

A.I.D. EVALUATION SUMMARY PART I

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

132 694/14

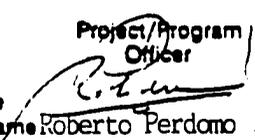
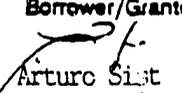
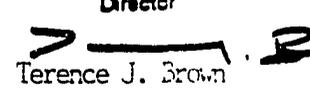
IDENTIFICATION DATA

A. REPORTING A.I.D. UNIT: <u>USAID/Guatemala</u> (Mission or AID/W Office) (ES# <u>70-071</u>)	B. WAS EVALUATION SCHEDULED IN CURRENT FY ANNUAL EVALUATION PLAN? yes <input type="checkbox"/> skipped <input type="checkbox"/> ad hoc <input checked="" type="checkbox"/> Eval. Plan Submission Date: FY <u> 0 </u>	C. EVALUATION TIMING Interim <input checked="" type="checkbox"/> final <input type="checkbox"/> ex post <input type="checkbox"/> other <input type="checkbox"/> P.D - A.B.C. - 172 X.D			
D. ACTIVITY OR ACTIVITIES EVALUATED (List the following information for project(s) or program(s) evaluated; If not applicable, list title 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 PVC Development Program	1986	12/91	2,443	2,443

ACTIONS

E. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR <p style="text-align: center;">Action(s) Required</p> <p>The PACD for this project was 06/90. This interim evaluation assesses the progress achieved and provides information to help decide whether or not an additional PACD extension is needed. A PACD extension was recommended.</p> <p>Key actions to be undertaken are:</p> <ol style="list-style-type: none"> 1) Develop a more complete fund raising strategy 2) Increase contact with other funding institutions 3) Complete negotiation of (Q5.0 m) agreement with the GOG 	Name of officer responsible for Action	Date Action to be Completed
	PACT and Executive Director	December 1990
	PACT and Executive Director	March 1991
	Executive Director and Board	May 1991
(Attach extra sheet if necessary)		

APPROVALS

F. DATE OF MISSION OR AID/W OFFICE REVIEW OF EVALUATION: mo <u> </u> day <u> </u> yr <u> </u>			
G. APPROVALS OF EVALUATION SUMMARY AND ACTION DECISIONS:			
Project/Program Officer Signature  Typed Name <u>Roberto Perdomo</u>	Representative of Borrower/Grantee Signature  Typed Name <u>Arturo Sist</u>	Evaluation Officer Signature  Typed Name <u>Tom Kellermann</u>	Mission or AID/W Office Director Signature  Typed Name <u>Terence J. Brown</u>
Date: <u>9/11/90</u>	Date: <u>11/9/90</u>	Date: <u>11/13/90</u>	Date: <u> </u>

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H. EVALUATION ABSTRACT (do not exceed the space provided)

This interim evaluation assessed the progress achieved under an amended Operational Grant (OPG) from June 1988 to June 1990.

The purpose of this 4-year grant of \$2.3 million to Private Agencies Collaborating Together (PACT) is to strengthen ASINDES as a Guatemalan PVO umbrella organization to support PVOs operating in Guatemala.

Under the amendment, PACT has continued to provide additional assistance to consolidate ASINDES' progress. The project's major components are technical, training and financial assistance for PACT to improve ASINDES management and technical capabilities; technical assistance and training for the Guatemalan NGOs from ASINDES, with the assistance of PACT; and grants to Guatemalan NGOs to carry out their activities.

The overall conclusion of this evaluation is that ASINDES is well on its way to accomplishing its major goals under the amended OPG, such as the development within ASINDES of a project administration system and fund management capacity to finance member projects; the development of a technical assistance and training program to strengthen the administrative and project implementation capacity of the Guatemalan PVO community; and the strengthening of the management and administrative capability within ASINDES. However, despite the progress made toward the achievement of major objectives under the amended OPG, ASINDES still requires the completion of several major tasks not only to accomplish these goals but also to ensure the consolidation of the organization and the expansion necessary to become a major actor and counterpart in the Guatemalan development community.

Some of the major tasks which need to be completed include additional activities related to financial self-sufficiency and computerization of its financial operations.

ABSTRACT

L 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
Dr. Alfredo Cuéllar			\$10,000.00	Project Funds
2. Mission/Office Professional Staff Person-Days (estimate)		<u>2</u>		
			3. Borrower/Grantee Professional Staff Person-Days (estimate)	<u>20</u>

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: September 6, 1990

Title and Date of Full Evaluation Report: Interim Evaluation of an Amended Operation Program (OPG) from USAID/Guatemala to PACT in support of ASINDES.

I. PURPOSE OF ACTIVITY EVALUATED

This summarizes the interim evaluation of the progress achieved under an amended Specific Support Grant which provides \$1.2 million additional funds (total of \$2.3 million) to Private Agencies Collaborating Together (PACT) to strengthen the "Asociación de Entidades de Desarrollo y de Servicio No-Gubernamentales de Guatemala" (ASINDES) to support non-government organization (NGOs) operating in Guatemala.

The project's major components are technical, training and financial assistance for PACT to improve ASINDES management and technical capabilities; technical assistance and training for the Guatemalan NGOs from ASINDES, with the assistance of PACT; and grants to Guatemalan NGOs to carry out their activities.

II. PURPOSE OF EVALUATION AND METHODOLOGY USED

The terms of the amendment called for an interim evaluation. The major purposes of the evaluation agreed upon by AID and PACT are: (i) to assess the progress of the program in terms of the amended goals and objectives; (ii) to assess the adequacy of the objectives and goals of the OPG with reference to the new and emerging needs of ASINDES and the Guatemalan PVO community; and (iii) to summarize these findings and to make other recommendations.

Major additional functions of the evaluation are: (i) to determine whether the recommendations of the previous AID evaluation have been effectively implemented; (ii) to assess whether an adjustment in goals and objectives is necessary; and (iii) whether an extension of the program is necessary and/or advisable. The scope of work included a series of questions to be answered as well as the methodology utilized in the evaluation: (i) review of documents; (ii) interviews; (iii) selection of representative projects for a rapid impact assessment; and (iv) attendance to least one training event.

PACT/NY with AID approval, contracted the services of Dr. Alfredo Cuéllar, (Management Science for Development Inc.) an evaluation specialist with over 15 years' experience in the planning, management and evaluation of overseas development programs, and a former AID official with responsibilities for PVO programs in the LAC Bureau. Dr. Cuéllar contracted the assistance of three local consultants to participate in the project evaluation.

SUMMARY

During the interim evaluation which was conducted between January 8 and January 20, 1990, the evaluator interviewed some 28 persons in Guatemala from the ASINDES staff, Board, Project Selection Committee Officials and ASINDES Membership; AID and PACT Officials; PVO representatives; Government of Guatemala, and sub-projects' personnel. He also visited various project sites of organizations that are being assisted by ASINDES.

III. FINDINGS AND CONCLUSIONS

The overall conclusion of this evaluation is that ASINDES is well on its way to accomplishing its major goals under the amended OPG, such as the development within ASINDES of a project administration system and fund management capacity to finance member projects; the development of a technical assistance and training program to strengthen the administrative and project implementation capacity of the Guatemalan PVO community; and the strengthening of the management and administrative capability within ASINDES. However, despite the progress made toward the achievement of major objectives under the amended OPG, ASINDES still requires the completion of several major tasks not only to accomplish these goals but also to ensure the consolidation of the organization and the expansion necessary to become a major actor and counterpart in the Guatemalan development community.

Major accomplishments to date include the following:

A) Internal Administration

A complete office administration manual was developed to complement the accounting manuals created under the original OPG. Authority was successfully delegated by the Board of Directors to the Executive Director to enhance the decision making process. The amount and diversity of duties, however have overextended the Executive Director, making it impossible for him to accomplish his multiple responsibilities. Immediate steps need to be taken to hire an Assistant to the Executive Director, (Interviews with the Director indicated that ASINDES has made a decision to hire an Assistant and that this decision would be announced shortly.)

ASINDES can also take credit for developing a capable and efficient staff with improved morale. However, staff skills need to be increased and systematized, especially in computerized financial and project tracking systems.

The organization has made considerable progress in developing a number of important planning documents, especially at the technical staff level. However, ASINDES needs to improve these planning instruments and overall planning processes, especially at the Board level; and the Executive Director has to address issues that he has neglected due to the current overextension of responsibilities.

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B) Project Administration

ASINDES has developed the necessary instruments and technical capabilities to administer a grants program to individual NGOs for medium-sized projects. This system includes technical capabilities in the identification, analysis, supervision, and evaluation of projects. As a result, ASINDES has been able to disburse more than \$1.0 million in grants to over 30 medium-sized projects and 30 small community infrastructure projects. ASINDES has also provided valuable assistance in strengthening the institutional and implementing capacities of NGO grantees.

Areas for further improvement include computerization. Furthermore, ASINDES' expertise and capabilities are limited to grants. It does not have the experience or the systems to administer credits to NGO grantees nor does it have the capability itself to receive credit financing from donors.

C) Technical Assistance and Training

ASINDES has been able to organize an impressive number of technical assistance and training events on such topics as strategic planning, small community enterprise development, and environmental assessment. ASINDES has also introduced the idea of sectoral planning in the areas of health, micro-enterprise development, agriculture and agroforestry. Participants interviewed for the evaluation appeared to be very positive in terms of the technical assistance and training provided through this activity.

However, understaffing in the Technical Assistance and Training Department has contributed to the failure to complete and institutionalize a sectoral program strategy. This is reflected in ASINDES' funding, which is still done on a project-specific basis rather than in the context of coordinated sector programs and strategies.

Although not included in the amended OPG, there are other objectives which are nevertheless essential to the stability, if not the survival, of ASINDES. The most important of these involves the issue of financial survivability. ASINDES' efforts have been less successful in this area than in others. Although it is attempting to diversify its funding by contacting a number of funding sources, ASINDES still remains overly dependent on AID and the Government of Guatemala. This dependence is especially worrisome in view of the problematic nature of the GOG's Social Investment Fund initiatives.

Another important issue affecting ASINDES' stability is the inherent conflict between its "solidarity" and auditing functions. ASINDES' began as a solidarity organization in the sense that it offered assistance, support, and a voice to NGOs in their hour of need. As it proceeds to establish more rigorous monitoring and supervisory standards (its so-called "auditing" functions), it may increasingly become engaged in conflicts with organizations which are unable to meet these more demanding standards and criteria. Up to the present, most NGOs have

(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 Evaluation and 6 annexes attached.

ATTACHMENTS

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

The evaluator complied with the terms of the Scope of Work.

Accordingly, he reviewed the Grant Agreement and its Amendment, including all other project documentation, the previous evaluation, quarterly reports, sub-project reports, and other resource documentation related to this activity. He also interviewed some 28 persons from ASINDES Staff, Board Members, Project Selection Committee, as well as ASINDES Membership, AID, Government of Guatemala, and PACT officials. Site visits were also performed to interview personnel of organizations receiving assistance from ASINDES, and/or persons involved in planning and implementation of past and current operations of the ASINDES program under the Grant.

MISSION COMMENTS ON FULL REPORT

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CONTINUATION SHEET

III. FINDINGS AND CONCLUSIONS (CONT.)

accepted ASINDES' standards and suggestions with reference to project funds channeled by ASINDES. However, in a few cases involving repayment of misused funds, antagonisms have surfaced. This may be a harbinger of potential conflict in future. It is an issue that ASINDES should address.

In order to consolidate ASINDES' institutional capability, ensure its stability and increase its effectiveness, it is suggested that the Mission continue its support to this program.

IV. PRINCIPAL RECOMMENDATIONS

A. ASINDES

A.1. For the Board of Directors

1. The Board of Directors should develop a work plan for its own functions and the general direction of ASINDES.

2. The Board of Directors should require and use a director's work plan developed in sufficient detail and including a format adequate for monitoring purposes (including indicators milestones, and time frames).

3. The Board of Directors should also require budget analyses from the Executive Director and the Financial Coordinator.

4. The Board should participate in more training events (both formal and informal). The range of activities could include involvement in new initiatives as well as courses and training visits.

5. The Board should require that ASINDES develop a complete fund raising plan with specific functions, responsibilities, and timetables for its implementation. The Board of Directors should also play an active role and participate in its development and execution.

A.2. For the Executive Director

1. The Executive Director should take immediate steps to hire an Assistant Executive Director with clearly specified functions and authority.

2. The Executive Director should proceed to the immediate staffing of the Technical Assistance Department of ASINDES.

3. He should develop an objective salary policy and apply staff evaluation procedures on a regular basis.

4. Immediate steps should be taken to systematize and increase staff training, especially in office automation systems, i.e., "computerization." Efforts should be made to take advantage of PACT's experience in developing automated systems elsewhere.

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5. The Financial Coordinator should develop an internal auditing capacity.

6. The Project Selection Committee should be reconstituted and become functional once again, with improved reporting on the supervision of the projects already funded.

B. For PACT

1. PACT/New York should invite ASINDES to participate in PACT meetings to effect joint planning of the Guatemala program.

2. The Resident Representative should renew his efforts to find an effective way to communicate with the Board of Directors through either written communications, attendance at Board meetings, or participation in Board training events.

3. The Resident Representative should establish formal agreements with the Board, Director, and staff as to priority objectives requiring his assistance.

4. As a result of the PACT-ASINDES joint planning exercise, strategic objectives should be jointly agreed upon, with PACT devoting the majority of its expertise and resources to the accomplishment of these objectives.

5. As one of its priority objectives, both PACT/New York and the Resident Representative should make every effort to ensure the full computerization of the ASINDES program before the completion of the amended OPG in June 1990. These efforts should take advantage of the expertise that PACT has acquired in developing projects elsewhere.

C. For AID

1. USAID/Guatemala should take the necessary steps to communicate to the Mission in general the progress that ASINDES has made with regard to its institutional capacity in order to effectively explore areas of mutual benefit.

2. The Mission should continue its support to ASINDES in order to consolidate its institutional capabilities, ensure its stability, and increase its effectiveness. This support should consider as priority objectives ASINDES' financial self-sufficiency, the resolution of internal structural contradictions, and an expanded technical assistance program.

3. As a condition to continued support, AID should require a previous agreement and commitment by the ASINDES Board, PACT, and AID as to the achievement of these goals and the major steps required therefore.

4. AID should establish mechanisms to ensure that beneficiaries are aware of the source of funds received through local NGOs.

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V. LESSONS LEARNED

1. All parties to a project must actively participate in situations where the project implementation and success are jeopardized by exogenous forces, i.e. difficult negotiations with host country governments.

2. To avoid overdependence on one funding source, financial self-sufficiency should be made an explicit objective of a project of this nature, requiring a detailed implementation plan to be reviewed periodically.

3. Careful attention to adequate technical and administrative support for NGO umbrella support organizations can be an effective means of focusing and monitoring grass roots development efforts which are consistent with overall national strategies.

XD-ABC-172-A

12N 69415

**Interim Evaluation of an Amended
Operational Program Grant (OPG)
from USAID/Guatemala
to PACT
in Support of ASINDES**

**Prepared for Private Agencies Collaborating
Together (PACT)
New York, New York**

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1. Scope of Work
2. List of Persons Interviewed ("Lista Personas Entrevistadas")
3. Work Plan ("Plan de Trabajo")
4. Training for the Board of Directors and the Executive Director
5. Guidelines for Interviews and Report Preparation
6. Membership Events ("Eventos para la Membresia")

I. SUMMARY

This interim evaluation sought to assess the progress achieved under an amended Operational Program Grant (OPG) made in June 1988 by USAID/Guatemala to Private Agencies Collaborating Together (PACT). Under the amendment, PACT was to continue a program, in collaboration with ASINDES, to promote socioeconomic development activities in Guatemala through private voluntary organizations (PVOs). By extending the program for two years, PACT would provide additional assistance to consolidate ASINDES' progress, complete the systems and procedures it had started and help bring ASINDES to self-sufficiency in the areas of institutional, project and sub-grant management to design and carry out an effective technical assistance and training program that would strengthen the PVO community in Guatemala.

The main components of the grant are technical, training and financial assistance from PACT to improve ASINDES management and technical capabilities; technical assistance and training for the Guatemalan NGOs from ASINDES, with the assistance of PACT; and grants to Guatemalan NGOs to carry out their activities. Grant funds were made available through June 1990. This interim evaluation was conducted between January 8 and January 20, 1990. A final evaluation is scheduled for June 1990, prior to the completion of the program.

The overall conclusion of this evaluation is that ASINDES is well on its way to accomplishing its major goals under the amended OPG, such as the development within ASINDES of a project administration system and fund management capacity to finance member projects; the development of a technical assistance and training program to strengthen the administrative and project implementation capacity of the Guatemalan PVO community; and the strengthening of the management and administrative capability within ASINDES. However, despite the progress made toward the achievement of major objectives under the amended OPG, ASINDES still requires the completion of several major tasks not only to accomplish these goals but also to ensure the consolidation of the organization and the expansion necessary to become a major actor and counterpart in the Guatemalan development community.

Major accomplishments to date include the following.

Internal Administration

A complete office administration manual was developed to complement the accounting manuals created under the original OPG.

Authority was successfully delegated by the Board of Directors to the Executive Director to enhance the decision making process. The amount and diversity of duties, however, have overextended the Executive Director, making it impossible

for him to accomplish his multiple responsibilities. Immediate steps need to be taken to hire an Assistant to the Executive Director. (Interviews with the Director indicated that he had made a decision to hire an Assistant and that this decision would be announced shortly.)

ASINDES can also take credit for developing a capable and efficient staff with improved morale. However, staff skills need to be increased and systematized, especially in computerized financial and project tracking systems.

The organization has made considerable progress in developing a number of important planning documents, especially at the technical staff level. However, ASINDES needs to improve these planning instruments and overall planning processes, especially at the Board level; and the Executive Director has to address issues that he has neglected due to the current overextension of responsibilities.

Project Administration

ASINDES has developed the necessary instruments and technical capabilities to administer a grants program to individual NGOs for medium-sized projects. This system includes technical capabilities in the identification, analysis, supervision, and evaluation of projects. As a result, ASINDES has been able to disburse more than \$1.0 million in grants to over 30 medium-sized projects and 30 small community infrastructure projects. ASINDES has also provided valuable assistance in strengthening the institutional and implementing capacities of NGO grantees.

Areas for further improvement include computerization. Furthermore, ASINDES' expertise and capabilities are limited to grants. It does not have the experience or the systems to administer credits to NGO grantees nor does it have the capability itself to receive credit financing from donors.

Technical Assistance and Training

ASINDES has been able to organize an impressive number of technical assistance and training events on such topics as strategic planning, small community enterprise development, and environmental assessment. ASINDES has also introduced the idea of sectoral planning in the areas of health, micro-enterprise development, agriculture and agroforestry. Participants interviewed for the evaluation appeared to be very positive in terms of the technical assistance and training provided through this activity.

However, understaffing in the Technical Assistance and Training Department has contributed to the failure to complete and institutionalize a sectoral program strategy. This is reflected in ASINDES' funding, which is still done on a project-specific basis rather than in the context of coordinated sector programs and strategies.

Although not included in the amended OPG, there are other objectives which are nevertheless essential to the stability, if not the survival, of ASINDES. The most important of these involves the issue of financial survivability. ASINDES' efforts have been less successful in this area than in others. Although it is attempting to diversify its funding by contacting a number of funding sources, ASINDES still remains overly dependent on AID and the Government of Guatemala. This dependence is especially worrisome in view of the problematic nature of the World Bank's Social Investment Fund initiatives.

Another important issue affecting ASINDES' stability is the inherent conflict between its "solidarity" and auditing functions. ASINDES' began as a solidarity organization in the sense that it offered assistance, support, and a voice to NGOs in their hour of need. As it proceeds to establish more rigorous monitoring and supervisory standards (its so-called "auditing" functions), it may increasingly become engaged in conflicts with organizations which are unable to meet these more demanding standards and criteria. Up to the present, most NGOs have accepted ASINDES' standards and suggestions with reference to project funds channeled by ASINDES. However, in a few cases involving repayment of misused funds, antagonisms have surfaced. This may be a harbinger of potential conflict in future. It is an issue that ASINDES should address.

II. INTRODUCTION

On May 20, 1986, USAID/Guatemala made a Specific Support Grant of \$1,050,000 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 nongovernment organizations (ASINDES) to support nongovernment organizations (NGOs) operating in Guatemala. The major components of the Grant 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, with the assistance of PACT; and grants to Guatemalan NGOs to carry out their own activities. The outputs of the program were as follows: 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. Funds were made available through June 30 1988.

On June 28, 1988, USAID/Guatemala amended the Specific Support Grant to further strengthen ASINDES' ability to support indigenous and international PVOs operating in Guatemala. Under this extension, which added \$1,250,000 (for a total Grant amount of \$2,300,000), PACT was to continue a program, in collaboration with ASINDES, of promoting socioeconomic development activities in Guatemala through private voluntary organizations (PVOs). Through this amendment to extend the program for two years, PACT was to provide additional assistance to consolidate ASINDES' progress, complete the systems and procedures it had started, and help bring ASINDES to self-sufficiency in the areas of institutional, project, and sub-grant management to design and carry out an effective technical assistance and training program that would strengthen the PVO community in Guatemala. The outputs of the amended program were as follows:

- 1) Eight training opportunities for ASINDES Board of Directors, on subjects including budget preparation, strategic planning, organizational management, promotion, or other topics which would help clarify and strengthen their role;
- 2) Twelve formal training events for ASINDES staff, on subjects including personnel management, project analysis and monitoring, evaluation, financial management, planning, computerization or other areas that would increase their capacity to undertake their responsibilities;
- 3) Twenty formal training events for ASINDES members and other NGOs, including topics such as project design and preparation, project monitoring and evaluation, financial management, planning, budgeting, and specific technical

themes of interest to the NGO community in Guatemala;

4) Design and implementation of a computerized monitoring and evaluation system for PVO projects by ASINDES as well as a computerized system to control and monitor ASINDES funds;

5) Financing of a minimum of 45 grants to PVOs for development projects, using mostly host government local currency generations from ESF/PL 480 agreements; and

6) Establishment of the capacity within ASINDES and the CAPS Alumni Association to undertake a small community infrastructure projects program.

A mid-term evaluation of the original Specific Support Grant was conducted in November and December of 1987. A subsequent review of ASINDES' operations was conducted in August 1988 as part of a multi-country comparative analysis of AID's experience with various types of NGOs. These two evaluations contained numerous recommendations for action by ASINDES, PACT, and USAID/Guatemala which will be reviewed and discussed within the present evaluation. The amended Specific Support Grant called for an interim evaluation to determine progress in meeting the project's objectives and implementation of recommendations from the project's most recent evaluation. (It also calls for a final evaluation, scheduled for June 1990, prior to the completion of the Program.) For the present interim evaluation of the amended Specific Support Grant, PACT, ASINDES, and USAID/Guatemala agreed on a Scope of Work which focuses on the following: institutional strengthening of ASINDES, project administration and funding program, technical assistance and training program, and PACT and AID inputs. It also stipulates a review of the implementation of the 1988 AID evaluation. A copy of the complete Scope of Work is included as Attachment 1.

PACT/New York contracted for the services of Dr. Alfredo Cuellar (Management Sciences for Development, Inc.), an evaluation specialist with over 15 years' experience in the planning, management and evaluation of overseas development programs. As a former AID official with responsibilities for PVO programs in the Bureau for Latin America and the Caribbean, he has had comprehensive experience with PVO programs and operations throughout the Latin American and Caribbean region.

Field work for the present evaluation was conducted by Dr. Cuellar January 8-20, 1990, in Guatemala. This included the assistance of three local consultants who carried out a complete project evaluation. Dr. Cuellar visited various relevant organizations in Guatemala and interviewed a considerable number of persons involved in planning and implementation of past and current operations of the ASINDES program under the Grant. In addition, Dr. Cuellar accompanied local evaluation consultants

and visited various project sites of organizations that are being assisted by ASINDES. A list of organizations visited and persons interviewed for the evaluation is included as Attachment 3. Dr. Cuellar also consulted a number of basic resource documents in conducting this evaluation.

III. BACKGROUND

A. PACT

Private Agencies Collaborating Together (PACT) is an international consortium of nongovernmental voluntary associations working in developing countries. Founded in 1971, PACT currently consists of 25 member organizations, three of which themselves have memberships representing 100 additional PVOs. As a consortium, PACT's support for umbrella programs grew out of a series of major studies sponsored by PACT, consultations with member organizations and PACT's own experience in financing and managing 500 PVO grants, totaling over \$50,000,000, between 1971 and 1988.

The new dialogue on consortia-building began in 1984 when PACT sponsored a series of regional consultations on consortia and other PVO support organizations. A PACT-sponsored consultation among the leaders of Southern umbrella organizations was followed by dialogue with U.S. PVOs, the Agency for International Development (AID), and various United Nations agencies. On the whole, these exercises affirmed the pivotal role of umbrella organizations in helping their constituent PVOs chart new directions. Since early 1985, PACT has been providing management assistance to AID Missions in Guatemala, Costa Rica, and Bolivia on PVO umbrella programs. In March 1986, PACT submitted a proposal for an Operational Program Grant (OPG) to USAID/Guatemala. As already noted, that proposal became the basis for a Specific Support Grant of \$1,050,000 to PACT, which was subsequently amended and increased to \$2,300,000. The purpose of the amended OPG is to finance PACT's efforts to improve the capacity of ASINDES to support NGOs operating in Guatemala. This amended OPG is the subject of the present evaluation.

B. ASINDES

The Asociacion de Entidades de Desarrollo y de Servicio No Gubernamentales de Guatemala (ASINDES) is an association of NGOs working in Guatemala. It was founded in 1979 with 28 members. One of the primary motives 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 harassment, intimidation, and physical violence, to which

many of their staff and cooperating individuals were subject at the time. The purposes of ASINDES were, and continue to be, the following: to encourage membership solidarity for mutual defense and representational purposes; to foster coordination among members as well as with other interested organizations; to make better known the work of its members; to improve the capabilities of NGOs; and to prepare and negotiate development projects with Guatemalan and external financing agencies. Since 1986, ASINDES has been receiving assistance from AID through PACT, as described above.

Components

ASINDES is a membership association of intermediary NGOs, with a permanent, paid professional staff whose function is to assist its members, i.e., intermediary NGOs which in turn provide financial and technical assistance to community organizations (organizaciones de base, or base groups). Intermediary NGOs are thus different from "base groups" such as cooperatives, local economic development organizations, producers associations, etc., whose objective is to obtain resources for the benefit of their own memberships. In contrast to intermediary NGOs, base groups are the final beneficiaries. Presently, ASINDES is an association comprised entirely of intermediary NGOs and it serves principally, although not exclusively, its members. There is, however, an ongoing debate within the organization as to whether base NGOs should become members of ASINDES.

ASINDES' current membership consists of 38 intermediary NGOs. Originally beginning with 28 organizations, its membership subsequently declined to 23; but in the last two years, its membership has increased by over 50% to 38 intermediary organizations. There are also 10 applications formally requesting admission to ASINDES that are pending action. Furthermore, ASINDES also includes both national and international NGOs.

There are several requirements that organizations must meet to become members of ASINDES: they must be nongovernmental and have legal standing (personeria juridica) in accordance with Guatemalan laws; they must conduct activities involving social development in Guatemala; and they must be nonprofit, apolitical, and nonsectarian.

Each active member is required to pay a modest financial quota which entitles the organization's representatives to attend and vote at meetings of the General Assembly, to elect persons who hold management positions in ASINDES, to receive services from ASINDES, and to present development projects for support from ASINDES. Membership in ASINDES can be suspended or cancelled by the Board of Directors acting with the approval of the General Assembly.

The General Assembly is the final authority governing ASINDES. Each member of ASINDES has one vote in the General Assembly. Its function is to set overall policy, guidelines and procedures for the operation of the organization. The General Assembly meets normally three times a year and, in extraordinary session, at the request of the Board of Directors or 20% 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 takes up any issue of a non-extraordinary nature put before it. During extraordinary sessions, the General Assembly approves changes in the by-laws and internal regulations governing ASINDES and authorizes the sale, pledge, or rent of any property or other 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. The present Board was elected in February 1989; thus, the next election will take place in February 1991. The five members decide among themselves who will occupy the following positions: President, Vice President, Secretary, Treasurer, and Representative (vocal).

Officially, the Board of Directors meets once a month but during the last year it has met much less frequently. The Board's responsibilities include admission of new members to ASINDES; nomination, selection and removal (as necessary), and monitoring of the Executive Director of ASINDES; calling sessions of the General Assembly; providing oversight of by-laws and regulations of the organization; preparing of Board and institutional work plans and budgets for ASINDES; obtaining economic resources for the organization; and taking responsibility for special assignments as may be necessary. The President and the Treasurer also have some financial/accounting responsibilities involving the signing of checks for the organization.

The Board is responsible for naming the Executive Director of ASINDES who, in turn, is responsible for carrying out the decisions and policies of the Board. His principal responsibilities are to decide jointly with the President of the Board on actions to be taken; carry out the technical and administrative actions agreed to by the Board; develop and propose his own and the staff's work plans; prepare documentation for actions to be considered by the General Assembly and the Board concerning 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 Executive Director also participates in the meetings of the Board and the General Assembly but does not have the right to vote.

All projects funded by ASINDES must be approved by the Project Selection Committee, which is considered both a key to the maintenance of program standards and one of the major conceptual contributions of PACT to the system created to administer the Grant. The Committee consists of seven Guatemalan professionals who are selected by the Board of Directors of ASINDES to serve for a period of two years. These seven professionals do not hold government positions; they are not involved in politics and have no connection with any of the members of ASINDES. Although they are paid a modest sum for attending the meetings of the Committee, they serve because of their interest in the work of ASINDES and of the NGOs represented there. The Committee makes decisions by majority vote of those present (a quorum of four is required). It was vested with final authority to approve proposed projects of up to 200,000 quetzales. (At the time of the writing of the present evaluation, the official exchange rate was U.S. \$1.00 = 3.40 Quetzales.)

Officially, the Committee meets every three months to review project proposals. In the recent past, it has met as often as there was work to conduct. Very recently, however, the Project Selection Committee has been adversely affected by four vacancies (one committee member was killed in an accident; another resigned to attend long-term training in the U.S.; and the other two resigned for personal reasons). 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. Synopses of project proposals to be considered, together with reports of the review of the proposals by ASINDES staff, are circulated to the members of the Committee before each 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.

It should be noted that the Project Selection Committee has no other role in the work of ASINDES. However, in trying to comply with one of the recommendations of the previous evaluation, there were attempts to use it as a consultative body for the Board. This resulted in a confusion of functions which seriously hindered the relationship of ASINDES with the Government of Guatemala (GOG). At present, there is no provision for keeping the Committee informed on the actual implementation and achievements of projects that it has approved to date.

IV. INSTITUTIONAL DEVELOPMENT OF ASINDES

One of the overall findings of this evaluation is that, despite the considerable progress that ASINDES has made as an organization, it still has important unfinished tasks to complete in order to consolidate its institutional capabilities. It can

even be argued that progress in some instances has been achieved in spite of some institutional deficiencies, such as weak leadership from the Board. This is reflected in the deficient planning process at the Board level, which has considerably slowed institutional development.

A. The Planning Process

Previous evaluations highlighted ASINDES' difficulties in developing a medium- or long-range planning strategy statement of its goals, objectives, and priorities as well as the absence of long-term work plans for its implementation. The most recent evaluation (in 1987) thus recommended that the Board of Directors of ASINDES should formulate "a statement of goals for ASINDES which indicated the relative priorities to be attached to the various purposes of the organization." The evaluation went on to note that, "once such a statement of priorities has been established, the Board should prepare a workplan for reaching those goals that includes the major steps to be taken and which takes into account the revenues expected, staffing and other support requirements for carrying out the plan."

A review of this issue for the present evaluation reveals that, although ASINDES has made considerable progress in improving the planning process, it still has major deficiencies that need to be addressed. These deficiencies highlight the fact that the planning and programming process still needs to be reinforced and improved before it can be considered to be fully institutionalized. As will be shown, this deficient planning process has had several negative consequences--both internal and external--for the organization.

For the present evaluation, numerous documents were reviewed and interviews conducted at the three levels of the organization: the Board of Directors, Executive Director, and staff project level.

1. Board of Directors

The planning process in ASINDES has gone through a major evolution in a fairly short period of time. Its most recent restructuring came out of a major training effort conducted for the Board by INCAE (Instituto CentroAmericano de Administracion de Empresas) under the sponsorship of PACT and ASINDES. The focus of this effort was on strategic planning, both for ASINDES and the NGO community. Specifically, the purpose was to explore the various components of strategic planning in general and of ASINDES as a consortium and leader of the NGO community in Guatemala. The major outcome of this training exercise was the development of a methodology that led to the preparation of the Plan Quinquenal (Five Year Plan) for ASINDES. The Plan Quinquenal identified the major actors involved in sector

planning, the attitudes required for this type of planning and various relational aspects such as, for example, possible funding sources and beneficiaries with whom ASINDES would relate.

Although it was a good attempt to develop a strategic plan for NGOs in Guatemala, the document proved to be too general and diffuse to serve as an operative, working instrument. Thus, PACT's Resident Representative prepared a Resume of the Plan Quinquenal (Resumen del Plan Estrategico Quinquenal, 1988-1993). This Resume condensed the Plan Quinquenal into six major functions of ASINDES: Representation, Mutual Defense, Posicionamiento (its relationship with the Government of Guatemala and cooperating institutions), Information, Financial Assistance, and Technical Assistance and Training. The Resume also identified two or three major strategic objectives for each of these functions that ASINDES should accomplish over the next five years. For example, one of the basic functions identified for ASINDES is that of mutual defense. This is a rational function for an organization such as ASINDES, given that the founding of ASINDES was in good part in response to the need for a voice against the violence perpetrated against NGOs at the time. One of the objectives under this defense function was to establish links and contacts with basic human rights organizations in the region or overseas (i.e., the Human Rights Court of the OAS or the Inter-American Institute of Human Rights in Costa Rica).

The accomplishment of these broad and ambitious objectives required the active involvement of the Board of Directors, in other words, their incorporation into some plan of action or work plan. It does not appear that this was done, nor has there been any systematic Board action in relation to this admittedly ambitious agenda.

Not only was there no follow-up on the objectives of these strategy statements, but also interviews with several Board members and other relevant observers reveal a surprising lack of consensus concerning the role of the Board of Directors in the planning process itself. Some members of the Board indicated that the Board did not have a role to play in the planning process, i.e., that the role of the Board of Directors is only to set policy and carry out the will of the General Assembly. Others indicated that the responsibilities of the Board did, indeed, involve a planning function and that they were already involved in it; however, they did not cite any work plans beyond simple agendas used in the meetings that serve as the basis to discuss upcoming activities with the Executive Director or to present to the General Assembly. Reference to the Strategic Plan was made but it was sketchy. Furthermore, no Board members mentioned the need to have a planning document sufficiently detailed as to indicators, milestones, chronology, etc. which could be used to monitor and orient their own work or that of the

Executive Director.

It can therefore be concluded that, up to the present, the Board's involvement in the planning process has been largely limited to internal matters of the organization. In this regard, it should be noted that the Board does demonstrate a conscientious, strong, and active interest in the ongoing activities of the organization. Furthermore, they appear to be fairly well-organized for their meetings and have well-developed procedures for their meetings which are conducted at least once a month and oftentimes more frequently. Their work during these meetings tends to focus on the work of the two technical departments of ASINDES: Technical Assistance and Training, and Projects. These activities apparently are reviewed on a regular basis in considerable detail with the Executive Director. The Board also appears to have delegated to the Executive Director the necessary decision-making authority so that he does not have to go back to the Board repeatedly for every action taken.

One can speculate on the reasons for the absence of a better and more comprehensive planning capability on the part of the Board of Directors. Some respondents feel that part of the problem is structural, deriving from the fact that the Board is comprised of individuals who are themselves Executive Directors of their own organizations. As such, they are overly busy individuals who may have a difficult time merely attending meetings of the Board, not to mention involvement in more demanding, comprehensive objectives implied in the Plan Quinquenal (and its accompanying Resume). Some have also noted, more cynically, that as heads of organizations it is not in their self-interest to strongly promote another organization into a leadership position for the NGO community in Guatemala.

In conclusion, one can say that the Board of Directors has been actively involved in the internal operations of the organization, that is, in the "micro planning" process of the staff, and in this context it has played a responsible role. However, it has not exercised a leadership role in terms of the broader strategic objectives that have been defined by the organization for itself. Nor has it developed a system of adequately monitoring and orienting the activity of the Executive Director. Examples of some important consequences resulting from inadequate planning would be the Board's failure to involve itself and learn from the process of negotiations with the World Bank and the Government of Guatemala (GOG) in relation to the Social Investment Fund (SIF); and in the weak guidance it has given to the Executive Director in relation to the fund raising plan and activities, which has left ASINDES seriously over-dependent on AID and the GOG, with few immediate alternative funding options.

Some observers criticized the Board harshly for its failure to follow up on these initiatives. There is a feeling that, to the extent that the Board fails to seize this initiative, ASINDES will lose the opportunity of asserting itself as a major organization with a unique mission and message on behalf of the entire NGO community in Guatemala. To the extent that ASINDES thus fails to assert its leadership, its role will necessarily be limited and so will its impact in the Guatemalan development scene.

ii. Board of Directors - Executive Director Relationship

The previous evaluation of ASINDES raised the issue of Board Executive Director relationship. It noted the "interventionist" character of the Board which interfered with the Director's ability to make the necessary and opportune management decisions. As can be seen from the previous analyses of the planning process for the present evaluation, this situation presently is completely different. The Board has fully delegated all the necessary authority to the Executive Director, thereby precluding the need for unnecessary and cumbersome approvals. If anything, the Board seems to have adopted a more passive role in both leadership and management, and, as indicated above, needs to develop a middle ground approach by developing planning instruments sufficient to enable it to monitor and guide the Executive Director's activities without hindering his effectiveness.

iii. Executive Director.

The planning process was also examined at the level of the Executive Director. As discussed elsewhere, the position of Executive Director has been very unstable over the past three years. The fact that there have been three Directors in the last three years has not enhanced the planning process. However, the current Director has been on the job for about 15 months, and he seems to appreciate the importance of the planning process even when he admits that his work plans still need improvement and that at times he has not been able to adhere to them fully. He has nevertheless rededicated himself to improved planning and organization. The Executive Director has developed an annual work plan which in general is consonant with the Plan Quinquenal alluded to earlier and with the work of the individual departments of the organization. (A copy of the document is included as Attachment 3). This document is prepared and submitted to the Board of Directors for review and approval. However, by the Director's own admission, previous efforts have resulted in very generalized documents with limited utility as a management tool. However, because of the Executive Director's

multiple public relations activities and policy functions, he will be unable to reinforce the planning process without an Administrative Assistant. Both he and the Board have repeatedly agreed on the critical nature of hiring an assistant who could, among other things, provide assistance in introducing greater integration and coherence to the organization's planning process; but they have never resolved this key issue. (During an interview with the Director, he indicated that he has made a decision concerning the hiring of an Assistant and that this will be announced in the very near term.)

iv. Departments of ASINDES.

The evaluation also reviewed the planning function in terms of the various departments of ASINDES--Technical Assistance and Training, Projects, and Accounting and Finance. The planning process is most developed, and to some extent institutionalized, in the technical departments. A review of their work reveals that considerable effort has gone into the development of work plans and miscellaneous planning documents. The work plans for the Technical Assistance and Training Department as well as the Projects Department were equally sophisticated. In addition to their detailed nature, the work plans reflect attempts to develop and apply a variety of useful indicators for supervision, monitoring, and evaluation of projects. These will be extremely useful tools, particularly as they are refined and computerized, in measuring the impact of their respective departments and of project activities.

As already noted, the Financial Coordinator has been on the job only six months. He has not yet developed a work plan for his department.

It can therefore be said with regard to the overall planning process that despite serious weaknesses on the Board of Directors level, considerable effort has gone into its overall development. This is demonstrated by the existence of numerous planning instruments. To date, the organization has developed the following:

- 1) Overall Plan Quinquenal (the five year plan)
- 2) A Resume of the five year plan that lays out different strategies, functions, and objectives to be accomplished during the five years covered by the Plan Quinquenal noted above;
- 3) Work plan by the Executive Director; and
- 4) Departmental work plans.

However, the overall planning process appears to lack institutionalization--not to mention consolidation. This is reflected in the lack of agreement on the major components of the planning process itself; and the lack of follow-up on major planned objectives of the organization (at the level of the Board) and the unevenness, diversity, lack of standardization and integration of the planning instruments reviewed at the project (i.e. technical) levels. In effect, the integration of ASINDES' goals, objectives, and activities will be achieved only if the Board:

- 1) Develops its own work plan;
- 2) Requires the work plan of the Director and staff to be detailed enough to serve as monitoring and evaluation instruments; and
- 3) Actually uses these instruments on a regular basis.

An interesting conclusion, therefore, is that ASINDES' planning process is better established at the bottom of the organization than at the top. This was evident in the much more defined and sophisticated planning documents developed by ASINDES' departments compared to the less well developed instruments as one moves up the hierarchy. This is characteristic of institutions where the planning process has not yet been institutionalized; in the case of ASINDES, it reflects the heterogenous membership, whose consensus is more easily achieved at the project level where immediate results are needed to respond to the pressures of constituents.

B. General Administration

1. Organization and Personnel

The original OPG envisioned the improvement of the organization's general administration as a means of strengthening ASINDES as an institution. A number of administrative measures have been taken to improve ASINDES' institutional capabilities in the area of general administration. A significant activity involved the provision of technical assistance for the development of an office administration manual that included a description of the overall structure and organization of ASINDES. A draft of this manual was developed by PACT, and ASINDES hired a local consulting firm to produce a final document in 1987. This manual, completed in 1988, contains job descriptions, staff evaluation methods, and internal institutional operating procedures, including a description of technical staff and various organizational features of the office such as criteria for document handling and control.

Under the amended OPG, technical assistance was also provided by PACT and a local consulting firm (Consultores en Desarrollo Psicologico y Social) to develop a complete, standard personnel manual (including an orientation or briefing section for new personnel). The manual as developed contains information on dress codes, office policies of the organization with regard to holidays, absences, etc. This manual was the outcome of 12 intensive, half-day training sessions, over a period of three months, on participative administration. These sessions, and the extensive 150-page manual resulting from them, were a crucial element in the formation of professional staff attitudes regarding important organizational development skills and mechanisms, such as team building, conflict resolution, and personnel management.

This manual is somewhat outdated because of the changes in the Executive Director position and of some key staff. As a result, it is referred to infrequently. Nevertheless, it remains an important document and, if updated and applied, could be extremely useful in further reinforcing the organizational development of ASINDES.

ii. Personnel Management

a. Staffing

The staff of ASINDES currently consists of 12 full-time employees, an increase from the nine positions noted at the time of the previous evaluation. These positions are as follows:

- * The Executive Director (Mr. Eric Chicol);
- * One Coordinator of Training and Technical Assistance (Ms. Cristian Munduate);
- * ~~One~~ Project Coordinator (Ms. Alma Irene Gonzalez);
- * ~~Two~~ Assistant Project Coordinators (Mr. Raul Rosal and Ms. Lijia Medrano);
- * One Financial Coordinator (Mr. Jose Luis Jimenez);
- * One Assistant Accountant (Mr. Hugo Mateu);
- * One Assistant Technical Assistance Coordinator with a specialty in resource mobilization (Mr. Mauricio Bernard);
- * Two Secretaries;

* One Assistant Secretary and one Messenger.

ASINDES has paid special attention to the personnel requirements of the organization. Its personnel model is premised on flexibility, that is, on hiring the necessary personnel to accommodate the growth of the organization and at the same time not encumber the institution with a large staff that might be ineffective and underutilized. ASINDES has therefore opted for a relatively small staff whose function is to identify, organize, and coordinate a network of short-term consultants. These consultants include one permanent part-time consultant, Mr. Abel Giron, who is an agronomist. He has been actively involved as the liaison involving World Bank negotiations, and in this capacity he does the technical work of ASINDES involving COFIS (the pilot project of the World Bank's Social Investment Fund). ASINDES also uses the services of three part-time consultants for project supervision and evaluation. A number of additional short-term consultants are also hired by ASINDES to conduct specialized technical assistance activities, including the development of sectoral programs.

Up to a year ago, the personnel situation in ASINDES was marked by turmoil. During the last three years, ASINDES has had three Executive Directors, three accountants, four Project Coordinators, three Technical Assistance Coordinators, and various other transitions. In fact, most of the adverse views of ASINDES by outsiders are based on their negative perceptions of ASINDES during these highly unstable years. The absence of stability in the top position, in particular, has been particularly difficult for the organization, affecting internal operations as well as external image. However, the current Director has been on the job for about 15 months. The stability in this position has greatly enhanced staff morale, internal operations, and external image.

Despite the turmoil, ASINDES has managed to retain and recruit talented and highly qualified individuals. It has also identified additional, qualified local personnel resources, such as short-term consultants, as already noted. The stability in the staff currently occupying key positions (i.e., in the Projects as well as Technical Assistance and Training Departments) and the experience they bring to these positions give ASINDES significant capabilities in these areas with very positive results in project administration and promise in technical assistance.

Recent salary increases further improved staff morale. However, salary increases were determined on the basis of negotiations with each individual staff member and not on the basis of a standard organizational personnel policy. According to interviews, a standard personnel policy has not yet been developed that addresses staff compensation, promotions and other

similar personnel matters. (At the time of the writing of this evaluation, ASINDES had hired a local consulting firm to review its personnel policy in the context of other NGOs in Guatemala. It will recommend a standardized personnel policy in line with that of other institutions in the private, not-for-profit sector.)

b. Staff Training

The amended OPG also provided for staff training, as indicated in the following statement of outputs expected at the end of the second year of the project's extension:

"Twelve formal training events for ASINDES staff, including personnel management, project analysis and monitoring, evaluation, financial management, planning, computerization and/or other areas that increase their capacity to undertake their responsibilities (an average of two persons per training event)."

The Department of Technical Assistance and Training was assigned the responsibility of implementing ASINDES' staff training. A work plan was developed that included objectives, actions and means of reaching objectives, approval mechanisms, and selection criteria. To determine the needs of the organization, an informal "needs assessment" based on interviews with ASINDES' staff was conducted. Subsequently, arrangements were made for their training.

Document review and interviews reveal that staff training was conducted for secretaries (English and Communications as well as Human Relations courses); project staff (visits to ACORDE, a foundation in Costa Rica, to exchange ideas on project management); and the head of the Technical Assistance and Training Department (who visited the Dominican Republic for one week on project design and organization of NGO events).

Observations on this training include the following: Although staff training was undertaken, and has had a positive impact in terms of professional administrative skills, it needs to be improved in terms of programming and systematic implementation. The training should have been planned and implemented over the two-year of the amended OPG rather than episodically as appears to be the case. Although most of the training funds will probably be used by the end of the grant in June 1990, some of this training should have been programmed much earlier in the two years period covered by the amended OPG. Due to the uneven scheduling of this training, the organization has not had the full benefits of these inputs to date. Although this is, in part, a result of inadequate planning, it is important to note that these deficiencies also reflect the need for

flexibility and crisis management in an institution like ASINDES which must sometimes react to new and urgent problems or opportunities. Such was the case, for example, with the introduction into the development scene in Guatemala of the major World Bank/GOG initiative of the Social Investment Fund. It was only in October 1988 that ASINDES became aware of this activity and of its possible importance for ASINDES. As a result, major new and very time-consuming activities--in information gathering, coordination of member and/or non-member NGOs, negotiations with the World Bank and GOG staff, readjustments in technical assistance and project funding strategies--were undertaken affecting and sometimes replacing previous plans, programs, and schedules.

These contingencies have also slowed the training of staff in computerization. The present computer skills of ASINDES' staff can be described as uneven. For example, although support staff have a very good knowledge of basic word-processing, they have limited knowledge of other, more advanced features such as mail merge (which is essential for a membership organization). Technical staff are familiar with spreadsheet programs such as Excel (which is what they seem to have decided upon, although they also have Lotus in their computer), but quick tests by the evaluator revealed only a basic knowledge of Excel. For example, a tracking system for disbursements has been developed, but the spreadsheet was not fully programmed to provide quick changes of basic information involving current disbursements. Interestingly, it was indicated that only one person had received training in Excel; the rest had learned the program on their own. They are thus trying to computerize office programs unsystematically, which is a time-consuming process that could be expedited and made more effective through systematic training.

There was no evidence of any staff member with a knowledge of database systems (despite the fact that they have access to DBase 3 on their computer). Knowledge of this system, or any equivalent relational database system, will be very important in the development of automated project-monitoring. It will also be of critical importance in handling an increased volume of project and program activities involving the Social Investment Fund.

c. Training for the Board and Executive Director.

The amended OPG indicated that the following should be accomplished for the Board of Directors: "eight training opportunities of ASINDES Board of Directors, including budget preparation, strategic planning, organizational management, promotion, and/or other topics which help clarify and strengthen their role (a minimum of two persons per training opportunity)."

Training of members of the Board of Directors was limited.

Interviews with members of the Board reveal that they did not view these training opportunities as a real option for them. Time constraints were cited as the major problem. As already mentioned, as executive directors of their own organizations they have a hard time finding the time to undertake this training. Moreover, one member of the Board noted that his work is voluntary and that taking training courses under the amended OPG might be construed by some as compromising his integrity.

A chart of the training for members of the Board and the Executive Director of ASINDES is included (Attachment 4). As the chart demonstrates, there was a certain imbalance in training: whereas members of the Board did not participate for the most part in these training activities, the Executive Director was able to avail himself of a considerable number of training opportunities.

The amended OPG also called for "twenty formal training events for ASINDES members and other NGOs including project design and preparation, project monitoring and evaluation, financial management, planning budgeting and specific technical themes of interest to the NGO community in Guatemala (an average of 20 persons per training event)."

A discussion of this activity is dealt with in Section III below (Technical Assistance and Training Program).

iii. Financial Management

The strengthening of ASINDES involved improvements in administrative as well as fiscal procedures. In late 1987, PACT prepared manuals for an accounting system and for administrative procedures. The accounting manual was developed and completed by local accountants in early 1988. Control and report formats as well as a tracking system were developed.

Discussions with the accounting department reveal the following: The accounting department has experienced considerable staff instability that included turnover of three accountants in the last three years. ASINDES was successful in recruiting a qualified Financial Coordinator with 11 years of banking experience, in July 1989 to handle the accounting and financial operations of the organization. Although he has been on the job only six months, he appears to have developed a basic knowledge of ASINDES' operations. He is familiar with the accounting manuals previously developed and also has a good working knowledge of the systems developed, even introducing various modifications to improve them. These changes were made in consultation with the Executive Director, who is a former Treasurer of the ASINDES Board of Directors as well as a trained auditor. His experience has thus been very helpful to the new

Financial Coordinator in acquiring a quick grasp on his accounting and financial responsibilities.

Accounting procedures as presently constituted appear to be adequate for the current volume of activity of the organization. The accounting department has developed what seem to be efficient procedures for budget preparation, payroll and the "draw down" of OPG funds from PACT/New York and, more recently, the GOG (specifically, its Ministry of Finance). Although the Financial Coordinator has computerized some of these operations, computerization has not proceeded on a systematic basis. Thus, only parts of the accounting have been computerized. Nevertheless, some of the problems identified in previous evaluations also appear to have been corrected. For example, responsibilities for check writing have been improved to overcome bottlenecks.

There are, however, more significant deficiencies and limitations. The accounting and financial system as presently constituted is adequate to support principally an internal, largely bookkeeping operation involving the organization's payroll, "draw downs" and financial projections. To the extent that the accounting system is limited to these functions and purposes, it appears to be adequate. However, it does not have the capability to provide financial support services to the Project Analysts, not to mention audits and financial analyses involving other NGOs. As already noted, ASINDES relies on short-term consultants to prepare audits and financial analyses of the NGO project proposals and projects. However, an increased volume of activity would place significant pressure on its accounting and financial management system as presently constituted.

The accounting/financial department would thus greatly benefit from a systematic training program designed to enhance the in-house capabilities of its present staff of two, that is, the Financial Coordinator and his Assistant. This department has had very limited training, most of which has been on the job or self-taught. The Financial Coordinator, for example, was given an orientation on ASINDES' operations and its accounting manuals when he first started the job. The computerization, however limited, of ASINDES' accounting operations is due to the personal initiative and interest of the Financial Coordinator. (Incidentally, the Financial Coordinator has to use the computer equipment on weekends due to its unavailability during regular working hours.) Although he did attend a one-week computer course in Guatemala City, there has been no follow-up training. However, he states that there are plans for training in the near future. Plans for the training of the new Assistant Accountant are also in the process of being developed.

The overall assessment of the accounting/financial department is that despite what appear to be smooth procedures

involving budget preparation, operations, and draw downs, the process is limited and incomplete--one part computerized and the other based on a what could be called a "stubby pencil" approach to accounting, that is, with handwritten entries. It is not the most efficient method for operating a modern accounting system or for planning its expansion.

In summary, despite its lack of full computerization, the present accounting/financial system appears to be adequate to carry out basic bookkeeping functions of the organization given the current volume of work. It does not have the capability to assume a much larger volume of activity or to enact additional functions that perhaps were expected of it, namely, to provide financial technical assistance to Project Analysts or to NGOs. Its staff also need to be trained in a more comprehensive and systematic fashion.

However, the creation of a financial NGO (as is currently contemplated) capable of handling all the difficult financial functions involved in credit financing, will necessarily modify the financial needs and structures of ASINDES' financial department. Thus, the observations on ASINDES' current accounting and financial operations have to be read in light of this alternative.

iv. ASINDES' Financial Prospects

The following observations are made with respect to ASINDES' financial prospects.

a. Expenditures

ASINDES' present illustrative budget is being revised in accordance with the projected spending needs of the organization. Apparently, the illustrative budget was under-estimated in certain line items such as office rental, office equipment and communications and over-estimated in areas such as technical assistance. The budget will therefore be reprogrammed to correct these imbalances.

b. Financial Self-sufficiency

Although financial self-sufficiency was not an explicitly mentioned objective in the amended OPG, ASINDES has made efforts to diversify its funding sources in order to improve its fund raising capability and to reduce its dependency on AID funding. These efforts have been considerably hampered by the lack of clarity of AID regulations and guidelines concerning fund raising activities.

Efforts to diversity funding include:

- 1) Negotiating contracts directly with the GOG concerning Q. 2.0 million in ESF funds;
- 2) Negotiating with the GOG for a Q. 100,000 service contract between ASINDES and the COFIS (Comision Organizadora del Fondo de Inversion Social). Under this contract, ASINDES will be paid for the technical services involved in operationalizing the "third window" of the pilot project (the COFIS) of the Social Investment Fund (Fondo de Inversion Social, or FIS); and
- 3) Project administration of the COFIS portfolio, which amounts to Q. 5.0 million, on which ASINDES is asking for a 10% overhead and administration fee.

ASINDES has also been negotiating with the World Bank and the GOG concerning the terms and conditions of its reimbursement for functions it will perform for the Social Investment Fund once this fund becomes fully operational in May of 1990.

There are also a number of other possible services under which ASINDES could be reimbursed. These include:

- 1) Project administration such as is presently being contemplated under the COFIS (mentioned above);
- 2) Technical services for developing and modifying project selection, monitoring and evaluation criteria such as it is currently performing for the COFIS under the terms of the Q.100,000 contract mentioned above; and
- 3) Technical assistance not to the FIS but to actual project implementers such as NGOs, cooperatives, and base groups. In this regard, ASINDES has been approached by the base group component of the COFIS to provide technical assistance to the beneficiary groups in general as well as financial administration and group organization.

c. Contact With Other Funding Sources

For at least the last three years, ASINDES has been planning a strategy for the conduct of a fund raising campaign. This campaign was to be focused on national fund raising, but more importantly, on international fund raising from potential sources in the U.S., Canada, and Europe. PACT has provided technical assistance in fund raising, strategy development, and technique on at least five occasions. Due to staff instability (referred to earlier), these activities had little impact until May 1989, when serious efforts were undertaken to develop a strategy.

However, the lack of determination on this objective as a priority area by ASINDES resulted in only sporadic organizational efforts to carry out the strategy. Activities related to fund raising have been repeatedly postponed or cancelled.

ASINDES has made good faith efforts and some progress in developing national funding and relations with alternative international sources. Prospects through the World Bank/GOG Social Investment Fund are especially hopeful. However, in terms of concrete possibilities, it is evident that ASINDES remains dangerously over-dependent on AID and the GOG and is thus subject to all the uncertainties that this implies.

V. PROJECT ADMINISTRATION AND FUNDING PROGRAMS

A. Projects Department

One of the major outputs of the amended OPGs is the "financing of a minimum of 45 grants to PVOs for development projects using mostly host government-owned currency generations from ESF/PL 480 agreements." The Projects Department of ASINDES is responsible for the management and administration of the grants program with NGOs. A total of Q. 2.0 million (approximately U.S. \$727,000) was provided for the grants component of the OPG. These funds came from local currency generations under ESF/PL 480 agreements. They are thus disbursed under arrangements with the Ministry of Finance of the Government of Guatemala. At the time of the writing of this evaluation (January 1990), Q. 1,659,000 had been programmed and disbursed. The remaining Q. 341,000 had been programmed (since September 1989) and will shortly be disbursed.

ASINDES charges a 6% fee or commission (which is deducted from the grant) to cover the first year's administrative and supervisory costs of a project. This fee is charged on grants that include a revolving fund component, in other words, those made for productive projects. The rationale for charging this fee is that the organization is obligated to operate its revolving fund for a period of four years. The 6% fee charged by ASINDES against the total grant amount is designed to cover costs of supervision and evaluation as well as any technical assistance that might be needed in administering the first year of this fund, with 4% being charged for each subsequent year.

The ASINDES Projects Department is currently comprised of a full-time Coordinator, one full-time Program Analyst, and one half-time Program Analyst. However, arrangements are currently being made for adding a full-time secretarial position and converting the half-time Program Analyst to full-time. In

addition, there are plans to hire an additional Program Analyst by April 1990. At that time, the staffing of the ASINDES Projects Department will consist of the following four individuals: the Coordinator and three Program Analysts. This staffing will be sufficient to address the new work-loads that ASINDES staff will be handling as a result of the activities planned under the Social Investment Fund.

It should also be noted that, in the first three years of operations ASINDES' in-house Program Analysts were responsible for shouldering the entire workload. However, given the increased workloads, the Projects Department has increasingly relied on short-term consultants, especially for project monitoring and evaluation.

The Program Analysts are responsible for identifying projects; assisting in their formulation and presentation; financial analyses; and monitoring and evaluation. They thus have very comprehensive responsibilities and, according to interviews with several grantees, appear to have done an excellent job in providing financial and technical assistance to NGOs.

B. Grant Structure and Procedures

Under the original OPG, PACT developed the general structure and procedures for the grant program with NGOs. The structure and procedures are described in a series of documents that provide information to NGOs requesting assistance from ASINDES. The work was done largely by PACT personnel, including both the Resident Advisor and the technical advisors from PACT's New York office. The system is based on information contained in the following documents: the Code of Ethics the Policies for Financing, the Guide for the Presentation of Project Proposals, the Guide for the Internal Processing of a Project Proposal, the Description of the Role of the Project Selection Committee, the Guide for Agreements between ASINDES and Recipients of Financing, and the Guide for Monitoring, Reporting and Evaluation.

Although the system developed was operating smoothly, it had to be expanded and improved. Specifically, the Guide for the Presentation of Project Proposals was expanded on the basis of project type into four separate guides. The process was thus made clearer and more useful to NGOs. These guidelines are reproduced and distributed on a systematic basis to NGOs, which are also provided assistance in their use upon request. These changes and modus operandi in the structure of the grants project appear to have overcome criticism by the NGOs (and previous evaluations). At present, the system appears to be operating very smoothly. Interviews with NGOs did not reveal any problems. On the contrary, various NGO representatives had highly favorable

comments on the professionalism of the ASINDES staff, its efficiency in the processing of their grants, and especially the extremely helpful assistance provided to them by the ASINDES' staff.

C. Quantity and Quality of Projects

The quantity and quality of the projects that ASINDES has been involved in has also experienced considerable change. Originally, grant sizes were considerably smaller, averaging about Q.120,000. However, ASINDES made a policy decision to increase the size of these grants. This decision was made in order to comply with recommendations contained in a previous evaluation as well as to increase impact. Moreover, ASINDES had to consider that, as organizations begin to have more capacity, they are able to handle additional amounts of funds. Consequently, the average amount of each grant today is approximately Q. 250,000. The result has been that fewer grants have been awarded, but in larger amounts. Currently, the ASINDES grants program has provided assistance to 30 projects. Although less than 45 grants were made, the full amount of 2.0 million in financial and technical assistance will have been disbursed by the end of the grant in June 1990.

D. Productive Versus Social Projects

The Projects Department has also been careful to establish criteria to distinguish productive from social projects. (This action was taken to address another of the recommendations of the previous evaluation.) According to the Projects Department staff, productive projects must meet three major criteria: 1) they must be profitable in the short term, 2) they have to include a revolving fund component, and 3) they have to generate an increase in income for the families involved.

Social projects, on the other hand, cover areas such as health, education, nonformal education, and community organization. Increasingly, they are developing strategies to link social projects with productive ones such as linking improvements in nutrition with productive activities. They recognize that without productive activities an organization is merely asistencialista and thus creates increasing dependence on the part of the local community.

The Projects Department also noted several improvements in the presentation of proposals by NGOs. Although their formats are not standardized, proposals are much better prepared, including more complete analyses of the activities they plan to undertake which are based on concrete needs of the communities. Furthermore, the proposals also demonstrate many more

implementing capabilities on the part of the local communities, including the availability of personnel for local project implementation and supervision.

E. Evaluation and Monitoring

The evaluation and monitoring system of the Projects Department was also examined. The system developed by the staff consists of a guide for the presentation of a narrative report to ASINDES. The guide indicates the time periods covered, goals and activities, problems, work plan, and financial information to be presented. It also consists of a checklist for the Program Analyst to use in monitoring the project.

A considerable amount of effort, including field testing, has gone into the development of this instrument. Although it is a simple and elementary system, it is nevertheless useful in that it highlights the principal indicators that the communities should be aware of. It also introduces the notion of financial accountability and control. Copies of these instruments are included (Attachment 5). Communities prepare progress reports on the basis of this instrument, including financial reports. Furthermore, the ASINDES Project Department is continually incorporating important new elements into the system, such as new requirements to: 1) include environmental assessments in all agricultural projects; 2) develop plans for beneficiary groups' self-sufficiency, and 3) adopt an overall program that addresses sectoral considerations versus individualized, separate projects.

F. Field Observations

The present evaluator interviewed local consultants concerning the methodology, objectives, and actual implementation of their evaluations. He found the consultants' approach to their work to be professional and systematic. They also seemed to be well trained and experienced. For the most part they are academics from local universities with a considerable amount of field experience. Interviews and observations during a field visit seem to indicate that their work will result in reliable and realistic reports regarding compliance with project goals as well as socioeconomic impact. In the ICA (Institute of Cultural Affairs) project visited with one of the local consultant-evaluators, the present evaluator could verify the consultant's care in speaking to all the major participants and beneficiaries. Not only was the skill of the consultant evident in interpreting difficult responses, but it was also possible to verify the different levels of impact which the project had produced. In the ICA project, for example, which involved the training of municipal leaders, the consultant-evaluator pointed out the multiplier effect that could be observed in the sense that

participants (the municipal leaders trained under the project) had organized and developed numerous activities in their respective communities throughout the area. This involved diverse activities such as the building community centers and health posts, and organizing community cultural activities around these infrastructure projects. These local facilities were used for a variety of purposes, including health classes and movies on health subjects.

One negative note involved the lack of knowledge on the part of the local community concerning the source of the funds. Although they identified the ICA as responsible for the sponsorship of the activities, they did not know the ultimate source of the funding for these activities.

It should also be noted that this part of the monitoring and evaluation system could be greatly enhanced through computerization, particularly if it is integrated in whatever computer systems ASINDES decides to install as part of its overall computerization of its operations. Although a considerable amount of data would still be qualitative, a computerized monitoring and evaluation system could be useful in generating standard information for comparative purposes. It would also be useful for producing the sophisticated analyses that will certainly be needed in future for full participation in the Social Investment Fund. Such a system would also ensure more uniform results from the consultants on whom ASINDES will continue to rely.

VI. THE CAPS ALUMNI ASSOCIATION PROGRAM

One of the outputs of the amended OPG was "the establishment of capacity within ASINDES and the CAPS Alumni Association to undertake a small community development program. Such a program would include the following:

- 1) Establishment of a planning, implementation, and monitoring system that is both efficient and cost-effective to verify ~~project~~ completion and accountability;
- 2) Financing of 30 to 40 grants for small, community-level projects designed by returning CAPS participants and other similar groups; and
- 3) Training of 10 to 15 returned CAPS participants in the management of the program.

The rationale for this activity was to make use of the skills and training of returned CAPS scholars (ex-becarios) and apply those skills and training to their local communities. The strategy was for the ex-becarios to identify and develop projects

in their communities and then to go to ASOPAZAC (the local CAPS Alumni Association) which would review the project in accordance with guidelines and technical assistance provided by ASINDES. ASINDES established a small projects unit to manage this effort.

Although there were problems between ASOPAZAC and AID (totally unrelated to ASINDES), which contributed ultimately to the interruption of ASOPAZAC's activities (and to the program as originally conceived), ASINDES staff was able to achieve at least two of the three "sub-outputs" of the program:

1) Financing was provided for 39 grants for small community projects. (Of the total amount of \$250,000 for this activity, \$50,000 was used by ASINDES for program administration and technical assistance and approximately \$150,000 of the remaining \$200,000 has been disbursed.) These grants were used largely for infrastructure projects.

2) Training was provided to the ASOPAZAC manager and his assistants in project identification, formulation, and supervision.

ASINDES created a separate administrative unit that was capable of implementing the project. However, given the problems between AID and the local CAPS Alumni Association of returned participants, and ASINDES' reluctance to take sides in the controversy, it does not appear that the program will be continued. The administrative tasks involved in the CAPS activity will be discontinued after the final disbursements are made in the next six months.

As positive accomplishments of this program, ASINDES can point to the successful completion of more than 30 small projects channeled mainly through returning CAPS scholars; the assistance given to an ex-becario in the formation of an independent NGO (ADIR) which subsequently became a member of ASINDES; and the training of several former staff and Board members of ASOPAZAC. Negative consequences include the failure of this training to be institutionalized because of the break in continuity of ASOPAZAC and hostile feelings on the part of some of the parties to the dispute between AID and ASOPAZAC (some of which were undoubtedly directed at ASINDES because of its insistence on maintaining its neutrality and legal commitments throughout this difficult and murky situation).

VII. TECHNICAL ASSISTANCE AND TRAINING PROGRAM

The amended OPG also called for "twenty formal training events for ASINDES members and other NGOs including project design and preparation, project monitoring and evaluation, financial management, planning, budgeting, and specific technical themes of interest to the NGO community in Guatemala (an average of 20 persons per training event)."

ASINDES undertook a very considerable training program under this component of the amended OPG. Apparently, there were more events sponsored than called for in the amended OPG, and at a lesser cost. (A list of these training events is included as Attachment 6). On the basis of discussions with participants (as well as attendance by the evaluator of one of these events), it appears that these activities have been well received and that they address the needs of NGOs. One respondent who had attended at least four ASINDES-sponsored seminars, commented that the "mix" between academic presentation and discussion by seminar participants had been very well handled. In contrast to other seminars she had attended that consisted largely of academic presentations, ASINDES had been largely successful in integrating the field experience of seminar participants with academic presentations made by various presenters. At times, this had resulted in very lively exchanges between presenters and participants.

ASINDES' Department of Technical Assistance and Training has responsibility for this activity. For this component of the amended OPG, ASINDES developed a work plan for the training of NGOs. This training (and technical assistance) activity has been a challenging one, driven by a variety of objectives. Originally, some of the training focused on project-specific activities. However, the major objective of this exercise has been more comprehensive, that is, to reinforce the notion of sector planning. In other words, it meant pushing NGOs to go beyond projects and to think in terms of programs. Ultimately, the idea is to train NGOs to begin to establish common objectives, methodologies, and coordination within sectors. It was felt that training of NGOs in this overall approach would pay major dividends, namely, it was a strategy for getting them to examine their strengths and weaknesses, and to coordinate their efforts with other NGOs working in the same area--thus avoiding duplication of effort through the use of the same or similar indicators and, in turn, developing improved baseline data and more effective monitoring and evaluation systems.

The principal rationale for training of NGOs along these lines is of crucial importance to ASINDES, involving ASINDES' comparative advantage and its own *raison d'etre* in some measure. In other words, ASINDES' role and comparative advantage is to a large extent determined by its ability to get NGOs to think

beyond projects, to work together and thus leverage their resources.

An interview with the World Bank confirms this evaluator's assessment of the crucial and essential importance of this strategy and methodology. The World Bank feels that, if successful, ASINDES' approach could influence NGO/World Bank working relationships not only in Guatemala but also in Honduras, Mexico, and Ecuador, where the ASINDES experience could serve as a model.

ASINDES has preached a consistent sectoral message through its seminars and at every opportunity that it gets. It is perhaps too early to determine whether ASINDES has succeeded in this challenging task of getting the NGOs to work together and develop common sectoral strategies. Several individuals familiar with ASINDES' work (some of whom have participated in the ASINDES' seminars) indicated that the message was getting through and that they had begun to explore means of furthering sectoral work in their own organizations.

The issue for ASINDES is of critical importance. As discussed earlier, its entire raison d'être is involved. It is certainly aware that it needs to continue to explore sectoral strategies with its constituent groups. (As suggested earlier, part of the problem may be due to the inability to staff the ASINDES office properly. The absence of an Assistant Director forces the Director of Technical Assistance and Training to do part of the Executive Director's work.)

VIII. COMPUTERIZED MONITORING AND EVALUATION SYSTEMS

The amended OPG also indicated as one of its outputs the "design and implementation of a computerized monitoring and evaluation system for PVO projects funded by ASINDES as well as a computerized system to control and monitor ASINDES func~~o~~s." This computerized monitoring and evaluation system has yet to be implemented 18 months after commencement of this 24-month amended OPG. As in the case of the training program, systematic planning had been inadequate in the implementation of this system. This is reflected in ASINDES' modest computer capabilities which consist of an amalgam of largely incompatible equipment, i.e., one IBM-compatible clone and one Macintosh and small printers for each machine. The system capabilities as presently configured are inadequate to meet the increasing needs of the organization. However, at the time of the writing of this evaluation, ASINDES was in the process of taking the final steps to implement this component of the amended OPG. It had solicited bids from three local computer firms and had finished assessing them. It is most likely that by June 1990, that is, at the end of the life of the amended OPG, an automated monitoring and evaluation system will

be in place.

It was noted that one of the major reasons for the lack of computerization to date involves ASINDES' own reticence to proceed with a full program at a time when its computer needs were not yet well-known or even considered very important. Now that it has decided to rapidly computerize office operations, it should proceed systematically to automate its financial operations and its project monitoring and evaluation. To this end, every attempt should be made to benefit from the considerable technical assistance resources in computerization that PACT has developed in other projects elsewhere.

IX. SOLIDARITY VERSUS AUDITING FUNCTIONS

Interviews with a number of observers have noted the existence of a potentially serious "structural" problem not raised in the previous evaluation. This is the conflict that emerges from the tension inherent in ASINDES' solidarity functions on the one hand, and the requirements of a rational, complex organization (what might be called its "auditing" functions) on the other. At various stages in its evolution, ASINDES has had to both be a solidarity organization and adhere to the standards of a rational, complex organization. As a solidarity organization, particularly in its beginnings, ASINDES was expected to provide a voice as well as moral support and assistance to the Guatemalan NGO community, then under attack in an often violent political climate. Although ASINDES today conducts its operations on the basis of standard procedures common to complex modern organizations, some NGOs still view ASINDES largely as a solidarity group, and expect it to comply with its solidarity functions (its funciones gremiales as someone described them). It is difficult for them to accept that ASINDES will "hold their feet to the fire" when things go wrong in their projects. In other words, it is difficult to reconcile ASINDES' solidarity functions with the requirements of a rational organization which has to adhere to standard contract provisions and procedures to achieve goals and objectives.

This issue has surfaced most dramatically in the context of ASINDES' monitoring and auditing of members' projects. Although monitoring and auditing activities have gone well for the most part, there have been instances when the misuse of funds by member NGOs has created serious problems for ASINDES. These NGOs have refused to adhere to the rules, and tensions have been especially acute when ASINDES attempts to recover funds from local NGOs.

Thus, as ASINDES continues to grow and institutionalize standard procedures and accounting mechanisms, there is a feeling that this could lead to the long-term destabilization of the

organization. The potential disruptiveness of this conflict has therefore made some members of ASINDES hesitant to undertake comprehensive credit programs, which make adherence to "bottom line" considerations all the more important. Although ASINDES has been providing assistance to revolving credit programs, these activities have been limited. This issue will obviously have to be resolved before ASINDES can fully assess the implications of undertaking a comprehensive, larger-scale credit program. It is an issue which will also have to be resolved in the context of managing a larger portfolio.

Some have therefore suggested that financial, monitoring, and auditing functions might require a separate institutional arrangement in future, thus insulating the organization from its potential disruptiveness. On the other hand, there are those who feel that an organization such as ASINDES cannot operate a credit program simply as another credit bank or institution; that is, that any credit program would have to be introduced as part of an overall package consisting of technical assistance, training, and so forth.

Thus, although some of the tensions involving the membership of the organization have diminished over time, other tensions, perhaps more serious for the long-term stability of the organization, have surfaced and will require attention.

X. PACT AND AID INPUTS

A number of inputs have been provided at various levels under the amended OPG, as discussed below.

A. PACT/New York

PACT/New York provides supervision of the Resident Representative. In this context, it assists the Resident Representative in problem-solving that is beyond his control, especially vis-a-vis AID and to some extent with the ASINDES Board of Directors. PACT/New York is also responsible for providing technical assistance in the training area. In this capacity, it is responsible for developing consultant resources and establishing linkages with networks of organizations involved in similar activities.

PACT/New York has an established planning process based on annual planning events in New York. At these meetings, PACT analyzes its programs, establishes objectives for the year, and assigns responsibilities (who will do what, when, and how). These meetings result in the development of planning documents with sufficient flexibility to enable the organization to take up new opportunities as they arise. For example, the recent thrust

into a more comprehensive involvement in natural resources is a new activity that will be given increasing attention by PACT.

The relationship between PACT/New York and ASINDES has not always been smooth. The principal reason for the friction is that locals have in the past viewed PACT/New York as an outsider that uses up resources that otherwise could go directly to local organizations. Although there has been friction in the past, relationships between PACT/New York and ASINDES appeared to be positive at the time of the present evaluation. Staff interviews indicated that the work of the Resident Representative is greatly appreciated. The technical assistance provided by PACT/New York is also viewed as valuable.

In addition, PACT/New York has worked hard at improving the relationship between New York and Guatemala. Members of the ASINDES Board of Directors and the Executive Director have been systematically invited to attend key PACT events such as PACT's own Board of Directors meetings and the meetings of its General Assembly. Special meetings have been arranged by PACT with the World Bank, the Inter-American Foundation, the Inter-American Development Bank, the UNDP, and other development agencies. In addition to improving relations with members of ASINDES' Board of Directors and its Executive Director, these meetings have also had the additional virtue of demonstrating how other NGOs and multilateral agencies participate in the development process.

To date, PACT/New York has hosted the current President of the Board of Directors (one trip), two members of the Board (one trip each), and the Executive Director (one trip).

This process has been adequate to enhance the relationship. However, it is deficient in one regard, namely, the failure to invite ASINDES representatives to participate in PACT/New York's own planning process. ASINDES has expressed its discontent with this state of affairs and has given notice that it wishes to participate in negotiations involving any further extensions of the OPG. Apparently, PACT/New York does not have objections to this suggestion and has taken the necessary steps (providing materials, briefings, etc.) to assist them in the preparation of any new negotiations as well as in planning of the overall assistance. (It should be noted, as an exception to the above, that technical assistance activities have been undertaken by PACT/New York in collaboration with ASINDES' staff.)

B. PACT's Resident Representative

PACT's Resident Representative has been one of the key inputs throughout the life of the OPG. His responsibilities include the overall management of the OPG. He has been in this position since July 1986. He is thus highly familiar with the

vicissitudes of the organization over the past three and one-half years. His overall grant management responsibilities include planning, negotiation of new contracts, assisting local organizations in organizing courses organizing local and international training and supervising the appropriateness of the events and activities as well as the use of funds under the grant. He is also responsible for reporting to PACT/New York and USAID/Guatemala. (He uses an amplified Project Status Report for reporting on AID projects. In order to more effectively communicate with AID, both the format and the timing of the reports were adjusted to conform to AID procedures.)

Following the recommendations of the previous evaluation, he initiated a steady information flow through written documents to the Board, including regular reports of his activities and important issues for ASINDES, evaluations of staff and Directors, and consultation on visits of PACT personnel and PACT/New York sponsored technical assistance. This information flow continues but in diminished form because of several factors which include reduced frequency of Board meetings and the lack of feedback and response from the Board.

The remaining 50% of his time, the Resident Representative is involved in on-the-job training with ASINDES. This involves the entire gamut of the organization's project planning, implementation, and reporting. This has been the most challenging part of his work, in that objectives have to be developed and decisions have to be achieved jointly between him and the Executive Director. A considerable amount of time is taken in this type of joint decision-making.

C. AID Inputs

USAID/Guatemala's Office of Private Sector Programs is responsible for overall program guidance and supervision of the OPG. Apparently, there is a good working relationship between ASINDES and the Mission. Overall, it can be said that the relationship has proceeded with a "minimum of bureaucracy."

Early in the implementation of the amended OPG, the Mission made PACT a part of a strategy commission that met every two weeks. This was an attempt to report on general events and developments in the country and their impact on projects. Although ASINDES was not invited to these meetings (the reason is that they are not a major grantee), they were, nevertheless, invited to make presentations to the Mission on the impact of their projects in Guatemala. However, the process of meeting with major grantees and local organizations such as ASINDES has not been sustained.

Although a continuing relationship has not been maintained

by AID with organizations such as ASINDES (as recommended in previous evaluations), the relationship is nevertheless a good one. Several favorable comments were made with regard to what is perceived as the positive nature of AID's relationship vis-a-vis ASINDES, namely, that it has intervened on behalf of ASINDES at key moments--i.e., with the GOG Ministry of Finance concerning local currency disbursements and with the tripartite negotiations involving ASINDES and the World Bank. AID's timely support is viewed as very helpful and positive from the standpoint of ASINDES. AID has also provided important technical advice on negotiations with the GOG. A member of AID's local staff with experience in dealing with the GOG has rendered particularly valuable assistance to ASINDES in this regard.

XI. CONCLUSIONS

The original and amended OPG to strengthen ASINDES as an institution had as its objectives the development within ASINDES of a project administration system and fund management capacity to finance member projects; the development of a technical assistance and training program to strengthen the administrative and project implementation capacity of the Guatemalan PVO community; and strengthening of the management and administrative capability within ASINDES adequate to these functions.

The overall conclusion of this evaluation is that ASINDES is well on its way to accomplishing these goals. However, it still requires the completion of several major tasks, not only to accomplish the goals but also to ensure its consolidation as well as the expansion necessary to become a major actor within the Guatemalan development community and a stable counterpart for channeling significant funds to projects of interest to AID.

Major accomplishments under the amended OPG include the following:

A. Internal Administration

A major accomplishment was the development of a complete office administration manual to complement the accounting manuals developed under the original OPG.

Another accomplishment consisted of the successful delegation of authority by the Board of Directors to the Executive Director, which was required for rapid and more opportune decision-making on the part of the Executive Director. However, the amount and diversity of duties have overextended the

Executive Director and made it impossible for him to accomplish his multiple representational, public relations and management tasks effectively. Specific areas where he has experienced difficulty include: 1) improving membership communication and relationships, 2) developing a more complete fund raising strategy and applying that strategy, 3) enhancing involvement and participation in the tripartite negotiations between the World Bank, the GOG, and ASINDES, 4) increasing contact with other multilateral development agencies and bilateral organizations such as the Inter-American Development Bank, the European missions represented in Guatemala, and the various offices within the AID Mission in Guatemala, 5) increasing involvement in other strategic objectives contained in the Resume of the Plan Quinquenal, and 6) devoting more in-depth study to the financial functions of ASINDES with regard to administering credit finance programs with NGOs.

ASINDES can also take credit for the development of a capable and efficient staff with improved morale. As noted, although there remain important tasks in improving staff skills, on the whole the staff has high morale and demonstrates efficient operations in the discharge of its responsibilities.

The development of a number of important planning documents, especially at the technical staff level, constitutes another of the achievements of the organization. Nevertheless, ASINDES still faces the need to improve its planning instruments and processes, especially at the Board level, and the Executive Director has to address issues that he has neglected due to his current overextension of responsibilities (as noted above).

There is also the need to increase and systematize staff training, especially in computerized financial and project tracking systems.

B. Project Administration

ASINDES has developed all the necessary instruments and technical capacity to administer a grants program to individual NGOs for medium-sized projects. This system includes technical capabilities in the identification, analysis, supervision, and evaluation of projects. As a result, ASINDES has been able to disburse more than \$1.0 million in grants to over 30 medium-sized projects and 30 small community infrastructure projects. Furthermore, the technical assistance in project presentation and institutional strengthening which has characterized the Projects Department has had positive consequences in terms of the institutional and implementing capacity of the NGO grantees. Examples include the Institute of Cultural Affairs, Redh Integral, and Asociacion Cristiana de Jovenes (ACJ).

However, this system needs to be improved in terms of its computerization. In particular, database capabilities and cost-benefit and efficiency analyses are insufficient to meet the rigorous requirements of many of the larger multilateral financial institutions and commercial banks.

Furthermore, the expertise and capabilities of ASINDES relate only to grants. Although it has sponsored revolving loan funds through its grants to NGOs, it does not have experience or systems to administer credits to NGO grantees. It also does not have the capability itself to receive credit financing from donors.

C. Technical Assistance and Training

ASINDES has been able to organize an impressive number of technical assistance and training events on such topics as strategic planning, small community enterprise development, and environmental assessment. It has also introduced the idea of sectoral planning in the areas of health, micro-enterprise development, agriculture, and agroforestry. These events, according to participants interviewed for this evaluation, have helped to strengthen their institution's ability to plan and implement projects and have met many of the immediate needs of the NGO community.

However, the Technical Assistance Department is still characterized by understaffing. This has led to the failure to institutionalize and complete its sectoral program strategy. This is reflected in the fact that ASINDES' funding is still done on an individual, project-specific basis rather than in the context of coordinated sectoral programs and strategies.

Not included in the amended OPG are other objectives which are nevertheless essential to the stability, if not to the survival, of ASINDES. The most important of these is the achievement of financial self-sufficiency. ASINDES' efforts in this area have been less successful than in the objectives previously mentioned. Nevertheless, diversification of funding sources has begun through the negotiation of contracts with the GOG and through the close working relationships as well as important technical and administrative duties undertaken in relation to the GOG/World Bank-sponsored Social Investment Fund. Furthermore, after numerous ineffectual attempts, a fund raising strategy has finally begun to be developed. However, ASINDES still remains dangerously overdependent on AID and the GOG since the World Bank SIF initiative was still problematic at the time of the writing of this evaluation. Furthermore, the fund raising campaign has not achieved priority status for ASINDES, as evidenced by the postponement and cancellation of important activities in this regard.

Another important issue affecting ASINDES' stability is a factor not explicitly mentioned in the text but affecting all of ASINDES' activities. ASINDES must confront the issue of a possible conflict which is beginning to arise between its "solidarity" and its auditing functions. Up to the present, most NGOs have accepted ASINDES supervision and suggestions with reference to the project financed funds channeled by ASINDES. However, in a few cases involving repayment of misused funds, antagonisms have arisen. If and when ASINDES begins to work with credit financing, it is foreseen that this will emerge as a major issue. ASINDES must begin thinking now about institutional and other alternatives to resolve this problem in future.

XII. RECOMMENDATIONS

A. For the Board of Directors

1. The Board of Directors should develop a work plan for its own functions and the general direction of ASINDES.
2. The Board of Directors should require and use a director's work plan developed in sufficient detail and including a format adequate for monitoring purposes (including indicators, milestones, and time frames).
3. The Board of Directors should also require budget analyses from the Executive Director and the Financial Coordinator.
4. The Board should participate in more training events (both formal and informal). The range of activities could include involvement in new initiatives as well as courses and training visits.
5. The Board should require that ASINDES develop a complete fund raising plan with specific functions, responsibilities, and timetables for its implementation. The Board of Directors should also play an active role and participate in its development and execution.

B. For the Executive Director

1. The Executive Director should take immediate steps to hire an Assistant Executive Director with clearly specified functions and authority.
2. The Executive Director should proceed to the immediate staffing of the Technical Assistance Department of ASINDES.
3. He should develop an objective salary policy and apply staff evaluation procedures on a regular basis.
4. Immediate steps should be taken to systematize and increase staff training, especially in office automation systems, i.e., "computerization." Efforts should be made to take advantage of PACT's experience in developing automated systems elsewhere.
5. The Financial Coordinator should develop an internal auditing capacity.
6. The Project Selection Committee should be reconstituted and become functional once again, with improved reporting on the

supervision of the projects already funded.

C. For PACT

1. PACT/New York should invite ASINDES to participate in PACT meetings to effect joint planning of the Guatemala program.

2. The Resident Representative should renew his efforts to find an effective way to communicate with the Board of Directors through either written communications, attendance at Board meetings, or participation in Board training events.

3. The Resident Representative should establish formal agreements with the Board, Director, and staff as to priority objectives requiring his assistance.

4. As a result of the PACT-ASINDES joint planning exercise, strategic objectives should be jointly agreed upon, with PACT devoting the majority of its expertise and resources to the accomplishment of these objectives.

5. As one of its priority objectives, both PACT/New York and the Resident Representative should make every effort to ensure the full computerization of the ASINDES program before the completion of the amended OPG in June 1990. These efforts should take advantage of the expertise that PACT has acquired in developing projects elsewhere.

D. For AID

1. USAID/Guatemala should take the necessary steps to communicate to the Mission in general the progress that ASINDES has made with regard to its institutional capacity in order to effectively explore areas of mutual benefit.

2. The Mission should continue its support to ASINDES in order to consolidate its institutional capabilities, ensure its stability, and increase its effectiveness. This support should consider as priority objectives ASINDES' financial self-sufficiency, the resolution of internal structural contradictions, and an expanded technical assistance program.

3. As a condition to continued support, AID should require a previous agreement and commitment by the ASINDES Board, PACT, and AID as to the achievement of these goals and the major steps required therefor.

4. AID should establish mechanisms to ensure that beneficiaries are aware of the source of funds received through local NGOs.

A.I.D. EVALUATION

OE

PACT = ASINDES = OPG 820-014A

SCOPE OF WORK

I. BACKGROUND

In June of 1988 PACT signed with the A.I.D./Guatemala Misión an amendment extending for 2 additional years an OPG for the institutional strengthening of ASINDES to support PVOs operating in Guatemala by helping Asindes develop the capacity for:

1. The selection and financing of projects
2. The follow up and evaluation of projects
3. The formulation and coordination of technical assistance and training programs for the NGO community in Guatemala.

The 2 year amendment has been in effect for over a year and is scheduled to end in June of 1990.

II. EVALUATION FRAMEWORK

The terms of the amendment stipulate, and the revised budget, provides for, a mid-term evaluation, according to the terms of the amended OPG. The purpose of this evaluation, and the function of the evaluation report agreed upon by the A.I.D. mission and pact, are the following:

II.1 Purpose

II.1.1 To assess the progress of the program in terms of the amended goals and objectives; to help assess the appropriateness and effectiveness of the project administration system, of the technical assistance and training program, of ASINDES managerial and administrative systems; and of the managerial, technical and strategic inputs of PACT needed to achieve these goals and objectives.

II.1.2 To assess the adequacy of the objectives and goals of the OPG with reference to the new and emerging needs of ASINDES' and the Guatemalan PVO community, especially in relation to: Their partnership role with the GOG and international and multilateral funding institutions; the new and rigorous standards required of NGOs in planning, implementing, monitoring, and evaluating projects; their need to collaborate in national programs; and the development of a more active and influential role in government donor policies.

II.1.1 To summarize these findings and to make recommendations as to programmatic, strategic, technical or any other changes needed to achieve program goals, and/or to enhance its effectiveness.

II.2 Principal function of the evaluation

To provide strategy, technical, and program guidance to PACT and A.I.D. and ASINDES for introducing changes or reinforcing methods to achieve an effective and successful completion of the project.

II.3 Additional functions of the evaluation

II.3.1 To determine whether the recommendations of the previous A.I.D. evaluation have been effectively implemented.

II.3.2 To assess whether an adjustment in goals and objectives is necessary to meet the new "Partnership" status being developed in ASINDES and the NGO community.

II.3.3 To assess whether the organizational development which will have been achieved by ASINDES at the termination of the project will be sufficient to assure its continued growth and operation; or whether a prolongation of technical assistance in institutional development is advisable.

III SCOPE OF WORK

The focus of the evaluation will be THREEFOLD:

III.1 the implementation of the recommendations of the 1988 A.I.D. evaluation.

III.2 The degree of achievement of the amended goals and objectives of the OPG, as seen: in ASINDES institutional strength; in its project administration and financial assistance systems; in the impact of the projects it has funded; and in the appropriateness of PACT's and A.I.D.'s roles in the different components of the institutional strengthening process.

III.3 The adequacy of ASINDES organizational development and of its capacity to strengthen the NGO community in the partnership role that has emerged for NGOs, and in light of the requirements and responsibilities implied in that role. Will the development that ASINDES and NGOs in general have achieved by the termination of the project be sufficient to assure the successful execution of the new tasks and responsibilities being acquired by its commitments with multilateral financial institutions and government development plans of national scope?

The scope of work of the evaluation is the following:

IV INSTITUTIONAL STRENGTHENING OF ASINDES

IV.1 Personnel

- IV.1.1 Proper member and types?
- IV.1.2 Qualifications?
- IV.1.3 Stability?

IV.2 Administration and management

IV.2.1 Financial Management

IV.2.1.1 Are the functions of the respective personas in charge of the financial and accounting activities well defined, efficient, and operational?

- Board (treasurer)
- Executive Director
- Accountant
- Executive Secretary

IV.2.1.2 Is the accounting and financial planning system adequate for present and foreseeable future needs?

IV.2.2 Personnel Management

IV.2.2.1 Is the personnel manual adequate and complied with?

IV.2.2.2 Regular evaluation?

IV.2.2.3 Job description?

IV.2.2.4 Communication and information flows?

IV.2.2.5 Training?

IV.3 Annual activities and financial report?

IV.4 Composition and functioning of board?

IV.5 Status of ASINDES membership?

IV.6 Financial status?

IV.7 Efforts made to diversify funding?

IV.8 Representational and coordinating activities?

V PROJECT ADMINISTRATION AND FUNDING PROGRAM

V.1 Status of policies, guidelines and criteria?

V.2 Role and performance of analysts?

V.3 Project selection committee?

V.4 Number and types of projects supported?

V.5 Grantees reporting adequately?

V.6 Monitoring and evaluation systems and performance?

V.7 Changes in quantity and quality of projects over time?

VI TECHNICAL ASSISTANCE AND TRAINING PROGRAM

VI.1 status

VI.2 Adequate to needs of PVO community?

VI.3 Number and kind of events?

VI.4 Impact of events?

VI.5 Is training of ASINDES staff adequate?

VII PACT AND A.I.D. INPUTS

VII.1 What inputs have been provided?

VII.2 Are they adequate?

VII.3 Have the recommendations of the 1987 evaluations with respect to A.I.D. and PACT been adequately carried out?

VII.4 Impact of these inputs.

VIII METHODOLOGY

VIII.1 Review Documents

VIII.1.1 Original OPG

VIII.1.2 Amendment

VIII.1.3 Implementation Plans

VIII.1.4 1987 Evaluation

VIII.2 Interviews

VIII.2.1 ASINDES Staff (all)

VIII.2.2 Board (all)

VIII.2.3 Member (sample)

VIII.2.4 PACT RR

VIII.2.5 PACT NY

VIII.2.6 Consultants

VIII.2.7 USAID

VIII.2.8 Other C P S C, member PVOs.

VIII.3 Projects

VIII.3.1 Select 4-5 representative projects:

- large

- medium or small

- Productive

- Social

VIII.3.2 Rapid impact assessment

- objectives achieved?
- cost/benefit
- impact
- social
- economic

VIII.4 Training: attend at least one event.

LISTA PERSONAS ENTREVISTADAS

ASINDES

Ingra. Cristian Munduate	- Coordinadora Asistencia Técnica
Licda. Alma Irene González	- Coordinadora de Proyectos
Sr. Paul Rosal	- Analista de Proyectos
Licda. Ligia Orantes	- Asistente Proyectos
Lic. Erick Chicol	- Director Ejecutivo
Dr. Arturo Sist	- Representante Residente FACT - Guatemala
Lic. José Luis Jiménez	- Coordinador Financiero
Sr. Hugo Matheu	- Auxiliar de Contabilidad

CONSULTORES ASINDES

Ing. Abel Girón
Lic. Leonel Cabrera

JUNTA DIRECTIVA DE ASINDES

Lic. Alvaro Muñoz	- Vice-Presidente
Dr. Rolando Torres	- Presidente
Lic. Hildebrando Cumes	- Vocal

COMITE DE SELECCION DE PROYECTOS

Licda. Francis Asturias

A. I. D.

- | | |
|-------------------------|--|
| Señor Felipe Manteiga | - Jefe de la Oficina de Desarrollo para la Empresa Privada |
| Señor Roberto Perdomo | - Coordinador del Fondo Especial de Desarrollo |
| Señor Arnoldo Izaguirre | - Asistente Director Depto. Programas |

MEMBRESIA

- | | |
|---------------------|-------------------------------|
| Dr. Edgardo Cáceres | - Director Ejecutivo CEMAT |
| Sr. Juan Córdova | - Director Ejecutivo M.G.R.P. |

GOBIERNO

- | | |
|--------------------|--|
| Lic. Gustavo Leiva | - Tercer Vice-Ministro del Ministerio de Finanzas Públicas |
|--------------------|--|

OTRAS INSTITUCIONES

- | | |
|-------------------|-----------------|
| Sr. James Coberly | - Director CARE |
|-------------------|-----------------|

VISITA PROYECTO SAN MIGUEL CONACASTE

- | | |
|--------------------------|--|
| Sra. Jesusa Aburto Arias | - Coordinadora de Proyectos de I.C.A. |
| Sr. Guadalupe Gática | - Miembro Comité de Desarrollo local de los Llanos de Morales. |
| Sr. Aurelio Salazar | - Miembro Comité de Desarrollo local de los Llanos de Morales. |
| Sr. Mario Ramírez | - Presidente Cooperativa San Miguel Conacaste. |

Srita. Lesbia Gálvez

- Cooperativa San Miguel
Conacaste.

José Aguilar

- Presidente Comité de Desarrollo Local.

Sr. José González

- Coordinador de Comité de Desarrollo Local.

PLAN DE TRABAJO

AÑO 1989

DIRECCION EJECUTIVA ASINDES-ONG

DESCRIPCION	OBJETIVOS	JUSTIFICACION
<p>El presente Plan de Trabajo correspondiente a la Dirección Ejecutiva de ASINDES consiste en describir las funciones estatutarias, estratégicas y operacionales, que le son propias a la misma, como el órgano ejecutor de las políticas y la administración general de la Institución por mandato de la Junta Directiva</p> <p>El Plan contiene las funciones, que serán traducidas a acciones y éstas a resultados durante el año de 1989. En sí mismo, el Plan únicamente constituye la guía que marca el camino a seguir, dependerá de la dinámica que se le impregne, la que determine en definitiva la consecución de los resultados.</p>	<ul style="list-style-type: none"> ● Globalizar las acciones a cargo de ASINDES en las cuales, la dirección Ejecutiva tiene la responsabilidad de orientar y conducir ● Proporcionar una visión de conjunto de las funciones propias de la Dirección Ejecutiva ● Contar con el instrumento técnico-administrativo que guie las gestiones de la Dirección de la Dirección Ejecutiva de manera sistemática, coherente y visionaria al igual que, permita evaluar permanentemente el cumplimiento de la gestión y las posiciones estratégicas 	<p>La Dirección Ejecutiva como el órgano de mayor jerarquía en la estructura orgánico-funcional en la cual la Junta Directiva delega la administración general, desarrolla una serie de funciones las cuales es importante definir</p> <ul style="list-style-type: none"> ● Estatutarias Son las que le han sido delegadas explícitamente por la Asamblea Gral o través de los estatutos y son las que brindan el marco legal para el desenvolvimiento técnico-administrativo Acdo Gub No 8-46-86 de fecha 24/11/86 ● Estratégicas Son las funciones implícitas derivadas de las anteriores, que permiten proyectar en el mediano y largo plazo las acciones de ASINDES, de una manera general ● Operacionales son las funciones específicas de corto plazo cuya ejecución procede de inmediato siendo su realización la que concretiza las acciones y produce resultados tangibles

PLAN DE TRABAJO

DIRECCION EJECUTIVA ASINDES-ONG

AÑO 1989

FUNCIONES ESTATUTARIAS	FUNCIONES ESTRATEGICAS (Generales)	FUNCIONES OPERACIONALES (Específicas)	CALENDARIO															
			E	F	M	A	M	J	J	A	S	O	N	D				
1 Coordinar y ejecutar las acciones técnicas y administrativas que acuerde la Junta Directiva	TECNICAS:																	
	1.1 Analizar las políticas de desarrollo y sus características sectoriales identificando su consistencia y oportunidad con el proceso socio-político																	
	1.2 Analizar la trayectoria de las organizaciones miembros, de tal manera que se cumpla con los objetivos dentro de la Asociación	1.2.1 Que se mantenga una filosofía organizacional que fortalezca la creatividad, motivación, comunicación y productividad en las ONG's																
	1.3 Proponer la apertura de programas en atención al exámen de prioridades	1.3.1 Creación de una base y banco de datos que sirvan de referencia e información a las ONG's/Centro de documentación									X							
	1.4 Examinar métodos de trabajo y la tecnología empleada en los diferentes programas en ejecución	1.4.1 Realizar vistas, entrevistas en los centros de trabajo de las ONG's 1.4.2 Promover intercambios de información a través de sesiones de trabajo, documentos		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
1.5 Analizar las tendencias de los indicadores socioeconómicos que sirvan de orientación a las organizaciones miembros de ASINDES	1.5.1 Ayudar a los estudios macroeconómicos y su interpretación y aplicación práctica																	

PLAN DE TRABAJO

DIRECCION EJECUTIVA ASINDES-GNG

AÑO 1989

FUNCIONES ESTADUTARIAS	FUNCIONES ESTRATEGICAS (Generales)	FUNCIONES OPERACIONALES (Específicas)	CALENDARIO											
			E	F	M	A	M	J	J	A	S	O	N	D
	1 6 Identificar las necesidades de coordinación interinstitucional y sectorial que potencien la eficiencia y el impacto de los programas	1 6 1 Realizar un acercamiento periódico a las entidades afines al sector de las ONG's y a las comunidades beneficiarias	X	X	X	X	X	X	X	X	X	X	X	X
	1 7 Detectar los problemas que limitan la coordinación y superarlos	1 7 1 Consultar a las ONG's sobre áreas de interés y aceptación												
	1 8 Mantener relación con el Com. Seleccionado de Proyectos.	1 8 1 Asistir a las reuniones del Com. Seleccionado de Proyectos												
	ADMINISTRACION:	1 8 2 Preparar a la Mesa Directiva nuevos miembros en sustitución de los que deben cambiarse												
	1 9 Mejorar la capacidad operativa de ASINDES.	1 9 1 Adquirir Equipos procesamiento datos												
	1 10 Desarrollar actividades de cambio en el comportamiento organizacional	1 10 1 Reuniones quincenal con el personal	X	X	X	X	X	X	X	X	X	X	X	X
	1 11 Analizar el presupuesto y su ejecución	1 11.1 Elaborar informes del grado de ejecución	X	X	X	X	X	X	X	X	X	X	X	X
	1 12 Ordenar desembolsos	1 12.1 Elaborar convenios y entrega de cheques	X	X	X	X	X	X	X	X	X	X	X	X
	1 13 Conducir la administración general bajo principios técnicos	1 13.1 Aplicar proceso administrativo-plani-ficar-organizar-coordinar-controlar												

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PLAN DE TRABAJO

DIRECCION EJECUTIVA ASINDES-ONG

AÑO 1989

FUNCIONES ESTATUTARIAS	FUNCIONES ESTRATEGICAS (Generales)	FUNCIONES OPERACIONALES (Específicas)	CALENDARIO																	
			E	F	M	A	M	J	J	A	S	O	N	D						
2 Acordar con el presidente de la Junta Directiva las acciones sobre los asuntos de la Asociación	2.1 Traducir a procedimientos técnico-administrativos y ejecución de las políticas derivadas de la Junta Directiva 2.2 Representar a la membresía	2.1.1 Elaboración de planes estratégicos y operativos, procedimientos administrativos, estudios técnicos que fortalezcan las actividades de ASINDES					X							X						
		2.2.1 Participar activamente ante diferentes entidades en protección a los intereses de las ONG's y de los sectores populares del país	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
		2.2.2 Participar en la defensa del espacio político ganado por ASINDES frente a diferentes sectores del país	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
		2.2.3 Representar a ASINDES en las diferentes instancias del Gobierno	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
		2.2.4 Representar a ASINDES ante la comunidad internacional	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	

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PLAN DE TRABAJO
DIRECCION EJECUTIVA ASINDES-ONG

AÑO 1989

FUNCIONES ESTATUTARIAS	FUNCIONES ESTRATEGICAS (Generales)	FUNCION/ES OPERACIONALES (Específicas)	CALENDARIO													
			E	F	M	A	M	J	J	A	S	O	N	D		
3. Reportar a la Junta Directiva un Plan de Trabajo y aquellas acciones que sean necesarias para la satisfacción de los objetivos de la Asociación	3.1 Facilitar la obtención de diferentes líneas de financiamiento	3.1.1 Programar y efectuar visitas a organismos nacionales e internacionales dentro y fuera del país 3.1.2 Promover la diversificación de fuentes y tipos de financiamiento														
	3.2 Preparar y suministrar a las organizaciones información periódica capacitación y asistencia técnica	3.2.1 Divulgar y coordinar el servicio de información a las afiliadas														
	3.3 Motivar al personal que componen las oficinas centrales de ASINDES	3.3.1 Hacer participe al personal de los programas promovidos por ASINDES en diferentes campos 3.3.2 Realizar charlas de acercamiento														
	3.4 Diseñar estrategias institucionales compatibles con la realidad que vive el país	3.4.1 Analizar permanentemente el trabajo comunitario, impacto y proyección para los ajustes que sean pertinentes														
	3.5 Monitorear y evaluar periódicamente el avance de los proyectos	3.5.1 Revisar metas 3.5.2 Analizar suministro de recursos														

PLAN DE TRABAJO

DIRECCION EJECUTIVA ASINDES-ONG

AÑO 1989

FUNCIONES ESTADÍSTARIAS	FUNCIONES ESTRATEGICAS (Generales)	FUNCIONES OPERACIONALES (Específicas)	CALENDARIO												
			E	F	M	A	M	J	J	A	S	O	N	D	
4 Asistir a las sesiones de la Junta Directiva y de la Asamblea General con voz pero sin voto	4.1 Recabar la información necesaria para que la Junta Directiva tome decisiones bien fundamentadas	4.1.1 Asistir a las sesiones de la Junta Directiva	X	X	X	X	X	X	X	X	X	X	X	X	X
		4.1.2 Asistir a las sesiones de la Asamblea general			X	X	X		X				X		
5 Preparar la documentación para los asuntos que se tramitan a la Asamblea General y a la Junta Directiva sobre las actividades a desarrollar en las áreas administrativas y técnicas	5.1 Ordenar, analizar y aprobar la elaboración de documentos de interés a las organizaciones miembros	5.1.1 Elaborar documentos para uso interno local e internacional para diferentes propósitos													
	5.2 Preparar la memoria de labores	5.2.1 Recabar informes de las actividades realizadas, ordenar, consolidar y diseño del informe													
	5.3 Preparar los informes sobre el presupuesto-estados financieros	5.3.1 Sistematizar controles de gastos 5.3.2 Promover la fiscalización de las finanzas				X							X		

PLAN DE TRABAJO

DIRECCION EJECUTIVA ASINDES-ONG

AÑO 1989

FUNCIONES ESTADUTARIAS	FUNCIONES ESTRATEGICAS (Generales)	FUNCIONES OPERACIONALES (Específicas)	CALENDARIO													
			E	F	M	A	M	J	J	A	S	O	N	D		
6 Seleccionar, nombrar y remover al personal técnico-administrativo de la Dirección Ejecutiva, con la aprobación de la Junta Directiva	6.1 Velar por la adecuada formación y utilización de los recursos humanos	6.1.1 Facilitar la participación a cursos de capacitación								X						
	6.2 Establecer formas de contratación de personal	6.1.2 Aprovechar capacidad profesional, productividad, estabilidad del personal														
		6.2.1 Analizar y proceder a sistemas de contratación más convenientes, tiempo completo, parcial, sobre producto, otros														

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1 ITEMS	2 EJECUTADO HASTA 10/31/89	3 PRESUPUESTO TOTAL	4 + ó (-) (3 - 2)	5 PROYECCION GTS. HASTA TERMINAR PROYECTO	6 PROYECCION + ó (-) AL TERMINAR EL PROYECTO (4 - 5)	7 AJUSTE SUGERIDO (3 - 6)
I Salarios B.Y. y Rep. Residente	300,451	350,957	50,516	60,090	(9,574 (+5%))	362,000
II Inverciones B.Y.	222,500	345,561	122,973	121,003	1,970	343,691
III Viajes Consultores	27,482	81,850	54,368	8,000	46,368	36,000
IV Otros Viajes	47,041	9,893	-37,148	9,408	-47,000	57,000
V Otros Gastos (Imprevistos)	3,095	1,866	-1,129	619	-2,000	4,000
VI Asesoramiento, Rep. Residente	6,277	12,000	5,723	5,723	0	12,000
VII Consultorias	68,274	105,423	37,149	37,000	0	105,000
VIII Rep. Residente Alquileres	17,274	41,600	24,326	6,440	17,886	24,000
IX Vehiculos (compra)	32,392	34,500	2,208	4,000	-1,792	36,300
X Personal Local	173,416	191,766	18,350	64,400	-46,050	237,000
XI Comunicaciones Locales	22,950	20,200	-2,750	5,000	-7,750	28,000
XII Equipo de Oficina	16,499	25,300	8,801	22,000	0	39,300
XIII Alquiler de Oficina	14,160	11,300	-2,860	3,650	-6,510	18,000
XIV Utiles de Oficina	18,993	12,680	-6,313	5,000	-11,313	24,000
XV Operación de Vehículo	17,488	26,300	8,812	5,800	3,000	23,000
XVI Talleres (Asistencia Técnica)	58,879	260,872	201,993	84,000	117,993	144,000
XVII Man - Donaciones	139,424	240,600	101,176	101,176	0	240,600
XVIII Comité de Selección de Proyectos, etc.	2,182	11,400	9,218	4,218	5,000	6,400
XIX Donaciones para Proyectos	402,242	507,932	105,690	45,690	60,000	440,000
TOTAL (+ ó -) (2 - 7)		2,300,000			110,088	2,180,291 119,709
			Sueldos: 14,000	1) Un asistente Asistencia Técnica	6,000	
			Capacitación: ?	2) Un Coordinador Proyectos	8,300	
			Comp. Proyectos DFEyf: 20,000			
			34,000	85,709		

Amo

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TRAINING 06/20/88 = 01/21/89

BOARD AND DIRECTOR

I BOARD

EVENT	TRAINER	PARTICIPANTS	PLACE	DATE
1. Creation and operation of Financial ONGs	Fundación para la educación superior (FES), Cali, col. 3 executives	5 Board Members	Guat.	Sep. 89
2. Creation and Functions of a development Bank	Banco de Desarrollo, Santiago, Chile, Director of International Relations	3 Board members	Guat.	Feb. 89
3. Training visit, operation of Intern'l Consortium	Staff and board PACT, N.Y.	Rolando Torres	N.Y.	Nov. 89

II. DIRECTOR

EVENT	TRAINER	PLACE	DATE
1. Training Visit, Operation of World Bank Social Emergency Fund	World Bank, Local Office; Various Participating NGOs; Bolivian SEF Staff	La Paz Bolivia	Jan. 89
2. Training Visit, Operations and Functions of a Development BANK	Banco de Desarrollo, Santiago, Chile, Directors and Staff of Bank; Participating NGOs	Santiago Chile	Jan. 89 Mar. 89
3. Training Visit, Nature and Goals of NGO Financial Institutions	Cooperative Bank of Argentina; Argentinian Consortium "ENCUENTRO"	B.A.	Mar. 89
4. Seminar on Fundraising	The Resource Foundation, New York	Guat	May. 89
5. English Language Training	Experiment in International Living	Vermont, U.S.A.	August. 89
6. Training Visit, Operation of Internat'l Consortium	PACT, N.Y., Staff	N.Y.	Sep. 89
7. Seminar, Coordination of National Consortium	FOPRIDEH, Honduras	Tegucigalpa, Honduras	Dec. 89

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GUIA PARA LA PRESENTACION DE INFORMES A ASINDES

De acuerdo a lo establecido en el convenio de financiamiento entre ASINDES y la ONG receptora de fondos; ésta adquiere el compromiso de presentar a ASINDES un Informe de avance físico y financiero, 15 días posteriores a la finalización de cada periodo programado; Informe que sirve de base para la gestión y autorización de los desembolsos del proyecto.

Para el efecto, a continuación se presenta la Guía sugerida para la presentación de Informes de avance y de finalización del proyecto.

==: =====

Informe No. _____

Nombre de la Institución: _____

Nombre del Proyecto: _____

Período que cubre el Informe: _____

Tipo de Informe: (De avance físico y financiero, final y de auditoría)

(Si se presenta únicamente el de auditoría, éste no responde a la guía)

I. Metas y Actividades:

I.1 Metas del Período:

(Especificar cuales son las metas que se programaron para el periodo que se presenta y el grado que se logró alcanzar).

I.2 Actividades Realizadas

(Indicar las principales actividades concretas que se realizaron, para el cumplimiento de las metas del periodo).

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2. Principales limitaciones:

(Indicar brevemente los principales problemas que limitaron la realización de actividades programadas o bien el cumplimiento de las metas).

3. Medidas correctivas

(Hacer mención sobre las estrategias utilizadas en solución a los problemas afrontados).

4. Avance del Proyecto:

(Informar concretamente el principal avance que tuvo el proyecto en el período).

5. Plan de Trabajo para el Siguiete Período:

5.1 Metas programadas

5.2 Actividades Programadas

(Listar actividades y período o fecha en que se llevarán a cabo)

6. Informe de Ejecución Financiera:

(Se adjunta formato sugerido). (La Institución deberá adjuntar a sus operaciones contables, la documentación que justifica la utilización de los fondos y mostrarlos cuando éstos sean solicitados a requerimiento de ASINDES y/o la auditoría correspondiente).

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C U A D R O 1

**LIQUIDACION FINANCIERA
PROYECTO:**

Institución:

Período:

CONCEPTO	PERIODO REPORTADO		A C U M U L A D O		PRESUPUESTO	TOTAL APROBADO
	ASINDES	CONTRAPARTE	ASINDES	CONTRAPARTE	ASINDES	CONTRAPARTE
SALDO INICIAL					////////////////////	////////////////////
(+) Ingresos					////////////////////	////////////////////
(-) Responsabilidad					////////////////////	////////////////////
(-) Egresos						
Total Egresos						
(=) Saldo final (Excedente o deficit)					////////////////////	////////////////////

(Nota El saldo final deberá ser trasladado como saldo inicial en la siguiente liquidación).

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CUADRO 2

LIQUIDACION FINANCIERA
FONDOS A S I N D E S

Proyecto:

Institución:

Periodo:

RUBROS	PRESUPUESTO APROBADO	PRESUPUESTO EJECUTADO	VARIACION	%	OBSERVACIONES

(Los montos reportados corresponden únicamente al periodo que se liquida y responde al análisis de la primer columna del cuadro 1).

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GUIA DE ENTREVISTA
'PROYECTO CULTIVO E INDUSTRIALIZACION DEL
PASHTE, EN EL ISLOTE SANTA ROSA Y ESCUINTLA

Fecha de Evaluacion:

Evaluador:

Nombre Entrevistado:

Participación dentro del proyecto:

Aldea:

Municipio:

Departamento:

AREA TECNICA

- Sistema de Agua Potable
- Sistema de riego para cultivos
- Construcción de Tapexcos
- Plan Fitosanitario del cultivo
 - fertilización
 - insecticidas
 - fungicidas
- Industrialización del Pashre
 - construcción de talleres
 - montaje y operación
 - maquinaria
 - personal del proceso
 - Número de operarios
 - volúmenes de producción
 - capacitación del personal

AREA ECONOMICO-FINANCIERA

- Ingreso Familiar (mensual)
- Volúmenes de Producción en bruto (por cuerda)
- Sistema de Producción
 - semilla utilizada
 - siembra, limpia, cosecha etc.

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EVENTOS PARA LA MEMBRÉSIA

- | | |
|---|-----------------|
| - Administración de Fondo Revolvente. | Septiembre 1988 |
| - Seminario-Taller sobre Aspectos de salud | Noviembre 1988 |
| - Seminario-taller de microempresa | Febrero 1989 |
| - Seminario-taller Estudio de los requerimientos económico financieros, metas y programas de las ONGs | Enero 1989 |
| - Seminario Planificación Estratégica | Septiembre 1989 |
| - Seminario Taller El Papel de las ONGs en el Desarrollo Agrícola | Diciembre 1989 |
| - Seminario Transferencia Tecnológica Sobre Metodología Para el Desarrollo Empresarial Rural | Junio 1989 |
| - Reunión Consulta Modelo Salud de ASINDES | Junio 1989 |
| - Reunión Medidas Ambientales Básicas y Manejo de Recursos Naturales para ser Considerados en Proyectos Agrícolas | Septiembre 1989 |
| - Reunión Coordinación COFIS para Formulación Cartera de Proyectos | Diciembre 1989 |
| - Reunión de Consulta, Presentación y Coordinación Proyecto Agroforestal ASINDES | Agosto 1989 |
| - Conferencia El Entorno Socio-Económico y político como marco condicionante, y la trascendencia de su análisis coyuntural para el impulso de actividades de Desarrollo | Julio 1989 |
| - Conferencia Microempresa y Desarrollo | Junio 1989 |