of specific, written standards for project analysis has aggravated the inevitable tension between

maintaining professional standards of analysis and ASINDES' needs to approve grants in order to be seen as useful to its members and to generate the commissions which help meet its operating expenses. Furthermore, only very modest amountsof on-the-job training have been provided to the Project Analysts, in part because the former Executive Director did not think it useful to hold joint meetings of the staff for that purpose. They express the need for additional guidance both in written form and from ASINDES' management. Furthermore, although the Project Analysts have visited the operations of all the NGOs and beneficiary groups involved in the projects which they have presented to the Project Selection Committee, they have not had the time or the logistic support necessary for them to monitor the implementation of the projects which have been approved.

Role of the Project Selection Committee

The Project Selection Committee is performing its function well. Its membership is well prepared, of distinction and more dedicated than is usual for advisory-type boards. At present the membership consists of seven persons-- two economists, one civil engineer, one agriculture engineer, two administrators, and one lawyer/professor. They bring expertise to the system which otherwise is not available to ASINDES.

The Committee's members express satisfaction with their efforts, and state that no one within or without ASINDES has tried to influence their judgement outside the procedures set forth for the grants program. The members do not appear to object to the often late distribution of information about the projects which gives them less time for review than is called for by ASINDES' proceddures--probably because they are placing great reliance on the system of having each Project Proposal be the responsibility of one member of the Committee for the purpose of analyzing the information. They complain about ASINDES' changing the dates of Committee meetings or calling for "emergency" meetings to consider individual Project Proposals or even some element of a Project Proposal since this often means that some of the members can not attend or that they have to disrupt their own schedules. They agree that the quality of the work of the Analysts and of the Project Proposals has been improving, and currently do not seem to be dissatisfied with the nature of the analyses presented to them by the Project Analysts although they still often send back proposals for further information or analysis. Indeed, a couple of the members were worried that they might be too demanding considering the nature of the NGOs and the projects with which they were dealing, and several expressed concern that the Analysts may be too focused on "productive" projects.

The Committee has tried, without success, to obtain information about the nature of the projects under consideration by the staff so as to form some standards for judging the relative quality of the projects brought before it. The members agree that the Committee could increase the pace at which they review projects, and estimate that if the staff of ASINDES were able to provide the analytical background they could review and decide about four or five projects per month. That would be a significant increase over the experience of the past year and especially over the last three months. Some thought that the Committee members-- either as a group or as individuals-- might be used by ASINDES for other purposes although others were concerned that any such expansion of responsibilities might prove to be too time consuming for them to sustain or even undermine the objectivity which is the essence of their approach to project review. In any event, all members of the Committee appear to want to get information concerning the implementation of the projects which they have approved.

The acceptance by the Board of ASINDES of the role of the Committee, the selection of persons of caliber to serve on that Committee and the way in which the Committee has exercised its responsibilities are highlights of the project to date. At present the Committee and its members are under-utilized. They are a resource which deserves greater support and use. Their possible participation in prioritizing the project proposals under review by the staff, in evaluating ASINDES' operations and in providing technical assistance to NGOs might be considered.

Perceptions of Participating NGOs

The great majority of the comments received from the personnel of NGOs participating in the grants program were quite positive. This is somewhat unusual for a program in its first year of operation-- and especially for one with the background situation described in part III above. The idea that all member NGOs were entitled to some support seemed to be rather generally held with the idea of prioritization of proposals by quality accepted in principle, but not given much emotional weight. Still, there did not appear to be any particular resentment on the part of the NGOs whose proposals had been turned down although there were expressions of doubt that it was advisable for ASINDES to force the NGOs to structure their proposals to be "productive" when in fact the NGOs' activities had been, and largely would continue to be, more social in purpose. There were, of course, complaints about the time it took for the review process to be completed and a few objections to the fact that ASINDES did not provide the total amount of resources requested. However, there was almost no

assertion that the information which ASINDES sought in order to conduct its review was not necessary or appropriate, and there appeared to be a recognition that the staff of ASINDES usually was helpful. (There were a few-- surprisingly few-- comments that ASINDES' personnel should be more sensitive to the differences among the capabilities and approaches of the NGOs.) Perhaps the strongest complaint was that ASINDES was slow in responding to ordinary matters-- answering letters, returning phone calls, providing information about its own intentions.

Nature and Quality of Projects Under the Grants Program

Since ASINDES began receiving proposals only during the last quarter of CY 1986 and grants were not made until 1987, there has been little time for there to be any evidence of impact of the projects being supported. Even then, an analysis of the actual operation of the activities underway would have taken more time than was made available to the evaluators. However, some tentative observations may be made based on the review of the project files and conversations with the personnel of ASINDES and the grantee institutions. They are:

1) There has not been a problem of having to select among more project proposals than there were funds to assist. As stated above, 61 proposals have been received; but many of them were either not consistent with the criteria of the grants program or did not seem to offer much potential. The problems faced rather were the relative scarcity of usable proposals and the great amount of effort needed on the part of ASINDES' personnel to assist the NGOs in preparing those proposals for review and in analyzing the NGOs' needs for assistance in improving their own operations.

2) The degree of assistance and the amount of analysis conducted during the reviews of the proposals varied widely. The differences are accounted for in part by the differing nature of the proposals, but in part are due to pressures brought to bear on the staff by the management of ASINDES. (In at least one instance a project was sent forward without any accompanying analysis by the staff because management wanted to expedite it).

3) The projects which were approved covered a variety of geographic areas and types of activities. The beneficiaries were of the type the Grant seeks to help.

4) Usually the projects continued the types of activities the NGOs were engaged in already, and they often provided funds for projects already undertaken. Most projects had been presented as being "productive." However, only one incorporated the use

of a revolving loan fund administered for the benefitting community, and none involved loans from ASINDES to the NGO or from the NGO to the benefitting groups. Perhaps as a consequence, the flavor of social work remains high and financial discipline secondary. For instance, in both field activities visited by the evaluators the first year of operations had resulted in disappointing results. In one case the market for the textiles being produced failed to live up to expectations, but the NGO continued to purchase the production from the beneficiaries in order to keep them employed. Since the NGO did not have to repay the support it got from ASINDES, it was able to do this. In the other case the market for the agriculture product remained strong, but the weather was bad during the third of the three growing seasons and production fell below expectations. The beneficiary group did not press farmers for repayment of the production credit advanced to them although several had let the repayments go in anticipation of using the proceeds from the last growing season while using the proceeds from the earlier crops for other expenses. Again, the beneficiary group was not required to repay any of the support it received from its sponsoring NGO nor the NGO to ASINDES so there was no immediate financial pressure on them to see that the farmers repaid.

5) The proposals did not place much stress on the effect the grants would have on the NGOs themselves. Despite the time spent by ASINDES' staff on analyzing the institutional needs of the NGOs, apart from providing funds to the NGOs to hire people and to pay on-going expenses during the periods of the grants, it usually is not clear how the grants are to lead to strengthened NGOs. In some cases NGOs did seem to modify their attitudes towards the utility of "productive" projects; and in some cases the Project Selection Committee (usually following the suggestions of the analyst) did require the NGO to make some changes in its administrative arrangements in order to carry out the proposed activities; but these changes did not seem to be aimed at a permanent change in the capability of the NGO. Certainly, more remains to be done on this aspect of the grants program.

6) Both the staff of ASINDES and members of the Project Selection Committee would like to see more attention paid to the aspect of marketing.

7) The proposals and ASINDES' analyses of them seldom presented concrete projections of economic and social impact, analyses of the cost-benefit ratios of the proposed activities or evidence that the activities would be financially and administratively self-sustaining by the conclusion of the grant period.

In view of these observations, it would seem important for ASINDES to achieve greater clarity on what are its expectations of "productive" projects and for institutional improvements with NGOs and to provide the analysts with additional guidance on the standards to be applied and the way in which analyses are to be conducted concerning the topics of probable impact, cost-benefits and potential for self-sustaining operations by the beneficiaries. The grants program should be coordinated with a revitalized technical assistance program. (See subpart D below.)

C. Utilization of Funds Under the Mini-Grants Program

The purpose of the mini-grant fund is to enable ASINDES easily to support any activity which would further the operation of the program including work leading to the preparation of projects for other funding sources. Mini-grants are made on the approval of the Executive Director, the President of the Board of Directors and the Resident Representative of PACT. They are not subject to analysis by the staff of ASINDES. There are no written standards or procedures governing them.

As of the date of the evaluation, \$3,800 of Grant funds had been committed to 16 mini-grants, and all but \$932 had been disbursed. (In the Grant Agreement's Illustrative Budget, \$20,000 is shown in support of this aspect of the program.) ASINDES used \$377 to support its own activities. The rest was provided to NGOs, one of which got three totaling \$1,215. Some were used for staff training. ASINDES should be able to reach the Project output goal of 20 mini-grants.

The fund has received some adverse comment. Several recipients commented that they had been encouraged by ASINDES to apply for these mini-grants so that the fund would be utilized. There was considerable criticism of the largest mini-grant because it was made to a U.S. NGO with substantial resources of its own. The staff of ASINDES appears to be skeptical of the fund's utility and of the way in which it has been handled. It would be better to have some written standards to govern the use of the fund if ASINDES continues to use this modality of assistance.

D. Technical Assistance and Training Activities of ASINDES

Under PACT's proposal and the Grant Agreement the provision of technical assistance to NGOs was to be an important part of the program to be supported. The Grant Agreement included projected outputs of "five workshops and/or special events per year, as part of a regular technical assistance program to strengthen at least 100 employees of approximately 30 PVOs."

Up to the time when the evaluation was conducted four events (three seminars and a forum totaling 18 days) had been held which were attended by 146 persons associated with different NGOs. (A list of the events, their dates and the number of NGO attendees is given in Attachment 9.) The major topics covered by the events were networking, fund raising, project formulation and project supervision. Thus it is likely that by the end of the current period of the Grant, ASINDES will not have provided the projected number of events, but it will have involved more than the projected number of NGO employees in them.

There has been no follow-up by ASINDES with the attendees of these events to determine what impact they may have had. However, it is doubtful that these events are having much impact in "strengthening" the attendees. Among the persons interviewed in the conduct of the evaluation, there seemed to be a general conclusion that the events were either too general or simplified in their approach, and did not take into account sufficiently the conditions faced by the NGOs operating in Guatemala. The best received event was the last one-- the forum on networking. The opportunity to exchange experiences and ideas among themselves and to meet representatives of potential funding organizations from outside Guatemala appears to have been appreciated by most of the NGO attendees although there were some who were disappointed that the representatives of those funding organizations did not come prepared to agree to funding arrangements while others objected to what they saw as the domination of the forum by persons from outside Guatemala. There also was criticism from the GOG that its representatives had not been included.

More important than the number of technical assistance events which have been held is the question of the appropriateness of the approach to providing technical assistance which those events express. The approach in PACT's proposal and in the discussions which it had with ASINDES was that an inventory of NGO training and technical assistance needs would be conducted to determine what subjects should be addressed by the technical assistance program, and that that inventory would be supplemented by short, diagnostic studies of the needs of individual NGOs (to be funded under the mini-grants program) to determine what particular technical assistance would be appropriate for them. The technical assistance and training plan was to reflect the results of that preparatory work, and was to consist of both: (i) events open to the general NGO community or groupings of NGOs by type, size, location or nature of program, and (ii) support tailored to the needs of individual NGOs. However, the Grant budget included as an appropriate line item only \$20,000 for 10 workshops. Other types of technical assistance would have to be provided by the budget categories supporting ASINDES' grant operations.

In fact, the approach suggested by PACT has not been followed. The inventory was not conducted, and the attempts to conduct the diagnostic reviews of individual NGOs (one by using a consultant and one by using the then Coordinator for Technical Assistance) was met by resistance on the part of the NGOs themselves who apparently feared that the results could be used against them either in response to their requests for financial assistance or through the tarnishing of their reputations with the general public. In addition, there appears to be considerable disagreement among persons associated with the program as to the value of each of the major approaches. Advocates of technical assistance targeted on individual NGOs assert that the use of general events leads nowhere because there is no follow-up assistance to NGOs in carrying out the approaches discussed at the events. Advocates of the use of general events assert that technical assistance geared to individual NGOs is too costly and engenders such resistance by the NGOs as to be impractical. Some members want ASINDES to place more emphasis on providing scholarships for personnel of the NGOs while others would have ASINDES place emphasis on having experts (whether employees or consultants) available to assist NGOs at their request. The difficulties of the technical assistance program were further aggravated by the fact that the position of Coordinator of Technical Assistance was filled for less than six months, and that during even that time the lack of rapport between the Executive Director and the person in the position prevented his effective use and led to the already burdened Project Analysts being used to conduct the technical assistance activities.

All in all, the technical assistance aspect of the Grant program has not gone well. It requires immediate attention. A Coordinator for Technical Assistance with the appropriate experience should be recruited as soon as possible; the Executive Director and the Board should develop a policy on the approach to technical assistance which should be followed so that the Executive Director and the new Coordinator for Technical Assistance can work out a plan to implement that policy; technical assistance should be given a clearer position in the project's budget. Indeed, the Grant budget needs to be modified to recognize and support an increased emphasis on the provision of technical assistance training to both ASINDES and to the NGOs.

PACT is conscious of the seriousness of the problem. It proposes that ASINDES seek the assistance of INCAE's program (financed by IAF) to work with PVOs on identifying their technical assistance and training needs and preparing programs to meet them, and the Resident Representative proposes to make the provision of technical assistance the principal focus of

any continued work of PACT with ASINDES beyond the current Grant period. Those are appropriate responses. However, it should be made clear to all that there is urgency in moving forward on the problem since otherwise it is likely that the Grant program will fail to achieve the purpose of its technical assistance component.

E. Planning, Programming, Monitoring and Evaluation by ASINDES

ASINDES has not developed a medium or long term strategy nor has it developed systems for programming its resources or for monitoring and evaluating its activities. There are general statements on monitoring and evaluation as described in sub-part A. above; but they were produced largely by PACT, and have not been given practical effect. No person in ASINDES aside from the Executive Director is charged with responsibility for preparing and carrying out these functions. The Project Analysts are charged with following the implementation of the grants program through the review of reports received from and visits made to the NGO activities being assisted. However, they are not fulfilling that responsibility for the reasons discussed elsewhere in this report.

Planning and Programming

The attention of ASINDES during the first year and a half of the project has been focused on getting the grants program underway. Indeed, that program has been treated almost as a good in itself rather than as part of an overall institutional strategy. The Resident Representative of PACT did encourage the Executive Director of ASINDES to prepare at least a six month workplan. However, the style of the then Executive Director was to centralize information and decision-making in himself, and the Board did not push him strongly to produce a detailed workplan. Finally in mid-1987, the Executive Director produced a workplan when a representative of PACT in New York during a visit to ASINDES undertook to do one himself on learning that none yet existed. The two workplans were presented to the Board which adopted neither.

The workplan prepared by PACT had the purpose of highlighting for the Board that the actions which were required to meet the demands of implementing the program were so many that there was not time to accomplish them all; and, thus, that priorities needed to be established. That has not been done, and currently ASINDES and the project are operating without a workplan. If the institutional strengthening purposes of the

Grant are to be achieved a major effort must be made on these aspects of ASINDES operations, and that implies a change in attitude on the part of ASINDES' Board toward their importance.

Monitoring and Evaluation

ASINDES has in place reporting formats which seem adequate to follow the implementation of the grants program. What it lacks is a system for periodic field visits and the dedication of resources to carry out such a system. It has not undertaken any real preparation for the conduct of evaluations either of its own institutional progress or of the impact of its activities. The evaluation provisions of the agreements with NGOs under the grants program seem to be pro forma rather than through and planned. In part this reflects the lack of an institutional strategy for ASINDES and a plan to carry it out; and in part it reflects a lack of agreement that evaluation is, in fact, of great importance given the other demands on ASINDES' time and the relatively small-scale, straightforward nature of the activities which the program supports. Of course, there also is the factor that ASINDES lacks experience in the data collection and interpretive techniques which are the heart of an evaluation program.

The magnitude of the effort required to develop and implement systems for planning, programming, monitoring and evaluation is beyond the capacity of the current staff of ASINDES, and the amount of technical assistance which is called for probably will require more time than can be made available by the current Resident Representative of PACT given his other duties. Thus, ASINDES should consider creating a position on its staff whose duties are limited to performing or overseeing the performance of these functions, and PACT should consider providing the services of an additional experienced advisor over the next year to assist that new position. The person providing the assistance need not be resident in Guatemala full-time; but he should be able to come to Guatemala frequently, and spend the time necessary to react to the local developments and to adjust his advice to them. He should not be just a short-term technical advisor without involvement in implementation.

F. Personnel Arrangements of ASINDES

The performance by ASINDES in meeting the staffing requirements of the project has been only fair. All the current personnel except the Executive Director were recruited after the signing of the Grant Agreement, and some are quite well prepared. For instance, one of the Project Analysts is an agronomist and university teacher in agriculture technology and communications with experience working for a private consulting firm. On the

other hand, ASINDES has not yet identified and hired persons to fill two of the three new positions called for in the proposal-- namely, the Project Coordinator to work under the Executive Director and a Fund Manager with training in economics. Furthermore, the person hired to be the Coordinator of the Technical Assistance program resigned because he thought his skills were not being well used and that he had been given insufficient authority to perform his duties; and one of the persons earlier hired to be a Project Analyst turned out not to be adequate for the position and was replaced.

Finally, after two years in the position, the Executive Director resigned in November 1987 as the Board of Directors became dissatisfied with what they saw as his failure to keep them well informed and to follow their directions and what he saw as a failure of the Board to give him appropriate support. At the time of the evaluation, the Board of Directors was just beginning a search for a new Executive Director. Until a new Executive Director is selected and in the position, the President, the Secretary, and the Treasurer of the Board will attempt to provide supervision to the work of the staff. They will rely on the Resident Advisor of PACT to act as an informal Executive Director.

ASINDES' support of its staff also has not met expectations. Morale does not appear to be good, and the productivity of the staff currently is low. In part, this is the result of the turmoil resulting from the departures of the Coordinator of Technical Assistance and of the Executive Director. In part, it is the result of the conflicts which arose between the former Executive Director and at least two key staff members, and of the degree to which other activities of the Executive Director limited his availability to the staff on a day-to-day basis and of his approach to the utilization of staff which emphasized direct, vertical relationships of all staff members to the Executive Director and deemphasized any horizontal, team relationships among the staff members. In part, it is the result of limits on the support of the staff's activities arising from ASINDES' having only one vehicle for official travel and not having a reliable policy on compensation for travel expenses. In part, it is the result of a salary structure which is relatively low for the professional and technical skills which are called for in several of the positions, and the basis of whose internal relationships are not clear.

The Executive Director's annual salary was the equivalent of \$7,800; the current Project Analysts' annual salaries are the equivalent of \$6,240 and \$5,200; the bilingual, administrative secretary's annual salary is the equivalent of \$2,340 (the same as that of the other secretary); and the accountant's annual

salary is the equivalent of \$1,560 (the same as that of the driver). These levels are somewhat below those the GOG now pays for professional services and very much below those paid by the commercial, private sector. However, they probably are higher than the salaries paid by most of the NGOs who are members of ASINDES; and this has made it difficult for the Board of ASINDES to agree to substantially higher levels even when the costs of such increased salaries could be met by the Grant which includes \$74,140 for ASINDES' personnel costs for the two-year period. In recruiting a replacement for the former Executive Director, the Board has recognized that an increase in the salary level to be paid will probably be necessary to obtain a person with the desired qualifications. However, although it has been discussed and some efforts undertaken, it is not clear whether or when a systematic revision of the salaries of ASINDES' staff will be conducted by the Board. This indecision may reflect ambivalence as to how technically prepared ASINDES' staff members need to be, and on what level of activity it is reasonable to expect ASINDES to achieve and maintain.

More attention needs to be paid to ASINDES' performance in recruiting and managing the staff necessary to achieve the purposes of the project. Recruitment of a new Executive Director and Coordinator of Technical Assistance is urgent. Another analyst is needed as is someone to assist the Executive Director in raising funds and providing supervision to the conduct of the program. (A comparison of the current staffing of ASINDES with the recommended staffing is given in Attachment 10.) It would be wise to review the requirements for all existing positions in ASINDES and the qualifications of the persons holding those positions to be sure that they are well matched. Adjustments of the salary schedule will be necessary to attract persons with professional and technical preparation to those positions. Projections of operating expense needs over the long term should take this need into account. The new Executive Director should place priority on developing with the staff his approach to personnel supervision and motivation, and should present the Board with his proposal for carrying forward that approach. PACT should give priority to assisting the Executive Director in that effort. The Grant budget should be modified to provide more support for the training of ASINDES' staff-- an aspect of the original proposal which was not adequately supported in the original budget.

G. Administrative Arrangements of ASINDES

The strengthening of ASINDES was to include improvements in its administrative and fiscal procedures. To carry forward this

aspect of the program, during the last quarter of CY 1986 PACT prepared manuals for an accounting system and for administration procedures. The accounting manual was adapted and completed by local consultants during the first quarter of CY 1987, and control and report formats were developed and an internal communications and tracking system was proposed during the second quarter of the year. These manuals are of assistance to ASINDES, but much remains to be done.

There are no formal delegations of responsibility or descriptions of position duties. There has been no organized training of staff in the use of the manuals or gathering of suggestions from them on introducing further improvements. The files are kept on a decentralized basis, and obtaining information from them is difficult and sometimes impossible. (However, it should be noted that the evaluation took place shortly after ASINDES had moved its offices from one building to another, and thus the disorder of the files in part was the result of that situation.) Perhaps more important, the previous Executive Director did not seem to place importance on the establishment and observance of standardized procedures, and did not set an example for the staff in using them; and the personnel problems discussed in sub-part F. above did more harm than the manuals did good.

The various shortcomings of the current accounting system of ASINDES are discussed in Attachment 4. They appear to be correctable without extraordinary effort, but will require that the new Executive Director place importance on doing so and is able to convince the Board to give up such controls as the need to sign all checks before they are issued. More important failings are the lack of a valid operations and program budget, the unavailability of timely information on the utilization of resources, and ASINDES' lack of a capacity to perform financial analyses of its own operations and those of the NGOs which it is assisting. The lack of this capability impedes ASINDES' financial planning and the preparation of its budget; contributes to the difficulty faced by the Project Analysts in evaluating the capacity of NGOs seeking financial assistance; and will limit the efforts which ASINDES may mount to evaluate the impact of the grants program on the participating NGOs and the beneficiary groups. To perform those functions ASINDES will need to add a more experienced financial person to its staff-- one capable of performing financial analysis as well as guiding the current bookkeeping operation.

No audit has been conducted of ASINDES' financial management. Given the amount of funds which ASINDES has handled and the time that has elapsed since the Grant was made, an external audit is called for. ASINDES could contract for audit services both of itself and of its grantees.

H. ASINDES' Financial Prospects

ASINDES' revenues for 1986 were the equivalent of \$44,018 of which \$3,580 came from the dues of ASINDES' members and the rest from abroad-- \$11,822 from the PACT/A.I.D. Grant and \$28,616 from a grant from IAF. \$22,620 (51%) of the budget was for salaries and personnel services, \$7,962 (18%) for technical assistance and the balance of \$13,647 (31%) for operating expenses. The grants program had not utilized any funds. The budget was balanced.

As previously mentioned, at the time of the evaluation ASINDES had no comprehensive documentation for its 1987 operations and program budgets nor an approved budget for 1988. The evaluators prepared an estimate of the 1987 budget. It is given in Attachment 12. It shows that the income level had grown to the equivalent of \$357,115 (over eight times larger than in 1986) and that the main source of funds for ASINDES had shifted to the PACT Grant (93%) and the commissions on approved grants generated with funds from the PACT Grant (6%) (The grants programs utilized \$243,598 (73%), the technical assistance program \$20,304 (6%), salaries \$32,177 (10%) with the balance for operating expenses and minor purchases amounting to \$39,914 (11%).

The prospects for 1988 are unclear. There should be approximately \$2,400 from members' dues and \$80,000 in direct support available from the PACT Grant during the first half of the year. In addition, ASINDES should earn approximately \$20,200 in commissions from the funds remaining in the grants program and \$48,000 in commissions on the use of counterpart funds from the GOG if it can generate and process the NGO projects necessary to utilize the full \$800,000. That would give a total of some \$150,600. A straight line projection of ASINDES' 1987 operating expenses would be \$72,000 which would be well within that amount. However, by filling the positions vacant at the time of the evaluation, adding the three positions recommended in this report, raising salaries of the defined positions and increasing the administrative and logistic support required by the expanded program one arrives at a total 1988 operations expense on the order of \$194,000. The illustrative, estimated expense budget for 1988 prepared by the evaluations is given in Attachment 13. In addition, there is a need to make capital purchases of some \$34,000.

The projected deficit of between \$43,400 and \$77,000 would have to be covered by some combination of increased donations from PACT or others, an increase in the percentage charged as commission, and a still further increase in the volume of grants made to NGOs with additional counterpart funds from the GOG. (The feasibility of the last possibility was discussed in sub-part B. above.)

Even if ASINDES is able to meet its operating expenses through a combination of direct PACT support and income from commissions on GOG grant funds, it will face the problem of having become totally dependent on A.I.D. and the GOG using A.I.D.-related funds. ASINDES and PACT agree that this is undesirable, and that ASINDES should seek other sources of income for both its programs and its own operating expenses. The current Grant program is supposed to assist ASINDES to do that. Unfortunately, next to no progress has been made on this aspect of the program. There has been discussion of a possible trip to Europe by some members of the Board to seek financing (and at the same time to counter some of the adverse comments made to European funding sources concerning ASINDES' involvement with the GOG and A.I.D.). However, no concrete plans have been made for this trip nor have funds been identified to pay for it; and, more important, no strategy to be followed in the presentations to be made on such a trip has been adopted. It would seem to be necessary that the Board first clarify what is to be ASINDES' mid- and long-term strategy and be able to explain what efforts it is, and will be, making to raise funds from Guatemalan sources other than the GOG. PACT should be able to help ASINDES do so through at least short-term consultancies financed under the Grant.

PACT has provided ASINDES with references to some 250 funding sources; and, ASINDES did make formal contacts with several such international sources during the 1987 Forum on Networking. However, the task of fund raising is not likely to be completed, or even substantially started, by one visit to several extra-national funding sources. It is an on-going effort which will require continuous attention-- certainly more attention than can be supplied by a member or members of the Board of Directors. The responsibility for the effort should be with the Executive Director or another person of stature within the organization. In the case of ASINDES it may not be possible to have a position devoted exclusively to this task; and, of course, some of the work can be done by contractors and advisors; but in deciding on the management structure of ASINDES, this function must be included as a substantial, continuing task .

I. Assistance from PACT

PACT has a dual role under this project. One is the traditional one of providing advice and assistance to ASINDES and its programs. The other is to supervise the use of the funds provided to PACT under the Specific Support Grant and to be responsible to A.I.D. for the conduct of the program being supported by those funds. The latter role arose from the

particular circumstances of this project-- the relative weakness of ASINDES as an institution, the desire of USAID/Guatemala to minimize its own supervisory burden and the acknowledged expertise of PACT in working with consortia of NGOs. As a result of these factors, ASINDES was not offered a choice of institutions to assist it; but rather it was presented with a package of support which included PACT and PACT's approach. (This was particularly annoying to ASINDES because it was not convinced that it needed the assistance. It pointed out that previous financial assistance from IAF had been handled without such help.) As a result, the situation gave ammunition to those within the NGO membership of ASINDES who were against association with A.I.D. to argue that A.I.D. was imposing PACT on ASINDES; and it gave those within ASINDES who might resist PACT's advice the opportunity more easily to stir up suspicion and resentment of PACT. (For instance, the fact that PACT's original survey of the capability of NGOs and NGO consortia in Guatemala was so critical of ASINDES and that PACT was seeking to obtain its own legal personality in Guatemala were cited as proof that PACT wanted to destroy ASINDES and take over the A.I.D. funds for its own direct use.) Furthermore, the May 1986 agreement between ASINDES and PACT did not make clear who was to control the use of the funds and there was no written agreement between ASINDES AND A.I.D. to clarify that and other aspects of PACT'S role).

Thus PACT undertook its responsibilities under adverse circumstances. When the Resident Advisor arrived in Guatemala in July of 1986 he found, in addition to ASINDES' being in a state of internal crises because of tension between the Board and the Executive Director and among the membership over the Board's decision to accept the A.I.D. assistance, that the members of the Board had not studied the Grant Agreement; and that they did not really understand the nature and purpose of the project. The Board expected to be able to provide grant funds to the membership in an expeditious and un-programmed way, and resented the large amount of Grant resources used to finance the activities of PACT. Furthermore, it did not expect to have to carry out serious institutional changes in ASINDES. Thus the first task of PACT's Resident Advisor was to inform the Board and the staff of ASINDES of what the project consisted and to convince them of the utility to ASINDES of the full program while at the same time trying to introduce the institutional changes (e.g., additional personnel, new procedures) necessary to carry that program forward. This task was further complicated by the failure of the Resident Representative and the then Executive Director of ASINDES to maintain a smooth working relationship and by the tensions

(described elsewhere in this report) that existed between the Executive Director and some members of ASINDES' staff. This tension contributed to the low productivity of the staff which in turn placed pressure on the Resident Representative to become more deeply involved in actual operations to reinforce the work of the staff which in turn troubled the Executive Director.

PACT's efforts proceeded through fairly constant rough water and challenges. The withdrawal from ASINDES of the members most critical of its association with A.I.D. and the election and installation of the new Board (only two of whose members were holdovers from the previous Board) offered the opportunity for a "new beginning" while it required that a new set of persons be educated concerning the scope and purpose of the project. This was followed in a few months by the need to deal with A.I.D.'s decision not to plan for the use of additional dollar funds for the grants program after the completion of the current Grant, but rather to encourage ASINDES to seek funds for that program from the GOG and with the GOG's resistance to providing such funds to ASINDES.

By May of 1987 the situation had reached an unusually high level of tension with the Executive Director and some members of the Board seeking to have PACT removed from the project or at least to establish direct relations between ASINDES and USAID/Guatemala. The Mission's decision not to accept such a direct relationship and PACT's decision to be somewhat less assertive in seeking to achieve modifications to ASINDES' operations led to some relaxation of the tension. However, it was not until a couple of key staff members had left ASINDES and the Board and the Executive Director had come to the fundamental disagreement causing the latter to resign that the Board came to see the utility of PACT's assistance and, in particular, of the Resident Advisor. However, there is still some fear by ASINDES' members that PACT will try to dominate ASINDES.

Looking back at what happened during the first year and a half of the project, it is easy to conclude that more progress would have been made had there been a better understanding between PACT and ASINDES and better working relationships between their respective personnel. One could say that USAID/Guatemala should have made greater efforts from the very beginning to be sure that ASINDES, and especially its Board, knew what were the components of the project and what was expected of ASINDES; and that PACT should have spent more time on cultivating its relationship with the members of the Board and been more relaxed in its demands for change and progress under the project. However, that would be hindsight; and it would ignore

that both A.I.D.'s and ASINDES' desire to utilize the funds promptly was considerable. Certainly, a substantial majority of the persons with which the evaluators spoke were positive in their comments on the actions of PACT and especially of the Resident Representative. Indeed, many were quite effusive in their praise of him. Even those who commented that perhaps he had pushed too hard recognized that the circumstances were difficult.

By the time of the evaluation, most members of the Board had come to recognize the value of PACT's assistance, and wanted it to be continued beyond the current termination date of the Grant; but several stated that they would want to reconsider what should be the terms of the relationship between PACT and ASINDES. In order to avoid a replay of some variant of the experience of the last year and a half, it would be advisable for USAID/Guatemala to participate in the discussions which PACT and ASINDES have concerning the terms of their future relationships. Consideration should be given to including representative of the MOF in that discussion as well.

While there appears now to be a universal acceptance of the worth of PACT's Resident Advisor to the project, there were some doubts expressed concerning the utility of the visits from PACT personnel in New York. These visits occurred monthly from July of 1986 through February of 1987 and then again in May, June, August and October 1987. One visit was made by the Executive Director of PACT and another by the member of PACT's management who had been in charge of preparing the original proposal. The rest of the visits were by two PACT staff persons (one an employee and the other a consultant) concerned with technical aspects of the program. There was recognition that PACT had both the right and the duty to provide home office supervision to its activities, but there was comment that the other visits might be too short to be useful and too frequent to be cost effective. In planning for the remainder of the Grant period, PACT should take into account the need for ASINDES to understand the purpose of each visit proposed, and should offer ASINDES a way of providing feedback on the perceived results of each such visit.

The use of the Grant by PACT through 1987 is given in Attachment 14. It indicates that \$239,050 remain unobligated and that an additional \$170,369 of grant funds are obligated but remain available for use under the grants program through June 30, 1988.

V OTHER ISSUES FACING ASINDES AND THE PROJECT

In discussing the progress achieved by ASINDES on the program being supported by the Grant, several problems have been identified. In addition, there are some issues facing ASINDES whose resolution could have significant influence on whether or not the purposes of the Grant are achieved. This part presents a short discussion of those issues.

A. ASINDES' Purpose and Long Range Plan

From its founding, ASINDES has had several purposes: to be a spokesman for NGOs with the GOG and the community-at-large; to inform the community-at-large of the programs and needs of the NGOs; to provide services and support to NGOs; and to assist NGOs in obtaining financial and other types of support for their programs. Although certainly not incompatible, these purposes are broad and diverse enough that their accomplishment would put a strain on even an established and experienced organization. Inevitably, ASINDES has had to find some mix of emphasis on these purposes which meets the approval of its membership, and this has been even more difficult given the diversity in the nature and needs of the membership. Despite some progress towards achieving a consensus (which has been accompanied by negative events such as the resignation of some members), ASINDES still does not appear to have a strong sense of the priorities among its purposes or agreement on its long-term, institutional strategy. Rather it seems that most of ASINDES, attention and energy has become focused on the implementation of the Grant which has become the overwhelming source of its resources. This situation causes some to make the same warning as that reported above in the discussion of the 1984 PACT-sponsored discussion of consortia of NGOs--namely, that too great a reliance on outside funding sources before a consortia has achieved unity of purpose may present more of a problem than assistance to the development of the consortia.

Is ASINDES doing a good job or representing its members' interests with the GOG? There seems to be a wide variety of views on that question. Some members are so suspicious of the GOG that they fear to have ASINDES seek any relationship with it other than to present written position papers. Others fault ASINDES for not doing more to get both guidance from the GOG on the development policy which it supports and support from the political level of the GOG for resolving practical problems with the administrative level of the GOG which are faced by the

NGOs in carrying out their activities. Financial considerations seem to be drawing ASINDES closer to the GOG; but the process is far from smooth (for instance, the nature of the Executive Director's relationships with the GOG was one of the factors contributing to the tension which arose between him and the Board); and the outcome not at all certain.

Does ASINDES represent its members or the whole NGO community? In theory, ASINDES represents the interests of the whole NGO community and seeks to have as many members from that community as possible. However, ASINDES has only 26 members and no program actively seeking new members. (It is estimated that there are approximately 400 NGOs operating in Guatemala of which some 40 have development activities as part of their programs.) ASINDES' financial assistance to NGO activities has been limited almost exclusively to its members. Its efforts to publicize and explain its work are limited to personal visits by the Executive Director to persons of influence and to the recently undertaken publishing of a periodic bulletin of news about ASINDES which is distributed by hand to 130 offices and organizations.

Some advise ASINDES to put its attention on improving its performance with the actual membership and to admit as new members only organizations who take the initiative to apply. They fear that more members mean more diversity and more problems in reaching agreements. Others urge ASINDES to promote itself actively among the NGOs to get more members to become a true "industry spokesman". They argue that a larger organization would be a more attractive one for a diversity of funding sources, and would be in less danger of domination by its funding sources. Some even think that an expansion of memberships and an increase of the now nominal dues paid by the members could make a significant contribution to ASINDES' financial stability.

Should ASINDES seek to be a source of technical and financial assistance for its members and the NGO community at large? Almost everyone answers that questions affirmatively, and the Grant seeks to help ASINDES do just that. However, there are differences of opinion on the kind of assistance that the ASINDES should offer and the degree of attention it should place on this aspect of its purpose, and even some expressions of fear that through such assistance ASINDES could seek to dominate and distort the purposes and programs of the NGOs in order to serve its own purposes and those of its main sources of funding - namely, A.I.D. and the GOG. The differing opinions undoubtedly reflect the differing needs of the various NGOs with those having few if any connections with external

funding sources placing greater emphasis on ASINDES as a channel for obtaining financial resources and with the larger NGOs (and especially those major ones who are not currently members of ASINDES) doubting that ASINDES would have much technical or administrative expertise to offer in any event.

On balance, there seems to be a strong majority view in favor of ASINDES seeking to provide technical advice and, perhaps, having on its staff or available to it persons with expertise in matters of interest to most NGOs (e.g., marketing of agriculture products, analysis of project ideas, use of appropriate technology); and a cautious respectivity to ASINDES being a source of advice on administrative matters. Views on ASINDES as a source of financial support are more mixed. Obviously most would like to receive financial support, but it is hard to conclude that there is general agreement that financial support from ASINDES is important because it will offer the opportunity to improve the nature and operation of NGO programs or that an exclusive or predominant focus by ASINDES on supporting "productive" projects is appropriate.

Unless greater clarity is achieved by ASINDES on the expression of the priorities to be given to its several purposes and a long-term strategy developed to carry forward those priorities, it is unlikely that the current work in strengthening ASINDES as an institution will be well-focused or have lasting effect. Thus, while recognizing that ambiguity of purpose may be preferable to dissolution of an organization, one would be hard-pressed not to conclude that ASINDES (with PACT assistance) should seek to develop a long-term strategy of institutional purpose as part of its effort to improve itself as an institution.

B. Role of the Board of Directors

The Board of Directors of ASINDES has a more important and difficult role to perform than would be the case of a Board of an organization which was mature, highly focused in its purposes or working under the tutelage of a mother organization from abroad or the guidance of a dominant personality. In contrast, this Board has to reconcile the political conflicts of its membership while also encouraging the development and supervising the operation of an organization. Furthermore, each member of the Board is the chief operating officer of his NGO in Guatemala, and thus busy with his own organization's problems and subject to the pressures of his own organization's expectations of ASINDES.

The performance by the Boards of ASINDES has been mixed. They have preserved the existence of the organization in the face of serious disputes among the membership and of a series of administrative crises, and they have guided the evolution of ASINDES toward the utilization of assistance from A.I.D. and the GOG despite the emotional adjustments that were necessary to do so. However, the Boards have vacillated a good deal in their approach to the supervision of ASINDES' operations-- from micro-managing to near complete reliance on the Executive Director. Furthermore, they have not provided as much definition of purpose and strategic guidance for ASINDES as is required.

If the purposes of the Grant are to be achieved there will need to be both more focused and better involvement of the Board to assure that decisions concerning the program are taken in a timely way and that the resources available through PACT are being utilized as well as possible. The Board also will have to take the lead in addressing the issues of the level of salaries to be paid to ASINDES' staff and to assure that the number and type of personnel needed by ASINDES are obtained and that there is a system for supplying the Board with timely information concerning the operation of the staff and the program so that it does not rely only on verbal reports to it from the Executive Director or have to insert itself into actual operations through pre-action approvals to maintain its control.

That the Board has no members from segments of society other than NGOs is an impediment to its performing its tasks well. However, it probably would be unrealistic to attempt to modify the statutes of ASINDES to change that situation. Instead, the Board might consider creating an Advisory Council or an informal roster of "friends" who have administrative and other relevant experience in organizations other than NGOs so that it could take advantage of their perspectives and, perhaps, enlist their time and advice in improving ASINDES' operations and proposals. (The Board might at first turn for such assistance to the those members of the Project Selection Committee who have expressed an interest in being of further assistance. Whether or not the Board seeks to supplement its own expertise in this manner, it should take advantage of any training and technical assistance which PACT may be able to offer to it. Indeed, it would be wise to include such training as an integral part of the future implementation plan for the Grant.

Given the importance of the Board to the accomplishment of the purposes of the Grant, it would seem to be advisable for both PACT and USAID/Guatemala to have more contact with it. This contact need not undermine the role of the Executive Director

nor, in the case of the Mission, need it imply discussions of operational details. As with other projects of A.I.D., periodic, joint reviews with the local implementing agency (in this case ASINDES) can serve both to underline the importance of the project and to assure that the implementation reporting serves a purpose. In the case of this project it also would enable the Mission both to demonstrate its continued reliance on PACT as an advisor and intermediary and to assure ASINDES of A.I.D.'s interest in it as an organization.

C. Relationship with the USG

The USG in general, and A.I.D. in particular, are not receiving the recognition that normally is given to them from the use of A.I.D. funds. The beneficiaries with whom the evaluators spoke had no idea of the source of the funds provided to them, and many of the personnel of the NGOs themselves did not know that A.I.D. was the source of the funds which came from PACT. There were no signs or any evidence of publicity acknowledging the role of A.I.D.

This situation may be desirable. As discussed previously, some members of ASINDES have been suspicious of the motives of A.I.D. or, even if not suspicious themselves, concerned that others including funding sources would be troubled by ASINDES and its members receiving so much assistance from the USG. The issue probably has become somewhat less acute as ASINDES and its members have become accustomed to the use of A.I.D. dollar and A.I.D./GOG counterpart resources. However, the issue is not dead. On the other hand, since those most likely to object to the involvement with the U.S.G. have left ASINDES and since much of the fear of USG programs probably arises from inaccurate perceptions held by persons who have not had connection with them, increasing the general awareness of A.I.D.'s role would not necessarily exacerbate the issue. This Grant program would appear to offer a good opportunity to demonstrate to skeptics that the USG is interested in development and willing to support private efforts not related to the commercial interest of its own citizens. The opportunity is not being tested, much less realized.

D. USAID Relations with NGOs Apart from ASINDES

USAID/Guatemala maintains direct funding relationships with NGOs apart from the program with ASINDES. These relationships are with both the traditional U.S. PVOs (e.g., CARE and CRS) and with Guatemalan NGOs (e.g., MGRR). Other NGOs would like to have direct funding relationships with the Mission as well. However, while the Mission would like to increase its

activities with NGOs in Guatemala, it also is seeking to reduce the demands on the time of its own staff in response to guidance from and cuts in its own budget imposed by A.I.D./Washington. Thus, the Mission would prefer to use an intermediary or intermediaries to the maximum extent possible to perform the analytical and supervisory work which otherwise would fall on its staff as a result of increased activities with NGOs. The Mission's interest in strengthening ASINDES' capacity in part is based on its seeing ASINDES as being an intermediary. However, it has not adopted a policy of referring all requests for funding from NGOs to ASINDES nor standards for deciding which requests it will accept for direct funding and which it will not.

This situation may be detrimental to ASINDES in a couple of ways. First, as long as the Mission will accept requests for assistance directly from NGOs there will be less reason for those NGOs to join ASINDES. This will be particularly true of the larger NGOs who may see little advantage to themselves in belonging to ASINDES in any event, and think that their very size and importance give them a better chance of forging or maintaining a direct relationship with the Mission. Second, by continuing to permit the larger NGO programs to obtain assistance directly from it, the Mission may encourage the retention of the current maximum amount of funding for a project under the Grant when the capacity of ASINDES to utilize the GOG counterpart funds will be strained unless the maximum is raised substantially.

The argument against forcing all funding by the Mission for NGOs to be processed and managed through ASINDES are several. First, important NGOs would resist it. Second, strictly applied, the policy could limit the flexibility of the Mission to support activities which might be inappropriate for ASINDES. Third, in the near term, ASINDES probably would not be able to handle the analytical and supervisory requirements of large NGO activities. Lastly, it probably is more costly for the Mission to finance a further expansion and improvement in the institutional capability of ASINDES than to contract itself for the services of persons able to process and supervise the NGO activities. However, in assessing the validity of this last argument it should be pointed out that ASINDES could contract personnel in the short-run with A.I.D. funds to meet the demands, and probably could do so at less cost than could the Mission. Furthermore, over the longer run, a successful effort would result in an institution able to finance its own analytical and supervisory efforts.

The concerns which need to be considered by the Mission in deciding what policy to follow on this question are broader

than those involved in the project, and are beyond the scope of this evaluation. However, in reaching a decision the Mission must be careful to take into account the level of capability which ASINDES may have reached.

VI SUMMARY OF MAJOR RECOMMENDATIONS

The following are the major recommendations of the evaluators. A time-phrased list of actions to carry out these recommendations during the remainder of 1988 is given in Attachment 15.

A. For ASINDES

1. The Board of Directors should formulate a statement of mid-term (five-year period) goals for ASINDES which indicates the relative priorities to be attached to the various purposes of the organization. That statement might be submitted to the General Assembly for approval.
2. Once the statement of prioritized goals has been established, the Board should prepare a plan for reaching those goals which includes the major steps to be taken and which takes into account the revenues expected, and staffing and support requirements for carrying out the plan. The Board should consider using both the staff of ASINDES and contracted persons (such as members of the Project Selection Committee) to assist in this effort. PACT's experience with consortia and its contacts with external experts should be utilized.
3. The Board should take immediate steps to recruit a qualified person to fill the positions of Executive Director and of the Coordinator for Technical Assistance. It also promptly should consider establishing a position to assist the Executive Director in meeting his responsibilities which are now too broad and demanding to be met effectively by one person. Since particular attention needs to be paid to improving ASINDES' planning, programming, monitoring and evaluation capabilities, such a new position might be focused on those functions.
4. The Executive Director should give priority attention to determining the staff needs for meeting an expanded grants and technical assistance program. The determination should take into account the possibility of using contract services for specialized skills necessary and for meeting peak workloads in the review of proposals.

5. ASINDES should commission an outside study of the requirements of all its positions, of the salaries which are necessary to compensate persons having the requisite qualifications, and of the qualifications of the current occupants of those positions. The Executive Director and the Board should take prompt action to carry out the recommendations of the study. PACT could be used as an advisor.

6. The Executive Director should give priority attention to steps to improve the morale of the staff. He should consider fostering a team approach to reviews and the discussions of problems, the preparation and issuance of statements of responsibility and authority for each position and the adoption of reliable guidance on reimbursement for travel and other business expenses incurred by employees.

7. The Board should adopt a plan for the supervision of the work of the staff of ASINDES which does not involve its own members in operations or require their pre-approval of ordinary administrative actions. It should request PACT to assist it in devising the reporting formats and data collection techniques to carry out such a system.

8. The Executive Director, utilizing assistance from PACT, should prepare further guidance for the Project Analysts for their work in analyzing the project proposals. That guidance should include standards for determining whether a proposal is to be considered as one for a "productive" project, for concluding that a proposal is economically desirable, and that the activity is likely to be self-sustaining. The guidance should clarify the extent to which the Project Analysts are to give preference to "productive" projects and the meaning of the requirement that projects should strengthen the operations of the sponsoring NGOs.

9. The Executive Director should emphasize to the staff, and demonstrate through his own actions, the importance of following standard procedures.

10. The Executive Director should give priority to improving the accounting and financial analysis capability of the staff. He should assure that budget proposals are presented to the Board in a timely way, and that both he and the Board receive periodic and current statements of the status of ASINDES' financial affairs. He should consider recruiting a qualified financial analyst to work on the review of proposals under the grants program and on the needs and trends of ASINDES' own financial situation.

11. An external audit should be conducted of ASINDES' operations from the beginning of the Grant and at least

annually thereafter. ASINDES should contract for the services of an external auditor to review the utilization of funds under the grants program.

12. The Executive Director should supply the members of the Project Selection Committee with copies of the periodic reports on the implementation of projects which it approved and seek to include the members in field visits to those activities.

13. The Board should consider ways in which ASINDES might use further the expertise and good will of the members of the Project Selection Committee. Possibilities include serving on special commissions to analyze problems, participation in planning for fund raising and conducting evaluations.

14. ASINDES should not undertake a major fund raising effort with new potential donors before it completes the analytical steps mentioned in 1. and 2. above or before it prepares a strategy for such fund raising both within and outside Guatemala. However, preparation for the effort should begin as soon as possible. Responsibility for fund raising should be vested in a senior staff member of ASINDES. PACT's experience should be utilized in preparing the strategy.

15. ASINDES should conduct an internal review of the accomplishments of the mini-grants program. If ASINDES decides to retain the mini-grants program it should issue standards to govern its use which will be known both to the staff and to interested NGOs.

16. ASINDES should give greater importance to the use of revolving funds in the grants program in order to reinforce the financial discipline of those projects. It should move toward having beneficiary groups receive assistance on a loan rather than a grant basis in most "productive" projects, and should seriously consider requiring the NGOs themselves to repay to ASINDES at least a portion of the funds channeled through them for productive projects.

17. ASINDES should consider the creation of a training fund to support NGO activities which are not "productive" within the standards developed to guide the grants program so that it can supplement that latter program as it evolves into one largely provided on a loan rather than a grant basis.

18. In order to be able to use available GOG funds more rapidly in the grants program, ASINDES should raise the maximum amount which it may contribute to any one NGO-sponsored activity.

B. For PACT

1. The Resident Representative should place increased attention on keeping the members of the Board of Directors informed of his activities and his views of the status of the project. If the Board will agree, he should attend at least a portion of each regular meeting of the Board to give it a report.

2. PACT should provide the new Executive Director with the benefit of its experience in other programs as soon as possible after his appointment and provide him with as much support as feasible during the difficult transition period. If necessary, other expenses of PACT should be curtailed to make that possible.

3. The purpose of each visit by a PACT-related person to Guatemala should be explained to the Executive Director (and, if appropriate, to the Board) before it takes place, and a report of the outcome of the visit should be sent to the Executive Director after the completion of the visit.

4. PACT should sponsor a discussion with ASINDES' staff and Board of the pros and cons of various approaches to providing technical assistance and training for NGOs. The discussion should include persons from other countries who have had experience with similar programs. The purpose would be to re-think the approach of the current Grant and to prepare a plan for giving greater emphasis to this aspect of the program.

5. PACT should prepare a plan for the systematic training of ASINDES' staff once ASINDES has completed the actions suggested in A. 3., and 4. above. The plan should include both on-the-job instruction and short observations trips. (It is assumed that the persons will already have the basic qualifications required by the positions.)

C. For USAID/Guatemala

1. The Mission should increase the frequency of its contacts with the Board of ASINDES in order to avoid misunderstandings as to its point of view and to be better aware of the concerns of the members of the Board.

2. The Mission should consult with ASINDES (as well as with PACT) concerning the Mission's plans for providing additional resources to the project either directly or through joint programming with the GOG.

3. The Mission should give an extension of the time for the accomplishment of the purposes of the Grant; and provide additional resources to continue PACT's assistance for at least an additional year. If ASINDES shows determination to meet the problems and challenges discussed in this report, the Mission should provide additional dollar resources to assist ASINDES in carrying out the re-planned program. Such additional assistance might well be focused on the plans suggested in B. 4. and 5. above.

4. The Mission should clarify for ASINDES what are its expectations concerning the degree and nature of the focus to be sought under the Grant on "productive" projects and on the strengthening of the sponsoring NGOs.

5. The Mission should clarify for ASINDES what are its standards for deciding whether it will refer funding requests from NGOs to ASINDES or attend them itself.

6. The agreement between PACT and USAID/Guatemala should be modified to include a description of the end of project status to be sought and the major steps to be taken to carry out the program proposed for the remaining period of the Grant and any extension which may be agreed. The description should include actions to be taken in response to the recommendations of this evaluation. The Mission should consider having ASINDES cosign that agreement.

Attachment 1

PERSONS INTERVIEWED BY JOHN R. OLESON

USAID/Guatemala

Mr. Richard J. Burke, Program Officer
Mr. Thomas Kellerman, Deputy Program Officer
Mr. Roberto Perdomo, Assistant Program Officer

Ministry of Public Finance

Ms. Liliana de Garcia, Division of External Relations

Private Agencies Collaborating Together (PACT)-- New York

Mr. Thomas R. Byrne, Executive Director
Mr. James O'Brien, Development Fund Director
Mr. Daniel Santo Pietro, Regional Representative for
Latin America
Mr. Loren Finnel, Consultant

Private Agencies Collaborating Together (PACT)-- Guatemala

Mr. Arthur Sist, Resident Representative

Employees of the Asociation de Instituciones de Desarrollo y Servicio de Guatemala (ASINDES)

Sr. Hugo Figueroa, former Executive Director

Lic. Homero Mendez, former Director of Technical Assistance

Ing. Jose Luis Castillo, Project Analyst

Sra. Alma Irene Gonzales, Project Analyst

Members of the Board of Directors of ASINDES

Dr. Rolando Torres, President

Represents the Christian Children's Fund (CCF)

Lic. Alvaro Muniz, Vice President

Represents Fundacion para la Educacion y el Desarrollo Integral (FUNDACEDI)

Lic. Eric Daniel Chicol, Treasurer

Represents the Fundacion Carroll Behrhorst

Sr. Carlos Carrasco, Secretary

Represents Asesoria Centroamericana de Desarrollo (ACAD)

Mr. Juan Pedro Perdomo, Vocal Represents the Asociacion
Cristiana de Jovenes (ACJ)

Other Members of ASINDES

Lic. Gamaliel Zambrano, Asociacion de Beneficencia
Cristiana (ABC)

Sr. Juan Cordova, Movimiento Guatemalteco de
Reconstruccion Rural (MGRR)

Sra. Barbara Allerding Instituto de Asuntos
Culturales (ICA)

Sr. Javier Mayorga, Vision Mundial Internacional (VMI)

Sr. Adolfo Acosta, Fundacion de Reconstruccion y
Desarrollo Humano Integral (REDH INTEGRAL)

Lic. Oscar Reyes, Fundacion para el Desarrollo de
la Mujer (FPDM)

Dr. Edgardo Caceres, Centro de Estudios Mesoamericanos
sobre Tecnologia Apropida (CEMAT)

Lic. Hildebrando Cumes, Asociacion Hogar y Desarrollo
(HODE)

Mr. Carlos Winckler, Foster Parents Plan International
(PLAN)

Cpt. Harry Tolhurst, Salvation Army

Sr. Luis Meza, Avazando Ministerio Evangelico (AMG)

Members of ASINDES' Project Selection Committee

Lic. Francisca Asturias, employee of the Peace Corps

Lic. Cesar Guillen, Economist, employee of the Embassy
of Canada

Lic. Alfredo Hernandez, Director of FEDECOCAGUA

Lic. Richard Aitkenhead, Director General of the
magazine Cronica

Ing. Julio Obiols, former Mayor of Guatemala City

Non-Government Organizations Not Members of ASINDES

Sta. Mirta Olivares, AITEC/FUNTEC

Mr. Edward Brand, CARE

Attachment 2

PERSONS INTERVIEWED BY OSCAR F. TURCKHEIM

Personnel of ASINDES

Sr. Carlos Morales, Controller

Sra. Alma Irene Gonzalez, Project Analyst

Ing. Jose Luis Castillo, Project Analyst

Lic. Eric Daniel Chicol, Treasurer and Member of the
Board of Directors

Sr. Juan Pedro Perdomo, Vocal and Member of the Board
of Directors

Sr. Carlos Carrazco, Secretary and Member of the Board
of Directors

Representatives of Members of ASINDES

Sr. Rafael Castillo, Fundacion para el Desarrollo de la
Mujer

Sr. Gamdel Zambrano, Asociacion de Beneficencia
Cristiana

Manuel Samayoa, Instituto de Asuntos Culturales

Attachment 3

LIST OF DOCUMENTS CONSULTED BY

JOHN R. OLESON

- 1) Report of PACT Consultations on
Consortia January, 1985
- 2) Report by PACT to USAID/G July, 1985
- 3) Proposal for Operational Program Grant from
PACT March 1986
- 4) Specific Support Grant to PACT from USAID/G May 20, 1986
- 5) ASINDES-PACT Agreement May, 1986
- 6) Statutes of ASINDES January, 1987
- 7) PACT/ASINDES Documents Governing
Code of Ethics
Policies of Financing
Guide for Presenting Projects
Guide for Processing Projects
Description of Role of Project Selection Committee
Guide for Agreements Between ASINDES and Recipients
Guide for Monitoring, Reporting, Evaluating
Procedures for Verifying the Agreement of USAID/G

- 8) Quarterly Reports of PACT: Sept. '86, Jan '87, April '87 and April '87
- 9) USAID/G Semi-Annual Reports: Sept. '86, April '87, Sept. '87
- 10) ASINDES/PACT Workplan for July 1-Dec. 31, 1987 (draft)
- 11) ASINDES-GOG Agreement (draft)
- 12) ASINDES Bulletines
- 13) Summy of ASINDES' 1986 Revenes and Expenses and Financial Balance as of December 31, 1986
- 14) Files concerning grants to:
 - Instituto de Asuntos Culturales
 - FUNDACEDI
 - Albergue Juvenil
 - Asociacion Cristiana de Jovenes
 - Asociacion de Beneficiencia Cristiana
 - Christian Children's Fund
 - Nuevo Horizonte
 - Movimiento de Educacion Fe y Alegria

PROYECTO DE:

INFORME DE EVALUACION ADMINISTRATIVA Y FINANCIERA DE

ASINDES-ONG. AÑO 1987

PREPARADO POR: AUDITOR, Oscar Federico Türckheim Ochoa
Economistas y Auditores Públicos KIRON & KIRON.-

1. Que es ASINDES-ONG?

1. Asindes-ONG, es una ASOCIACION DE INSTITUCIONES DE PROMOCION Y SERVICIOS NO GOBIERNAMENTALES.

2. Su situación Legal.

Sus estatutos fueron aprobados en acuerdo gubernativo número 510-80 del 24 de noviembre de 1986 y en consecuencia nace a la vida institucional desde esa fecha.

3. Por mandato de sus estatutos, se integró con una Asamblea General, que la constituyen los miembros de cada una de las instituciones asociadas, una Junta Directiva formada con 5 miembros electos en asamblea general con duración de 2 años, cuyas funciones están enumeradas en los estatutos respectivos, un Director Ejecutivo quien tiene a su cargo la Dirección y Administración de ASINDES-ONG; desde su fundación ha reclutado 30 miembros que han recibido donaciones para sus proyectos.

2. Dirección y Administración:

1. Dirección. La Dirección ha estado deficiente desde su inicio y se debe a ello que, en 2 años de su existencia se han aprobado y puesto en vigencia un promedio de 30 proyectos en toda la República de Guatemala. En los 11 meses del presente año la deficiencia de dirección, se pronunció con mayor énfasis adentro y afuera de la institución, ya que adentro, se formó rivalidad personal entre los empleados de la administración por la carencia de disposiciones adecuadas en la fijación de funciones, y afuera se dejó de aprobar varios proyectos de las instituciones afiliadas e interesadas en su ingreso a ASINDES-ONG.

2. Administración. Merced a lo número 1, está el organigrama de ASINDES-ONG, que fue la forma de concepción inicial para el funcionamiento de la institución, lamentablemente, la falta de una dirección adecuada, constituyó el fracaso en todos los órdenes de administración, como se ve en la continuación:

2.3 Contabilidad:

- .4 Emisión de Cheques. La emisión de cheques, según se desprende de la documentación revisada de enero a agosto de 1987, en varias ocasiones se hizo con orden verbal y hasta muchos días después se supo la razón de su emisión, de esa cuenta se ha perdido la secuencia numérica en algunos voucher y en otros no aparece el comprobante que respalde el desembolso. La firma de los cheques es mancomunada entre el Director Ejecutivo y el Tesorero de la Junta Directiva, quien debe localizársele en Chimaltenango, cada vez que se requiere de un pago y cuando no se encuentra, debe buscársele en otra oportunidad, lo que significa un recorrido de 140 kilómetros en la primera vez y 140 kilómetros más, la segunda vez con las consiguientes pérdidas de tiempo, gasolina, viáticos y depreciación de vehículo en cada diligencia de ésta naturaleza, así como la dificultad para atender con prontitud y esmero el buen funcionamiento de la institución. Como consecuencia de lo anterior, los pagos mayores de Q. 25.00 se hacen con fondos de caja chica y por lo tanto, el agotamiento de los fondos se suceden dos o tres veces cada semana, contraviniendo las disposiciones del Manual de Contabilidad que está en vigencia.
- .5 Comprobantes de desembolso. Los comprobantes que respaldan los desembolsos de fondos, son completamente deficientes legal y fiscalmente. En muchos voucher de honorarios no hay comprobantes o recibos; en otros recibos por donaciones, no se identifica a plenitud quien recibe los fondos. (Ver recibo de donación adjunto por Q. 8,500.00 con fecha 7 de octubre de 1987).
- .6 Conciliaciones bancarias. Las conciliaciones bancarias no llenan los requisitos exigidos del manual de Contabilidad, en vista que no llevan el visto bueno y la firma del Director y del Tesorero respectivamente.
- .7 Caja chica. Los fondos de Caja Chica son agotados rápidamente por el hecho de hacer pagos mayores de Q. 25.00 y no consta en la documentación que tuvo a la vista, la práctica de algún cheque de sus fondos, tampoco se invalidan con el sello de cancelado los comprobantes al momento de hacer su reposición.

3. PROYECCIONES Y ALCANCES.

- .1 Canalización de recursos. ASINDES-ONG como entidad de desarrollo, está en posibilidad de proyectarse hacia diferentes instituciones, cubriendo diferentes áreas de trabajo,

tales como asistencia técnica, financiamiento, formación de proyectos y coordinación en actividades de capacitación, talleres, seminarios, etc, con lo cual estaría cumpliendo la función para la que fué creada.

- .2 Sus alcances. Sus alcances son impredecibles, con una dirección inteligente y ambiciosa de servicio a la comunidad, poniendo en juego en primer término, su calidad de donante en efectivo, en segundo término la capacidad intelectual y de enseñanza de sus dirigentes Administrativos y en tercer lugar la elaboración de proyectos de desarrollo que se puede poner al alcance de las Instituciones miembros e de otras interesadas.

4. SITUACION FINANCIERA DE ASINLES-ONG.

- .1 La situación financiera de ASINLES-ONG es incierta, por cuanto que, el pronóstico de ingresos para 1987, no funcionó y para 1988 se corre el riesgo de que fracase en un porcentaje muy importante. La razón para pensar de esa manera, lo constituye el hecho de que, se tiene suscrito un convenio con el Ministerio de Finanzas Públicas por la cantidad de DOS MILLONES DE DÓLARES, de los cuales le corresponde a ASINLES-ONG el 6% que equivale a q. 120.000.00 que tiene estimados en su presupuesto para 1988, y esta cantidad puede perderse ante la situación de no tener programas de desarrollo que ofrecer; con lo cual sus ingresos quedarían con posibilidades de percibir únicamente q. 54,000.00 como porcentaje del 5% de proyectos aprobados; y q. 3,000.00 con carácter de Cuotas de Asociadas, como estimaciones ciertas. Con los elementos anteriores, tenemos para 1988 una situación financiera pobre y deficiente. ASINLES-ONG recibió de FACT UN MILLON OCHENTA Y CINCO DÓLARES, de los cuales ha adquirido obligaciones por \$ 981,460.00, quedándole una disponibilidad para futuros proyectos por \$ 98,540.00

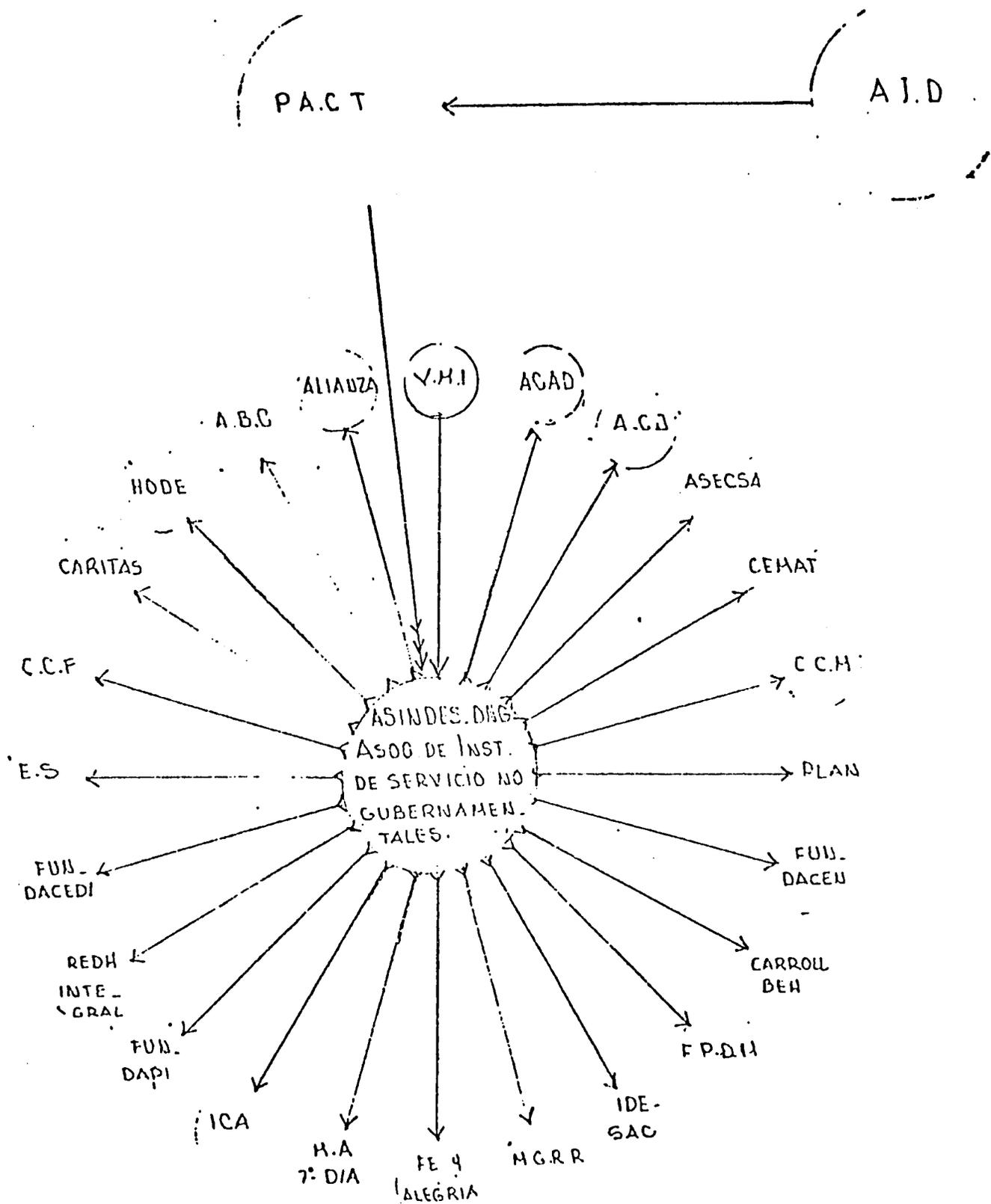
En la actualidad la cantidad comprometida es de \$ 981,460, ya que se han entregado valores por \$ 529,005.00 quedando por entregar en futuras fechas \$ 452,095.00

- .2 Presupuesto para 1988. Corresponde a la Junta Directiva preparar el proyecto de presupuesto de cada año y someterlo a consideración de la Asamblea General Ordinaria. Anulizando las actas de la Junta Directiva desde el mes de Enero hasta el mes de Octubre de 1987, no aparece ninguna disposición que de cumplimiento a este mandato legal (ver segunda parte del Art. 36 de los Estatutos).

.3 Presencia de PACT dentro de ASINDES-ONG. Ha sido de gran importancia, la presencia del representante de PACT en la vida institucional de ASINDES. La atención administrativa y de Dirección que ha ejecutado a favor de ASINDES-ONG, es lo que aún mantiene con vida a la Institución. Con buena suerte para ASINDES-ONG ha continuado su lucha en favor de la subsistencia y manteniendo su presencia en casi todos los ordenes que ameritan su apoyo, a tal grado que ninguna institución miembro, se ha percatado de los problemas existentes.

5. VISITAS A USUARIOS DE DONACIONES, Y ENTREVISTAS CON EL PERSONAL DIRECTIVO Y ADMINISTRATIVO.

- .1 Carlos Morales, Contador de ASINDES-ONG
- .2 Alma Irene González, Analista de Proyectos
- .3 José Luis Castillo, Analista de Proyectos
- .4 Tesorero de la Junta Directiva, en Chimaltenango
- .5 Secretario de la Junta Directiva en la Ciudad Capital
- .6 Sr. Pedro Perdame, ASOCIACION CRISTIANA DE JOVENES
- .7 INSTITUTO DE ASUNTOS CULTURALES
- .8 Sr. Rafael Castillo, FUNDACION PARA EL DESARROLLO DE LA MUJER
- .9 Sr. Lambrano, ASOCIACION DE BENEFICENCIA CRISTIANA
- .10 Los propósitos de las entrevistas, fué para conseguir información que condujera al conocimiento de sus progresos, así como de algunos elementos de juicio para expresar las consideraciones expuestas en el presente análisis.

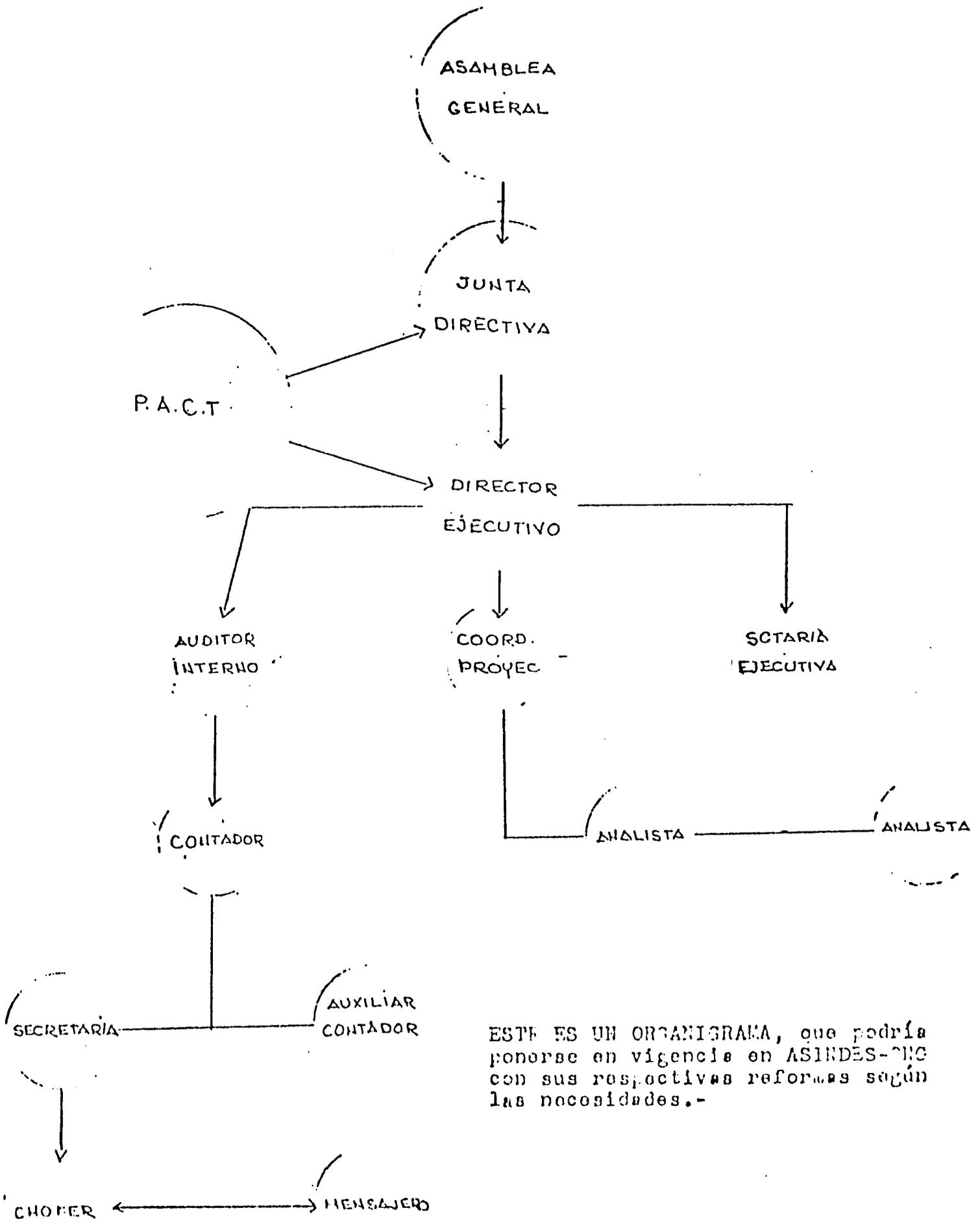


1) Que es ASIKDES-CNG ? Asociacion de desarrollo y servicio no gubernamentales.

2) Quinos la integran ? Sus miembros asociados.

C.S.P

ORGANIGRAMA DE ASINDES-ONG



ESTE ES UN ORGANIGRAMA, que podría ponerse en vigencia en ASINDES-ONG con sus respectivas reformas según las necesidades.-

61-

ASINDES - ONG

MEDIDAS DE ENCAUSAMIENTO Y DISPOSICIONES DE RECUPERACION

1) REFORMAR ESTATUTOS ES UNA NECESIDAD.

.1 Desde la formación legal de ASINDES-ONG se confundió su organización y su cometido. En primer lugar se formó una Junta Directiva, para que? Para dirigir y controlar a ASINDES-ONG o para controlar y dirigir a las Instituciones miembros? estas dos -- preguntas no les he encontrado respuesta, pero sí puede decirse que, una Junta Directiva en la forma que está funcionando dentro de ASINDES-ONG, no es necesaria ni funcional. Este criterio está fundamentado en la lectura de las actas suscritas de las sesiones ordinarias y extraordinarias desde el mes de Enero hasta el mes de Agosto de 1,987, en las cuales no encontré ninguna disposición que beneficie a ASINDES-ONG o algún interés en el buen funcionamiento de la Institución.

2. ¿QUE IMPACTO OCASIONA ASINDES-ONG EN LAS INSTITUCIONES MIEMBROS?

.1 Las instituciones miembros, están funcionando con sus propias leyes constitutivas, en consecuencia, tienen sus organizaciones -- propias y sus proyectos de desarrollo y ven en ASINDES-ONG a -- una organización madre de la cual pueden recibir donaciones -- que les permita financiar sus programas y ponerlos en práctica. Cada una de estas Instituciones también reciben asistencia de organizaciones nacionales y extranjeras, de las cuales ASINDES-ONG jamás tiene conocimiento. Su permanencia como miembro de -- ASINDES-ONG, les sirve únicamente para estar en espera de una oportunidad de pertenecer a la Junta Directiva para precupear -- una canalización de ayuda para sus Instituciones, (es decir, los miembros de la junta directiva, jamás dejarán de ser parciales en sus disposiciones, porque entonces dejarían de ser fieles a sus organizaciones). ASINDES-ONG debe tener su organización propia.

3. DIRECCION EJECUTIVA.

- .1 La Dirección ejecutiva, debe estar a cargo de una persona (hombre) con don de mando, diligente, con sensibilidad social y amplio criterio para entender y darse a comprender en el uso normal de las relaciones públicas y de trabajo.
- .2 Contabilidad. La Contabilidad tiene sus deficiencias, pero no son de fondo, sino de forma, lo que significa que es de fácil reencausamiento, con medidas de control y de corrección. El Contador, hace lo que puede y no lo que debe, puesto que, si la Dirección Ejecutiva, tiene malas disposiciones, éstas repercuten inmediatamente en la deficiencia de la operativa contable.
- .3 Análisis de proyectos. Está a cargo de personas idóneas, capaces, profesionales y que tienen muy buen deseo de colaborar en el desarrollo de la Institución. Han cumplido con el análisis de los

proyectos, según se les ha requerido, pero el volumen de trabajo ha sido mínimo, que bien pudo haberse elaborado por una sola persona. Los proyectos aprobados y que se tienen en desarrollo, no han sido vigilados adecuadamente por falta de medios económicos (viáticos, vehículos, etc.). Los conocimientos y actividad de los analistas, no han sido usados adecuadamente, ya que su rendimiento es reducido, ellos pueden dar más y mejor calidad de trabajo.

4. MANUALES E INSTRUCTIVOS QUE SE MANEJAN.

- .1 Abundancia de manuales e instructivos. Se estima que estamos sobrecargados de literatura, pero si no vigilamos su cumplimiento, no llenamos nuestro cometido y lo único que conseguimos es, abrumarnos de papeles, así lo demostramos con el lista de siguiente:
 - .1 Formato para presentar proyectos de propuesta,
 - .2 Memorandum para asistentes de Gerencia de donaciones de Guatem.
 - .3 Guía externa para procesar una propuesta,
 - .4 Guía para convenios entre ASINDES-ONG y los receptores de fondos,
 - .5 Guía para seguimiento, evaluación y presentación de informes periódicos,
 - .6 Sugerencias para el programa de Asistencia Técnica,
 - .7 Política financiera de donaciones en dólares,
 - .8 Descripción y rol del Comité de Selección de Proyectos,
 - .9 Política de funcionamiento de ASINDES-ONG
 - 10 Código de Ética que debe observar el personal de ASINDES-ONG
 - 11 Manual de Contabilidad y procedimientos Administrativos, etc.

5. 1 AUDITORIA.

- . 1 Es importante que ASINDES-ONG practique auditorías a las Instituciones miembros y no aceptar que cada una de ellas, elija sus propios auditores. Esta disposición podría generar y significar ingresos para la Institución.

RECUPERACION Y REENCAUSAMIENTO DE LAS FUNCIONES DE ASINDES-ONG

1. ADMINISTRACION

2. FINANZAS

1. ADMINISTRACION

- 1 Dirección Ejecutiva
- 2 Nombrar Director Ejecutivo, debe ser la preocupación mas ingente para la recuperacion y reencausamiento de ASINDES-ONG
- 3 Como consecuencia del nombramiento del Director Ejecutivo, se resolverá la asignación de funciones del personal de Administración y se reencausará para el buen funcionamiento y desarrollo de la Institución.
- 4 Reformar los Estatutos de ASINDES-ONG es una necesidad. Esta iniciativa, la debe proponer el Señor Director a la Junta Directiva en primera oportunidad, en virtud de que, desde su -- inicio hasta el mes de Octubre de 1987, la Junta Directiva no tiene ninguna ejecutoria digna de tomarse en cuenta y que sea de interés en el desarrollo de ASINDES-ONG.

2. FINANZAS

- 1 Aprobar presupuesto de ingresos y gastos para 1988 (ver anexos).
- 2 Practicar AUDITORIA a las operaciones de ingresos y gastos de ASINDES-ONG por el año que finalizó el 31 de Diciembre de 1987.
- 3 Practicar AUDITORIA a las Instituciones miembros que han recibido donaciones de ASINDES-ONG. (Ver anexo de donaciones)
- 4 Practicar visitas para evaluar el progreso que han tenido los proyectos aprobados por ASINDES-ONG.
- 5 Disponer que el porcentaje que se cobra por la Administración de las donaciones, sea elevado al 10% para poder cubrir los - gastos en que incurre la Administración de ASINDES-ONG.
- 6 Disponer que las cuotas de ingreso y mensual que pagan las Instituciones miembros, sean eliminadas, por cuanto que, solo son simbólicas y ocasionan inconvenientes en las relaciones sociales al momento del cobro y que, en su mayoría se mantienen atrasadas en el pago.
- 7 ASINDES-ONG debe producir proyectos de desarrollo para ponerlos a la disposición de Instituciones miembros y particulares, para que éstas se interesen en ellos y los pongan en vigencia y así, se obtenga mayores ingresos.-

ASOCIACION DE ENTIDADES DE DESARROLLO Y DE
SERVICIO NO GUBERNAMENTALES DE GUATEMALA

<u>NOMBRE INSTITUCION Y REPRESENTANTE</u>	<u>DIRECCION Y TELEFONO</u>
1. <u>Alberque Juvenil "José Gilberto Flores Vides"</u> Ing. Jorge Gándara Presidente Junta Directiva Ing. Alberto R. García. Director Ejecutivo.	5a. Calle 14-11 Zona 1 Quetzaltenango, Guatemala Teléfono: 061-6638
2. <u>Alianza para el Desarrollo Juvenil -Comunitario - ALIANZA</u> Ing. Agrónomo Arturo Echeverría Director Ejecutivo.	1a. Ave. 9-33, Zona 9 Tel: 62212
3. <u>Asesoría Centroamericana de Desarrollo ACAD</u> Dr. Carlos Carrasco Director Ejecutivo	Edif. Plaza del Sol Oficina 310 12 Calle 2-04 Zona 9 Tel: 318055
4. <u>Asociación Cristiana de Jóvenes A.C.J.</u> Sr. Juan Pedro Perdomo Secretario Ejecutivo	6a. Calle 4-17 Zona 1 Edif. Tikal Of. 209 Tel: 513329
5. <u>Asociación de Beneficencia Cristiana A.B.C.</u> Lic. Gamaliel Zambrano Director Ejecutivo.	18 Calle 21-01 Z.10 Tel: 371867
6. <u>Asociación Hogar y Desarrollo HODE</u> Lic. Hildebrando Cumes Director Ejecutivo	15 Calle "A" 2-20 Z.1 Teléfono: 22941 Apartado Postal 1715
7. <u>Asociación de Servicios Comunitarios de Salud A.S.E.C.S.A</u> Sr. Marco Tulio Gutierrez -Gtc.	Km. 56 1/2 Carretera Interamericana Chimaltenango, Apartado 27 Tel: 0391033
8. <u>Asociación Misionera Guatemalteca - AMG</u> Sr. Frank Waggoner Director	30Ave. "B" 11-68 Zona 7 Tikal I Teléfono: 42839

9. Caritas Arquidiocesana
Padre José Antonio Márquez
Representante
12 Calle final 1-96
Zona 3, Mixco Km. 141/2
Calz. Roosevelt.
Tel: 933787
10. Centro de Estudios Mesoamericano
Sobre Tecnología Apropiaada
C.E.M.A.T.
Dr. Edgardo Cáceres
Director Ejecutivo.
4a.Ave. 2-28 Zona 1
Tel: 22153 y 530476
11. Christian Children's Fund CCF
Dr. Luis Rolando Torres C.
Representante Regional
6a. Avenida 13-48 Zona 9
Apartado Postal 2542
Tel: 310775
12. Comité Central Menonita CCM
Lic. Enrique Yoder
Representante Legal
25 Avenida 0-88 Zona 7
Col. Altamira
Tel: 42360
13. Ejército de Salvación
Cap. Daniel Guerra B.
Comandante Mayor Regional
14 Calle 5-89 Zona 11
Vías del Mariscal
Apartado Postal 1881
Tel: 480877
14. Foster parent's Plan International
P L A N
Sr. Carlos Winkler
Director
11 Calle 1-23 Zona 9
Tel: 63663 - 317289
15. Fundación Para la Educación
y El Desarrollo Integral
FUNDA-CEDI
Lic. Alvaro Muñiz
Director General.
12 Calle 2-04 Zona 9,
Edificio Plaza del Sol,
3er. Nivel Local 317
Tel: 313247
16. Fundación del Centavo FUNDACEN
Ing. Agr. Hernán Quian Berducido
Gerente.
8a. Calle 5-09 Zona 9
Tel: 67697 67213 310754
17. Fundación de Reconstrucción y
Desarrollo Humano Integral
REDH INTEGRAL
Sr. Adolfo Acosta de León
Representante.
12 Calle 12-42 Zona 1
Tel: 22926

18. Fundación Guatemalteca para el Desarrollo Carroll Behrhorst
Lic. Erick D. Chicol - Director Ejecutivo.
2a. Calle 1-55, Zona 2
Chimaltenango, A.P. 15
Tel: 0391356
19. Fundación para el Desarrollo de la Mujer
Ave. La Reforma 3-48 Z.9
Local 107 Edif. Anel
Tel: 66471 al 6
20. Instituto de Asuntos Culturales I.C.A.
Sr. Manuel Samayoa A. Director
Inga Bessing - Vice Presidente.
13 Calle 15-68 Z. 1
Tel: 29792
21. Instituto para el Desarrollo Económico Social de América - Central. I.D.E.S.A.C.
Mario Roberto Silvestre A.
Secretario Ejecutivo
2da. Calle 39-73 Zona 7.
Colonia Coti6.
Tel: 914858 -914863
22. Misión Adventista del Séptimo Día
Pastor Emilio de León- Presidente
1ra. Calle 18-24 Z. 15
Vista Hermosa II
Tel: 690573 -691330
23. Movimiento de Educación Popular Integral Fe y Alegría
Padre Fernando Gutierrez Duque
Director Nacional
2a. Calle 7-74 Zona 1
Tel: 532634
24. Movimiento Guatemalteco de Reconstrucción Rural MGRR.
Sr. Juan E. Córdova G.
Director.
Torre Profesional I
Of. 203, Centro Comercial
Zona 4.
Tel: 516866 -535272
25. Sociedad para la Juventud Guatemalteca SOJUGMA
Lic. Guillermo Corado
Director General
8a. Calle 9-13 Zona 1
6to. Nivel
Teléfono: 85733
26. Vision Mundial Internacional V.M.I.
Ing. Javier Mayorga
Director a. i.
7a. Avenida 7-73 Zona 9
3er. Nivel.
Apartado Postal 326 - A
Tel: 320188 - 66515
320189 - 320191

Table I
ILLUSTRATIVE FINANCIAL PLAN
(FOR A TWO YEAR PROGRAM)

I t e m	Dollar Cost Financ- ing	Local Cost Financing (In Dollars) (\$1.0 = Q2.5)	Total
I. <u>Program Administration</u>			
A. Personnel			
1. New York Office	61,876		61,876
2. PACT In-Country Representative	<u>146,600</u>		<u>146,600</u>
Salary	110,000		
Shipment/Personal Effects	12,000		
Housing Allowance	21,600		
International Travel (x 2)	1,300		
Other Travel/Settling In	1,700		
3. Local Personnel Costs (Executive Director, Program Officer, Admin. Assistant, Clerical Assistance, Janitor/Guard)		74,140	74,140
4. Consultants (\$220 x 185 Days)	40,700		40,700
5. Advisory Committee/Housing (\$40 x 160 Days)		6,400	6,400
Subtotal	<u>249,176</u>	<u>80,540</u>	<u>329,716</u>
B. Travel (International)			
1. Airfare (\$650 x 25 trips)	16,250		16,250
2. Per Diem			
Guatemala: 220 days x \$80	17,600		17,600
New York: 30 days x \$100	3,000		3,000
3. Other Travel	5,000		5,000
Subtotal	<u>41,850</u>		<u>41,850</u>
C. Local Operating Costs			
1. Vehicle (Purchased Locally)		15,000	15,000
2. Vehicle Operation and Maintenance		12,800	12,800

3. Office Rental and Utilities		4,800	4,800
4. Office Equipment, Furniture		12,000	12,000
5. Office Supplies, Mail, Copies		7,680	7,680
6. Communications		14,200	14,200
7. Miscellaneous		578	578
Subtotal		<u>67,058</u>	<u>67,058</u>
D. PACT Overhead (Program and Program Admin)	45,873	93,503	139,376
Total Program Admin.	<u>336,899</u>	<u>241,101</u>	<u>578,000</u>
 II. <u>Programs:</u>			
A. Grants to PVOs (30 x 14,400)		432,000	432,000
B. Mini Grants to Projects (20 x \$1,000)		20,000	20,000
C. Workshops (10)		20,000	20,000
Program Total		<u>472,000</u>	<u>472,000</u>
Grant Total (AID Input)	336,899	<u>713,101</u>	<u>1,050,000</u>
 III. <u>Counterpart:</u>			
Counterpart Contributions from PVO's Receiving AID funds for Program Activities (in-kind and cash from other non-U.S. Government Sources)		<u>350,000</u>	<u>350,000</u>
Total Program	\$336,899	1,063,101	1,400,000

6370C

Attachment 7

<u>Institution</u>	<u>Project</u>	<u>Date Approved</u>	<u>Amount Approved</u>	<u>Period of Project</u>
ICA	Training Courses	2/23/87	62,448	2 years
IDESAS	Training Ag. Promoters	3/7/87	47,913	1 year
BEHRHORST	Community Work: Chichoy	3/5/87	2,737	6 months
FUNDACEDI	Production of Pashte	3/19/87	120,000	2 years
MGRR	Intergrated Rural Development	3/26/87	60,000	1 year
F.D.M.	Women in Small Enterprises	3/27/87	30,324	1 year
DEFAMCO	Small Producers of Salt	4/7/87	59,580	1 year
REDH	Artesan Textile Production	4/9/87	120,000	2 years
ALBERGUE JUVENIL	Support/Equip Workshops	4/9/87	60,000*	2 years
A.C.J	Operation Support	8/11/87	120,000	2 years
ABC	Operations Support and Planting Credit	8/14/87	60,000*	2 years
C.C.F.	Operation Support Micro Enterprises	10/13/87	120,000	2 years
NUEVOS HORIZONTES	Construction of Housing	10/14/87	13,158	6 months

<u>Institution</u>	<u>Project</u>	<u>Date Approved</u>	<u>Amount Approved</u>	<u>Period of Project</u>
FE Y ALEGRIA	Improve Training Center	10/21/87	60,000	1 year
			981,460	
		TOTAL	981,460	

*An additional Q60,000 is approved for obligation when funds are available.

REGISTRO DE INGRESO

LIST OF PROPOSALS REGISTERED IN ASINDES-ONG											
DATE	RECEPTION CODE	NAME OF PROJECT	INSTITUTION	AMOUNT REQUESTED	STATUS	PROFIL	PROJEC	PROCESSE	YES	NOT	OBSERVATIONS
09-23-95	1	Marketing Center for PVO Clients	Partners for Productivity	0.1.325.000,00 \$500.000,00	xx						Rejected
10-02-95	2	Cursos Intensivos de Capacitación Comunitaria	Institut of Cultural Affairs	0.59.343,00 \$22.354,00		xx	xx	xx			Amount approved 62,478 Q 23,578 \$
10-02-95	3	Filosofía de la Liga de Lech.	Liga de Leche	0.37.301,00 \$14.074,00	xx		xx				Rejected
10-13-95	4	Modernización del Centro Productor de bovinas Pecuarias Familias Cuniculas	DIGESEPE	0.21.768,00 \$8.214,00	xx		xx				Rejected
10-13-95	5	Artisanal Textil	Redh Integral	0.98.681,00 \$37.239,00		xx	xx	xx			Amount Approved Pact 120,000 Q 45,283 \$
10-27-95	6	Ampliando la Participación de la mujer en Empresas Productivas	Fundación para el Desarrollo de la Mujer	0.59.535,00 \$22.455,00		xx	xx	xx			In Out
10-28-95	7	Desarrollo Rural Integrado	Movimiento de Reconstrucción Rural			xx	xx	xx			Amount Approved 60,000 Q 22,642 \$
10-31-95	8	Construcción del Estadio Las Rosas	Asociación para el Desarrollo de Baja Verapaz	0.10.000,00 \$3.774,00	xx		xx				Rejected
10-31-95	9	Impulso Costero de la Cooperativa el Despertar	Fundación de Reconstrucción Humana y Desarrollo Integral (REDH INTEGRAL)	0.100.041,00 \$37.751,00	xx						Pending
10-31-95	10	Proyecto de Agua Potable	Fundación Guatemalteca para el Desarrollo Carroli Behrhorst	0.379.533,00 \$143.220,00	xx		xx				Pending
11-10-95	11	Fomento de Pequeña Empresa	Partners for Productivity	0.255.000,00 \$100.000,00	xx		xx				Rejected
11-13-95	12	Desarrollo Comunal	Hogar y Desarrollo	0.59.767,00 \$22.561,00	xx						Pending

REGISTRO DE INGRESO

12-15-86	13: Centro Experimental para la Formación y Capacitación de Promotores Agrícolas	Instituto para el Desarrollo Económico Social de A.C.	Q.44,817.00 16912		xx	xx	xx	Amount Approved 47,913 Q 18,080 \$
12-10-86	14: Micro Empresas Rurales	Asociación Los Mayas	Q.58,500.00 \$22,075.00	xx		xx		Rejected
12-13-86	15: Pequeña Empresa Artesanías Varias	Asociación Cristiana de Jóvenes	Q.125,456.00 \$47,719.00		xx	xx	xx	Rejected for CSP
12-13-86	16: Pequeña Empresa Vacas Lecheras	Asociación Cristiana de Jóvenes	Q.45,750.00 \$16,509.00		xx	xx	xx	Rejected for CSP
12-15-86	17: Proyecto Agropecuario	Misión Adventista del 7o. Día	Q.60,000.00 \$22,642.00		xx	xx	xx	Rejected for CSP
12-16-86	18: Taller Escuela Mecánica Automotriz	Córitas Arquidiocesana	Q.226,914.00 \$95,628.00	xx				Pending
12-16-86	19: Centro Desarrollo Comunitario Integral	Fe y Alegría	Q.520,000.00 \$195,225.00	xx				Pending
12-16-86	20: Instituto de Producción y Capacitación	Fe y Alegría	Q.263,000.00 \$99,245.00	xx				Pending
12-17-86	21: Programa de Capacitación	Comité Central Menonita	Q.15,000.00 \$5,660.00	xx				Pending
12-19-86	22: Programa de Consecución de Empleo	Comité Central Menonita	Q.12,000.00 \$4,528.00	xx				Pending
01-23-87	23: Pequeña Empresa Productoras de Sal	DEFANCO	Q.52,000.00 \$19,623.00	xx	xx	xx	xx	Amount Approved 59,850 Q 22,585 \$
02-18-87	24: Ampliando la Participación de la Mujer en Empresas Productivas	Fundación para el Desarrollo de la Mujer	Q.28,680.00 \$10,823.00		xx	xx	xx	Amount Approved 30,324 Q 11,443 \$
02-18-87	25: Producción de Pashte	FUNDACEDI	Q.120,000.00 \$45,283.00		xx	xx	xx	Amount Approved 120,000 Q 45,283 \$
02-19-87	26: Asesoría Técnica en Aspectos Agrícolas, Pecuarios y Nutricionales a la Comunidad de Chichoy	Fundación Carroil Behrhorst	Q.2,737.00 \$1,033.00	xx	xx	xx	xx	Amount Approved 2,737 Q 1,033 \$
02-27-87	27: Proyecto Agrícola Cerro de Oro	Asociación Cerro de Oro	Q.27,700.00 \$10,453.00	xx				Pending

REGISTRO DE INGRESO

02-27-87	28: Impulso Agrícola Ramet	Fundación para la Pequeña Empresa	0.60.000,00 \$22.642,00	xx					Pending
02-09-87	29: Granjas Comunitarias	Asociación Pequeños Agricultores	0.20.000,00 \$7.547,00	xx					Pending
01-25-87	30: Impulso Talleres Productivos	Alberque Juvenil José Gilberto Flores Vides	0.120.000,00 \$45.283,00	xx	xx	xx	xx		Amount Approved 120,000 Q 45,283 \$
02-16-87	31: Bombeo de Agua con Gasificador	CEMAT	0.23.252,00 \$8.774,00	xx					
03-10-87	32: Habilitación Capacidad Productiva, Módulos de Riego, San Miguel Conacaste	Cooperativa el Conacaste, R.L.	0.170.457,00 \$64.323,00		xx				Pending
03-10-87	33: Capacitación Promotores Rurales	Visión Mundial	0.139.524,00 \$52.651,00	xx					Pending
03-11-87	34: Ampliación de Acueducto	Comunidad el Terrero y Corral Chiquito	0.171.040,00 \$64.543,00	xx					
02-11-87	35: Formas Asociativas de Producción	FEDECOAG	0.50.000,00 \$18.868,00		xx				Pending
03-16-87	36: Incremento Actividad Pesquera	Cooperativa Tesoro del Mar	0.50.000,00 \$18.868,00	xx					Pending
02-03-87	37: Empresa Exportadora de Verduras Frescas y Congeladas	AC'UALA	0.900.000,00 \$301.867,00		xx	xx			Processed for 120,000 Q 45,283 \$
03-16-87	38: Fortalecimiento Institucional y Fondo Rotativo para la Siembra de Hortalizas Familiares	Asociación de Beneficiencia Cristiana	0.120.000,00 \$45.283,00	xx	xx	xx	xx		Amount Approved 120,000 Q 45,283 \$
03-16-87	39: Incrementar la actividad Pesquera en Guatemala	Cooperativa Las Lisas	0.50.000,00 \$18.868,00	xx					Pending
03-17-87	40: Graneros Comunitarios	Comunidad Santa María Ixtahuacán		xx					Pending
05-01-87	41: Fortalecimiento Institucional y Aprovechamiento de Áreas Marginales	Asociación Cristiana de Jóvenes	0.120.000,00 \$45.283,00	xx	xx	xx	xx		Amount Approved 120,000 Q 45,283 \$
07-15-87	42: Introducción de Agua Potable	Visión Mundial Internacional	0.45.000,00 \$16.931,00		xx	xx	xx		Amount Approved 45,000 Q 16,931 \$

Attachment 9

LIST OF TECHNICAL ASSISTANCE EVENTS

<u>Subject</u>	<u>Dates - (all 1987)</u>	<u>No. of Attendees</u>
Seminar: Fund Raising	6/11-12	17
Seminar: Project Supervision	6/25-26	29
Seminar: Project Formulation	8/4-11	22
	8/14	15
Seminar: Networking; <u>Foro</u>		
<u>Inovacion 1987</u>	10/5-9	63
	_____	_____
TOTAL:	18 days	146

Attachment 10

ASINDES' STAFFING (Nov. 1987)

Current Personnel

Executive Director (vacant)

Coordinator of Technical Assist. (vacant)

Project Analyst (1)

Project Analyst (2)

Project Analyst (3) (vacant)

**

Accountant

--

Bilingual Secretary

Secretary

Chofer/Messenger

--

--

Recommended Personnel

Executive Director
Assistant Executive
Director

Coordinator of
Technical Assist.

Project Analyst (1)

Project Analyst (2)

Project Analyst (3)

Financial Analyst/
Controller

Accountant

Assist. Accountant

Bilingual Secretary

Bilingual Secretary

Chofer

Messenger

Guard

*PACT Proposal called for creation of a Project Coordinator position. ASINDES has not created the position.

**PACT Proposal called for creation of a Fund Manager position to be filled by a trained economist. ASINDES has not created the position.



Federación de Instituciones de Desarrollo y Servicio de Guatemala - ONG

12 CALLE 204, ZONA 9, EDIFICIO PLAZA DEL SOL OFICINA 317

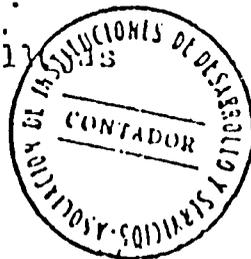
APARTADO POSTAL 804-A

TELÉFONO 312247

ESTADO DE INGRESOS Y GASTOS DEL 1 DE ENERO AL 31 DE DICIEMBRE 1986 (EN QUETZALES)

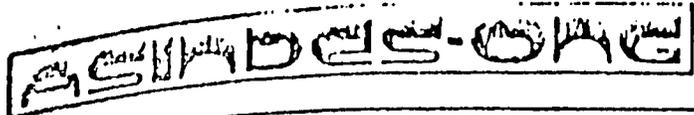
<u>INGRESOS</u>	ONG	PACT	IAF	TOTAL
CUOTA DE SOCIOS	8950.00			8950.00
DONACIONES DEL EXTERIOR		29556.18	68221.70	97777.88
INTERESES GANADOS			3175.38	3175.38
OTROS INGRESOS			142.00	142.00
TOTAL INGRESOS	8950.00	29556.18	71539.08	110045.26
<u>EGRESOS</u>				
SERVICIOS PERSONALES	2589.88	22336.92	31623.39	56550.19
ASESORIA TECNICA Y CONSULTORIA	300.00	150.00	19455.90	19905.90
SERVICIOS NO PERSONALES	544.18	7964.31	8266.25	16774.74
RELACIONES PUBLICAS	1276.41	1237.61	8754.79	11268.81
EQUIPO AUDIO VISUAL		11.00	805.02	816.02
ADIESTRAMIENTO	1911.55	712.01	2633.73	5257.29
TOTAL EGRESOS	6622.02	32411.85	71539.08	110572.95
INGRESOS +/- GASTOS	2327.98	(2855.67)	-----	(527.69)
SUMAS	8950.00	29556.18	71539.08	110045.26

Carlos Morales Cáliz
Contador



BALANCE GENERAL
AL 31 de DICIEMBRE DE 1986

	ONG	PACT	IAF	TOTAL
<u>ACTIVO</u>				
<u>CIRCULANTE</u>				
CAJA Y BANCOS	Q. 2902.89	279.14	643.07	3825.10
CAJA CHICA	200.00			200.00
CUOTAS POR COBRAR	2185.00			2185.00
CUENTAS POR COBRAR		1519438.82		1519438.82
DEPOSITOS EN GARANTIA		250.00		250.00
CUENTAS DE EMPLEADOS			200.00	200.00
<u>FIJO</u>				
VEHICULOS	159.88			
DEP. ACUM. VEHICULOS	(36.63)			123.25
MOBILIARIO Y EQUIPO DE OFICINA	2626.55		2870.73	
DEP. ACUM. MOBILIARIO Y EQUIPO DE OFICINA	(396.83)		(214.16)	4866.29
EQUIPO EDUCATIVO			4825.19	
DEP. ACUM. EQUIPO EDUCATIVO			(482.52)	4342.67
SUMA ACTIVOS	Q. 7640.86	1519987.96	7842.31	1535451.13
<u>PASIVO</u>				
<u>CIRCULANTE</u>				
CUENTAS POR PAGAR	Q. 22.76	729.56		752.32
CUOTA LABORAL POR PAGAR		141.54	25.36	166.90
SUELDOS POR PAGAR		103.97		103.97
PRESTACIONES LABORALES POR PAGAR		777.88	145.97	923.85
RESERVA PARA INDEMNIZACIONES		1131.86		1131.86
VAN	Q. 22.76	2884.81	171.33	3078.90



Federación de Instituciones de Desarrollo y Servicio de Guatemala - ONG

18 CALLE 2-04, ZONA 9, EDIFICIO PLAZA DEL SOL OFICINA 317

APARTADO POSTAL 604-A

TELEFONO 313247

	ONG	FACT	IAP	TOTAL
VIENEN	Q. 22.76	2884.81	171.33	3078.90
ACREEDORES VARIOS		500.00		500.00
<u>DIFERIDO</u>				
INGRESOS PENDIENTES DE APLICAR		1519438.82		1519438.82
PATRIMONIO	5290.12		7670.98	12961.10
SUMA PASIVO Y PATRIMONIO	5312.88	1522823.63	7842.31	1535978.82
INGRESOS-GASTOS	2327.98	(2855.67)	-----	(527.69)
SUMA PASIVO Y PATRIMONIO				
INGRESOS-GASTOS	Q. 7640.86	1519967.96	7842.31	1535451.13

Carlos Moral
Contador



PRESUPUESTO DE INGRESOS Y GASTOS DE ASINDES EN 1,987
PREPARADO POR OSCAR F. TURCKHEIM, AUDITOR DE MIRON &
MIRON, ECONOMISTAS Y AUDITORES PUBLICOS DE GUATEMALA

INGRESOS:

Donaciones de PACT	Q.	833,443.14
Cuotas de socios de ASINDES-ONG	"	6,018.20
Donaciones locales	"	54.20
Intereses ganados	"	50.67
Otros ingresos (5% s/proyectos)	"	53,222.75
Total ingresos	Q.	892,788.96

GASTOS:	Sueldos	Prestaciones	
Director ejecutivo	19,800	11,247.66	31,047.66
Analistas	26,800	3,391.00	30,191.00
Secretarias	10,600	900.00	11,500.00
Contador	3,559	300.00	3,859.00
Conserje	3,545	300.00	3,845.00
Total, sueldos y prestaciones	64,304	16,138.66	<u>80,442.66</u>

GASTOS DE OPERACIONES

Alquileres	10,080.54
Telefono, correos y telex	12,417.36
Eléctricidad	829.31
Suministros (fotocopias, y utiles oficina y papelería)	13,904.77
Viáticos	1,200.00
Combustibles y lubricantes	3,190.01
Total, gastos de operación	<u>41,621.99</u>

OTROS GASTOS

Varios (gastos menudos)	2,296.07
Mantenimiento de vehículo	390.44
Junta Directiva	1,416.61
Honorarios profesionales	10,624.43
Gastos de oficina	4,288.12
Asambleas de ASINDES	275.17
Suscripciones	811.00
Libros y revistas	90.00
Asistencia técnica	50,762.10
Relaciones Públicas	8,349.10
Comité Selección de proyectos (ditas y refrigerios)	3,256.69
Mantenimiento de equipo	10,000.00
Total, otros gastos	<u>92,549.73</u>

DONACIONES

Donaciones hasta diciembre 1987	585,221.00	
Mini-donaciones " " "	<u>23,775.00</u>	608,996.00

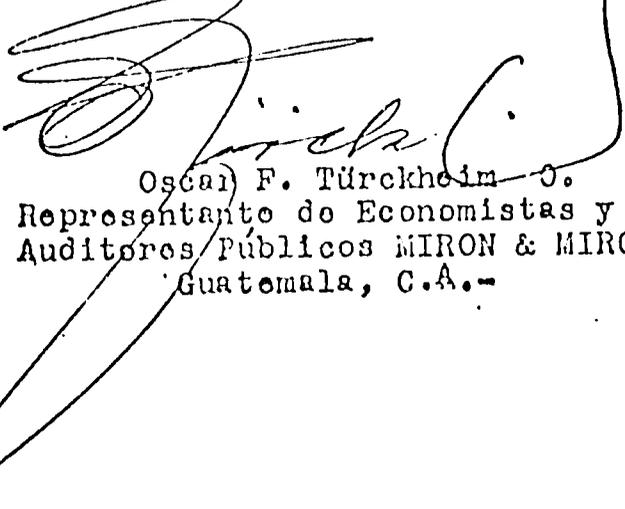
INVERSIONES

Mobiliario y equipo de oficina		16,373.61
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R E S U M E N

Total ingresos		892,788.96
Total gastos e inversiones		(839,983.99)
Sueldos y prestaciones	80,442.66	
Gastos de operaciones	41,621.99	
Otros gastos	92,549.73	
Donaciones hasta 31 diciembre 1987	585,221.00	
Mini-donaciones " " "	23,775.00	
Mobiliario y equipo de oficina	<u>16,373.61</u>	
Fondos disponibles para el año 1988		52,804.97

Guatemala, 30 de Enero de 1,988


Oscar F. Türkheim - O.
Representante de Economistas y
Auditores Públicos MIRON & MIRON
Guatemala, C.A.-

PRESUPUESTO DE SUELDOS Y PRESTACIONES LABORALES PARA 1988

Cálculo en Quetzales moneda de Guatemala y en Dólares a razón de Q2.5 x 1	Por mes en:		Por año en	
	Quetzales	Dólares	Quetzales	Dólares
Director Ejecutivo	3,000	1,200	36,000	14,400
Coordinador financiero	1,800	720	21,600	8,640
Coordinador Asist. Técnico	1,800	720	21,600	8,640
Jefe de Proyectos	1,800	720	21,600	8,640
Analista de Proyectos	1,600	640	19,200	7,680
Analista de Proyectos	1,600	640	19,200	7,680
Asistente Administrativo	1,000	400	12,000	4,800
Contador	800	320	9,600	3,840
Secretaria Bilingue	800	320	9,600	3,840
Secretaria Bilingue	800	320	9,600	3,840
Chofer	400	160	4,800	1,920
Conserje-Mensajero	350	140	4,200	1,680
Encargada de limpieza	300	120	3,600	1,440
Prestaciones y reserva laboral 31% sobre total de sueldos	4,975.5	1,990.20	59,706	23,882.4
Total	21,025.5	8,410.20	252,306	100,922.4

GASTOS DE OPERACION PARA 1988

Alquiler	1,500	600	18,000	7,200
Teléfono y correos	1,800	720	21,600	8,640
Copias	400	160	4,800	1,920
Suministros	1,000	400	12,000	4,800
Viáticos	1,000	400	12,000	4,800
Mantenimiento de vehículos	1,700	680	20,400	8,160
Mantenimiento y reparación				
Equipo de Oficina	200	80	2,400	960
Relaciones Públicas - Director	400	160	4,800	1,920
Equipo de programación			10,000	4,000
Biblioteca			3,000	1,200
Gastos de Representación, convivios y atenciones al personal			7,000	2,800
Comité Selección de Proyectos	800	320	9,600	3,840
Total	8,800	3,520	125,600	50,240

OTROS GASTOS PARA 1,988

Equipo de Oficina			15,000	6,000
Auditoría externa			6,000	2,400
Publicaciones			1,000	400
Capacitación de personal			75,000	30,000
Imprevistos			10,000	4,000
Total			107,000	42,800

RESUMEN DEL PRESUPUESTO

	Por año en Quetzales	Dólares
Sueldos y salarios con prestaciones	252,306	100,922
Gastos de operacion	125,600	50,240
Otros Gastos	107,000	42,800
Total general	484,906	193,962

JUSTIFICACION PARA SUELDOS Y PRESTACIONES:

Se ha preparado un presupuesto para 1988 con una variante de incremento del 110% en relación al año 1987 para lograr un rendimiento en el desarrollo de la actividad del personal de ASINDES-ONG, en virtud de que, se comprobó la existencia de apatía en el cumplimiento de las labores de cada uno de los empleados, habiéndose pronunciado en mayor grado en las funciones del señor Director.

La estimación del sueldo del Director Ejecutivo, está dentro de lo aceptable para una actividad reorganizativa de ASINDES, pero debe incrementarse cuando el desarrollo y productividad aumente.

No se ha establecido relación de salarios con otras Misiones Internacionales, como ustedes lo pueden comprobar, pero si, se ha relacionado con el medio salarial del país a la fecha que se está presentando el presupuesto.

JUSTIFICACION PARA GASTOS DE OPERACION:

Alquiler. ASINDES-ONG está actualmente ocupando una vivienda, en la que tiene dificultades para situarse. Ha efectuado ya, gastos de organización y de acomodamiento, pero hay inconvenientes para conseguir agua y reparar la red de abastecimiento. Su traslado lo hicieron sin tener un contrato de arrendamiento y esa situación los coloca en desventaja con la propietaria del inmueble para discutir los gastos de reparación, así como cualquier otro desembolso para mejorar la casa y por lo tanto, su traslado para otro local es inminente. Se tenía una estimación de Q.545 para 1988, pero las dificultades de conseguir locales apropiados y el incremento del valor del valor de los alquileres para 1988 se pronunció en alto grado y esa es la razón del incremento presupuestado.

Teléfono, correo y telex: Se estimó Q.765 mensuales mas que el año anterior, que equivale a un 74% de incremento en vista de las circunstancias siguientes: a) Una mayor actividad para 1988; b) La tarifa de correos fué incrementada en un 100% y c) En el servicio de telex, la energía eléctrica tuvo un incremento del 40%. Esperamos que ésta estimación cubra las necesidades de la oficina.

Copias y Suministros:

Las copias y la papelería en general, tendrán para 1988 una mayor utilización. En la planificación de trabajo se usará mas cantidad de copias, papelería y útiles y útiles de oficina, motivos que -- justifican el presupuesto del presente año.

Viáticos.

Se tiene previsto para 1988 que una persona viaje 15 días al mes para evaluar los proyectos de desarrollo en el interior de la República. Los gastos de alimentación y hospedaje se cotizan a un promedio de Q.66.67 por día en lugares NO DE LUJO, pero sí disfrutando de un poco de comodidad, con lo cual los Q.1,000 presupuestados están dentro de lo aceptable.

Mantenimiento de vehículos, reparaciones, aceites y lubricantes.

Para el desarrollo de las actividades de ASINDES-CNG se pensó en la necesidad de visitar los lugares de desarrollo de los proyectos aprobados por ASINDES hasta el 31 de Diciembre de 1987 y para llevar a cabo esas labores, se estimó la adquisición de 2 vehículos con la consecuente utilización de combustibles, aceites y lubricantes, así como reparaciones y mantenimiento de los mismos. Este presupuesto, incluye el vehículo que está al servicio de PACT y que también presta servicios a los analistas y Director de ASINDES-ONG.

Mantenimiento de reparación de equipo de oficina:

Las máquinas de escribir, fotocopidora, teléfonos, fax y el --- equipo que se alquila para llevar a cabo los programas de adiestramiento y enseñanza, son objeto de reparaciones. Igual tratamiento se le da al resto de equipo de la oficina, esta circunstancia nos permite pensar en el valor presupuestado para el año de 1988.-

Relaciones Públicas.

Bajo este rubro, está la cantidad de Q.400 que se le dan al Señor Director para su actividad en la Institución.

Equipo de Programación y computación:

El equipo de computación y los programas deben mejorarse para el año 1988. Las necesidades se estiman en Q.10,000.

Biblioteca:

Debe comprarse Diccionarios, libros, revistas y adquirirse documentación para el acopio de conocimientos en ASINDES-CNG. En la actualidad no se tiene ningún libro de consulta. Se pensó en una cantidad que permita iniciar una pequeña biblioteca con la cantidad de Q.3,000.

Gastos de Representación, convivios y atenciones al personal:

Hemos presupuestado los gastos que ocasionan las atenciones siguientes: a) Café al personal de oficina, b) Desayunos y refrigerios a la Junta Directiva; c) atenciones de café al personal que nos visita y d) Convivio anual al personal de Administración. Nuestras estimaciones de acuerdo a la experiencia de los años pasados son de Q7,000.-

Comité de Selección de Proyectos:

Para 1988 se pensó en reunir dos veces por mes a los 4 miembros del Comité de selección de proyectos y ellos cobran Q.100 cada uno por sesión, total estimado Q.800 cada mes.-

JUSTIFICACION PARA OTROS GASTOS:

Equipo de Oficina:

Hay necesidad de comprar una planta telefónica, varios Archiveros y algún equipo mas de oficina. Este desembolso es solo por el año 1988. Con este valor, la Institución podría estar en regulares condiciones para el desempeño de su actividad.-

Auditoría Externa:

Para la revisión de las cuentas de ASINDES-ONG, hay la estimación de Q.6,000. Esta cantidad se estimó funcional dentro del medio. Podría lograr una cotización barata, pero no se tiene confianza en su calidad del trabajo.

Publicaciones:

Es importante dar a conocer los cursos de enseñanza y motivación a las instituciones interesadas. Para el efecto, las publicaciones en los diarios, cumplen su cometido y es para ello que se presupuestó la cantidad de Q.1,000 para el año.-

Capacitación del personal:

En materia de capacitación de personal, se ha pensado mandar al extranjero a algunas personas para que adquieran preparación intelectual y es por ello que, ASINDES y PACT tienen el propósito y programado para que en el año 1988 se cumpla esta inquietud.

Imprevistos:

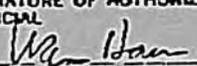
El renglón de OTROS GASTOS, contempla rubros muy importantes y por la misma importancia que tienen, es necesario estimar algún renglón de imprevistos. Esta razón dió como resultado aplicar un 10% del total programado, que asciende a Q.10,000.-

FINANCIAL STATUS REPORT

(Follow instructions on the back)

1. FEDERAL AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH REPORT IS SUBMITTED A.I.D.		2. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER 520-0348-G-00-6102-00		OMB Approved No. 00-R0180	PAGE OF 1 4
3. REPORT ORGANIZATION (Name and complete address, including ZIP code) PACT, Inc. 777 United Nations Plaza New York, NY 10017		4. EMPLOYER IDENTIFICATION NUMBER 132702769	5. RECIPIENT ACCOUNT NUMBER OR IDENTIFYING NUMBER	6. FINAL REPORT <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	7. BASIS <input type="checkbox"/> CAS. <input checked="" type="checkbox"/> ACCR.
8. PROJECT/GRANT PERIOD (See instructions)		9. PERIOD COVERED BY THIS REPORT			
FROM (Month, day, year) May 20, 1986		TO (Month, day, year) June 30, 1988		FROM (Month, day, year) December 1 1987	
		TO (Month, day, year) December 31, 1987			

PROGRAMS/FUNCTIONS/ACTIVITIES ▶	STATUS OF FUNDS						TOTAL (e)
	(a) SALARIES	(b) OVERHEAD	(c) CONSULTANT TRAVEL	(d) OTHER TRAVEL	(e) MISC.	(f) SETTLEMENT	
a. Net outlays previously reported	\$ 118,144.54	\$ 103,568.00	\$ 20,362.08	\$ 10,363.02	\$ 1,036.33	\$ 6,276.53	\$ 616,295.00
b. Total outlays this report period	7,894.90	3,168.00	1,457.58		401.64		24,286.00
c. Less: Program income credits							
d. Net outlays this report period (Line b minus line c)	7,894.90	3,168.00	1,457.58		401.64		24,286.00
e. Net outlays to date (Line a plus line d)	126,039.44	106,736.00	21,819.66	10,363.02	1,437.97	6,276.53	640,581.00
f. Less: Non-Federal share of outlays							
g. Total Federal share of outlays (Line e minus line f)	126,039.44	106,736.00	21,819.66	10,363.02	1,437.97	6,276.53	640,581.00
h. Total unliquidated obligations							170,368.00
i. Less: Non-Federal share of unliquidated obligations shown on line h							
j. Federal share of unliquidated obligations							170,368.00
k. Total Federal share of outlays and unliquidated obligations	126,039.44	106,736.00	21,819.66	10,363.02	1,437.97	6,276.53	810,950.00
l. Total cumulative amount of Federal funds expended							1,050,000.00
m. Unliquidated balance of Federal funds							239,049.00

10. TYPE OF RATE (Place "X" in appropriate box) <input type="checkbox"/> PROVISIONAL <input type="checkbox"/> PREDETERMINED <input type="checkbox"/> FINAL <input type="checkbox"/> FIXED		11. CERTIFICATION I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.		SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	DATE REPORT SUBMITTED 1/15/88
12. FEDERAL SHARE a. RATE b. BASIC c. TOTAL AMOUNT d. FEDERAL SHARE				TYPED OR PRINTED NAME AND TITLE Warren Downs/Controller	TELEPHONE (Area or number and extension) 212-697-6222

11-15-83 11:01 AM 1-15-88
 11-15-83 11:01 AM 1-15-88
 11-15-83 11:01 AM 1-15-88
 11-15-83 11:01 AM 1-15-88

FINANCIAL STATUS REPORT

(Follow instructions on the back)

3. RECIPIENT ORGANIZATION (Name and complete address including ZIP code)

PACT, Inc.
777 United Nations Plaza
New York, NY 10017

4. FEDERAL AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH REPORT IS SUBMITTED

A. I. D.

5. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER
520-0548-G-00-6182-00

6. OMB Approved No. 50-10180

PAGE 2 OF 4

7. EMPLOYER IDENTIFICATION NUMBER
132702768

8. RECIPIENT ACCOUNT NUMBER OR IDENTIFYING NUMBER

9. FINAL REPORT
 YES NO

10. BASIS
 CASH ACCR

11. PROJECT/GRANT PERIOD (See instructions)

FROM (Month, day, year)
May 20, 1986

TO (Month, day, year)
June 19, 1988

12. PERIOD COVERED BY THIS REPORT
FROM (Month, day, year)
December 1, 1987

TO (Month, day, year)
December 31, 1987

STATUS OF FUNDING

PROGRAMS/FUNCTIONS/ACTIVITIES	(a) CONSULTANTS	(b) RENT	(c) VEHICLE	(d) LOCAL PERSONNEL	(e) LOCAL COMMUNICATIONS	(f) LOCAL OFFICE EQUIPMENT	TOTAL (g)
a. Net outlays previously reported	\$ 34,221.55	\$ 6,532.61	\$ 13,300.00	\$ 44,012.14	\$ 7,700.64	\$ 8,911.90	\$ 616,295.4
b. Total outlays this report period	2,992.00	851.80		4,377.54	793.91	874.87	24,286.0
c. Less: Program income credits							
d. Net outlays this report period (Line b minus line c)	2,992.00	851.80		4,377.54	793.91	874.87	24,286.0
e. Net outlays to date (Line a plus line d)	37,213.55	7,384.41	13,300.00	48,389.68	8,494.55	9,786.77	640,581.5
f. Less: Non-Federal share of outlays							
g. Total Federal share of outlays (Line e minus line f)	37,213.55	7,384.41	13,300.00	48,389.68	8,494.55	9,786.77	640,581.5
h. Total unliquidated obligations							
i. Less: Non-Federal share of unliquidated obligations shown on line h							
j. Federal share of unliquidated obligations							170,368.8
k. Total Federal share of outlays and unliquidated obligations	37,213.55	7,384.41	13,300.00	48,189.68	8,494.55	9,786.77	810,950.3
l. Total cumulative amount of Federal funds authorized							1,050,000.0
m. Unobligated balance of Federal funds							239,049.6

11. TYPE OF RATE (Place "X" in appropriate box)

PROVISIONAL PREPARED/SHOWN FINAL FIXED

12. REMARKS: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.

13. CERTIFICATION: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

Warren Downs

TYPED OR PRINTED NAME AND TITLE

Warren Downs/Controller

DATE REPORT SUBMITTED

1/15/88

TELEPHONE (Area code, number and extension)

212-697-6222

621721H 3
621731H 3
2126959748
4103PM
5103PM
1-15-88
1-15-88
621721H 3
621731H 3

FINANCIAL STATUS REPORT

(Follow instructions on the back)

1. FEDERAL AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH REPORT IS SUBMITTED A. I. D.	2. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER 520-0348-G-00-6182-00	OSMB Approved No. 80-RU150	PAGE OF 3 OF 4 PA
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3. RECIPIENT ORGANIZATION (Name and complete address, including ZIP code) PACT, Inc. 777 United Nations Plaza New York, NY 10017	4. EMPLOYER IDENTIFICATION NUMBER 132702768	5. RECIPIENT ACCOUNT NUMBER OR IDENTIFYING NUMBER	6. FINAL REPORT <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	7. BASIS <input type="checkbox"/> CASH <input checked="" type="checkbox"/> ACCR
8. PROJECT/GRANT PERIOD (See instructions) FROM (Month, day, year) TO (Month, day, year)		9. PERIOD COVERED BY THIS REPORT FROM (Month, day, year) TO (Month, day, year)		

10. PROGRAMS/FUNCTIONS/ACTIVITIES ▶	STATUS OF FUNDS						TOTAL (g)
	(a) LOCAL OFFICE RENT	(b) LOCAL OFFICE SUPPLIES	(c) LOCN. VEHICLE OPER	(d) WORKSHOPS	(e) MINI GRANTS	(f) ADVISORY COMMITTEE	
a. Net outlays previously reported	\$ 4,396.54	\$ 7,421.07	\$ 5,835.43	\$ 8,772.86	\$ 10,415.10	\$ 1,133.81	\$ 616,295.
b. Total outlays this report period	619.06	484.74	94.17	275.81			24,286.
c. Less: Program income credits							
d. Net outlays this report period (Line b minus line c)	619.06	484.74	94.17	275.81			24,286.
e. Net outlays to date (Line a plus line d)	5,015.60	7,905.81	5,929.60	9,048.67	10,415.10	1,133.81	640,581.
f. Less: Non-Federal share of outlays							
g. Total Federal share of outlays (Line e minus line f)	5,015.60	7,905.81	5,929.60	9,048.67	10,415.10	1,133.81	640,581.
h. Total unliquidated obligations							170,368.
i. Less: Non-Federal share of unliquidated obligations shown on line h							
j. Federal share of unliquidated obligations							170,368.
k. Total Federal share of outlays and unliquidated obligations	5,015.60	7,905.81	5,929.60	9,048.67	10,415.10	1,133.81	810,950.
l. Total cumulative amount of Federal funds authorized							1,050,000.
m. Unobligated balance of Federal funds							239,049.

11. DIRECT EXPENSE	a. TYPE OF RATE (Place "X" in appropriate box) <input type="checkbox"/> PROVISIONAL <input type="checkbox"/> PREDETERMINED <input type="checkbox"/> FINAL <input type="checkbox"/> FIXED	b. RATE	c. BASE	d. TOTAL AMOUNT	e. FEDERAL SHARE	12. CERTIFICATION I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.	SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <i>Warren Downs</i> TYPED OR PRINTED NAME AND TITLE Warren Downs/Controller	DATE REPORT SUBMITTED 1/15/88 TELEPHONE (Area code number and extension) 212-697-6222
12. REMARKS: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.								

TELEPHONE 212-697-6222
 TELETYPE UNIT 212-697-6222
 TELEFAX 212-697-6222
 TELESCOPIER 212-697-6222
 TELETYPE UNIT 212-697-6222
 TELEFAX 212-697-6222

FINANCIAL STATUS REPORT

(Follow instructions on the back)

1. FEDERAL AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH REPORT IS SUBMITTED A.I.D.		2. FEDERAL AGENCY OR OTHER IDENTIFYING NUMBER 520-0348-G-6182-00		3. OMB APPROVED NO. 80-RO100	PAGE 4 OF 4
4. EMPLOYER IDENTIFICATION NUMBER 132702768			5. RECIPIENT ACCOUNT NUMBER OR IDENTIFYING NUMBER		6. FINAL REPORT <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
7. BASIS <input type="checkbox"/> CASH <input checked="" type="checkbox"/> ACCR			8. PERIOD COVERED BY THIS REPORT		
9. PROJECT/GRANT PERIOD (See instructions)		10. FROM (Month, day, year)		TO (Month, day, year)	
FROM (Month, day, year)		TO (Month, day, year)		FROM (Month, day, year)	
TO (Month, day, year)		TO (Month, day, year)		TO (Month, day, year)	
FROM (Month, day, year)		TO (Month, day, year)		TO (Month, day, year)	

PROGRAMS/FUNCTIONS/ACTIVITIES >	STATUS OF FUNDS						TOTAL (\$)
	(a) PROJECT GRANTS	(b)	(c)	(d)	(e)	(f)	
a. Net outlays previously reported	\$ 203,891.33	\$	\$	\$	\$	\$	
b. Total outlays this report period							\$ 616,295.4
c. Less: Program income credits							24,286.0
d. Net outlays this report period (Line b minus line c)							
e. Net outlays to date (Line a plus line d)	203,891.33						24,286.0
f. Less: Non-Federal share of outlays							640,581.5
g. Total Federal share of outlays (Line e minus line f)	203,891.33						
h. Total unliquidated obligations	170,368.89						640,581.5
i. Less: Non-Federal share of unliquidated obligations shown on line h							170,368.8
j. Federal share of unliquidated obligations	170,368.89						
k. Total Federal share of outlays and unliquidated obligations	374,260.22						170,368.6
l. Total cumulative amount of Federal funds authorized							810,950.3
m. Unobligated balance of Federal funds							1,050,000.0
							239,049.6

11. EXPENSE TYPE	a. TYPE OF RATE (Place "X" in appropriate box)			
	<input type="checkbox"/> PROVISIONAL	<input type="checkbox"/> PREDETERMINED	<input type="checkbox"/> FINAL	<input type="checkbox"/> FIXED
b. RATE	c. RATE	d. TOTAL AMOUNT	e. FEDERAL SHARE	

12. EXPLANATION: Attach any explanation deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.

13. CERTIFICATION
I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL
Warren Downs
TYPED OR PRINTED NAME AND TITLE
Warren Downs/Controller
DATE REPORT SUBMITTED
1/15/88
TELEPHONE (Area and number and extension)

21269297437
 21269297437
 4105PM
 1-15-88
 TELECOPIER T010
 5103PM
 1-15-88
 SENT BY FAX
 21269297437

Attachment 15

SUGGESTED STEPS TO CARRY OUT RECOMMENDATIONS

<u>Action</u>	<u>Primary Responsibility</u>	<u>Target Completion Date</u>
1) Identify and hire new Executive Director	Board of Directors	Jan. '88
2) Contract for external audit of use of Grant Funds	PACT and Executive Director	Feb. '88
3) Complete negotiation of funding agreement with GOG	Board of Directors	March '88
4) Identify and hire new Coordinator for Technical Assistance	Board of Directors	March '88
5) Identify and hire new Assistant Executive Director	Executive Director	April/ May '88
6) Conduct external study of position descriptions, salary levels and qualifications of current staff	Executive Director	April '88
7) Formulate mid-term institutional goals of ASINDES	Board of Directors	April '88
8) Identify and hire Financial Analyst/Controller	Executive Director	April '88
9) Identify and hire additional analytical staff	Executive Director	April '88
10) Prepare position descriptions, delegations of authority and standard operating procedures	Executive Director	May '88

<u>Action</u>	<u>Primary Responsibility</u>	<u>Target Completion Date</u>
11) Prepare System for informing Board in writing of progress and problems	Executive Director	May '88
12) Issue standards for reimbursement of employee expenses for program purpose	Executive Director	May '88
13) Formulate strategy for conduct of technical assistance program	Coordinator of Technical Assistance	May '88
14) Prepare additional guidance concerning meaning of "productive" activities and standards to be applied in determining cost/benefit ratios and sustainability of activities	PACT	May '88
15) Prepare Proposal for Use of Remaining Grant Funds and for Extension of Project	PACT and Board of Directors	May '88
16) Formulate plan for achieving mid-term institutional goals	Executive Director	June '88
17) Prepare revised 1988 budget for ASINDES	Financial Analyst	June '88
18) Modify agreement between PACT and USAID/G to include specific undertakings and steps to carry out recommendations	USAID/G	June '88
19) GOG/ASINDES/PACT Agreement on Extension of Project	USAID/G	June '88

<u>Action</u>	<u>Primary Responsibility</u>	<u>Target Completion Date</u>
20) Formulate plan for monitoring implementation of grants (including field visits) and agree on responsibilities of staff members for its conduct	Executive Director	July '88
21) Institute periodic meetings of ASINDES and A.I.D. to review status of project	USAID/G	June '88
21) Formulate strategy for raising funds in Guatemala and abroad	Board of Directors	July '88
22) Consider how to increase the utilization of loans instead of grants under the program in support of NGO activities	PACT and Executive Director	July '88
23) Review appropriateness of standards governing the conduct of the grants program	Board of Directors	July '88
24) Arrange for availability of subject matter experts to assist ASINDES and grantees	Executive Director	July '88
25) Identify persons available to assist on management/program problems	Board of Directors	July '88
26) Prepare plan for necessary training of staff of ASINDES	PACT	Aug. '88
27) Prepare plan for evaluating conduct of ASINDES' program including impact on NGOs of assistance (both financial and technical)	PACT	Aug. '88
28) Formulate plan for achieving public recognition of role of A.I.D.	USAID/G	Sept. '88