

PD-ABI-885

Regional Office for Central American Programs**SEMI-ANNUAL REPORT****October 1, 1992****to****March 31, 1993****I. MISSION DIRECTOR'S ASSESSMENT****1. PORTFOLIO OVERVIEW**

The ROCAP/Guatemala portfolio remains focused around its three approved Strategic Objectives. Considerable progress towards meeting those objectives was realized during the report period. There were no major implementation delays or problems. One "other" project terminated during the reporting period, leaving four remaining "other" active projects outside the S.O.s as the ROCAP portfolio continues to become more focused. With the consolidation of the ROCAP and USAID Guatemala Missions into one Mission, we plan to closely review the S.O.s making changes where appropriate.

2. PIPELINE

During the reporting period, ROCAP's active project pipeline was reduced by over \$7.9 million to \$25.2 million, reflecting continuing implementation progress. The only projects in the pipeline that are of concern are the RENARM (596-0150) and CADCC (596-0176) projects. Neither is a major problem.

3. MORTGAGE

The ROCAP mortgage for active projects reflects a \$19 million reduction over the last report period from \$47.8 million to \$28.8 (\$16.8 million will not be obligated to the terminated Shelter and Urban Development project: 596-0143). The RENARM project (596-0150) mortgage (approximately \$13 million after the FY 93 OYB is obligated) is unlikely to be fully obligated by the current PACD of 9/95. A mid-term evaluation will provide input for a decision on extension of the PACD and possible follow-on Phase II activities. Given the probable decreased availability of unrestricted DA funds, the mortgages for the LOGROS (596-0187), EARTH school (596-0129), and EXITOS (596-0165) projects may prove problematical. Given that no new projects were approved or authorized during the period, and that only minor modifications to ongoing projects are planned, it is anticipated that the pipeline will continue to drawdown.

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4. ACTIVITY HIGHLIGHTS

a) Regional Environmental and Natural Resources Management Project (596-0150):

b) Regional Development Support Project (596-0162):
The two person Regional Information Clearinghouse team arrived and initiated activities under the RDS project in February. They will be working closely with the other USAID Missions in the region as well as with regional institutions to facilitate information flow promoting regional cooperation /integration in Central America.

c) Export Industry Technology Support Project (EXITOS) (596-0165): The EXITOS project continues to be a major factor in promoting non-traditional exports from the region. It played a significant role in the expansion of the Guatemalan tradeshow, AGRITRADE, into a regional event. The EXITOS project implementation is proceeding at an accelerated level which will result in draw-down of project funding prior to the PACD of 9/30/95. The Mission is exploring ways to fund the project through that date, given its great success to date.

d) Partnership for Democracy and Development (596-0177):
PDD has emerged as a significant mechanism in strengthening a regional system of trade and investment information services and the preparation of a regional conference to promote investment. The active involvement of other donor countries working with the Central American countries is serving to provide a strong forum for future development.

5. SIGNIFICANT PROBLEMS AND DELAYS

a) Timeliness of OYB Allowances: This continues to be a problem, impacting on the achievement of project objectives. Receipt of budget allowances late in the second and third quarters delays funding of contracts and grants on a timely basis causing a scale-back of planned implementation activities. No doubt, this is an Agency-wide problem, but it needs to be addressed if A.I.D.'s overall program and credibility are not to be adversely affected.

b) Central American Development Coordination Commission Project (596-0177): There was virtually no implementation progress during the initial eighteen months of this two year project. It remains a "C" project even though activities are now underway. Objectives of the project now appear attainable, but will require an eighteen month extension to the PACD.

II

FINANCIAL SUMMARY AND PIPELINE ANALYSIS OF RQCAP/GUATEMALA PORTFOLIO

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BEST AVAILABLE DOCUMENT

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Exceptions Matrix

BEST AVAILABLE DOCUMENT

**ROCAP/Guatemala
EXCEPTIONS MATRIX
(October 1, 1992 - September 30, 1993)**

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
PROJ. No. & NAME	DATE OF INIT. OBLIG.	PROJ. STATUS	SIZE OF PIPE-CP's	AGE OF PIPE-LINE	ACCURD UNCOMM.	EXPEND.	BALANCE	BOPS-A	BOPS-B	AUDIT-A	AUDIT-B	EVALUA-TION-A	EVALUA-TION-B
STRATEGIC OBJECTIVE NO. 1: AN OPEN AND COMPETITIVE REGIONAL ECONOMY													
1) 596-0123 Exp. Agriculture Dev. Prom. (LAAD)	09/30/86	B	Met	√		X			X	XX		X	
2) 596-0147 Economic Policy & Research	08/30/88	B	Met	XX		X			X		X		
3) 596-0149 Private Sector Initiatives	02/27/89	A	N/A							X			
4) 596-0165 Export Industry Technology Support (EUTOS)	08/29/91	B	N/A							XX		X	
5) 596-0177 Partnership for Democracy and Development (PDD)	08/25/92	B	N/A			X				XX		X	
STRATEGIC OBJECTIVE NO. 2: ENVIRONMENTALLY SOUND AND EFFICIENT PRACTICES IN NATURAL RESOURCE MANAGEMENT													
1) 596-0127 Regional Agricultural Technology Networks (PROCACAO)	09/23/87	A	Met	√		X					XX 2/		
2) 596-0129A Regional Agricultural Higher Education (G.A)	08/30/85	B	Met						X		XX 2/		
3) 596-0150 Regional Environmental & Natural Resources Management	09/15/89	B	Met	XX							XX 2/	X	
STRATEGIC OBJECTIVE NO. 3: MORE EFFECTIVE AND DEMOCRATIC LOCAL GOVERNANCE													
1) 596-0167 Local Government Regional Outreach Strategy (LOGROS)	09/22/92	A	N/A			X						X	

1/ These projects have no obligations in FY '91, '92 & '93.

2/ This is a CATE open audit recommendation.

ROCAP/Guatemala
EXCEPTIONS MATRIX
 (October 1, 1992 - September 30, 1993)

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
PROJ. No. & NAME	DATE OF INIT. DESIG- OBLIG. NATION	PROJ. STATUS OF CP's	SIZE OF PIPES OF PIPES	AGE OF PIPES	ACCRUED UNCOMM. EXPEND.	BALANCE	EOPS-A	EOPS-B	AUDIT-A	AUDIT-B	EVALUA- TION-A	EVALUA- TION-B	
IN SUPPORT OF ALL THREE OBJECTIVES													
0.96-0162 Regional Development Support	07/28/90	B	N/A						X	X			
OTHER ACTIVITIES													
1) 96-0116 Technical Support for Food Assistance	03/23/85	B	Met						X			X	
2) 96-0130 CA Peace Scholarship Program	08/06/85	B	Met							X	X	XX	
3) 96-0146 Rural Electrification Support	05/05/87	A	Met	XX					X	XX			
4) 96-0149 ENCAP Institutional Strengthening	06/26/91	B	Met	X						XX		X	
5) 96-0176 CA Development Coordination Commission (CADCOC)	09/30/91	C	N/A	XX		X	X	X		XX		X	

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II.B

Financial Summary Table

FINANCIAL SUMMARY OF ROCAP/GUATEMALA PORTFOLIO
(OCTOBER 1, 1992 - MARCH 31, 1993)
(\$000)

JUN-12-93 MON 11:00 ROCAP GUATEMALA

PROJECT NO.	PROGRAM PROJECT TITLE	CAFE-SDRY	DATE OF INF. OBLIG.	LAST REVISED PAID	% OF LOP ELAP	% OBLIG. EXPEND.	AUTH. LOP AMOUNT	CUM. FY OBLIG. TO DATE	CUMUL. AMOUNT OBLIG.	MORTG.	BEGN FY PIPELINE	PLANNED SEMEST EXPEND.	ACCUM. SEMEST EXPEND.	ACCUM. AS % OF PLANNED	CUMULAT. ACCRUED EXPEND.	ENDING PIPELINE	PLANNED EXPEND. NEXT SEM.
ACTIVE PROJECTS																	
STRATEGIC OBJECTIVE NO. 1: AN OPEN AND COMPETITIVE REGIONAL ECONOMY																	
11388-0123	Exp. Agricultural Dev. Prom. (J) (LAD)	B	30-Sep-88	31-Mar-89	87%	87%	\$20,731	00	\$20,731	00	\$0,234	\$2,200	\$1,778	-8%	\$17,210	\$5,422	\$000
21388-0147	Economic Policy & Research (K)	B	30-Aug-88	31-Aug-89 F 30-Jun-90 (MCAE)	91% 94%	79%	\$3,300	00	\$3,300	\$388	\$1,048	\$048	\$307	30%	\$2,700	\$042	\$000
31388-0148	Private Sector Initiative (K)	A	27-Feb-88	30-Jul-88	94%	80%	\$3,722	\$03	\$3,722	\$10	\$867	\$980	\$832	82%	\$3,400	\$272	\$872
41388-0185	Export Industry Technology (L) Support (EJTOB)	B	29-Aug-91	30-Sep-92	39%	36%	\$8,388	\$1,300	\$8,048	\$2,632	\$2,500	\$1,015	\$1,433	44%	\$3,478	\$2,570	\$885
51388-0177	Foreign Trade Development (M) and Development (POO)	B	25-Aug-82	30-Jul-87	13%	13%	\$458	\$11	\$448	\$2	\$448	\$730	\$58	37%	\$38	\$382	\$220
SUBTOTAL STRATEGIC OBJECTIVE NO. 1						79%	\$37,233	\$1,688	\$34,474	\$2,630	\$8,667	\$4,584	\$2,138	47%	\$27,888	\$7,688	\$8,747
STRATEGIC OBJECTIVE NO. 2: ENVIRONMENTALLY SOUND AND EFFICIENT PRACTICES IN NATURAL RESOURCE MANAGEMENT																	
11388-0127	Regional Technology Network (K)	A	28-Sep-87	30-Dec-87	100%	94%	\$2,388	00	\$2,388	\$0	\$488	\$100	\$30	10%	\$2,348	\$488	\$0
21388-0125A	Regional Agricul. Higher Education GLA	B	10-Aug-85	31-Dec-85 30-Sep-85 (C Rice)	91% 75%	91%	\$8,300	\$7	\$8,247	\$53	\$388	\$388	\$388	86%	\$8,300	\$138	\$0
31388-0130	Regional Environmental/Social Resource Management (L)	B	15-Sep-88	30-Sep-89	38%	88%	\$60,200	\$724	\$32,838	\$17,281	\$13,388	\$5,388	\$3,675	73%	\$22,888	\$10,238	\$5,388
SUBTOTAL STRATEGIC OBJECTIVE NO. 2						78%	\$81,888	\$717	\$43,888	\$17,314	\$14,284	\$5,885	\$4,373	74%	\$33,888	\$10,838	\$5,388
STRATEGIC OBJECTIVE NO. 3: MORE EFFECTIVE AND DEMOCRATIC LOCAL GOVERNANCE																	
11388-0187	Local Government Regional Outreach Strategy (OOPOB)	A	22-Sep-82	30-Sep-88	7%	4%	\$8,800	\$114	\$778	\$5,722	\$138	\$100	\$7	7%	\$11	\$287	\$880
SUBTOTAL STRATEGIC OBJECTIVE NO. 3						4%	\$8,800	\$114	\$778	\$5,722	\$138	\$100	\$7	N/A	\$11	\$287	\$880

**FINANCIAL SUMMARY OF ROCAP/GUATEMALA PORTFOLIO
(OCTOBER 1, 1992 - MARCH 31, 1993)
(\$000)**

JUL-12-93 MON 11:01 ROCAP GUATEMALA

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)
PROJECT NO.	PROGRAM PROJECT TITLE	CATE-COPI	DATE OF INT. OBLIG.	LAST REVISED FACD	% OF LOP CLAP	% OBLIG. EXPEND.	AUTH. LOP AMOUNT	COPY FY OBLIG. TO DATE	CURR. AMOUNT OBLIG.	BEGN FY MORTG. PIPELINE	PLANNED SEMEST. EXPEND.	ACCRUED SEMEST. EXPEND.	ACCRUED AS % OF PLANNED	CUMUL. ACCRUED EXPEND.	ENDING PIPELINE	PLANNED EXPEND. (BY 3/31)	
IN SUPPORT OF ALL THREE OBJECTIVES																	
1) 285-0482	Regional Development Support (C) A	B	28-Feb-83	28-Sep-88	47%	65%	\$5,000	(88)	\$2,324	\$2,676	\$1,228	\$945	87%	\$1,517	\$687	\$947	
SUBTOTAL IN SUPPORT OF ALL THREE OBJECTIVES						65%	\$5,000	(88)	\$2,324	\$2,676	\$1,228	\$945	87%	\$1,517	\$687	\$947	
OTHER ACTIVITIES																	
1) 285-0118	Technical Support for Food Assistance	B	28-Mar-85	31-May-89	88%	88%	\$6,100	80	\$6,100	80	\$467	\$467	83%	\$6,027	\$73	88	
2) 285-0130	C.A. Peace Scholarship Program	B	18-Sep-85 (Zamorano) 28-Aug-85 (INCAE)	28-Sep-83 (ZAMORANO) 81% (INCAE)	91%	87%	\$8,882	(84)	\$8,805	87	\$362	\$442	81%	\$8,988	\$237	\$55	
3) 285-0148	Rural Electrification Support	A	28-May-87	21-Mar-88	88%	75%	\$10,000	80	\$10,000	80	\$3,882	\$1,725	81%	\$7,523	\$2,427	\$1,188	
4) 285-0188	INCAP Institutional 1/ Strengthening	B	28-Jul-81	28-Jun-84	88%	28%	\$6,400	80	\$4,211	\$189	\$3,888	\$888	88%	\$4,888	\$3,888	\$4,133	
5) 285-0178	CA Development Coordination Commission (CADCQ)	C	28-Sep-91	28-Sep-83	75%	8%	\$488	80	\$488	80	\$488	\$110	38%	\$38	\$488	\$188	
SUBTOTAL OTHER ACTIVITIES						77%	\$27,868	(84)	\$27,814	\$278	\$8,891	\$3,312	81%	\$21,288	\$6,218	\$2,488	
SUBTOTAL ACTIVE PROJECTS						77%	\$132,222	(82,312)	\$108,378	\$29,817	\$32,738	\$14,268	87%	\$83,838	\$25,337	\$11,788	
TERMINATED PROJECTS																	
1) 285-0115	ORT Growth Monitoring & Education	B	14-Dec-81	31-May-87	100%	100%	\$8,858	(175)	\$8,875	3175	\$250	88	N/A	\$8,878	88	88	
2) 285-0117	Tree Crop Production	B	18-Aug-85	28-Jul-82	100%	100%	\$8,888	88	\$8,888	88	\$88	88	N/A	\$8,871	\$28	88	
3) 285-0143	Shelter & Urban Development (S)	B	27-Aug-87	28-Jul-82	100%	100%	\$4,008	(8248)	\$2,338	\$1,664	\$254	88	N/A	\$2,133	\$3	88	
		C	27-Aug-87	28-Jul-82	100%	N/A	\$15,008	80	80	\$15,008	80	80	N/A	80	80	80	
SUBTOTAL TERMINATED PROJECTS						100%	\$37,858	(8423)	\$29,811	\$17,038	\$388	88	N/A	\$29,874	\$37	88	
FINAL TOTAL						88%	\$174,873	(81,880)	\$128,987	\$45,888	\$33,287	\$14,585	88%	\$103,813	\$25,374	\$11,788	

1/ This Project includes \$2,880,000 in Add-Ons.

II.C

Pipeline Analysis Table

PIPELINE ANALYSIS OF ROCAP/GUATEMALA PORTFOLIO
(AS OF MARCH 31, 1993)
(000)

PROJECT NO. (1)	PROGRAM PROJECT TITLE (2)	CUMUL. OBLIG. (3)	FY Obligations (4)							Pipel. 3/31/93 (5)	Pipeline (6)							% Pip Old 3 yrs		
			1986	1987	1988	1989	1990	1991	1992		1993	1986	1987	1988	1989	1990	1991		1992	1993
ACTIVE PROJECTS																				
STRATEGIC OBJECTIVE NO. 1: AN OPEN AND COMPETITIVE REGIONAL ECONOMY																				
1) 586-0123	Exp. Agric. Dev. Prom. (3) (LAAD)	\$20,751	\$6,600	\$6,148	\$2,251	\$1,000	\$4,751	\$0	\$0	\$0	\$1,432	\$0	\$0	\$0	\$0	\$3,432	\$0	\$0	\$0	100.00%
2) 586-0147	Economic Pol. & Research (G)	\$3,305	\$0	\$0	\$730	\$689	\$804	\$705	\$257	\$0	\$743	\$0	\$0	\$0	\$7	\$80	\$220	\$438	\$0	11.71%
4) 586-0148	Private Sec. Initiatives (E)	\$3,722	\$0	\$0	\$0	\$880	\$1,308	\$729	\$745	\$0	\$274	\$0	\$0	\$2	\$0	\$2	\$20	\$0	\$0	0.73%
3) 586-0165	Export Industry Tech. (G) Support (EXITOS)	\$6,048	\$0	\$0	\$0	\$0	\$3,148	\$1,400	\$1,300	\$0	\$2,570	\$0	\$0	\$0	\$0	\$543	\$527	\$1,300	\$0	0.00%
6) 586-0177	Partnership for Democracy (G) and Development (PDD)	\$448	\$0	\$0	\$0	\$0	\$0	\$448	\$0	\$0	\$391	\$0	\$0	\$0	\$0	\$0	\$391	\$0	\$0	0.00%
STRATEGIC OBJECTIVE NO. 2: ENVIRONMENTALLY SOUND AND EFFICIENT PRACTICES IN NATURAL RESOURCE MANAGEMENT																				
1) 586-0129A	Regional Agric. Higher (G) Education GUA	\$8,247	\$4,147	\$1,000	\$1,000	\$800	\$0	\$1,300	\$0	\$0	\$138	\$0	\$30	\$35	\$10	\$0	\$43	\$0	\$0	68.84%
2) 586-0130	Regional Env./Natural (G) Resources Management	\$32,838	\$0	\$0	\$0	\$8,375	\$11,110	\$7,267	\$5,080	\$1,907	\$10,338	\$0	\$0	\$0	\$1,501	\$4,025	\$1,838	\$2,232	\$331	54.32%
STRATEGIC OBJECTIVE NO. 3: MORE EFFECTIVE AND DEMOCRATIC LOCAL GOVERNANCE																				
1) 586-0167	Local Government Regional (G) Outreach Strategy (LOGROS)	\$278	\$0	\$0	\$0	\$0	\$0	\$0	\$163	\$115	\$257	\$0	\$0	\$0	\$0	\$0	\$0	\$154	\$113	0.00%
IN SUPPORT OF ALL THREE OBJECTIVES																				
1) 586-0162	Regional Dev. Support (G)	\$2,324	\$0	\$0	\$0	\$455	\$791	\$1,078	\$0	\$0	\$508	\$0	\$0	\$0	\$0	\$33	\$143	\$530	\$0	4.09%

PIPELINE ANALYSIS OF ROCAP/GUATEMALA PORTFOLIO
(AS OF MARCH 31, 1993)
(000)

PROJECT NO. (1)	PROGRAM/ PROJECT TITLE (2)	CUMUL. OBLIG. (3)	FY Obligations (4)								Pipeline 3/31/93 (5)	Pipeline (6)								% Fip Old 3 yrs
			1986	1987	1988	1989	1990	1991	1992	1993		1986	1987	1988	1989	1990	1991	1992	1993	
OTHER ACTIVITIES																				
1) 586-0116	Tech. Support for Food Assistance (G)	\$6,100	\$5,600	\$282	\$236	\$0	\$0	\$0	\$0	\$0	\$73	\$40	\$32	\$1	\$0	\$0	\$0	\$0	\$0	100.00%
2) 586-0130	C.A. Peace Scholarship Program (G)	\$6,805	\$800	\$1,005	\$799	\$1,408	\$2,042	\$0	\$0	\$0	\$206	\$0	\$51	\$35	\$128	\$0	\$0	\$0	\$0	100.00%
3) 586-0146	Rural Electrification Support (G)	\$10,000	\$0	\$5,000	\$0	\$0	\$5,000	\$0	\$0	\$0	\$2,427	\$0	\$156	\$0	\$0	\$2,269	\$0	\$0	\$0	100.00%
4) 586-0168	INCAP Insttlu. Streng. (G)	\$4,211	\$0	\$0	\$0	\$0	\$1,786	\$2,415	\$0	\$0	\$1,023	\$0	\$0	\$0	\$0	\$828	\$2,195	\$0	\$0	0.00%
5) 586-0178	CADoc Coord. Comm. (G)	\$468	\$0	\$0	\$0	\$0	\$468	\$0	\$0	\$0	\$468	\$0	\$0	\$0	\$0	\$468	\$0	\$0	\$0	0.00%
TOTAL BY MISSION:		\$105,877	\$17,147	\$14,108	\$5,018	\$13,223	\$25,530	\$16,234	\$11,876	\$2,722	\$25,177	\$40	\$281	\$82	\$1,737	\$8,841	\$4,227	\$8,785	\$2,184	47.87%

NOTE: For SAR guidelines, this table does not include data for projects with PACDs falling during the reporting period.

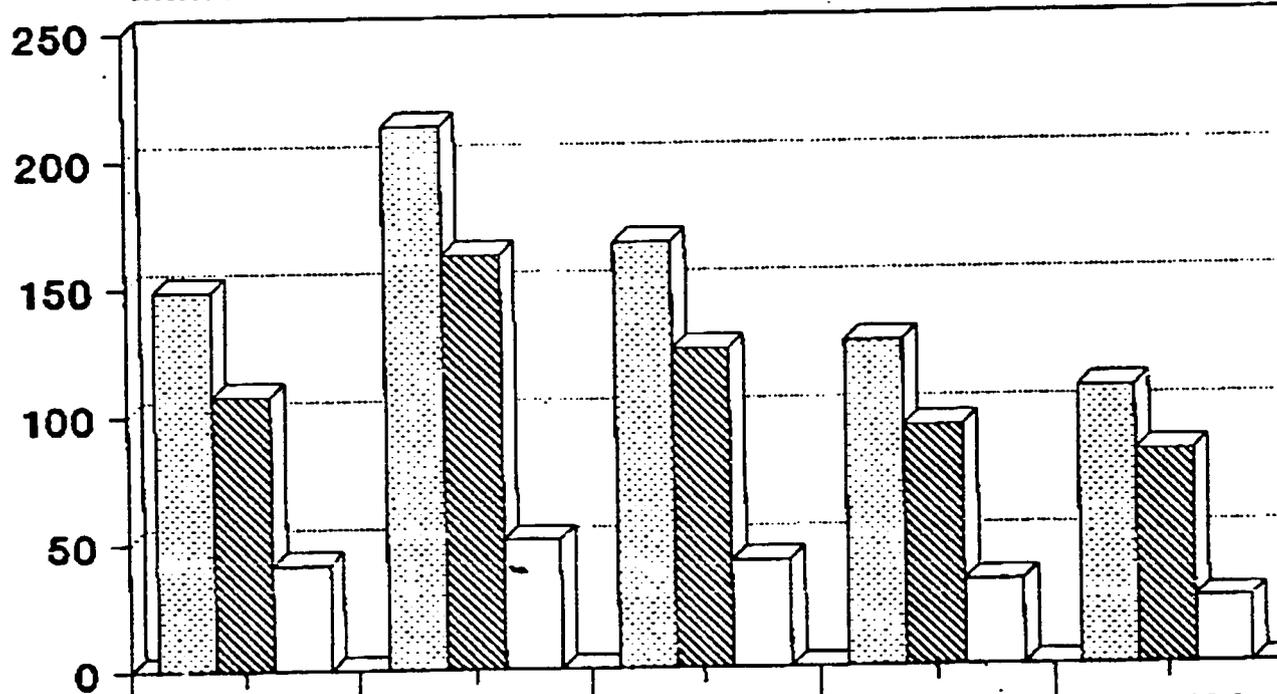
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ROCAP PIPELINE ANALYSIS

CUMULAT OBLIGAT EXPEND & PIPELINE



Millions



	3/31/91	9/30/91	3/31/92	9/30/92	3/31/93
OBLIGAT.	148.432	212.714	166.311	127.097	108.376
EXPEND .	107.301	162.127	124.491	93.785	83.039
PIPELINE	41.131	50.587	41.82	33.312	25.337

US DOLLARS

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II.D

ABS Table IV

TABLE IV : PROJECT BUDGET DATA (U.S. \$000)

PROJECT NUMBER	FUND SRC	NPA IND	OBLIG DATE INIT/FINAL	--TOTAL COST-- AUTH PLAN	OBLIG THRU FY 1991	--FY 1992 EST.-- OBLIG ACTIONS	EXPEND ITURES	-----FY 1993 PLANNED----- OBLIG ACTIONS	EXPEND ITURES	YR END MORTGAGE	--FY 1994 OBLIG ACTIONS	PROP.- EXPEND ITURES	FY 1995 OBLIG PROP
596-0000			PROGRAM DEVELOPMENT AND SUPPORT										
	FM	G	75	C		10,618		75	259				
	HE	G	75	C		680			146				
	CS	G	75	C		281							
	EH	G	75	C		796		25	56				
	SD	G	75	C		5,760		257	319				
	PROJECT TOTAL:				0	0	18,135	357	780	131	201	178	248
										131	201	178	248
596-0108			AGRICULTURAL EXPORT SUPPORT										
	FM	G	86	91	8,765	8,560	8,560		70				
	SD	G	86	91	235	235	235						
	PROJECT TOTAL:				9,000	8,795	8,795	0	70	0	0	0	0
596-0114			REG ECONOMIC RECOVERY										
	FN	L	85	91	9,800	9,800	9,800						
	SD	L	85	91	5,200	5,200	5,200		3,845				
	ES	G	85	91	35,000	35,000	35,000		2,789				
	PROJECT TOTAL:				50,000	50,000	50,000	0	6,641	0	0	0	0
596-0115			ORT, GROWTH MONITORING AND EDUCATION										
	FM	G	85	92	250	250	250		130				
	HE	G	85	92	9,000	9,000	9,000						
	CS	G	85	92	400	400	400			255			
	PROJECT TOTAL:				9,650	9,650	9,650	0	623	0	255	0	0
596-0116			FOOD ASSISTANCE SUPPORT										
	HE	G	85	93	6,100	6,100	6,100		1,099				
										532			
596-0117			TREE CROP PRODUCTION										
	FM	G	85	92	9,000	9,000	9,000		131				
										120			
596-0123			EXPORT AGRIBUS DEVELOP. AND PROMOTION										
	FM	L	86	93	16,000	16,000	16,000						
	SD	L	86	93	4,751	4,751	4,751						
	PROJECT TOTAL:				20,751	20,751	20,751	0	0	0	2,680	909	0
										2,680	0	909	0
596-0124			EXPORT MANAGEMENT TRAINING										
	EH	G	86	91	5,879	5,879	5,879		256				
	SD	G	86	91	921	921	921		216				
	PROJECT TOTAL:				6,800	6,800	6,800	0	472	0	0	0	0
596-0127			REG. AGRIC. TECHNOLOGY NETWORKS										
	FM	G	87	90	2,500	2,500	2,500		530				
										200			
596-0128			D E L E T E D										
	SD	G	88	91	1,620	1,620	1,620						

JUL-12-93 MON 11:07 ROCAP GUATEMALA

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TABLE IV : PROJECT BUDGET DATA (U.S. \$000)

PROJECT NUMBER	FUNDS	NRA IND	OBLIG DATE		OBLIG THRU FY 1991	--FY 1992 EST.		FY 1993 PLANNED-			FY 1994 PROP.-		FY 1995 OBLIG PROP		
			INIT/FINAL	AUTH		OBLIG	EXPEND	OBLIG	EXPEND	YR END MORTGAGE	OBLIG	EXPEND			
596-0129			REG. AGRIC HIGHER EDUCATION												
	FN	G	85	95	16,910	16,910	10,910	2,900	4,765	1,500	2,000	1,600	748	3,000	418
	SD	G	85	95	6,790	6,790	5,700		1,617		1,000	1,090			
	ES	G	85	95	11,000	11,000	11,000		1,088						
	PROJECT TOTAL:				34,700	34,700	27,610	2,900	7,470	1,500	3,000	2,690	748	3,000	418
596-0130			CENTRAL AMERICA PEACE SCHOLARSHIPS												
	FN	G	85	93	1,997	2,305	2,305				2				
	EM	G	85	93	5,795	2,034	2,034				120				
	PROJECT TOTAL:				7,792	4,339	4,339	0	0	0	122	0	0	0	0
596-0134			D E L E T E D												
	SD	G	85	90	3,000	3,000	3,000								
596-0143			CA SHELTER AND URBAN DEVELOPMENT												
	SD	G	87	90	4,000	2,384	2,384		259						
596-0146			RURAL ELECTRIFICATION SUPPORT												
	SD	G	87	94	10,000	11,000	10,000		1,665	1,000	2,875			2,046	
596-0147			ECONOMIC POLICY RESEARCH												
	SD	G	88	95	3,900	4,380	2,952	567	536	634	884	227	580	511	500
596-0149			PRIVATE SECTOR INITIATIVES												
	FN	G	89	92	819	819	819		268		67				
	SD	G	89	92	2,913	2,905	2,160	745	667		820				
	PROJECT TOTAL:				3,732	3,724	2,979	745	935	0	887	0	0	0	0
596-0150			REG ENVIRONMENTAL & NATURAL RESOUC MGT												
	FN	G	89	95	38,500	38,500	20,713	4,443	5,033	6,200	9,275	7,144	5,030	8,500	6,755
	HE	G	89	95	2,000	2,000	1,483				325	517			
	EH	G	89	95	2,871	2,871	1,618	275	800		500	978			
	SD	G	89	95	6,829	6,829	3,341	369	2,000		500	3,119		2,500	
	PROJECT TOTAL:				50,200	50,200	27,155	5,087	7,833	6,200	10,600	11,758	5,030	11,000	6,755
596-0161			D E L E T E D												
	SD	G	92	94											
596-0162			REGIONAL DEVELOPMENT SUPPORT												
	FN	G	90	95	250	250					250				
	HE	G	90	95	918	918	343	185	158		309			200	
	EH	G	90	95	1,293	1,293	85	340			300				
	SD	G	90	95	2,539	2,539	828	552	383	443	500	716	900	1,300	1,325
	PROJECT TOTAL:				5,000	5,000	1,256	1,077	541	443	1,109	2,224	900	1,500	1,325

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TABLE IV : PROJECT BUDGET DATA (U.S. \$000)

PROJECT NUMBER	FUND SRC	NPA INO	OBLIG DATE		--TOTAL COST--		OBLIG THRU 'FY 1991	--FY 1992 EST.--		-----FY 1993 PLANNED-----			--FY 1994 PROP.--		FY 1995 OBLIG PROP
			INIT/FINAL	AUTH	PLAN	OBLIG ACTIONS		EXPEND ITURES	OBLIG ACTIONS	EXPEND ITURES	YR END MORTGAGE	OBLIG ACTIONS	EXPEND ITURES		
596-0165			EXPORT INDUSTRY TECH SUPPORT (EXITOS)												
	FN G		91 95	5,000	5,000	1,540	1,400	522	732	2,111	1,328				
	EH G		91 95	1,000	1,000	375		175			625				
	SD G		91 95	2,500	2,500	1,232		919	1,268	440				2,402	1,889
	PROJECT TOTAL:			8,500	8,500	3,147	1,400	1,616	2,000	2,551	1,953		2,402	1,889	0
596-0167			LOCAL GOV. REG. OUTREACH STR. (LOGROS)												
	FN G		92 97	200	200						200				
	HE G		92 97	200	200						200				
	EH G		92 97	2,377	2,377		159			159	2,218				
	SD G		92 97	3,223	3,223		5		730	700	2,488			1,360	1,500
	PROJECT TOTAL:			6,000	6,000	0	164	0	730	859	5,106		1,360	1,500	2,000
596-0169			INCAP INSTITUTIONAL STRENGTHENING												
	FN G		91 93	510	400	400					310				90
	HE G		91 93	2,390	1,550	1,396	15	209	139	183				1,158	
	CS G		91 93	1,500	2,450		2,400		50	2,250				200	
	PROJECT TOTAL:			4,400	4,400	1,796	2,415	209	189	2,743	0		0	1,448	0
596-0170			ASST FOR PROMOTION OF TRADE THRU REG ACT												
	FN G		93 96												
	SD G		93 96												
	PROJECT TOTAL:			0	0	0	0	0	0	0	0	0	0	0	0
596-0172			D E L E T E D												
	FN G		92 94												
596-0176			CA DEVELOPMENT COORD. COMMISSION (CADCC)												
	ES G		91 91	498	498	498				498					
596-0177			PARTNERSHIP FOR DEMOCRACY & DEVELOPMENT												
	ES G	PA	92 95	1,235	1,234		447		787	800				434	
596-AAAA			STRATEGIC OBJECTIVE I												
	FN G	PA	94 99												
	SD G	PA	94 99												
	PROJECT TOTAL:			0	0	0	0	0	0	0	0	0	0	0	0
596-BB8B			STRATEGIC OBJECTIVE II												
	FN G	PA	95 99												
	SD G	PA	95 99												
	PROJECT TOTAL:			0	0	0	0	0	0	0	0	0	0	0	0
	REPORT TOTAL:			258,378	254,575	220,467	15,159	31,410	13,614	30,920	23,958	11,198	24,485	11,198	

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TABLE IV : PROJECT BUDGET DATA (U.S. \$000)

PROJECT NUMBER	FUND SRC	NPA IND	OBLIG DATE INIT/FINAL	--TOTAL COST-- AUTH PLAN	OBLIG THRU FY 1991	--FY 1992 EST.--		-----FY 1993 PLANNED-----			--FY 1994 PROP.--		FY 1995
						OBLIG ATIONS	EXPEND ITURES	OBLIG ATIONS	EXPEND ITURES	YR END MORTGAGE	OBLIG ATIONS	EXPEND ITURES	OBLIG PROP

APPROPRIATION SUMMARY

FN					8,818	15,553	8,432	14,085	10,522	5,778	11,590	7,173
HE					200	1,872	139	1,604	1,107	0	1,358	0
CS					2,400	233	50	2,250	0	0	200	0
EH					799	1,287	0	1,079	4,689	0	0	0
SD					2,495	11,370	4,206	10,604	7,640	5,420	10,903	4,025
ES					447	1,095	787	1,298	0	0	434	0
REPORT TOTAL:					15,159	31,410	13,614	30,920	23,958	11,198	24,485	11,198

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INFO TREQ-01 /001 A7 07/1211Z

ANNUAL REPORT MATRIX. AN IMPORTANT PART OF THE NEW SYSTEM IS TO ENSURE STANDARDIZED DEFINITIONS FOR ALL PORTFOLIO REPORTING FROM YEAR TO YEAR AND MISSION TO MISSION AND THAT ALL DATA REPORTED BE CONSISTENT WITH OFFICIAL MISSION RECORDS SYSTEMS, SUCH AS MACS.

ORIGIN OFFICE FAAA-01

INFO AFEA-04 AFSA-03 AFSW-06 AFDP-06 RDPO-01 NIS-03 ASAA-01
AFFE-02 PRMS-01 AFMS-03 OL-01 LACE-01 LASA-02 LACA-03
AALA-01 IG-01 GC-01 FVPP-01 FVMS-01 ES-01 PRPC-02 FAAA-01

THIS CABLE IS A CONTINUATION OF THE INFORMATION DEVELOPED, APPROVED AND REPORTED ON IN REFS A, B AND C, AND IT SHOULD BE USEFUL FOR MISSIONS TO KEEP THESE TOGETHER AS A PACKAGE FOR EASY REFERENCE UNTIL THE REVISED SYSTEM IS INCORPORATED INTO THE AGENCY HANDBOOKS. IT IS IMPORTANT TO NOTE AGAIN THAT EXISTING DELEGATIONS OF AUTHORITY TO FIELD MISSIONS ARE NOT REPEAT NOT AFFECTED BY THIS REQUIREMENT.

IGFA-03 PRFM-01 IGLC-01 SEOP-01 IRMO-01 NEME-03 IGPP-02
IGRM-02 FM-01 FFP-09 SERP-01 SEC-01 AMAD-01 ASPD-02
NENA-03 ASSA-03 NEDP-03 OUT-01 ASEA-02 NEMS-02 LADP-04
NEAA-03 EUAA-02 EURM-01 EUDP-03 EUMS-02 IIPA-01 AFFW-02
WIDE-01 HERB-01 /11B AB 24/1515Z

INFO LOG-00 AF-00 AGRE-00 ARA-00 ANHR-01 EAP-00 EUR-00
10-19 NEA-00 OIG-04 SA-00 /031R

THE FIRST ANNUAL REPORT REQUIRED UNDER THE REVISED PORTFOLIO REVIEW AND REPORTING SYSTEM IS DUE NO LATER THAN JUNE 15, 1993. (LAC MISSIONS: PLEASE NOTE THAT IN STATE 185305, LAC REQUESTED THAT YOU SUBMIT YOUR ANNUAL REPORTS BY MAY 15.) THE APPROPRIATE GEOGRAPHIC AND CENTRAL BUREAUS WILL BE RESPONSIBLE FOR REVIEWING THESE SUMMARY REPORTS AND SUBMITTING A CONSOLIDATED BUREAU REPORT TO THE ADMINISTRATOR.

DRAFTED BY: AID/DAA/FA:RBURKE:RB
APPROVED BY: AID/AA/FA:RAAHES
AID/DAA/FA:BLANGMAID AID/ES:GJOE
AID/ASIA/DR/PD:JDEMPSEY (DRAFT) AID/EUR/PDP:PO'FARRELL (DRAFT)
AID/LAC/DPP:JSTEPANEK (DRAFT) AID/NE/DP:VMOLLREM (DRAFT)
AID/R&D/PO:JBIERKE (DRAFT) AID/PRE/DP:RVAN RAALTE (DRAFT)
AID/AFR/DP:MBONNER (DRAFT)
AID/FHA/PPE:LTANNER (DRAFT)
AID/NIS/PAC:HJOHNSON (DRAFT)
AID/FA/IRM/IPA:DDICIURCIO (DRAFT)
AID/POL:GHILL (DRAFT)
AID/A/AID:LROGERS (DRAFT)

PLEASE NOTE THAT WHEREVER THIS CABLE SAYS QUOTE FIELD-LEVEL UNQUOTE, ITS REQUIREMENTS APPLY EQUALLY TO GEOGRAPHIC AND CENTRAL OFFICES/BUREAUS WITH PROGRAM-FUNDED PORTFOLIOS. FINALLY, WE WOULD LIKE TO AGAIN EXPRESS OUR THANKS AND APPRECIATION FOR THE MANY EXCELLENT AND COGENT CONTRIBUTIONS MADE BY FIELD MISSIONS AND WASHINGTON-BASED PERSONNEL TO THE SUCCESSFUL INITIATION OF THIS MANAGEMENT IMPROVEMENT. END OF SUMMARY.

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FM SECSTATE WASHDC
TO AID WORLDWIDE

2. PARAS ONE THROUGH FOUR OF REF A PROVIDED DETAILED INFORMATION ON THE BACKGROUND AND REASONS FOR THE EXERCISE TO IMPROVE PORTFOLIO REVIEW AND REPORTING PRACTICES IN THE

UNCLAS STATE 125805

AIDAC
E.O. 12356: N/A
TAGS:
SUBJECT: GUIDANCE FOR REVISED PORTFOLIO REVIEW SYSTEM

AGENCY. PARAS FIVE THROUGH TEN OF REF A DETAILED AID/W MANAGEMENT RESPONSIBILITIES FOR PORTFOLIO MATTERS, SPECIFYING THE RESPECTIVE RESPONSIBILITIES AT THE FOLLOWING LEVELS: GEOGRAPHIC BUREAU (PARAS 5 AND 6), THE ASSOCIATE ADMINISTRATOR FOR OPERATIONS (PARA 7), THE ASSOCIATE ADMINISTRATOR FOR FINANCE AND ADMINISTRATION (PARA 8), THE DIRECTOR FOR POLICY (PARA 9), AND THE OFFICES OF THE DEPUTY ADMINISTRATOR AND ADMINISTRATOR (PARA 10). THESE RESPONSIBILITIES WERE REAFFIRMED IN THE A/AID ACTION MEMORANDUM DECISIONS (SEE ALSO PARA 2, REF

REF: A) STATE 92-355133, B) STATE 055707, C) STATE 066657

1. SUMMARY. THIS IS AN ACTION MESSAGE. IT TRANSMITS GUIDANCE FOR THE IMPLEMENTATION OF THE REVISED AGENCY-WIDE PORTFOLIO REVIEW SYSTEM APPROVED BY ACTING A/AID JIM MICHEL ON FEBRUARY 3, 1993. THE REVISED SYSTEM REQUIRES THREE LEVELS OF REPORTING: (1) THE FIELD-LEVEL SEMIANNUAL PORTFOLIO REVIEWS, (2) THE NEW ANNUAL REPORT OUTLINED IN PARA 3, BELOW, AND FURTHER DETAILED IN PARA 5, AND (3) A SUMMARY OF THE ANNUAL REPORTS FROM THE GEOGRAPHIC BUREAUS (AND APPROPRIATE AID/W BUREAUS/OFFICES.)

C) .

FOR THE FIELD-LEVEL PORTFOLIO REVIEWS, THE CONTENTS AND FORMATTING REMAIN AT THE DISCRETION OF THE GEOGRAPHIC BUREAUS WORKING WITH THE RESPECTIVE MISSIONS, PROVIDED ONLY THAT THEY (1) BE CONDUCTED SEMIANNUALLY AND (2) AT A MINIMUM THEY BE ADEQUATE IN SCOPE TO PRODUCE THE CORE INFORMATION AND DATA REQUIRED IN THE NEW ANNUAL REPORT. FOR THEIR FIELD-LEVEL REVIEWS, MISSIONS AND THE GEOGRAPHIC BUREAUS ARE FREE TO INCLUDE ANY OTHER DATA AND INFORMATION THEY FIND MUTUALLY USEFUL.

3. THE NEWLY REQUIRED ANNUAL REPORT HAS THREE COMPONENTS: A MISSION DIRECTOR'S NARRATIVE (SEE PARA 5, SECTION (1), BELOW), A PIPELINE TABLE (THE ABS TABLE FOUR), AND A PROJECT CATEGORY AND OUTLIER MATRIX (SEE PARA 5, SECTION (3) BELOW). THIS REPORT WILL FULFILL THE RESPONSIBILITIES FOR ANNUAL REPORTING ASSIGNED TO FIELD MISSIONS IN THE ACTING ADMINISTRATOR'S DECISION MEMO SIGNED FEBRUARY 3, 1993.

PARA 4, BELOW, PROVIDES A LIST OF STANDARD DEFINITIONS COMMONLY USED IN THE SEMIANNUAL REVIEWS AND ELSEWHERE. PARA 5 PROVIDES GUIDANCE AND STANDARD DEFINITIONS AND MEASUREMENT PARAMETERS FOR DATA ELEMENTS TO BE USED IN THE

4. STANDARD DEFINITIONS FOR FIELD-LEVEL PORTFOLIO REVIEW AND REPORTING. IN THE INTEREST OF CLEAR COMMUNICATIONS, THE FOLLOWING STANDARD DEFINITIONS SHOULD BE USED IN BOTH FIELD-LEVEL REVIEWS AND IN THE ANNUAL REPORTS.

(1) PROJECT CATEGORY: INDICATES WHETHER THE ACTIVITY IS DESIGNATED AS A, B OR C. THESE RATINGS MUST BE CONSISTENT

WITH THE FIELD-LEVEL REPORTS AND IN THE MATRIX PORTION OF

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THE NEW ANNUAL REPORT TO THE GEOGRAPHIC BUREAUS AS WELL AS
IN CENTRAL BUREAU/OFFICE PORTFOLIO REPORTS. THE
DEFINITIONS OF THESE CATEGORIES ARE AS FOLLOWS:

(7) MORTGAGE: THE DIFFERENCE BETWEEN PLANNED LOP FUNDING
AND CUMULATIVE OBLIGATIONS, AS OF THE REPORTING DATE.

(8) PIPELINE: THE TOTAL OF THE PROJECT'S LOP OBLIGATED TO
DATE BUT AS-YET UNEXPENDED THROUGH THE SAME DATE.

CATEGORY A: THESE ARE PROJECTS THE MISSION WISHES TO
CHARACTERIZE AND REPORT ON AS REAL SUCCESS STORIES. NOT
ONLY IS IMPLEMENTATION PROCEEDING WELL UNDER SUCH PROJECTS
WITH ONLY MINOR PROBLEMS, BUT THEY ARE HAVING A
SIGNIFICANT IMPACT ON THE PROBLEMS THEY WERE DESIGNED TO
SOLVE AS INDICATED BY SUCCESSFUL PROGRESS TOWARD THE MOST
IMPORTANT END-OF-PROJECT STATUS (EOPS) INDICATORS.

(9) ACCRUED EXPENDITURES AS A PERCENTAGE OF PLANNED
CURRENT FY EXPENDITURES: THIS IS A RATIO EXPRESSED IN
PERCENTAGE TERMS OF PLANNED VERSUS ACTUAL EXPENDITURES FOR
THE CURRENT FISCAL YEAR AS PROJECTED IN THE CONGRESSIONAL
PRESENTATION TABLE TWO FOR THE SAME YEAR. FOR THE FIRST
ANNUAL REPORT THIS WILL BE ACCRUED EXPENDITURES FROM
OCTOBER 1, 1992, THROUGH MARCH 31, 1993.

CATEGORY B: THESE PROJECTS ARE PROCEEDING MORE OR LESS AS
PLANNED THOUGH THEY ARE EXPERIENCING TYPICAL
IMPLEMENTATION PROBLEMS AND MINOR DELAYS WHICH CAN BE
RESOLVED THROUGH NORMAL PROJECT MANAGEMENT. SHORT PACD
EXTENSIONS OF A YEAR OR LESS MAY BE NECESSARY. THE
PROJECT IS STILL EXPECTED TO HAVE A POSITIVE IMPACT ON THE
PROBLEM IT ADDRESSES BUT IMPACT IS STILL UNCERTAIN OR IS
NOT SO SIGNIFICANT TO DATE THAT THE PROJECT CAN BE SINGLED
OUT AS A SUCCESS STORY.

(10) CUMULATIVE ACCRUED EXPENDITURES: ALL ACTUAL

DISBURSEMENTS PLUS ACCRUED AMOUNTS FROM THE BEGINNING OF
THE PROJECT THROUGH THE REPORTING DATE.

CATEGORY C: THESE ARE PROJECTS WITH SIGNIFICANT PROBLEMS
WHICH REQUIRE EXTRA ATTENTION FROM SENIOR MISSION
MANAGEMENT OR, ON AN EXCEPTIONAL BASIS, FROM SENIOR
WASHINGTON BUREAU MANAGEMENT. CATEGORY C PROJECTS MAY
HAVE ONE OR MORE OF THE FOLLOWING TYPES OF PROBLEMS: THE
PROJECT IS SIGNIFICANTLY BEHIND SCHEDULE; A PACD EXTENSION

(11) UNCOMMITTED BALANCE: THE TOTAL AMOUNT IN DOLLAR TERMS
THAT HAS BEEN OBLIGATED BY PROJECT AGREEMENT BUT NOT YET
SUBOBLIGATED (COMMITTED) BY A CONTRACT, GRANT, PURCHASE

OF MORE THAN ONE YEAR IS LIKELY; THE HOST COUNTRY OR NGO
NO LONGER APPEARS TO SUPPORT THE PROJECT; THE HOST
COUNTRY/NGO IS NOT PROVIDING PLANNED RESOURCES AND THE

ORDER, ETC. THIS ONLY APPLIES TO ACTIVITIES FOR WHICH THE
PRIMARY OBLIGATION IS A PROJECT AGREEMENT. IT DOES NOT
APPLY TO AID/W OR OTHER PROGRAMS WHICH OBLIGATE BY
CONTRACT OR GRANT.

SHORTFALL SIGNIFICANTLY IMPEDES IMPLEMENTATION;
EXPENDITURE OF AID'S ASSISTANCE IS MOVING VERY SLOWLY,
I.E., THE PIPELINE EXCEEDS THAT PLANNED BY A LARGE MARGIN;
IT IS POSSIBLE THAT PROJECT IMPACT WILL BE MUCH LESS THAN
PLANNED; ACHIEVEMENT OF MACROECONOMIC OR OTHER POLICY-
BASED CHANGE IS SERIOUSLY LAGGING OR IS IN DOUBT; THE
IMPLEMENTATION AGENCY SEEMS INEFFECTIVE, UNABLE OR
UNWILLING TO IMPLEMENT THE PROJECT; OR THE PROJECT HAS
MAJOR AUDIT PROBLEMS.

5. FOR PREPARATION OF THE NEW ANNUAL REPORTING
REQUIREMENT, THE FOLLOWING GUIDANCE APPLIES. AS NOTED
EARLIER IN THIS CABLE AND IN PARA 2 OF REF C, THERE ARE
THREE COMPONENTS TO THE NEW ANNUAL PORTFOLIO REPORT, I.E.,
(1) A MISSION DIRECTOR'S NARRATIVE, (2) THE ABS TABLE
FOUR, WHICH IS A PROJECT AND PROGRAM SUMMARY TABLE, AND
(3) A MATRIX LISTING ALL MISSION ASSISTANCE ACTIVITIES,
INCLUDING ALL DOLLAR ASSISTANCE ACTIVITIES, ALL PL-480,
ALL LOCAL CURRENCY (LC) PROGRAMS MANAGED BY THE MISSION,
AND ALL GUARANTEE PROGRAMS. THE MATRIX MUST INCLUDE A
PROJECT DESIGNATION OF A, B OR C FOR EACH ACTIVITY AND
INFORMATION AS TO WHETHER KEY APPLICABLE PERFORMANCE
INDICATORS ARE OUTSIDE OF SPECIFIC NORMS. IN THE CASE OF
PL-480, LC AND GUARANTEE PROGRAMS, THE MISSION DIRECTOR'S
NARRATIVE RATHER THAN THE MATRIX SHOULD BE USED TO BRIEFLY
DESCRIBE THEIR STATUS USING INFORMATION MORE PERTINENT TO
THESE KINDS OF PROGRAMS. HOWEVER, ALL ACTIVITIES, THESE
INCLUDED, MUST BE LISTED ON THE MATRIX AND GRADED.

(2) PERCENTAGE OF LOP ELAPSED: THE NUMBER OF MONTHS SINCE
INITIAL OBLIGATION DIVIDED BY THE NUMBER OF MONTHS IN THE
AUTHORIZED LOP, INCLUDING MONTHS ADDED BY APPROVED PACD
EXTENSIONS.

(1) THE MISSION DIRECTOR NARRATIVE. MISSIONS IN
COOPERATION WITH THEIR RESPECTIVE GEOGRAPHIC BUREAUS ARE
FREE TO STRUCTURE THE FORMAT AND CONTENTS OF THIS
NARRATIVE PROVIDED ONLY THAT IT INCLUDES AT A MINIMUM
DISCUSSION OF THE FOLLOWING ELEMENTS. THE TOTAL NARRATIVE
LENGTH SHOULD NOT EXCEED THREE PAGES.

(3) PERCENTAGE OBLIGATED THAT IS EXPENDED: THE CUMULATIVE
ACRUED EXPENDITURES FOR A GIVEN PERIOD DIVIDED BY THE
TOTAL AMOUNT OBLIGATED THROUGH THE SAME PERIOD.

(A) A BRIEF OVERVIEW STATEMENT ASSESSING THE STATUS OF THE
ENTIRE PORTFOLIO.

(4) ACCRUED EXPENDITURES: COSTS FULLY DISBURSED AND
DOCUMENTED FOR A GIVEN PERIOD PLUS COSTS INCURRED TO DATE
FOR GOODS RECEIVED AND SERVICES RENDERED OVER THE SAME
PERIOD. FOR SUCH GOODS RECEIVED AND SERVICES RENDERED,
EXPENDITURES ACCRUE REGARDLESS OF WHEN CASH PAYMENTS ARE
MADE OR WHETHER INVOICES HAVE BEEN RECEIVED. THE ACCRUED
EXPENDITURES FOR A GIVEN PERIOD MUST BE THE SAME AS THOSE
REPORTED IN THE MISSION'S MACS SYSTEM.

(B) A SECTION ON ACTIVITY HIGHLIGHTS CENTERED ON POSITIVE
RESULTS.

(5) CURRENT FY OBLIGATIONS TO DATE: THE AMOUNT OF FUNDS
OBLIGATED TO DATE DURING THE CURRENT FISCAL YEAR.

(C) A SECTION ON SIGNIFICANT PROBLEMS AND DELAYS IN
SPECIFIC PROJECTS OR ACTIVITIES.

(6) CUMULATIVE AMOUNT OBLIGATED: THE TOTAL AMOUNT
OBLIGATED FOR THE PROJECT FROM THE DATE OF INITIAL
OBLIGATION TO THE DATE ON WHICH THE REPORT IS BASED.

(D) A DISCUSSION OF THE PIPELINE STATUS AND PROSPECTS.

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(E) FOR THE FIRST ANNUAL REPORT ONLY, A BRIEF DESCRIPTION OF THE MISSION'S SEMIANNUAL REVIEW AND REPORTING SYSTEM

FOLLOWS. DATA FOR ALL INDICATORS EXCEPT FOR PIPELINE SIZE SHOULD BE AS OF MARCH 31, 1993, FOR THE FIRST ANNUAL REPORT. PIPELINE SIZE SHOULD BE AS OF THE END OF FY 1992. IF THE INDICATORS ARE WITHIN THE DEFINED PARAMETERS, LEAVE THE BOX BLANK.

ALONG WITH ANY RECOMMENDATIONS YOU WISH TO MAKE ON IMPROVING THIS REPORTING AND OVERSIGHT SYSTEM.

(2) THE ABS TABLE FOUR, CONTAINING PIPELINE AND MORTGAGE DATA. PLEASE INCLUDE A SEPARATE COPY OF THE ABS TABLE FOUR WITH THE ANNUAL PORTFOLIO REPORT.

COLUMN 3 - PROJECT DESIGNATION: A, B OR C AS DEFINED IN PARA 4, SECTION (1), ABOVE. TO REPEAT, EVERY ACTIVITY LISTED IN THE LEFT-HAND VERTICAL COLUMN MUST HAVE A

PROJECT DESIGNATION, I.E. A, B OR C.

(3) THE MATRIX. THE MATRIX FORMAT AND CONTENTS WILL BE INCLUDED IN A DISKETTE TO BE SENT TO THE MISSIONS SEPARATELY ON OR ABOUT MAY 1. INITIALLY, HOWEVER, YOU MAY

COLUMN 4 - STATUS OF CONDITIONS PRECEDENT (CP): CITE ONLY IF THERE ARE AS-YET UNMET CP'S OLDER THAN 18 MONTHS.

FIND IT USEFUL TO PRINT YOUR OWN MATRIX USING THE INFORMATION PROVIDED HEREIN. THIS MATRIX FORMAT SHOWS IN THE LEFT HAND VERTICAL COLUMN ALL, REPEAT ALL, MISSION-MANAGED ACTIVITIES AND THE ACTIVITY IDENTIFICATION NUMBER. THE HORIZONTAL LINE WILL INCLUDE A NUMBER OF BOXES, EACH REFERRING TO A SPECIFIC FINANCIAL OR PERFORMANCE INDICATOR. THE HEADINGS IN ORDER FROM LEFT TO RIGHT ARE: COLUMN 1 - PROJECT NAME AND NUMBER; COLUMN 2 - DATE OF INITIAL OBLIGATION; COLUMN 3 - PROJECT DESIGNATION; COLUMN 4 - STATUS OF CP'S; COLUMN 5 - SIZE OF PIPELINE; COLUMN 6 - AGE OF PIPELINE; COLUMN 7 - ACCRUED EXPENDITURES; COLUMN 8 - UNCOMMITTED BALANCE; COLUMN 9 - EOPS-A; COLUMN 10 - EOPS-B; COLUMN 11 - AUDIT-A; COLUMN 12 - AUDIT-B; COLUMN 13 - EVALUATION-A; COLUMN 14 - EVALUATION-B.

COLUMN 5 - SIZE OF PIPELINE: CITE IF PIPELINE EXCEEDS TWO YEARS ESTIMATED EXPENDITURES USING AN AVERAGE OF THE LAST THREE YEARS OBLIGATIONS AS THE BASE, I.E., UNEXPENDED OBLIGATIONS AS OF SEPTEMBER 30, 1992 DIVIDED BY THE AVERAGE OF OBLIGATIONS IN FY 91, 92, AND CURRENT PLANNED FOR 93. FOR NEWER PROJECTS, THE BASE WOULD BE THE AVERAGE ANNUAL OBLIGATIONS SINCE INCEPTION.

THESE BOXES ARE TO BE CHECKED (ACTUAL DATA NOT REQUIRED) ONLY IF THE MEASUREMENT PARAMETER FOR THAT INDICATOR EXCEEDS OR FALLS SHORT OF THE INDICATOR'S DEFINITION AND MEASUREMENT PARAMETER. IF THE SAME CONDITION EXISTED AT THE END OF THE PREVIOUS REPORTING PERIOD (FOR THIS FIRST REPORT THAT WOULD BE THE FISCAL YEAR ENDING SEPTEMBER 30, 1992), THE MATRIX BOX SHOULD CONTAIN TWO CHECKS. THE SOURCE OF ALL FINANCIAL OR PERFORMANCE INDICATORS SHOULD BE THE FIELD-LEVEL SEMIANNUAL REVIEW.

COLUMN 6 - AGE OF PIPELINE: CITE IF ANY OBLIGATION REMAINS MORE THAN 50 PERCENT UNEXPENDED FOUR YEARS AFTER THE OBLIGATION WAS MADE.

COLUMN 7 - ACCRUED EXPENDITURE: CITE IF ACCRUED EXPENDITURES ARE LESS THAN 60 PERCENT OF PLANNED CURRENT FY AMOUNTS SHOWN IN THE MACS REPORT (OR SIMILAR ACCOUNTING SYSTEM).

COLUMN 8 - UNCOMMITTED BALANCE: CITE IF BALANCE EXCEEDS 50 PERCENT OF OBLIGATIONS 16 MONTHS AFTER MOST RECENT OBLIGATION

COLUMN 9 - EOPS ONE: CITE IF MISSION BELIEVES THERE IS

LITTLE TO NO CHANCE OF ACHIEVING THE MOST IMPORTANT EOPS BEFORE CURRENT PACO.

COLUMN 10 - EOPS TWO: CITE IF EOPS ARE BEING ACHIEVED AT HIGHER LEVEL OR FASTER RATE THAN PLANNED.

COLUMN 11 - AUDIT ONE: CITE IF A FINANCIAL AUDIT HAS NOT BEEN DONE IN THE LAST 18 MONTHS.

COLUMN 12 - AUDIT TWO: CITE IF THERE ARE UNRESOLVED INSPECTOR GENERAL (IG) RECOMMENDATIONS OLDER THAN SIX MONTHS.

COLUMN 13 - EVALUATION ONE: CITE IF THE ACTIVITY HAS NOT BEEN EVALUATED IN THE LAST THREE YEARS.

COLUMN 14 - EVALUATION TWO: CITE IF ACTIVITY HAS PROJECT EVALUATION SYSTEM (PES) RECOMMENDATIONS STILL OPEN SIX OR MORE MONTHS AFTER PES TARGET DATE FOR CLOSURE.

THE MATRIX CONTAINS PROGRAM AREAS INDICATIVE OF VARIOUS ASPECTS OF PORTFOLIO MANAGEMENT. INDICATORS OF THIS TYPE CAN OVER-EMPHASIZE POTENTIALLY NEGATIVE OUTCOMES. SPECIAL EFFORT WILL BE NEEDED TO ACHIEVE BALANCED REPORTING. WE EXPECT THE FIRST CYCLE OF THIS REPORTING TO BE A LEARNING

PROCESS AND PLAN TO EVALUATE THE MANAGEMENT UTILITY OF THESE INDICATORS, ALTERNATIVES TO THEM OR OTHERS AS WE GAIN EXPERIENCE. YOUR OWN COMMENTS ON THE UTILITY OF THESE INDICATORS OR SUGGESTIONS OF OTHERS WOULD BE APPRECIATED.

AS NOTED IN THE FIRST PARAGRAPH OF PARA 5, ABOVE, TO THE EXTENT ACTIVITY DATA (PRINCIPALLY FINANCIAL) IS NOT RELEVANT OR ATTAINABLE FOR ACTIVITIES SUCH AS LOAN GUARANTEES, PL-480, LC, ETC., THE PARTICULAR HORIZONTAL

BOXES SHOULD BE MARKED NA FOR NOT APPLICABLE. HOWEVER, ALL ACTIVITIES SHOULD BE GIVEN A PROJECT CATEGORY DESIGNATION CONSISTENT WITH THE A,B,C DEFINITIONS GIVEN IN PARA 4, SECTION (1), ABOVE. START-UP DATES AND THE STATUS OF EOPS, AUDIT AND EVALUATION OUTLIERS SHOULD, TO THE FULLEST EXTENT POSSIBLE, BE USED FOR ALL ACTIVITIES.

THE STANDARD DEFINITIONS FOR SPECIFIC MATRIX INDICATORS AND THE APPLICABLE MEASUREMENT PARAMETERS FOR THEM ARE AS

6 THE DUE DATE FOR RETURNING THE DISKETTE WITH THE ANNUAL REPORT IS NO LATER THAN JUNE 15, 1993 (EXCEPT FOR

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LAC AS NOTED IN THE FIFTH PARAGRAPH OF THE SUMMARY
SECTION, ABOVE).

7. IN CLOSING, THE REVISED PORTFOLIO REVIEW AND REPORTING

PROCESS, PARTICULARLY THE ANNUAL REPORT, WILL BE SUSTAINABLE ONLY TO THE DEGREE THAT IT SERVES THE NEEDS OF FIELD MISSIONS AND WASHINGTON USERS. THOUGH THE CHANGES AND NEW REQUIREMENTS ARE RELATIVELY MODEST IN STAFF DEMAND TERMS, THEY ARE IMPORTANT MANAGEMENT AND OVERSIGHT IMPROVEMENTS AND ARE RESPONSIVE TO THE INTERNAL AND EXTERNAL DEMANDS FOR SUCH IMPROVEMENTS. THE VIEWS OF FIELD UNITS ARE IMPORTANT CONTRIBUTIONS TO THESE OVERALL GOALS AND AS THE PROCESS CONTINUES TO UNFOLD, COMMENTS AND SUGGESTIONS ARE WELCOME. EARLIER CONTRIBUTIONS WERE VITAL IN ADVANCING THE PROCESS THUS FAR. COMMENTS SHOULD BE ADDRESSED TO RICHARD BURKE BY E-MAIL, CABLE, MEMO, FAX OR PHONE. MR. BURKE CAN BE REACHED AT 202-647-4832 (FAX), 202-736-4297 (PHONE) OR AT AA/FA, ROOM 3565 NS. YOU MAY ALSO INCLUDE COMMENTS YOU THINK APPROPRIATE IN THE MISSION DIRECTOR'S NARRATIVE OR BY SEPARATE MEMO SUBMITTED WITH THE FIRST REPORT. PLEASE PROVIDE YOUR GEOGRAPHIC BUREAU WITH COPIES OF SUCH COMMENTS. FINALLY, THANK YOU AGAIN FOR YOUR EARLIER CONTRIBUTIONS TO THE DESIGN OF THE NEW PORTFOLIO REVIEW AND REPORTING SYSTEM.
CHRISTOPHER

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