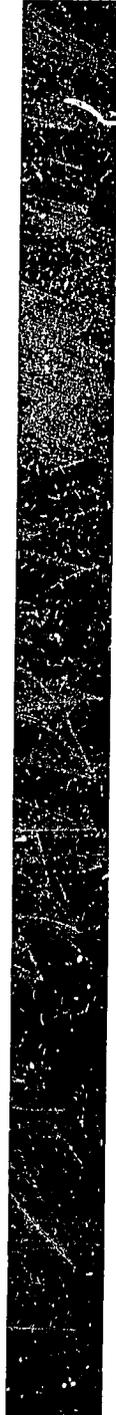
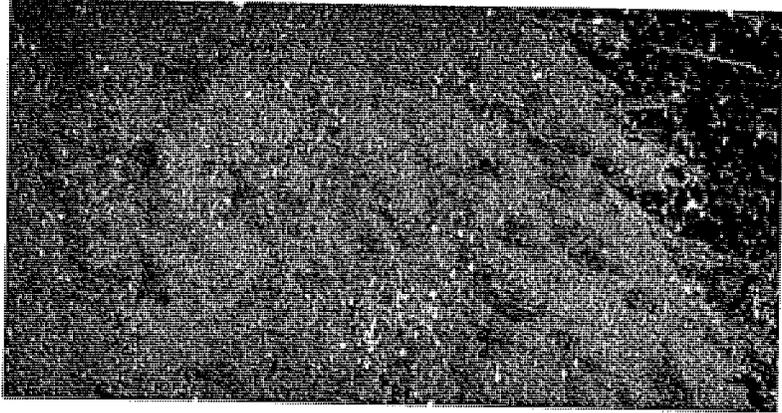


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IIED
INTERNATIONAL INSTITUTE FOR
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EPM
ENVIRONMENTAL PLANNING
AND MANAGEMENT PROJECT



PN-AAU-959

REPORT ON CONSULTATION TO THE
ASOCIACION HONDURENA DE ECOLOGIA
(AHE)
Technical Assistance in Management/
Administration and Preliminary
Development of a Fundraising Strategy

Phoebe Lansdale
March 1986



Pan American Development Foundation

1889 F Street N.W. • Washington, D.C. 20006 • U.S.A. • Phone: (202) 789-3969 Cable: FUPAD Telex: 64128

March 11, 1986

Ms. Diane Walton Wood
International Institute for Environment and Development
1717 Massachusetts Avenue NW
Washington, DC 20036

Dear Diane:

Enclosed is our final report, with Jim Pines consultant reports on his consultation with the Asociacion Hondurena de Ecologia. This completes our reporting. This submission therefore should trigger payment to PADF of the last tranche of funds, the balance of \$3,344 due on the original grant.

Jaime Bustillo Pon last week reported two additional consultations by Frank Valva, PADF's institutional strengthening advisor resident in Tegucigalpa, which were apparently useful. Mr. Valva is prepared to help AHE intermittently in the future. If additional funds become available, they agreed that up to two days per month June through December would help guide the AHE on specific tasks related to institutional management, planning, board and staff use, and fundraising. I asked Jaime to make this request to you in writing. Meanwhile, we have been pleased to work also with Rigoberto Romero, the new AHE forester who is here on WWF training. He will become AHE Director next fall when Bustillo goes to graduate school in the United States for a doctorate.

I will be happy to meet with you and Jim Hester at AID/LAC when you set up a briefing for him. You may wish to consider including Jim Pines.

Warm regards,

Phoebe Lansdale
Programs Officer

Enclosures: a/s



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Report on Consultation to
the Asociacion Hondurena de Ecologia (AHE)

to provide

Technical Assistance in management/administration and
preliminary development of a fund-raising strategy

under

Joint Environmental Services Subcontract No. 4, 7/20/84
of the International Instituted for Environmental Development

PADF Contact:

Phoebe Lansdale, Director

Special Projects



Pan American Development Founda

1889 F Street N.W. • Washington, D.C. 20006 • U.S.A. • Phone: (202) 789-3969 Cable: FUPAD Tel

March 10, 1986

Report on Consultation to the Asociacion Hondurena de Ecologia

This report reviews PADF utilization of a grant of \$13,328 provided by IIED's JES subcontract No. 4, made July 20, 1984, to support technical assistance in management/administration and preliminary development of a fundraising strategy for the Asociacion Hondurena de Ecologia (AHE). It attaches four reports by our consultant, James Pines, on his advisory services to AHE Executive Director Jaime Bustillo Pon and findings made during trips to Honduras.

Expenditure of the Grant

PADF has provided IIED with a required financial report, breaking down expenditures (see attachment) and providing supporting air tickets. The total number of Pines' consultation days charged to the IIED/PADF grant is 27.5, Valva's three, and Brunn's 2 1/2 (all part-days). The Program Director's out-of-office time was part technical assistance and part planning/support, separable from home office support time and the broad range of PADF administrative support funded under a separate line item.

Mr. Pines' fourth trip in December, 1985, exhausted the IIED Grant. [Indeed it was completed by drawing on \$2,000 USAID provided from its grant in support of World Wildlife Fund assistance to AHE. This small grant is also nearly drawn down by intermittent consultation by PADF's resident institutional development advisor Frank Valva.]

PADF achieved some economies in travel charged to the Grant because Mr. Pines was able to combine activities, including some costs for travel on his second visit which resulted from piggy-backing the AHE consultation onto a tour in Bolivia, and on this third period of consultation with AHE as he was in-country mainly on another consultation. Travel has been economized also by use of Beto Brunn and Frank Valva, PADF institutional development advisors based in Tegucigalpa, and because the PADF Project Director, Phoebe Lansdale, as well as Mr. Pines, consulted with AHE visitors in Washington, and Mrs. Lansdale with Jaime Bustillo at a workshop in Haiti and afterwards in the Dominican Republic.

Findings:

In fulfillment of Task #7 of the IIED subcontract, there were clear stages of advisory services responding to needs, priorities of activities, and progress observed in AHE planning and program implementation.

On his first trip (July 1984), Jim Pines identified obstacles AHE was encountering and proposed guidelines for approaching problems. He was concerned with Asociacion fundraising and membership development, and made

specific recommendation pointing ways to lay a basis for the durable institutional strength necessary for post-grant survival. He urged AHE to begin promptly to get AHE Board members more involved and to enlarge the Board to engage more influential people.

A second concern was the amount of time the AHE Executive Director was spending on general office duties and giving lectures and speeches to local organizations and at the university. PADF's advisor stressed the need to increase the volunteer base and improve their reliability to perform such functions and give Mr. Bustillo more time to devote to the larger picture.

Jim Pines' second consultation (February-March 1985) was directed to following up on AHE actions taken pursuant to earlier recommendations. He helped AHE refine a detailed fundraising and promotion workplan worked up after his first visit, and drafted a model letter for soliciting support. He stressed the need for international support and again for better use of volunteers. PADF's institutional development staff based in Tegucigalpa participated in some discussions. PADF was pleased with progress made, although the consultant reiterated that AHE still "suffers from a lack of workers and a diffusion of efforts by the few dedicated people available."

By the end of the PADF institutional development expert's third visit (late May 1985), he was more pleased with progress of the Asociacion and prospects for its future. He reaffirmed the continuing thinness of AHE staff and volunteers, but noted financial progress, publicity and mailing efforts.

Mr. Pines' fourth, and final visit under the IIED Grant (December 1985) focused on preparation of basic financial and program planning documents, and on adapting Association planning and management to the improved financial status and expanded, effective program activities achieved during the previous six months. The AHE Executive Director prepared, with consulting help, a draft budget, cash flow chart, marketing plan, a quantified funding sources report, and project control documents. Mr. Pines noted that some of the previous problems the AHE Executive Director had had with delegation of responsibilities and with membership still remained. He concluded that the presence in Honduras of PADF's resident program advisor, Frank Valva, should be taken advantage of for further good low-cost consultation by PADF to address these problems.

Differences between AHE and other PADF Institutional Support:

A second section of the IIED Subcontract, Task #7, called for examination of differences and similarities between AHE and organizations PADF often assists. Primary distinctions include the following:

(a) Whereas National Development Foundations (NDFs) and similar nonprofit organizations are composed of business leaders for the purpose of engaging their entrepreneurial skills in microbusiness development and low income rural producer support, AHE does not have such broad local private sector leadership commitment. Indeed, expansion of broader local support bases was one of the targets, to help AHE's financial and day-to-day management.

(b) The broad development goals of NDFs and NDF-like organizations with which PADF has worked facilitate appeal to a broader range of funders than an educational, somewhat scientific, environmentally oriented AHE can readily reach.

(c) NDFs have a concrete beneficiary clientele, recipients of technical assistance and credits, who develop knowledge of and support for their organization, whereas AHE's informational and promotional programs reach out to a broad spectrum of communities, students, and individuals who incur no indebtedness (financial or moral). As AHE undertakes actual development projects improving soil productivity, production and economic benefits, and protection from other natural resources, and guidance for maintenance of individual farmers' and farm families' agricultural base, the impact on beneficiaries will become clearer.

Because of such differences, special efforts have been needed to help AHE assure sound planning and management skills, and to help it develop a local and international funding base to support its activities.

Despite the specialized objectives and support base of the AHE, we believe PADF's role in strengthening it has been very effective. The consultations by Jim Pines and the technical assistance that other PADF staff has given have helped Jaime Bustillo Pon more clearly define his role in the Asociacion and the needs of the AHE. AHE developed long term goals for the Asociacion and with each consultation defined these more clearly. Intermittent consultation has been particularly effective, and a technique that is transferable. Mr. Pines was able to give guidance to the Executive Director and his associates, and then let AHE develop activities discussed on its own and increase in soundly planned self-sufficiency. On following visits, he would help the Executive Director to refine accomplishments, defining new goals and implementation plans, and redefine old ones.

Conclusions:

PADF is guardedly optimistic about AHE's viability in the future. The Executive Director has improved his management skills, and systems have been established which should help the Asociacion as a whole be more effective. His successor is aware of efforts made in this direction and is receptive to their continuation. With additional support, AHE "may emerge as a capable self-supporting useful group."

Several events have occurred which attested to the Executive Director's commitment to obtain and use staff well, broaden AHE activities, manage his human and financial resources, and demonstrated improved financial management and planning capacity. These include a few small grants received over in 1985 from IUCN and AID, AHE plans for the future (Bustillo's letter of 9/13/85), WWF training of Mr. Bustillo's successor, and USAID/WWF commitment of \$2,000 to PADF for follow-on institutional support services.

Frank Valva remains available in Honduras and could continue to provide the requested further support to AHE's managerial and financial efforts if needed, helping strengthen the viability and the development impact of this environmental group.

**Summary of Expenditures - IIED Grant for
Technical Assistance to AHE**

<u>Technical Assistance</u>			
<u>Consultant/Staff Members:</u>	<u>Budget</u>	<u>Expended</u>	<u>No. Days</u>
Jim Pines fee, air fare, per diem, misc. travel:		\$9,127.50	27.5
[7/24-8/3/84]		[3,121.50]	[9.0]
[2/25-3/13/85]		[2,930.70]	[9.0]
[part days 5/21/85, 5/24/85, already in Hond.]		[394.00]	[1.5]
[12/8-12/16/85]		[2,681.40]	[8.0]
Beto Brunn part days: 12/84; 2,5,6,10/85 @ \$200/da.		\$500.00	2.5
Frank Valva part days: 6,8,10,12/85 @ \$200/da.		\$600.00	3.0
Phoebe Lansdale part days: 8/29,10/22, 10/25, 10/27, 12/16/84; 1/25&26/85, 2/12, 6/11/85; 7/22/85; 8/6 & 8/12/85		\$1,008.00	6.0
<u>Total Technical Assistance (including</u> consultants' TA, travel, and reports, planning, interagency consulting)	<u>\$9,800.00</u>	<u>\$11,235.50</u>	39.0
Minus portion Pines 12/85 trip charged to USAID/WWF 1/86 grant to PADF		-1,435.50	
<u>Net TA charged to IIED</u>		<u>9,800.00</u>	
 <u>Other Direct Costs:</u>	 <u>\$3,528.00</u>	 <u>\$3,528.00</u>	
mgt., backstop, travel arrangements, adm/sec, postage, tx/telephone, mtgs., misc. expenses			
 <u>Total Grant Expenditures</u>	 <u>\$13,328.00</u>	 <u>\$13,328.00</u>	

Received from IIED: \$9,984
Balance of Grant due PADF: \$3,344

3/10/86

UHE

REPORT OF MANAGEMENT CONSULTATION WITH

(AHE)Asociación Hondureña de Ecología (Honduran Ecology Association)

By

James M. Pines, Consultant

for Pan American Development Foundation (PADF)

At request of USAID/Honduras, as subcontract No. 4 under Grant Agreement between the Agency for International Development and Joint Environmental Service (International Institute for Environment and Development and the International Union for Conservation of Nature and Natural Resources)

August 3, 1984

RECOMMENDATIONS

USAID/H

1. USAID/H should reprogram the AHE grant to free the Executive Director for institutional development work and to permit spending of funds for non-project activities directly related to institutional survival.
2. Reprogramming should be based on detailed AHE plans for membership development and for seeking financial support.
3. USAID/H should seek opportunities for AHE to perform contract services, with full overhead reimbursement, in other Mission projects.
4. USAID/H should reduce pressure on AHE to spend dollars, without reducing the grant, since orderly and efficient disbursement will contribute to post-grant survival of the Association.
5. USAID/H should monitor grant performance to encourage increased use of Executive Director time for institution-building activities.
6. USAID/H should provide management assistance in fund-raising and membership development to AHE, first assuring that the Association has organized to make effective use of it.

AHE

7. AHE should give highest priority to raising core support, including immediate preparation of a financial plan and reorganization to institutionalize fund-raising capacity.
8. AHE should develop an overhead rate and include an adequate allowance

for overhead in all project proposals.

9. When specific provision of overhead is not feasible, AHE should maximize allocation to direct costs of items usually part of overhead, especially project time to be spent by the Executive Director.

10. With outside consulting help, AHE should review marketing and fund-raising alternatives, thereafter developing a strategy for continued generation of core support, including recurrent costs associated with use and maintenance of present equipment.

11. AHE should distinguish between volunteers who will perform program services and those willing to raise funds, increasing efforts to organize and encourage activities by the latter.

12. AHE should consider expansion of the Board of Directors, formation of a high-level advisory committee, and other steps to broaden the base for financial and political support.

13. AHE should emphasize to international donors the need for core support or overhead as a requisite for undertaking new program activities.

14. The Executive Director should set aside more time for work in isolation, to reduce routine burdens imposed by his presence in the AHE Office.

USAID/Honduras requested technical assistance for the Asociación Hondureña de Ecología (AHE), in fund-raising and other aspects of management and administration, through the Joint Environmental Service funded by AID. The Service contracted with Pan American Development Foundation (PADF) for provision of the help requested. This Report presents findings and recommendations of James M. Pines, the PADF consultant assigned to identify technical assistance needs, the first step in responding to USAID/H and AHE concerns. Between July 23 and August 3, 1984, in Washington and Tegucigalpa, the consultant reviewed documents, consulted with AHE staff and Board members, and interviewed donor representatives and others familiar with the Association. Although limited availability of some AHE volunteers and others hampered the work, enough information to support conclusions and recommendations emerged.

The additional technical assistance here proposed is intended to help AHE prepare for survival after termination of the current USAID/H grant.

The Association requires little help in management and administration to continue already effective grant performance, but is likely to revert to modest pre-grant status unless assisted to build institutional permanence.

The Context

The Honduran Ecology Association, founded with fifteen members in 1976 and incorporated in 1979, now includes 150 dues-paying members, down from a high of 250. Annual dues, formerly 36 Lempiras (\$18) have been reduced to L20, with little impetus to enrolment. A \$25,000 grant from USAID/H in 1980, followed by one for \$150,000 over three years, in 1983, helped the Association become more active, though the newly paid Executive Director still relies heavily on volunteers for execution of activities. Technical assistance from

RARE, Inc., a U.S. conservation organization, helped AHE develop a coherent goal statement and related program agenda. RARE, Inc. continues to support AHE through intermittent consultation, provision of materials, and informal guidance by letter. RARE, Inc. has not provided general management assistance, in fund-raising techniques and membership development for example, except as incidental to program matters. USAID/H concern that AHE may lack management capacity to implement the impressive grant-funded program effectively, and simultaneously to build the outside support essential for survival after the grant, prompted a request for assessment of, and response to, needs for management assistance.

Although the grant application mentioned "preparation for self-sufficiency" and contemplated that the new Executive Director would spend 25 per cent of his time in "institution building," including fund-raising and membership development > program tasks and routine demands of administration (e.g., speeches, contacts, visitors) make this impossible. The grant proposal did not specify what the Director would do, if he made time available, and AHE still has no strategy or detailed plans for institutional development. Although the grant-funded activities give AHE credibility and have helped to build an impressive image, they do not alone assure institutional survival. Pressure to meet demands of the grant competes with the requirements for institution building.

AHE failure to spend at the rate anticipated by the grant reflects skill in generating local contributions and not lack of activity. Admirable economy in use of available dollars should not be penalized, though reducing the rate of grant disbursement.

Although the grant underestimated difficulties of relying on volunteers and limited flexibility of spending, thereby complicating execution, AHE did most of what it agreed to do during the first year. This achievement, unfortunately, came at the expense of activities essential for survival. If AHE is to continue at a reasonable level after the grant, the current

balance between program activities (e.g., seminars, publications, research) and preparation for institutional survival (e.g., "marketing," broadening support and membership base, raising money) must change. The next two years must allow the grant to support development and institutionalization of organizational structure and techniques addressed directly to preserving the outstanding capability supported by the grant.

Assessment of Management

AHE needs far less help in "administration/management" than in fund-raising and membership development. Financial problems are currently more critical than program concerns and the Association is much less prepared to cope with them. ^{True} The single full-time paid professional, Executive Director Jaime Bustillo Pon, is very much in control of "programming/planning, program and project management, financing/accounting" and related matters identified in the consultation scope of work. He has detailed work plans, related schedule and budgets, and reporting systems for each grant activity. The "lack of organization," mentioned by some observers, reflects time pressure of a grant with unrealistic demands, the difficulties of finding and supervising volunteers (abetted by knowledge that AHE received \$150,000), and the complexities of a shoestring operation. AHE goals and objectives, sense of identity, and organizational philosophy exhibit remarkable clarity. The small, but dedicated, active membership devotes considerable time to unpaid work for the Organization.

USAID/H has backed a very promising vehicle for channelling environmental concerns in Honduras. Though long-run impact of support can be greater if "pump-priming", institutional development receives more emphasis and immediate execution of activities less, it would be a great loss if grant funds are reduced or cut off. Modest reprogramming to encourage institutional survival can assist permanence of an organization that is well on the way to meeting important Honduran needs. For example, AHE already provides library and information services to university students and others that far exceed

similar services of older organizations, all over the world, that have received far more AID support. AHE publications, including a weekly two-page spread in a leading newspaper, compare favorably in volume and quality with those of most other AID-supported voluntary organizations.

Although AHE administration of the grant shows little need for technical assistance in management, the Association exhibits a management vacuum outside it. The grant dominates the institution so much that there is no other budget, financial plan, or work plan. (AHE has no plans for either the generation of project grants or contracts that would provide overhead or for the development of core support). (It is not even clear, for example, how the Association will meet requirements imposed by the grant's reduction of funds toward the Executive Director's salary and other core expenditures during the next two years.)

AHE's critical management and technical assistance needs relate to preparation for post-grant survival. If grant execution can be slowed and relaxed enough to free Executive Director time to carry it out, AHE needs to develop an interdependent membership development and financing strategy for replacing the grant. An additional full-time paid staff member, to supervise and work on program execution, is essential. The Director is having trouble finding volunteer coordinators for two grant activities and time pressures on him are likely to increase.

The Executive Director and leading Board members exhibit surprising lack of confidence about membership development and fund-raising. This contrasts sharply with their competence in other aspects of program and management. The 9-person Board lacks people with fund-raising experience, potential substantial donors, or even well-connected individuals who could lead AHE beyond present narrow confines within the environmental professional community. Those now active claim to have "tried everything" to increase membership and funds. They clearly need moral

support , help in identifying new things to try, and in trying some of the older ones more effectively.

During the consulting visit, the Executive Director began to see more clearly the financial implications of undertaking project activities that include inadequate overhead reimbursement. Despite the impressive volume of in-kind contributions, AHE dependence on USAID money leaves it unable to cover routine recurrent costs and any new activity adds to this burden. A financial strategy involves generation of non-project income to cover indirect costs and increasing overhead reimbursement within projects. This requires, for example, explicit distinction between activities to be subsidized by AHE, because of importance and/or constituency inability to pay (e.g., a high-level seminar, environmental education among the poor) and those that should "pay their way." AHE management has not yet addressed such questions and seeks funds indiscriminately. The \$7,000 raised internationally to date, for example, contributes little to institutional survival. A "marketing strategy," identifying potential sources of full-paying clients for AHE services (e.g., Ministry of Education, updating of AID environmental profile) would channel fund-raising efforts more effectively.

Other management problems reflect difficulties inherent in the AHE context. The Executive Director could do a better job of time management, for example, but not so much better as to make help in this a priority. He must do many project activities himself, because volunteers are hard to find and often not dependable. He accepts more meeting and speech commitments than can be handled comfortably, but perceives correctly that saying "no" hurts the Association. Volunteers carry some of this burden. The Director is too ready to jump into new activities, but this same eagerness sparks the Association and keeps it lively. Technical assistance to AHE is best related to completion of a specific work product (e.g., the grant proposal) or, even if useful, it may reduce the Director's net output.

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The Executive Director identifies problems in the recruitment, motivation, and management of volunteers. Here, too, technical assistance would be helpful but is not essential. Assistance in fund-raising, a more critical need, will touch, for example, on differences between volunteers who will help raise money and those who prefer "hands-on" program work. AHE has about 20 dependable technical volunteers, but has made little progress in mobilizing volunteers for fund-raising. Management assistance on volunteerism can best be linked to development of financial strategy.

Adequacy of AHE management reflects the still-modest state of the Organization. It is a "one-man show," though a few dedicated Board members support him remarkably well. Rent and salaries absorb much of the budget and the rest involves little complex accounting. Reliance on volunteers obliges the Director to monitor execution of activities very closely and, occasionally, to fill gaps himself. Management problems relate less to lack of skills and systems than to difficulties of the programming and financial context.

Future Technical Assistance

AHE needs technical assistance from someone who can assist both development and implementation of the institutional development strategy. The Association needs to raise \$25,000-50,000 annually in uncommitted funds along with project support. If it is to be effective as a lobbying force in Honduras, it needs to broaden the membership base, so that it reflects a wider constituency than the current narrow professional group.

Before encouraging technical assistance, USAID/H needs to assure that AHE has organized to receive it. This involves, for example, some assurance that the Executive Director can give priority to the effort. It also requires formation of a fund-raising committee and expansion of the Board of Directors (or perhaps creation of an "Advisory Committee") to broaden the base for fund-raising activities. Preparation also includes freeing of funds for specific use in the grant's institution building activities, \$5,000 if possible. Without

these steps, AHE will be too inclined to let the consultant personally test the myth that \$5,000 spent on the right letter will raise \$25,000.

Board and Director emphasize distinctiveness and difficulties of the Honduran context. This means that the consultant must take care to avoid any impression of transferring U.S. models without modification. The application of general principles, following review of Honduran conditions, and supporting AHE members in carrying out recommendations, will be essential.

It is unrealistic to allow less than 9-12 months for completion of the technical assistance task. AHE workers will need continued moral and technical support following initial help. There is clearly substantial trepidation and lack of confidence among almost all and only "on-the-job" training, reinforced periodically, is likely to assure effective completion of proposed tasks.

There are enough options for generating funds to justify a major effort to make AHE self-sustaining. USAID/H needs to recognize that building a permanent institution, especially in a field so new to Honduras, requires more time and money than originally contemplated. Substantial progress already achieved argues for continued efforts.

APPENDIX A

List of Persons Interviewed

AHE

- Ing. Jaime Bustillo Pon - Executive Director
- Ing. Wilberto Aguilar - Executive Committee, volunteer
- Ing. Jorge Betancourt - Executive Committee, President
(Interviewed after report prepared)
- Ing. Francisco Membreño - Executive Committee, volunteer
- Sra. Patricia Membreño - Treasurer, Board Member

- Dawn (Aurora) Anderson - Peace Corps Volunteer assigned to AHE
- Ibis Colindres - volunteer coordinator of La Tigra activities
- Gloria de Herrera - Secretary
- Leonel Marineros - volunteer worker on endangered species list
- Sergio Midence - paid illustrator and volunteer
- Prof. Becky Myton - volunteer worker
- René Pauck - paid video specialist and volunteer

Others:

- Russell Hawkins - Library of Congress, former Project Manager of AHE grant
- John Palmer - Latin America Coordinator, U.S. Forest Service
- David Runnalls - International Institute for Environment and Development
- Marc Scott - Director, Office of Environment and Technology, USAID/H
- Julio Zepeda - Project Manager for AHE grant, USAID/H

Appendix B

Some Financial Alternatives for Review

(None of the following is clearly feasible or necessarily effective. The list is intended only to encourage systematic consideration of fund-raising possibilities by AHE before provision of future technical assistance. This will improve consultant efficiency and enable AHE to develop specific items for technical assistance).

1. Performance of training and other contract services (e.g., research, feasibility studies, impact statements) for fees that include adequate overhead:
 - a. Services AHE can provide
 - b. Potential clients
 - c. Marketing strategy for obtaining contracts
 - d. Identification of competent individuals willing to work on this
2. Sale of other products and services (e.g., guided tours, T-shirts, materials and publications, videotapes)
 - a. What products and services are feasible and appropriate?
 - b. Can they be obtained and distributed profitably?
 - c. How can AHE get wider distribution (e.g., T-shirts now sold lack distribution)
 - d. Who will do the work?
3. Expansion of Board or formation of Advisory Group to broaden support base
 - a. What kind of people do we need?
 - b. What will we ask them to do?
 - c. How will we "get to them?"
 - d. What should be our approach?
 - e. Who will contact prospective members?
4. Improving membership renewal rate
 - a. Why do so few members renew?
 - b. What incentives can we provide for renewal?
 - c. What procedures should we follow?
5. Offering institutional membership or sponsorship
 - a. What should it cost?
 - b. What incentives can we offer?
 - c. Who are the best groups to approach?
 - d. What groups are most likely to accept?
 - e. Who will contact the groups?
6. Campaigns for specific purposes (e.g., to finish La Tigra, to buy a reserve)
 - a. What campaign objectives are likely to be most appealing?
 - b. How can the campaign be coordinated with our other activities?
 - c. How can the campaign be used to generate core support funds?
 - d. Who will do the work?

7. Formation of regional chapters and fund-raising auxiliaries
 - a. Why have previous efforts to form chapters fared so poorly ?
 - b. What services can we provide to chapters?
 - c. How can chapters help us?
 - d. How do we explain why a group should organize to raise funds for AHE?
8. Benefit concerts and similar events
 - a. Do we know any performers who would donate or provide low-cost services?
 - b. If they did, would enough people attend to yield a profit for AHE ?
 - c. Do we know any other organizations that might share proceeds of their benefits with us, if we agreed, for example, to sell tickets or promote?
 - d. Do we have any supporters who would enjoy working on something like this?
9. Finding core support funds outside Honduras
 - a. Are any of the international institutions we know likely to provide core support or include overhead in project grants?
 - b. Of these, which are most likely to respond?
 - c. What can we offer that might interest them?
 - d. How should we present our requests ?
 - e. How should we follow up the requests and who will do it ?
10. Integrating radio, TV, and newspaper coverage to improve generation of funds
 - a. Why do our present useful educational efforts produce so little money ?
 - b. How can we link fund-raising more effectively to our media efforts?
 - c. What follow-up would be most effective for reinforcing media activities ?
 - d. What audiences are the most promising for expanding our financial base?

AHE should compare the likely costs, in time and money, and benefits of these and other alternatives. Individual willingness to work on particular activities must also be considered. Where alternatives have been tried, AHE should identify reasons for poor results and explore possibilities for repeating efforts more effectively.

March 11, 1985

REPORT OF MANAGEMENT CONSULTATION WITH

(AHE)Asociación Hondureña de Ecología (Honduran Ecology Association)

By
James M. Pines, Consultant

for Pan American Development Foundation (PADF)

(Under subcontract with Joint Environmental Service, an activity of the International Institute for Environment and Development and the International Union for Conservation of Nature and Natural Resources)

Field Visit to Tegucigalpa, Honduras from February 27 through March 8, 1985

Introduction

This Report describes activities and outcomes of ^asecond consulting visit to the Asociación Hondureña de Ecología (AHE), following the initial visit in late July, 1984. The consultation, in Tegucigalpa, extended from February 27 through March 8, 1985. Because AHE could not usefully accommodate full-time attention, and the consultant had other PADF responsibilities, the visit included a total of about four person-days of work with AHE.

The consultations began with a meeting at AID. Executive Director Jaime Bustillo and the consultant met first with Project Officer Julio Zepeda and they were then joined by Gordon Straub, Director of Agricultural Development and senior officer in charge of the AHE grant. Sessions with the Executive Director at the new AHE Office were followed by group meetings with him and the three young biologists (the recently-hired full-time employee and two AHE volunteer workers) expected to do, or coordinate, most of the work to be planned during the visit. Active participation in a four-hour Saturday training session illustrates their high level of commitment to the Association. The group developed a detailed work plan for fund-raising and membership promotion, a summary of which is annexed to this Report.

Ing. Bustillo made good use of the consultant throughout the visit, identifying appropriate areas for attention and requesting drafts of specific documents, to guide later preparation by him or other staff. He guided the consultant sensitively in work with others, including a very sound request that the Office secretary, who also acts as sales person for AHE, be included in role-playing and group work.

The consultant prepared model letters for use in soliciting individual contributions internationally, for seeking members among the national target group identified by AHE, and for clarifying the relationship of AHE to the Committee for the Environment, a complementary group in Honduras. Preparation of a model press release for initiating a proposed AHE annual campaign also helped. However, the extensive Operating Plan, almost completed during the visit, represents both the thoughts and hard work of the Director and his staff. The consultant served as trainer and catalyst, but did not write the plan.

Interviews at AID and elsewhere broadened the consultant's understanding and led to linking of needed help, in product design and communications, with AHE. AHE Executive Committee members made specific commitments to assist fund-raising, in meetings with the Executive Director and consultant, a key step in moving from plans to implementation of a broadly-based fund-raising and membership promotion campaign.

Context

The Association can maintain an office only through June, unless AID provides further support. The Project Officer, with approval of his superiors, has taken steps to provide "bridge grants" totalling \$65,000, enough to assure AHE survival through 1986. All technical offices have approved the new

proposals, but full financial approval is still pending. If this money is received, at least in part, before June 30, continuity of AHE can be preserved and there is reason for cautious optimism that, during the "bridge" period, implementation of AHE plans, developed during the consulting visit, will bring the Association to a very acceptable level of independence and self-sufficiency.

The uncertain and depressed economic conditions in Honduras limit likely impact of AHE fund-raising efforts, a factor outside Association control. The Association also suffers from the failure, within and outside AID, to understand the differences between what it does and the activities of the Comité pro Medio Ambiente (Committee for the Environment), the only other national organization working to protect Honduran natural resources. AHE provides some technical support to the Comité, but has so far received little recognition for it. The Comité, led by an advertising executive with great facility for getting media attention, deals primarily with urban problems and, made up primarily of government officials and workers, is more political than AHE. This also makes it more vulnerable to political change and AHE has wisely avoided close identification with the Comité, thereby preserving an image of private, non-partisan, and long-term concern for the national patrimony.

Bustillo is likely to do a better job, following the consulting visit, in distinguishing AHE from the Comité. Though far superior technically, AHE can be no match in media coverage. It is important, therefore, that AID recognize that the two organizations have complementary roles and that help to AHE improves the quality of technical performance by the Comité. The proposed Operating Plan emphasizes presentation of an AHE image that minimizes "competition" with the Comité and there is room for both groups in Honduras.

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Director Bustillo made good progress, since the earlier visit, in learning about and doing institutional development. He has accepted eagerly the responsibility for fund-raising and building membership, a striking contrast with previous attitudes and performance. The Executive Committee also exhibited unqualified commitment to a real institution-building effort. Instead of the many reasons why nothing would work, encountered during the first visit, the consultant encountered both creative and constructive new ideas and demonstrated willingness to work on them.

Bustillo and the Committee members now view the potential for international support more realistically. A list of promising donor organizations, and projects likely to attract them, had been prepared before the visit and became the basis for a sensible and realistic marketing strategy.

AHE has added six people to an honorary board of directors, including one who has already made an annual grant of 250 Lempiras (\$125), with more invitees still to respond. Implementing recommendations made during the first visit, the Director has also enlarged the corps of dedicated volunteer workers. These two actions broaden the AHE capacity to implement fund-raising activities substantially and those now involved assert that they can mobilize others.

Proposals to the International Council for Bird Preservation, IUCN, and others, show good follow-up of international contacts. The Director has been able to use qualified volunteers for proposal preparation. He also obtained a letter from tax authorities clarifying deductibility of contributions to AHE and has completed arrangements that will allow AHE to generate income by finding sponsors for television programs it will present. Hondurans respond well to international presentations and AHE has several to offer, making this an especially promising revenue source.

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The Director prepared a summary of AHE products and services, quantifying 1984 outputs, that can assist both public solicitations and sale of professional services to AID and others. At AID suggestion, Bustillo will soon deliver a capability statement, including resumes of staff and consultants, that will be circulated throughout the Mission. The consultant prepared a model transmittal letter that Bustillo will adapt.

AHE now has lists of both corporate and individual prospective donors, prepared before the visit, and these will be helpful in the activities proposed in the Operating Plan. Considerable other material prepared by the Executive Director provides a good base from which Plan implementation can start.

The La Tigra Reserve remains the cornerstone and unifying principle of AHE's program, and the best tangible focus for fund-raising, but Bustillo gave low priority to development of a tree-planting project there. Though AID interviews revealed some possibilities, required efforts in relation to probabilities and prospective returns support the Director's view. He gave priority to the institutional development plan during the visit and identified sound priorities related to it.

The ongoing AHE responses, Bustillo's strong commitment to building support, and the positive, though modest, results already obtained, make the proposed new AID financing a good gamble. Selling environmental concern and building a movement to support it remain difficult in Honduras, but AHE activities contribute substantially and at very low cost. The critical mass required to institutionalize the movement is difficult to estimate, but the new strategy presents a plausible hypothesis for achieving it and for building a self-supporting organization.

The Plan

With consulting guidance, AHE workers identified science, engineering, and environmental professionals, along with certain university students, as priority targets for a membership drive. Though vague about why past efforts produced so few members, the group acknowledged that "selling" AHE, and the cause it promotes, had not been linked effectively with educational and other program activities. Review of the Association's Bulletin, videotapes, newspaper articles, and other materials showed clearly the failure to promote AHE. The new strategy and related plans seek to remedy this.

The plan includes, in addition to the targeted membership campaign, fund-raising plans that can be characterized as a) Domestic corporate, b) International private and institutional, and c) sale of goods and services. Within these components, the group developed sets of priority activities, with staffing, timing, methods, and specific implementation steps. The completed plan was then reviewed for feasibility, with special emphasis on realistic assessment of staff and volunteer time available. Further attention to specific details, and identification of major unanswered questions, left AHE with a guide for future action that is more concrete, systematic, and realistic than anything previously available. By linking program and institution-building, thereby identifying program activities most critical for generating response, the plan also helps AHE evolve a program strategy more consistent with the needs and interests of likely constituencies. The contemplated excursions, short courses, and university presentations, selected by the group, were chosen because they linked program and promotional goals effectively.

AHE still suffers from lack of workers and diffusion of efforts by the few dedicated people available. The plan may improve both problems by encouraging participation and channeling activities more directly to priority requirements. It includes, for example, specific feasible tasks to be undertaken by board members and university students. The Executive Director and current workers will recruit systematically, to get multiplier effects from their work, and specific coordination responsibilities have been identified.

The plan can, however, be no more than a statement of intentions. Whether AHE will carry it out, and the results of doing so, depend on many unknown factors. This second consulting visit provided far more cause for optimism than did the first. There is a positive and exciting dynamic at work. With a little luck, a substantial early contribution for example, AHE may become an outstanding example of how AID support and technical assistance can help to build a useful and self-sustaining institution.

Future Assistance

Bustillo asked the consultant to return in May. A brief visit, no more than a week, could be useful in reinforcing training given during this visit. Role-playing in sales techniques, for example, helped to make staff more comfortable with their new roles, but they will soon need moral support and help with specific problems encountered. As the campaigns progress, AHE would benefit from an outside review of progress and help in making mid-course corrections.

During the visit, the consultant arranged volunteer assistance to AHE from a well-qualified social marketing specialist working in Honduras. If initial contacts are fruitful, more substantial assistance needs may be identified and should be provided. Emphasis on pretesting of letters and other solicitation materials during the visit made the Executive Director

more aware of the need for specialized communications help. AHE suffers from an overtechnical approach and image that will change gradually as Bustillo and others become more sensitive to marketing and communications issues. They already understand that "education" forms only part of the broader strategy needed to persuade and influence people.

The Director recognizes that reduced international presence, unless well target_ed, would be helpful during the critical period while AHE addresses pressing domestic concerns, including survival. Bustillo may identify some specific technical assistance needs, but is now in a position to start implementing the plan without further outside help.

Recommendations

This Report recommends only that AHE go ahead and do what the Operating Plan says it will do. AID and international environmental groups can help, by expediting the bridge grants and by giving AHE tangible evidence of interest and support. It is important that initial activities bring AHE some visible successes. Those participating in fund-raising efforts are doing things that do not come easily and they will soon tire, unless it becomes clear very quickly that the Association has a good chance to support itself.

APPENDIX

Asociación Hondureña de Ecología - (AHE)

Summary of Fund-Raising Strategy and Work Plan for April through September 1985

I. Corporate Donations and Sponsorship of AHE Television Programs

Person in Charge - Jaime Bustillo Pon - Executive Director

Collaborators: 1. Members of the Board of Directors, including new honorary members
2. Local advertising agencies or individual salespeople (commission rates to be negotiated)

Methods and

- specific steps:
1. TV Channel 5 has given AHE free time and has agreed to share with the Association any sponsorship fees obtained by AHE.
 2. Dr. Lopez, owner of a 12-year old TV program, has offered AHE a weekly five-minute spot, with sponsorship fees to be divided equally.
 3. All board members, and as many other volunteers as can be found, will commit themselves to visit personally five individual or corporate donors of their choice, with AHE lists to be made available to them. Three executive committee members have already chosen their five prospects.
 4. Director will prepare materials and orient solicitors.
 5. Campaign will emphasize La Tigra, tax advantages, and present prospects with tangible products to be sponsored, if general support contribution is not given. Institutional membership will be last alternative offered.
 6. Orientation will emphasize differences between AHE and Comité pro Medio Ambiente.

Timing: Now in progress, to continue

Expected yield during 1985 - TV sponsorships - 30,000 Lempiras
Contributions - 15,000 Lempiras

II. Sale of Products and Services

Persons in Charge: Products - Sergio Midence, Staff Assistant
Services - Jaime Bustillo Pon

Collaborators: Volunteers, to be recruited by those in charge, including university students, school teachers, and Peace Corps Volunteers.

Methods and

- specific steps:
1. Director to complete capability statement, submit it to AID/Honduras, and include it with proposals to others.
 2. Volunteers to prepare proposals for clients, based on joint assessment of project possibilities, following agreement on criteria for identifying priorities.
 3. Staff to array potential products-for-sale and choose priorities based on expected profitability and consistency with Association objectives.
 4. Secretary and a professional volunteer to improve sales area and windows of office.
 5. Midence to review market and arrange for wholesale distribution, retail outlets, representation by individual sales people on commission, and others.
 6. Dario Guzman to seek volunteers for staffing a Saturday morning market booth.
 7. Midence, Marinero, and ~~Martinez~~ to market slides, videotapes, etc., at schools and universities, in connection with educational presentations.
 8. Membership forms, Bulletin, and other releases to offer products for sale, with substantial discounts for members.

Timing - Current efforts to continue.

Expected returns - Net income of 5,000 Lempiras from product sales during 1985
At least one month of Director's time to be billable to contracts, for professional services, during 1985.

III. Membership and Renewal Campaign

Person in Charge - to be found through recruiting efforts of Midence, Martinez and Marinero

Collaborators - The three principal workers will recruit volunteer speakers from board members and others.

Methods and

- specific steps -
1. Specification of target groups (memberships up for renewal, existing donor list, professional community, university science students, faculties of universities and schools)
 2. Revision of all technical materials to incorporate appeals for enrollment and contributions (emphasizing La Tigra).
 3. Improved operation of renewal notice system now in effect, including personal followup (feasible with current 180 members).
 4. Review of past efforts and revision of formats to make more vivid, clear, and direct appeals.
 5. A target_{ed} mailing, after pre-testing, of a letter to 2,000 priority prospects, with monitoring to identify returns. ---mailing to be completed by April 15.
 6. Having identified excursions and short courses as the services most responsive to needs and interests of university prospects, staff will implement schedule of four courses and four excursions before June 30.
 7. Staff and volunteers will make 28 presentations at nine faculties, chosen as priorities, by June 30, emphasizing courses, excursions, and specific opportunities for volunteer professional service by student members.
 8. Follow-up of initial mailing, by new letter and phone calls.

Timing - Courses and excursions to be scheduled immediately, university presentations to be made once a month by seven speakers.

Expected results - By end of 1985, a permanent membership of 600 with annual income, from dues and non-corporate contributions, of 5,000 L.

Note: All solicitations will emphasize that an annual campaign is underway during (e.g.) the month of May and that no other solicitations will be made during the year.

IV. International Donors (Environmental Groups, foreign corporations, individuals, both citizens of other countries and Hondurans resident there).

Person in Charge - Peace Corps Volunteers (two) now assigned to AHE

Collaborators - University students will write proposals for projects addressed to environmental groups.

Methods and

- specific steps -
1. Identification of donor prospects in all categories
 2. Preparation of promotional material, emphasizing La Tigra, 1984 results, and opportunity for positive contribution to Central American situation.
 3. Mailing of 1,000 letters, following pretesting, to those on list of individuals.
 4. Personal letters to Honduran contacts in U.S., seeking collaboration and follow-up.
 5. Follow-up on IUCN, Wildwings, CODEL, ICBP and other pending proposals.
 6. Completion of list of prospective project sponsors and projects likely to be of interest to them.
 7. Identification of criteria for choosing among proposal preparation possibilities.
 8. Selection of priorities and recruitment of volunteers to prepare proposals.
 9. Submission of proposals.

SUMMARY- AHE could sustain itself with net income of approximately 36,000 Lempiras for the last six months of 1985. The Operating Plan set forth above anticipates income as follows:

(estimates of annual income modified for shorter period)

1. Corporate donations -	10,000
2. TV sponsorships -	15,500
3. Memberships -	1,000
4. Sales -	3,000
5. Int'l Letter -	2,000
6. Projects -	<u>10,000</u> (available for admin.)
	41,500 Lempiras

LIST OF PERSONS INTERVIEWED OR ASSISTED

AID Mission

Gordon Straub - Chief of Agricultural Development

Dr. John Warren - Environmental Adviser

Paul A. Dulin (Chemonics, Inc.) - Chief of Party for Natural Resources
Management Technical Assistance Project

Jose Ignacio Mata (Academy for Educational Development, Inc.) -
Social Marketing Specialist and Director of AID
Oral Rehydration Project

Barbara Stahler (Ayuda al Artisano) - Director of AID crafts project
and specialist in product design
and marketing

Julio Zepeda - Project Officer

Honduran Ecology Association (AHE)

Jaime Bustillo Pon - Executive Director

Wilberto Aguilar - Member of Board and Executive Committee

Jorge Betancourt - Member of Board and Executive Committee

Francisco Membreno - Member of Board and Executive Committee.

Sergio Midence - Staff Assistant.

Francisco Martinez - Part-time employee and volunteer

Leonel Marinero - Part-time employee and volunteer

Ana de Clark - Secretary and sales person

Dario E. Guzman - Volunteer in charge of La Tigra activities

Thane Weigand - Peace Corps Volunteer assigned to AHE and working at La Tigra

Raymond Dodd - Ex-Peace Corps Volunteer, formerly assigned to AHE

REPORT OF CONSULTING VISIT

PL / [unclear]
3/5/85

To

Asociación Hondureña de Ecología

James M. Pines, Consultant - June 1, 1985

1. This Report summarizes outcomes of two visits to the Asociación on May 21 and May 27. Ing. Jaime Bustillo, Director, received the consulting help with interest and useful interchange occurred. He commented that the business focus of the visit gave him a good balance, when related to the visits of Henry Little and others that dealt more directly with conservation matters.

2. AHE has followed the institutional development plan developed during the previous visit. Execution suffers from the perennial problem of lack of volunteers and Bustillo continues to do most of the work. The Board members who agreed to solicit five businesspeople each have performed in disappointing fashion and the new Board, to take office on June 1, doesn't look much better. Bustillo recognizes the need to get them involved and will continue efforts. Discussion also dealt with possible other sources of volunteers, including the University, retired people, service clubs, and women's groups. He has arranged for university students to receive credit for work with AHE and this may bring more volunteers. He will also approach the other groups.

3. The "bridge grant" for L130,000 (\$65,000) has been approved and Julio Zepeda is finishing the documentation. AID sent an auditor to look over the Asociación's books, in connection with the grant. It will now have an accounting system that shows income and outgo, instead of the previous arrangement that dealt only with spending of the AID grant. Discussion with Bustillo emphasized the importance of understanding depreciation of capital items. He had been pricing videotapes on the assumption that all costs had to be recovered in the year of production. Recognizing that they can produce revenue for at least three years, he soon saw the advantages of choosing prices that maximize net revenues, instead of looking only at capital costs.

4. Bustillo also soon saw the wisdom of using the bridge grant to buy equipment that can be rented, hence replaced from revenues when worn out, and merchandise that can be sold, with revenues used to replace inventory. This will make the grant a working capital fund and encourage self-sustaining activity. He has already been able to manage AHE workshops in revenue-producing ways, though most are not yet self-financing. AHE also receives a net of 200 Lempiras monthly from Television work, much less than was projected but a useful indication of fund-raising activity. With \$1500 from CODEL already received, along with \$3,000 from WWF, and another \$5,000 promised by RARE, international funds are coming along well. AHE takes 10 per cent overhead off the top, so that project grants also produce administrative funds. IUCN has written very encouraging letters on three proposals, totalling over \$100,000 and there is good possibility of something being received during 1985.

5. A local mailing, in accordance with plan, went out recently and may bring some members and funds. Planned international solicitations have stalled, primarily because Peace Corps Volunteers assigned to AHE have not performed as expected, but something may eventually emerge. Bustillo has had contact

with OAS about the possibility of a L 1,000,000 project. He understands the need to assess probability of success as he goes along, so that he does not spend time fruitlessly. He has done little on the tree-planting proposal, claiming that he doesn't know enough about it and can do a better job after the August workshop. He sent a capability statement to USAID, as discussed during the previous visit, but nothing has yet come from it.

6. AHE has received \$2500 from a Bank and has a tentative commitment of \$3,000 from IBM/Honduras. Other business possibilities have been explored, but Bustillo needs people to follow up. Projection is difficult, but from all sources excluding the new USAID Grant, the Asociación may raise about \$30,000 in non-program funds during 1985. This is less than the \$50,000 needed for self-sufficiency at an acceptable level, but is a good start. If AHE uses the bridge grant effectively, the self-sufficiency target should be feasible for 1986.

7. Bustillo needs more consulting services less than he needs the time to continue working. The brief visit boosted morale and allowed resolution of a few specific problems, but a one-week visit would have been excessive. The bridge grant and dollar funds from the previous grant leave him with enough to pay for more consulting as needed, but a few months without international visitors would allow continued concentration on local problems. Bustillo's budget allows one, maybe two, visits to the United States, and he continues to place too much reliance on what can be obtained there. He cites the Costa Rica example, though recognizing that the Costa Rican who achieved success had better status and contacts than he has so far.

8. Personnel problems remain critical. The other paid staff member, though helpful in many ways, lacks the personality and experience required to complement Bustillo well. Discussion about hiring another, more experienced, person floundered because the Asociación can't pay a high enough salary. Bustillo will explore possibilities for starting someone at a lower salary and then, if the person increases funding, increasing it. He is becoming more flexible and creative in approaching fund-raising problems, while remaining sensitive to the difficulties of educating AHE clientele to the need for covering costs. He spends a lot of time giving free advice and references, but will explore ways to convert some of this into future contracts.

9. AHE continues to be promising, though earlier exuberance should be tempered by the problems encountered in executing the fund-raising plan. The Asociación still needs a broader base of members and volunteers, if it is to survive. Bustillo understands this, but has not yet figured out how to achieve it and, with the best consulting help, it is not clear that there is any way. Honduras may just not yet be ready to support an ecological group. Nevertheless, the Asociación merits continued support and, with a little luck, may emerge as a capable and self-supporting useful group.

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REPORT OF CONSULTING VISIT TO AHE
(Asociación Hondureña de Ecología)

James M. Pines, Consultant

December 9-13, 1985

Consulting assistance during the visit, though based initially on an agenda proposed by the Association's Executive Director, in a letter dated September 13, 1985, soon addressed preparation of basic financial and program planning documents. The Director's early concern with (e.g.) establishment of a foundation and administration of volunteers, soon gave way to emphasis on adapting the Association's planning and management to the new status achieved during the past six months. AHE has become a functioning institution with funding adequate for current activities, good prospects for continued financial support, and a track record for execution of studies and other projects. Major current problems include financial planning and project administration, with fund-raising and institutional development less important than previously.

Frank Valva, PADF Representative in Honduras, joined in the first and last days of the consulting visit. Intermittent help from him will be useful for reinforcing skills transmitted during the visit and for helping the Executive Director to apply them well.

CURRENT STATUS

USAID offered AHE \$2 for every \$1 raised in Honduras and the Association is about to reach its target of \$18,000. This sum, with the \$36,000 due from USAID as a result, gives the Association at least \$54,000 for 1986, more than enough to "keep the doors open." An additional \$10,000, from overhead charges included in projects likely to be implemented during the year, some pending corporate contributions, and other miscellaneous revenues yield a very satisfactory financial picture. Two part-time paid fund-raisers and the Executive Director's marketing plans offer good reason to assume that the current funding level can be maintained during 1987. A pending application for a three-year grant of \$75,000 from the MacArthur Foundation, encouraged by Dr. Gerald Lieberman, would, if received, provide almost an embarrassment of riches.

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Increased effective program activity accompanies the improved financial situation. AHE joined with Government and the University of Honduras to present a week-long seminar on environmental legislation. It supervised execution of, and received overhead for, two small studies, totalling \$20,000, contracted by AID. More important, performance was good enough to produce a third assignment now underway. At least five Peace Corps Volunteers relate closely to the Association and, though supervision problems arise, they do useful work and enhance AHE's reputation. Membership has grown slightly, from 350 to 374, and the number of local volunteers holds firm. A recent study, commissioned by AHE, found that a random sample of members complain of "poor communication" but 85 % viewed the Association positively. Seeking the study, and current plans for responding to the findings with a part-time membership relations person, also illustrate the lively ferment now taking place. The Mayor's office has offered land for a building and the Association is currently negotiating details of the gift. Low-cost construction, through donations of materials and services, seems feasible.

A few clouds dot this otherwise satisfying picture. Until the consultation, the Executive Director had little idea of what his acceptance of projects was costing the Association. Examination revealed that most projects were not covering overhead costs, forcing AHE into uncalculated and unanticipated subsidies. No overhead rate had been determined and, though surviving well, the absence of financial planning left AHE "flying blind." Ecological interest in Honduras remains inchoate and the critical mass required for significant impact does not yet exist. La Tigra National Park, an AHE priority, continues to suffer from lack of funds and remains far from achieving potential. Indeed, some Peace Corps Volunteers fear that it is deteriorating. Nevertheless, AHE exhibits very satisfactory program and financial progress. The Executive Director deserves substantial credit for the many accomplishments and has sound plans for using the new funds to raise the institution to a still higher plateau. If he is able to delegate some of his current tasks, especially volunteer and member relations, and focus on the things he does best, his effectiveness should increase.

Although some might argue that the continued dominance of AID funding leaves AHE far from "self-sufficient," new relationships with AID and the advent of other sources justify acknowledgement that self-sufficiency, by any definition reasonable for a non-profit group, is close to being achieved. The future cannot be guaranteed, but, from an institution-building point of view, AHE shows considerable promise.

ACTIVITIES DURING THE VISIT

Consulting help concentrated on providing the Executive Director with the financial and program planning tools necessary for managing the Association effectively at the current higher level of activity and funds. Earlier emphasis on fund-raising, and the pressures of other activity, had produced some understandable neglect of these essentials. Matters discussed in detail, including preparation of draft documents, were: a) Annual budget, b) Cash flow analysis, c) Project control form, d) Marketing plan, and e) Work plan with related staff requirements. Determination of overhead rate, and implications of it for project costing and negotiation of remuneration, also received heavy attention. The proposed tree-planting project was also discussed, and an improved concept paper should emerge, but this received lower priority than the more pressing management problems. Discussion of the proposal to establish a foundation resulted in possible establishment of a separate AHE capital fund, to respond to donors not wishing to contribute to general AHE support.

Discussion of sources of funds, and preparation of a document relating them quantitatively to the proposed budget, gave the Executive Director a clearer idea of how to negotiate project funding. He saw quickly that some part of overhead must be covered by projects, in AHE's current situation, since other sources remain insufficient. He recognized, too, that careful attention to identifying all direct project costs, including those usually classified as overhead, could help reduce the subsidy implicit when donors refuse to pay overhead. Although precise calculation proved difficult, because the division between overhead and direct costs is somewhat arbitrary, it became clear that, under current assumptions, AHE projects require an overhead rate of about 20% to cover the full costs.

The tree-planting project discussion emphasized clear identification of goals and formulation of a reasonable hypothesis for achieving them. It became clear, immediately, that the Haiti workshop had produced too many ideas, most of which remained unclear. The ambitious goal of reducing depredations in the La Tigra Reserve gave way to primary emphasis on the income-generation and tree-planting accomplishments feasible within the Association's limitations. Any project emerging will contribute to, but cannot alone, reduce the illegal activity now threatening the Reserve.

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RESULTS

The Executive Director prepared, with consulting help, a draft budget, cash flow chart, marketing plan, quantified funding sources report, and project control document. Although these need to be refined further, and will require monthly revision, they already provide a useful set of planning and management tools. Reviewing budgets of proposals already submitted allowed the Executive Director to see more clearly both the significance of overhead and the implications of failing to recover it. By simulating renegotiation of the projects, the consultation gave him practice in manipulating alternative techniques for cost recovery and in justifying to donors the need to recover overhead in some form.

Although quite general, the draft marketing plan identifies enough prospective donors and prospects to make clear the need to choose priorities, a problem that has given the Director difficulties for years. The part-time fund raiser also participated in these discussions and seemed to become more aware of his need to make difficult priority choices. These choices also include selecting the most promising products for sale through the Association, a subject included in later discussions. The fund raiser also seemed to benefit from discussion of the proposed capital fund, quickly recognizing that general support funds must remain his priority goal if the Association is to continue prospering.

Discussion of the Executive Director role and the need for delegation produced recognition that membership and volunteer relations might best be left to other staff. Reviewing the staff requirements of pending projects made clear that the Executive Director has already committed far too much time to participation in, and supervision of, them. If he were actually to spend the more than 200 days now programmed for 1986, he could do nothing else. This encouraged more careful work planning and identification of the need for another staff member capable of helping out with project responsibilities.

There evolved from the consultation clearer understanding that the Association's activities divide into execution of projects, for, or in collaboration with, others and those implemented solely with AHE funds and constituting its separate or independent program. This led, in turn, to identification of the need to strike an explicit balance between these two major elements, for any given level of overhead and organizational capacity. AHE currently has little independent program, since AID funds so much of what it does, but this project funding ends in May and the Association will have to distinguish more clearly between the two major aspects of its work.

Preparation of a simplified draft concept paper for the tree-planting project left the Executive Director with a basis for further work. Before proceeding further, he needs assurance that funding prospects are promising.

FUTURE HELP

The Association will not need consulting help of the kind and duration provided during this visit for at least a year. It will take that long to install, refine, and learn to use effectively, the planning tools introduced. There remains a need for intermittent brief help to assist application of the tools and to assure that they are understood fully. Preparing the budget for any large new project, for example, would benefit from an outsider's perspective. Implementation of marketing and fund raising plans will also be more effective if the Executive Director has occasional consulting help. His difficulties in expanding the Board of Directors (Junta Directiva), a continuing problem, could be resolved, perhaps, with advice and participation of a consultant familiar with Honduran practices and personalities.

It is easy to identify many other program and management areas in which AHE could use help. Policy and personnel manuals, for example, do not exist and would be useful. The Association's publications and public relations could be much better. These are, however, lower priorities than implementing effectively the management improvements already begun and helping AHE with the routine problems of carrying out grant projects in timely and financially sound fashion, while maintaining good professional quality.

Presence of a PADF representative in Tegucigalpa, with good program and management experience, offers opportunity for low-cost extension of a useful consulting relationship. Rather than programming visits of a day or more, it would be better to agree on a total number of days to be provided as needed.

The consultant would then review documents prepared by the Executive Director, help with specific problems, and offer ideas for new projects and activities. The representative's presence during two days of the visit, and his earlier discussions with the Executive Director, have left him well prepared to maintain the consulting relationship proposed here.

IIED and PADF can also help the Association in the future by urging WWF, IUCN, and other donors to consider more carefully the overhead implications of their proposed grants to AHE. The Executive Director shows understandable reluctance to challenge their financial policies and, desperate to undertake projects, has accepted commitments that must eventually cost AHE money, without knowing where the required subsidy will come from. Such project grants do not help institutional development of AHE and, if continued, can easily drive it into insolvency. The international community's obligation is not to make projects, but to help AHE remain a thriving institution.

CONCLUDING REMARKS

The consultation included participation in an orientation for four Peace Corps trainees, scheduled to begin work soon with AHE. This provided opportunity to observe the Executive Director in action and to comment on his presentations. His emphasis on the importance of self-sufficiency impressed the trainees well, but he now recognizes that future presentations could be a little less strong on the need to recover overhead and on other financial matters.

The meeting also involved the possibilities of forming local AHE chapters with Peace Corps Volunteer help. The consultant emphasized importance of beginning with small groups of interested people and starting from their interests, cautioning AHE against seeking to impose an outside agenda and against worrying about enrolling members before demonstrating the many useful services the Association can provide.

The meeting also permitted introduction of the new coordinator of volunteer services and encouraged the Executive Director to delegate responsibilities to her. Reports from the trainees, all of whom had made brief visits to their proposed sites, support cautious optimism about formation of a few AHE chapters. This would make it more truly a national institution.

The consultation also dealt with how the Executive Director should respond to some attacks on his performance, allegedly coming from members of the University biology department. These critics, also AHE members, appear to stem in part from the poor communication between AHE and the membership. Though largely a tempest in a teapot, and no serious threat to the Executive Director or the Association, the matter merited attention. The Executive Director now understands, intellectually, the need to separate his anger and defensiveness from his professional constructive response, but acknowledges some continuing emotional problems in applying this knowledge.

The criticism and claims of poor communication emphasize the need for AHE to open up the Board of Directors and to improve notice and quality of meetings. It would be tragic if these administrative problems were to obscure the many substantive AHE accomplishments. These problems are manageable and the Executive Director's current plans include appropriate measures for addressing them.

RECOMMENDATIONS

1. The Executive Director should prepare, for 1986, a) Budget, excluding project costs, with related anticipated sources of funds, b) Work Plan, including staff responsibilities, c) Cash flow projection for first quarter, d) marketing plan, and e) Control document for each project initiated.
2. The foregoing planning tools should be used to monitor monthly the relation of experience to projections.
3. The Association budget should include depreciation expenses associated with replacement of the vehicle and other physical assets.
4. The budget should include alternative projections of expenditures with and without the pending MacArthur Foundation grant.
5. Upon receipt of the MacArthur Foundation grant, AHE should hire a) a person able to supervise and participate in projects, b) a coordinator of volunteer and membership services, and c) a full-time director of fund-raising and sales.
6. If staff is increased as recommended above, the Executive Director should devote half his time to project implementation and supervision, using the other half for marketing and for public representation of AHE and the causes it supports.
7. The foregoing work division requires that the Executive Director delegate to others, as much as possible, fund-raising, membership relations, supervision of volunteers, and preparation of publications.
8. All future projects should cover their appropriate share of overhead and subsidies should be given only when clearly identified as such, and with identification of specific sources for the required funds.
9. Volunteers should be used primarily for the Association's non-project programs and services required for execution of contracted projects should be remunerated.
10. The Association should not start a separate foundation, but should establish a capital fund, for donors interested in funding tangible products, to be administered jointly with a bank and separated clearly from other AHE funds.

Diana Wood



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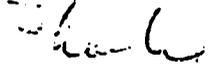
The attached papers recently reached us from our Proje Pyebwa team in Haiti. I am sharing copies as especially thoughtful and comprehensive reports, vividly providing implications for follow-on agroforestry efforts in Haiti.

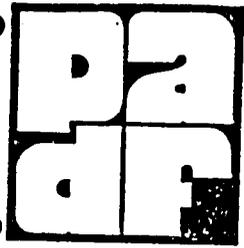
Dr. Bene, "father of agroforestry", obviously asked Dr. Smucker, following the August workshop, about the real need for locally available technical information, NGO networking, species improvement, economic impact, ways to address tenure problems, and training plans and capacities to hasten Haitianization of the effort.

The multiplier potential of the subproject system, based on variable PVO and missionary capacities to mobilize additional resources, is summarized in Dr. Smucker's review of Institutional Development among Collaborating NGOs.

Cumulative planting, numbers of participating groups, research trials, nursery capacities, etc. (not reflecting implications of new and growing additional resources) are summarized in the two-page excerpt from his Summary of PVO Subprojects 1982-5.

Warm regards.


Phoebe Lansdale
Director
Special Projects



Pan American Development Foundation

Projet Agrosylvicole d'Haiti — Projè Pyebwa

Delmas 31 N° 27, Port-au-Prince (B.P. 15574 Pétionville) Haiti Tel: 6-0786 TELEX: OEAHAI 3490047

February 24, 1986

Mr. John Bene
2830 S.W. Marine Dr.
Vancouver, B.C., CANADA V6N 3X9

Dear John,

I thank you for your letter originally dated September 1985. I regret the delay in answering your letter, but it has reached me in quite a roundabout way and in the midst of political struggles which have had a significant impact on the functioning of our program. These political tensions have been resolved for the time being with the departure of Duvalier. It appears to be a time of new beginnings and the possibility of a more open society--and hopefully for the emergence of more equitable institutions. This augurs well for our project as we pick up with our program in 1986 and plan for a renewed period of funding in 1987 and beyond.

I am appreciative of the issues you have raised. Such feedback is useful and provides an opportunity for dialogue. I am also pleased that you actively seek to improve the effectiveness of CIDA funded NGOs in Haiti. Despite the emerging potential for a certain re-orientation of government ministries, I feel that the building of a new society in Haiti makes essential the strengthening of grass roots non-governmental institutions.

I take this opportunity to reply to your questions:

1) Establishment of an information center: First of all, our primary funding sources are seeking to work out a new multi-year extension of the agroforestry outreach project beginning January 1987. Secondly, the evolution of our program (PADF Projè Pyebwa) has been in the direction of a growing role for training, the development of new training materials, and complementing our extensive outreach program reaching large numbers of farmers, through cooperating NGOs, with a series of more intensive services reaching a smaller number of farmers with projects in soil conservation, fruit, forage, and a heightened concern for tree improvement and species fit. Thirdly, the issue of communications is a special concern for us in consolidating our present information base and planning for the future. In short, I see the PADF program continuing in Haiti for the foreseeable future, and I see the technical support and information role as a vital feature of that continuing presence.

Nevertheless, the problem of information flow is hardly solved by the continuing presence of our program, even with some new directions and strengthened components. The government agricultural ministry at Damien is a logical source of information but has not heretofore been very accessible to either small farmers or NGOs. Furthermore, there is a closely related service already housed there, the ADS II project in farm systems research, funded by AID. Secondly, another related service is the Centre de Formation en Aménagement des Mornes, jointly operated by the agricultural ministry and the FAO, presently under the direction of Mr. Kochafkan in Limbe, a few miles from Cap-Haitien. Thirdly, a potential source of training and information is the fledgling forestry technician school established on the

state farm at Papaye, near Hinche. This is funded through the World Bank. Fourthly, there is a Ph.D forester at AID, located in the agroforestry coordinator's office. This forester, Mr. Richard Pelleck, is available for advice upon request. Fifthly, the use of HAVA as an information center is worthy of further thought, particularly as a source of printed materials and as a referral service. HAVA is not of course a technical or implementing organization. Rather, HAVA is a "trade association" for the various local and international NGOs working in Haiti. PADF and a number of our cooperating subprojects are members. HAVA will likely receive renewed AID funding to assure its continuity, and it appears to be maturing as an organization. HAVA could conceivably house or serve as an umbrella for a specialized agroforestry information center; however, this would seem to be an unnecessary duplication at the present time. Finally, AID funding trends generally are in the direction of significant non-governmental funding, development of new programs with an environmental impact, and special support for programs on hillsides, small farm systems and watersheds. The focus of new AID activities in the remainder of the 1980s is likely to be the five watersheds located in the region of Les Cayes (south). In addition, AID will likely continue to fund PADF and other NGOs doing hillside interventions in other regions.

In the new funding cycle taking us through the end of the decade, I see PADF continuing to play a key role in providing services to collaborating NGOs. I do not foresee conflicts in this regard from the agricultural ministry. Rather, the ministry has had a significant change of heart in relation to our program. In the period following the August workshop, key officials at Damien began to show a sympathetic interest in the program. They have continued to give us moral support and have requested a whole range of information including advice on nursery technologies, training materials and extension strategies--all of which we have provided. Secondly, the ministry invited our participation in the national workshop on watersheds in October 1985. A number of our staff attended and I participated in program planning for the workshop. This was good for institutional relationships among NGOs and the ministry, and it aired a number of issues pertinent to forest policy. Unfortunately, the ministry censured any discussion of the land tenure/tree tenure issue--perhaps the most fundamental issue of all--despite having invited a representative of the University of Wisconsin Land Tenure Center. A third response from the ministry, showing support for NGO forestry, is a conspicuous effort to replicate some of our program activities through organs of the ministry. The Division of Natural Resources has been purchasing trees grown in small container nurseries. They are also planning to shift to small container nursery production in 1986. They have not been doing a very effective job of tree distribution, training or follow-up, but they have clearly demonstrated an interest in these new approaches. In effect, the presence of strong NGO programs in production and outreach has mounted certain pressures on them to perform and has demonstrated practical models for doing so. It remains to be seen whether these new initiatives will be continued under the new minister. The usual pattern has been for newly appointed ministers to withdraw support for programs established under previous ministers. Furthermore, it is not at all clear what the new political era might bring. New policies are likely to be stymied so long as a new regime has not clearly gained control of the political apparatus. These are strong arguments, at the very least, for current donors to maintain continuity with NGO structures.

In sum, the PADF program is most likely going forward with uninterrupted continuity. It is well placed to enhance its information and advisory functions as an Agroforestry Resource Center. One of the limitations on these services

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is the staffing patterns under current funding arrangements. In the future we wish to free up staff time from the heavy burden of managing regional portfolios so that more time can be made available for informal consultation and technical advisory services to programs not directly funded by PADF. We have long been doing this to a certain extent, but more staff time could be made available if we are able to dilute pressures for increased administrative burdens and higher numbers of trees. Internally we have already been shifting in this direction with the upgrading of Haitian technicians into top management and training roles. Another limitation on the information/advisory function is from the client side. We must be asked for services if we are to be helpful. I took initiative last week to talk with Paul Thomas, and as a result he and Mike Bannister discussed technical and planning issues at great length in the proposed new funding cycle for the Marmelade project--a project to which we do not normally provide services or funding.

2) Seed sources/tree improvement: This is very important and something is being done about it. We are beginning to establish a tree improvement program, including identification of plus trees. Some nurseries are also establishing stands of trees which could serve as seed orchards. We have sought to budget for a full time position for seed procurement and coordination of tree improvement and mapping activities. We are still unable to cover the costs of such a position at the present time.. AID has recently taken initiative to work up a plan for a germ plasm bank. The proposal has not yet been circulated for feedback, but Michael Bengé (AID/Washington) has recently spent some time in Haiti for this purpose. The AID plans for the Cayes region envision a special component for supplying a broad range of vegetative material for soil conservation, agroforestry and tree planting efforts. Meanwhile we have continued to import seed from new proveniences. If you have suggestions along these lines we would be most appreciative.

3) Economics and marketing: I agree with your concern for the economics of charcoal production in Marmelade. It would be useful, in the case of CODEPLA, to do some cost projections and economic feasibility studies. This would likely require access to a budget for consulting services. I don't know where to turn for that at the present time. I have been lobbying at AID for an in-country applied research and advisory function to be funded so that such services could be made available, for a fee perhaps, but locally established so that ONGs such as PADF and CODEPLA could commission certain types of research or get advice. It is possible that the University of Maine Agroforestry Research Project could become such a service. Their current research program was commissioned by AID in 1984 without seeking the advice of outreach programs such as ours. The way it is presently established, the U/Maine program does not have the authority or flexibility to respond to specific research programs that we might suggest. Just in passing, I would note that charcoal coming from the Northwest region--the largest single supply center--may in fact have similar transport costs as Marmelade. It might be worth Paul's while to check with Jerry Grosenick at the U/Maine office to get his thinking on the matter. The Maine team has been monitoring charcoal supplies coming into Port-au-Prince by all roadways and wharfs.

4) Land and tree tenure on state land in Marmelade: The twenty dollar fee per acre strikes me as exorbitant and not in keeping with other incidents of state leasehold. State land may be somewhat more subject to expropriation than private lands, but it need not be a problem given the precedents in areas such as La Gonave where peasant farmers have been leasing state lands over a period of

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of several generations of continuous occupancy at nominal fees. I believe that foreign donors and established NGOs could be helpful in assuring state protection for their cooperating farmers. There are cases of state grants or leases free of charges to charitable organizations. Nevertheless, this is one of the thorny juridical issues that requires lobbying at policy levels. AID has proposed the "privatizing" of state lands in the lower reaches of Pic Macaya as a way to make land available to peasants and also a means of controlling haphazard occupancy of state lands so as to minimize environmental damage.

5) Donor agencies and land tenure protection: I most assuredly agree that donor agencies and governments should lobby for judicial reforms and policies which protect the rights of tree planters and peasant farmers. I believe that assurance of tree tenure is absolutely essential to the long term viability of agroforestry projects in Haiti and fundamental interests of all peasant farmers. Another closely related issue is the irrational and corrupt system of taxation on tree cutting and transport. There should be basic reforms of this system, and tax incentives should be introduced to foster tree planting behavior rather than the cutting of trees.

6) Indigenization: First of all, a key focus of PADF's program is the institutional development of NGOs and grass roots organizations in the domain of tree production, distribution and management. Secondly, the terms of reference for this project are rooted solidly in the vested interests that small farmers have in planting and managing trees as a crop. In practice, this means managing trees not only as a cash crop but also for domestic consumption and services (house construction, forage, shade, green manure, erosion control, etc.). This holds out the promise of "institutionalization" at the level of peasant agricultural decision making. Thirdly, we feel that agroforestry extension services will need to be subsidized for some time to come. With this reality in mind, we view the emergence of alternative funding sources for our cooperating NGO subprojects as a significant step toward greater independence and a spread effect of the project. For example, CIDA funding of UNICORS and CODEPLA, and Helvetas funding of CARITAS, and outside nursery orders such the trees ordered by the European Economic Community in Jeremie are good examples of the kinds of trends we seek to promote.

In the short run it is quite unlikely that government institutions will be interested or capable of taking over the functions presently served in this realm by NGOs such as PADF, CARE, CARITAS, CODEPLA, etc. Furthermore, the World Bank already funds forestry programs at the agricultural ministry--at multi-million dollar levels--and the bank has made plans for significant follow-on funding of the ministry. The ministry also receives significant funding for other purposes, such as agricultural extension on the Central Plateau, e.g., IFAD (Rome) to the tune of 18 million dollars. Neither of these programs has done well at fulfilling their objectives as of this date.

I believe that our NGO programs serve to promote pluralism and innovation in an institutional and political environment which otherwise tends to promote authoritarian arrangements, ineffectual government services and a limited absorption capacity for outside funds--despite the crying needs of the country. It is my firm conviction that funding NGOs is essential and should be continued for the foreseeable future. It is to be expected that government ~~funds~~ ^{programs} will also be funded at appropriate levels--to the extent that normal requirements for competence and accountability are maintained. The passing of the Duvaliers may mean a new opening in this regard, but the same governmental traditions are still with us and have been in place for a long time prior to the rise of the Duvaliers. Our last

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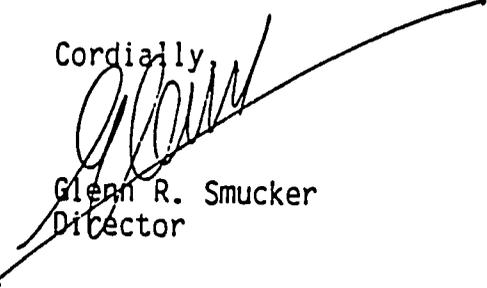
and best hope for indigenization, it seems to me, lies in the acceptance of new tree management and agroforestry systems on the part of peasant farmers. Despite tremendous variability among NGOs, these organizations remain the single most flexible and decentralized organizations presently available for institutional development and innovation. The special role of the church in recent political changes speaks eloquently to this point.

7) Workshop participation: The limited number of Haitians in evidence at the PADF workshop in August 1985 was directly due to the specific goals and funding conditions for this venture. It was targeted specifically at non-Haitians from the Caribbean region. In fact some consideration was given to holding the workshop in the Dominican Republic rather than Haiti. Secondly, in view of the language skills of the participants, it was essential to use English as the lingua franca. Thirdly, the workshop was directed to focus on non-governmental programs, particularly those linked to PADF. Finally, the PADF program in Haiti sponsors hundreds of seminars and training sessions in Creole in the normal course of operation. Hence, the workshop was targeted toward others in the Caribbean region without access to such services.

I welcome your comments or further visits from you and your colleagues. Please give my regards to Ralph Roberts. I also encourage a continuing interest on the part of CIDA in funding programs in Haiti, especially NGO activities in tree planting and agroforestry. I believe that a much greater impact could be made on the natural and institutional environment here with diversified funding sources and higher levels of funding. Given AIDs growing interest in funding projects in the Cayes region, I fear that other regions of the country might end up getting short changed. This may have an unfavorable impact on our own program, especially for collaborating NGOs in the North, Central Plateau and southeastern zones. At present funding levels we are unable to expand into new areas not served with these services, e.g., the Anse-a-Veau region (northern coast of the southern peninsula), the off shore islands, especially La Gonave, highland zones of the Mornes de la Selle, and the southeastern section of Haiti beyond the pine forest in the direction of Belleansé. I could also see a role for CIDA in underwriting the cost of producing training materials and Creole manuals. Another area requiring funding is the cost of personnel support for NGO requirements in planning, technical advisory services and follow-up services as trees enter mature stages of growth and marketing. Finally, technical support for tree improvement services is still underfunded. If there is any way in which we can be helpful in targeting NGOs needing additional funding for agroforestry programs, or if we can cooperate in CIDA funding for additional information or technical support services or training materials, perhaps through the umbrella of an organization such as HAVA, please let us know. Aside from political restraints, the funding constraints are still the primary limiting factor for an adequate response to Haiti's extreme rural poverty and advanced state of environmental degradation.

Under separate cover I will be sending you a copy of the August workshop proceedings and a copy of the 1985 annual report.

Cordially


Glenn R. Smucker
Director



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M E M O

TO: EVALUATION TEAM, USAID MISSION.

February 28, 1986

FROM: GLENN R. SMUCKER

RE: PADF PORTFOLIO REVIEW TO ASSESS INSTITUTIONAL DEVELOPMENT AMONG COLLABORATING PVO SUBPROJECTS

One of the objectives of Proje Pyebwa is to promote institutional development in the area of nursery production and tree extension services. As documented in the PADF Proje Pyebwa Summary of PVO Subprojects, the four year period 1982-1985 was marked by formal collaboration with 172 organizations, including extension programs with 109 PVOs. By the fourth year of the project PADF was working with 33 PVO nurseries. Recently, I sat down with each of the 5 regional foresters in the PADF program and engaged in a portfolio review of all subprojects. We sought to assess projects with a view to the relative likelihood that they would continue program activities in tree production or outreach in the event that Proje Pyebwa should cease to exist. We divided each portfolio into three categories of projects: Viable, May Be Viable, Unviable. Relative viability was assessed in terms of management skills, motivation and potential access to alternative funding sources. These assessments are summarized in Table 1 below. Note that 30 PVOs and 45 percent of the program, if measured in terms of numbers of trees distributed, were viewed as having a strong likelihood of continuing such activities, although not necessarily at current levels. Another 23 PVOs, distributing 31 percent of the trees in 1985, were viewed as having a reasonable possibility of continuing, but on a somewhat more contingent basis. The remainder of the projects were deemed fully dependent on PADF services in order to continue functioning. Fully 76 percent of the program, measured in levels of tree distribution in calendar year 1985, were thus viewed as Viable or May Be Viable. This amounts to 53 PVOs out of the 105 extension programs and nurseries in 1985. The nursery capacity of PVOs deemed viable comes to 3,003,800 trees per production period. I hasten to add that these programs, even those deemed Viable, would not continue to operate as they do now. The question here is simply whether there would be any activities at all in terms of tree production or distribution.

TABLE 1. ASSESSMENT OF RELATIVE VIABILITY OF PVO SUBPROJECTS FROM CY 1985

REGION	REGIONAL TOTALS		VIABLE PVOs				MAY BE VIABLE			
	PVOs	TREES	PVOs	TREES	%	NURS CAP	PVOs	TREES	%	NURS CAP
1 - SW	13	1,363,625	7	1,250,255	92	1,113,000	4	64,900	5	---
2 - SE	24	1,021,695	5	364,790	36	380,000	5	518,355	51	160,000
3 - N	25	1,331,795	4	120,000	9	880,000	5	470,694	35	---
4 - UP	24	891,823	8	293,629	33	300,000	6	323,850	36	80,000
5 - LP	17	669,500	6	390,550	58	250,800	2	147,300	22	---
Misc.	2	126,100	-	-	-	-	1	125,100	-	---
	<u>105</u>	<u>5,404,538</u>	<u>30</u>	<u>2,419,224</u>	<u>45</u>	<u>3,003,800</u>	<u>23</u>	<u>1,650,199</u>	<u>31</u>	<u>240,000</u>

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Another angle on institution building is the demonstrated ability of collaborating organization to raise funds or to allocate their existing resources for tree production or distribution. The PADF program has had a far reaching effect in this regard, not only raising funds itself, from non-AID sources, but also in terms of encouraging collaborating PVOs to raise funds. The latter phenomenon has taken place naturally, so to speak, as a spin-off of activities already undertaken in collaboration with Proje Pyebwa. Some organizations linked to the Proje Pyebwa program were already involved in tree production or distribution prior to 1982, e.g., the Baptist Haiti Mission (Fermathe), the Eglise Methodiste d'Haiti (PRR, Jeremie), OMS International (Vaudreuil), the American Baptist Foreign Mission Society (Limbe & Quartier Morin), the Mennonite Central Committee (Grande Riviere du Nord) and the Christian Reformed World Relief Committee (Pignon). Proje Pyebwa was able to build on these experiences and institutions, and launch its own program to reinforce such institutions as well as to help create others. One of the effects was to diffuse new nursery technologies, especially small container systems. Consequently there are 40 small container nurseries (conservatively estimated) which did not exist, either as nurseries of any kind, or as small container nurseries in particular. PADF presently works with 33 small container nurseries (as of the end of 1985, and including purchase of trees from a fellow AID grantee, ODH), and PADF related nurseries are continuing to be built in 1986. PADF has used its purchase power, i.e., standard operating procedure in which \$0.075 is paid for healthy small container seedlings produced on time, to create new nurseries or transform existing nurseries over to the small container system. This purchase power is used flexibly, including extension of credit toward nursery construction, purchase of materials, etc., for re-payment in kind (seedlings @ \$0.075). Fundraising and nursery technologies are just two examples of the demonstrated effects of PADF goals for institutional development. In sum, these effects include the following: 1) transfer of new nursery technologies, 2) broadening of species selection available to Haitian farmers and the society at large, 3) expanding the scale of production in Haiti to unprecedented levels (production capacity of PADF related nurseries is easily 10 million trees per year), 4) diffusion of new tree planting ideologies, i.e., small farm tree plantings as a production system integrated into peasant agriculture--tree cropping for consumption and sale, and re-orienting existing nurseries away from production oriented strategies to nursery resources as a response to distribution and outreach programs, 5) generation of funds directly to nurseries from outside donors or clients, and generation of new funds for outreach by PVOs (in addition to funds channelled through PADF), 6) demonstration of effectiveness and efficiency of the Proje Pyebwa grant making-cum-support service model for large unwieldy donors unable to work directly with a large number of small community based PVOs, 7) transfer of funds to nurseries via a small margin of profit on nursery production @ \$0.075, serving as a motivational strategy and tool for efficient nursery management, and serving to generate funds for tree promotion by the PVO, 8) training of nurserymen and extension agents (animators), therefore an investment in human resources in many rural communities (touching over 700 people directly), and training of peasant farmers in tree management skills (touching nearly 60,000 farmers directly, in the first four years, and reaching a total of 90,000 farmers estimated for the period 1982-1986), 9) capital development of nurseries with essential features such as water systems, shadehouses, warehouses, land, seedling production racks, fencing, and establishment of seed and budwood orchards.

What follows is a listing of organizations (implementing agencies and donors) which have provided or secured funds for producing and distributing trees from sources outside the Agroforestry Outreach Project:

Available Document

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- 380 Pepiniere d'Amaguey, Limbe: Nursery sales commercially; does some extension
382 Centre Agricole, Quartier Morin: Nursery orders from Fondev & ODN
102 DCCH, La Borde: Built second nursery, Misereor funding for 100,000 trees F85
101 PRR, Jeremie: Now producing for European Economic Community, 150,000 trees F85
120 ORE, Camp Perrin: Has invested own funds, then PADF and later AID funds directly
201 Baptist Haiti Mission, Fermahe: Has long sought funds for nursery production,
from various other sources, and continues to do so, including World Vision funds
106 UNICORS, Rendel: Has gained support from CECI (personnel support) and
CIDA (Canada), including cost of producing 100,000 seedlings F85
103 CODEPLA: Received funding of 1,000,000 dollars from CIDA, other support
from UK Tear Fund, World Concern (Canada), and built additional nurseries
107 DRI, Bergeaud (Cayes): Has significant independent input into nursery
and outreach programs, support from World Concern
202 Baint parish: Receives support from Shell Oil of Haiti, covers half of
annual seedling production
204 AMG: Funding from Holland
228 Violet training center: Funding from Methodist Church & University of Maine
218 Bellefontaine: Some funding from a US PVO
230 WISH: Has had special personnel support from own resources
506 CBH: Support from Southern Baptist Convention (USA)
121 and 705 ADS II: MARNDR and USAID
432 Winrock: MARNDR and USAID
473 MCC: Has invested funds and personnel from own program and sought and
525 received funding from CIDA, built own nurseries & extension programs
527 in Artibonite and Central Plateau, production capacity of at least 480,000
431 AFVP: Special personnel and funding support
422 Allegheny Wesleyans
472 Mombin Crochu parish: Belgian funding
451 Cercal Carvajal parish: Belgian funding
463 CRWRC: Funding & personnel, backyard nurseries (bag)
442 Cerca La Source: Belgian funding, innovation in nursery technology, using
roottrainer seedlings transplanted in bags
482 Petits Freres de Sainte-Therese: Personnel, funding for nursery production
231 Emmanuel International: Canadian funds
234 Foster Parents Plan
233 ITECA
354 Centre Agricole de Saint Barnabus: Established roottrainer nursery with
PADF advice and their own funds
360 Centre de Formation, Limbe: FAO, MARNDR
380 Cooperative Evangelique d'Haiti: Nursery initiatives, fruit & forest species
510 CHADEV: Funding initiatives, nursery investment
233 Ti Bois: MARNDR
402 Caritas Hinche (Papave): Major funding from Helvetas
- DONOR AGENCIES: Misereor, CIDA, World Concern, UK Tear Fund, Shell, Protos (Belgium), Helvetas (Swiss), Canadian Embassy, various US Protestant Churches, European Economic Community, FIDA, German & Belgian funds, CECI**
- 405 Helvetas: Funding nurseries & agroforestry as both donor & implementing agency
452 Bois de Laurence parish: Belgian volunteers
301 CECI St. Michel: Canadian funds
-- Save the Children (Canada): Establishing nursery & outreach program
-- Save the Children (USA): Establishing tree program
-- MARNDR: Purchasing roottrainer seedlings, at least 500,000, and establishing
roottrainer nursery, distributing seedlings
411 Petits Freres de l'Incarnation: Belgian volunteer
-- Organization du Nord (ODN): Purchasing seedlings from PVO nursery, Quartier Morin

DISTRIBUTION: Ira Lowenthal, Jerry Grosenick, John Palmer, Phoebe Lansdale



RECEIVED MAR 10 1986

*file - Haiti Agrof-
Subproj*

Pan American Development Foundation
Projet Agrosylvicole d'Haiti — Projè Pyebwa

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PADF PROJE PYEBWA SUMMARY OF P.V.O. SUBPROJECTS 1982 - 1985

THE PRESENT REPORT IS A LISTING OF ALL TREE CONTRACTS AND PURCHASE AGREEMENTS SIGNED WITH PROJE PYEBWA, THE PADF HAITI AGROFORESTRY EXTENSION PROJECT, DURING THE INITIAL LIFE OF PROJECT PERIOD, 1982 THROUGH 1985.



GLENN R. SMUCKER
PROJECT DIRECTOR

February 1986

Data Summary for all Regions

Cumulative Grand total Trees Planted	15331716
Cumulative Grand Total Number of PVOs	172
Cumulative Grand Total Extension Trees Planted	15041475
Cumulative Grand Total PVOs with Extension Projects	109
Cumulative Grand Total Occasional Grant Trees Planted	336618
Cumulative Grand Total PVOs with Occasional Grants	73
Cumulative Grand Total Direct Implementation Trees Planted	2960775
Cumulative Grand Total PVOs with Direct Implementation Projects	34
Cumulative Grand Total Number of Species Trials	20
Total Number of PVOs Last Calendar Year	106
Total Number of PVOs with Extension Projects Last Calendar Year	75
Total Number of Extension Trees Planted Last Calendar Year	5297244
Total Number of PVOs with Occasional Grants Last Calendar Year	26
Total Number of Occasional Grant Trees Planted Last Calendar Year	107294
Total Number of PVOs with Direct Implementation Last Calendar Year	25
Total Number of Direct Implementation Trees Planted Last Calendar Year	1306735
Total Number of PVOs with Nurseries Last Calendar Year	28
Total Number of PVOs with Fruit Nurseries Last Calendar Year	5
Total Nursery Capacity Last Calendar Year	4757300
Total Number of Animators Last Calendar Year	616
Total Number of Trees Planted Last Calendar Year	5404538