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THE EXPERIMENT IN INTERNATIONAL LIVING SCHOOL FOR INTERNATIONAL TRAINING

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ECUADOR NGO NEEDS ASSESSMENT

A STUDY TO DETERMINE THE ORGANIZATIONAL DEVELOPMENT
AND MANPOWER TRAINING NEEDS OF NON-GOVERNMENTAL AND
PRIVATE VOLUNTARY ORGANIZATIONS IN ECUADOR

by

THE EXPERIMENT IN INTERNATIONAL LIVING

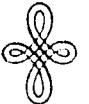
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EXECUTIVE SUMMARY

The Needs Assessment was carried out under a contract between the Latin American/Caribbean Bureau of the Agency for International Development (AID) and The Experiment in International Living. The primary purposes of the study were to ascertain (1) the needs of Private Voluntary Organizations (PVOs) utilizing AID Operation Program Grant (OPG) Funds in Ecuador and (2) whether the PVOs felt these needs could/should be met by a PVO umbrella-type organization.

After a review of related activities undertaken prior to this Needs Assessment, interviews were held with the directors of each of the 13 PVOs currently (or until very recently) implementing OPGs in Ecuador; with the AID Project Officers monitoring OPGs; and with numerous other individuals knowledgeable about PVOs in Ecuador (See Appendix B for a list of those interviewed.)

The interviews revealed consistent PVO needs for training and technical assistance in such areas as project administration (specifically, planning, monitoring, and evaluation), internal coordination and administrative follow-up, fund-raising, computer training, training of trainers, resource center coordination, income-generating activities, personnel hiring and management, and accounting.

All but one PVO felt that an umbrella organization would be helpful in addressing the above and related needs. They specifically felt that the umbrella organization would and should facilitate (1) information-sharing and experience-sharing; and (2) the sharing of physical resources. Several PVOs also felt that an umbrella organization should undertake lobbying functions vis-a-vis the Government of Ecuador (GOE) and AID.

Based upon the interviews held, the following recommendations are submitted to AID:

1. That the results of this Needs Assessment, as well as the experience of AID with PVO umbrella organizations in other countries, be

discussed with the PVOs interviewed in this study at their next information-sharing seminar in Ecuador.

2. That the Needs Assessment presented herein be broadened to include a representative sampling of PVOs who do not receive OPG funding since they are much more numerous (perhaps as many as 500) than the PVOs who do receive AID funds, and since the umbrella organization, once set up, would reflect the needs of the overall PVO community.
3. That, based upon this preliminary Needs Assessment and pending the results of the broadened survey recommended in (2) supra, AID agree in principle to the establishment of a PVO umbrella organization in Ecuador. The umbrella would:
 - a) facilitate information-sharing and experience-sharing
 - b) provide a brokerage function by establishing linkages between PVOs and international donor organizations
 - c) facilitate the sharing of physical resources
 - d) provide a P.V.O. lobbying function with GOE and AID
 - e) provide accounting and auditing assistance to PVOs.
4. That eventually, as the umbrella establishes its credibility, AID channel some or all OPG-type assistance through it with the umbrella reviewing proposals, monitoring implementation, and evaluating results.
5. That AID assist the umbrella in obtaining a stable source of funding from either GOE and/or AID, using AID-generated local currency; and that AID make a grant to the umbrella organization of the items of capital equipment and furniture needed to undertake the functions outlined in (3) supra.

PRIVATE VOLUNTARY ORGANIZATION NEEDS ASSESSMENT — ECUADOR

I. INTRODUCTION

A. Background

On June 6, 1986, the Latin American/Caribbean Bureau of the Agency for International Development (AID) awarded a grant to The Experiment in International Living (EIL) which calls for the latter to prepare a needs assessment on Private Voluntary Organizations (PVOs) in Ecuador--their status and activities, and their capacities and needs for training, technical support and funding. The grant also called for an examination of the climate for a prospective PVO umbrella (second-level) organization to serve as a coordinating, service-delivery and support entity for all participating PVOs in Ecuador.

From conversations with representatives of both AID/Washington and AID/Ecuador prior to the field survey it became apparent that the most important aspect of the study was to determine the needs of the PVOs and whether they could be met by a second-level organization. The survey therefore focused more on the questions of (1) whether the PVOs wanted or needed a second-level organization; and (2) if they did, what that organization would do for them. It focused ^{es} on the organization-by-organization status/activity survey.

In conversations with AID/Ecuador it was agreed that this study would deal only with PVOs currently receiving Operational Program Grant (OPG) funding from AID/Ecuador, including several whose OPGs had recently terminated -- a total of thirteen organizations. It was felt that a second study could be undertaken later, to ascertain the needs and desires of PVOs not currently receiving AID funding.

The AID Mission in Quito requested that the survey also include AID Project Officers who monitor OPGs. As a result, these officials were interviewed

regarding (1) their experience in working with PVOs in general; and (2) whether the OPG system of making relatively small grants to institutions already in-country, is effective. (A summation of AID Project Officers' responses to these two questions appears in Appendix A.)

AID Project Officers were also asked their opinions regarding the needs of the PVOs whose OPGs they monitor and whether these needs might be met by a second-level organization.

The Mission also requested that the PVOs be asked (1) whether there is legislation currently authorizing their activities in Ecuador, and if not, whether there is the need for such; and (2) whether there is any Government of Ecuador (GOE) funding mechanism for PVOs and if not, whether there is the need for such.

B. Methodology

1. A Review of Related Work Already Carried Out

Within the past five years there have been several surveys of PVOs in Ecuador. In 1981 The East Los Angeles Community Union (TELACU) prepared reports on PVOs operating in Ecuador which included five of the thirteen organizations interviewed in this survey. In 1985 Partnership for Productivity International prepared a study of institutions working in small enterprise development which described two of the thirteen PVOs. Finally, the Jose Joaquin de Olmedo Foundation is currently preparing a series of brochures and videotapes on most of these same organizations, describing their activities and the techniques that have proven especially effective in their programs.

A review was also made of past attempts to establish second-level organizations of PVOs in Ecuador. For example, in the 1970s, two Catholic Church-related umbrella organizations were attempted; both failed, apparently because their scope was too broad. In 1981 TELACU embarked upon a series of meetings that were to have led to the establishment of a second-level organization; this effort was dropped for both political and financial reasons.

In 1985, a coordinating committee was established by Guayaquil institutions involved in stimulating small businesses. This Inter-Institutional Committee on Informal Small Enterprise Development, CIDEM, has as its goal the exchange and sharing of information and resources among the various national and international organizations working in small enterprise development.

There are also several second-level organizations centered around volunteers, primarily women, and volunteer work. In Quito, such an organization is SEGESVOL. Formed in 1970, its aim is to coordinate activities among volunteer organizations, to avoid inter-institutional duplication, to receive training and technical assistance and to carry out community development. A similar organization, ACORVOL, was formed in 1973 in Guayaquil. The two organizations have now established a national network of volunteer organizations, called the Ecuadorean Coordination of Volunteer Works (CETV).

Finally, INNFA, the Ecuadorean governmental institution devoted to improving child and family well-being, is now attempting to coordinate the activities of the different PVOs involved in child welfare programs, through technical assistance in fund-raising, accounting, and project administration.

2. Interviews

Interviews were carried out with the individuals and organizations listed in Appendix B. The format used in the interviews with PVO officials appears in Appendix C; the format used with AID officials appears in Appendix D.

3. Other Sources

In addition, written institutional and program information about the PVOs from the organizations themselves, and from AID was reviewed. The offices of each organization surveyed were visited to carry out the interviews.

II. FINDINGS REGARDING THE ORGANIZATIONS

A. General

Appendix E provides a summary description of the thirteen organizations interviewed. They can be categorized as follows. Four organizations are Ecuadorean foundations with a variety of activities; four are U.S.-based international PVOs; two are vocational training schools; two are management training institutes; and one is a nonprofit consulting firm.

All thirteen organizations are nonprofit and private, but all have been legally registered with GOE. All are also registered with AID as PVOs. All have their offices in Quito or Guayaquil, and all have economic and social development as one of their primary purposes.

B. The Organizations' Needs

Despite the diversity of the organizations, there is a high degree of consistency among them with regard to their needs as expressed in the interviews.

All organizations interviewed stressed their needs for additional training and/or technical assistance. The areas where these needs are most frequently felt are: project administration in general, and specifically planning, monitoring and evaluation; internal coordination and administrative follow-up; fund-raising; computer training; training of trainers; resource center coordination; income-generating activities; personnel hiring and management; and accounting. The following were also mentioned by individual organizations as areas where training or technical assistance are needed: community-level management systems; credit program promotion; technical bibliographical information; proposal-writing; materials development; competency-based curriculum planning; recent developments affecting PVOs; telex operation; public relations; and auditing.

Four of the organizations interviewed mentioned the need for additional funding, either concurrently with their OPG or after the expiration of the OPG.

In addition to the needs cited by the PVOs themselves, the AID Project Officers cited PVO needs for training and/or technical assistance in the following areas: project design; AID reporting requirements; and financial controls.

The PVOs were also asked specific questions about legislation and funding (see Section 1A). The PVO response regarding the existence of legislation covering PVO activities was unversally negative. With regard to the need for such legislation, the responses were mixed. Several respondents feared that GOE legislation covering PVOs would cause more delays by creating another level of bureaucracy. Several also feared that such legislation would dilute their independence. On the positive side, PVO respondents felt that legisla-tion might establish helpful norms for PVOs, facilitate GOE aid to PVOs, cla-rify tax exemptions and duty-free privileges, and facilitate PVO access to government facilities such as schools when they are not otherwise in use.

PVOs also responded that there was no standard mechanism for GOE funding of PVOs. Regarding the possible need for such mechanism, the balance was slightly on the negative side. Several respondents felt that GOE project funds already were available when needed; that any additional channels might be too slow to be effective; that such funding would make PVOs dependent on the political winds; and that any GOE money available would go into the founda-tions that GOE itself is currently establishing, not to other PVOs. On the positive side, some PVOs felt that a funding mechanism would be helpful if it included technical assistance; others mentioned that such a mechanism would be appropriate in that PVOs are doing development work that GOE itself would otherwise have to undertake.

III. FINDINGS REGARDING THE INTEREST IN/DESIRE FOR A SECOND-LEVEL ORGANIZATION TO ADDRESS THE ABOVE NEEDS

A. Responses by PVOs

One organization, The American Institute for Free Labor Development (AIFLD), indicated that it did not want to be a part of an umbrella organiza-

tion under any circumstances. The remainder of the Needs Assessment therefore excludes AIFLD.

1. General

All but one PVO felt that a second-level organization would be useful in addressing the above needs. It would do this by facilitating information-sharing and experience-sharing through such mechanisms as bulletins and periodic meetings.

Many PVOs indicated they would like to participate in the sharing of physical resources through such an organization -- a telex machine, a photocopier, a color print shop, a computer, and a library to include audiovisual hardware and software.

Several PVOs favored such an organization as a way of increasing the leverage of individual organizations vis a vis GOE and/or AID. (There is widespread concern that GOE is about to clamp down on PVOs, due to the recent rapid increase in PVOs and to the fact that there is currently no effective governmental regulation of PVOs.) It was felt that the second-level organization should be strong enough to have an impact with GOE but should not appear confrontational.

It was generally felt that the second-level organization should have whatever authority and control it needed to do its job but that it should not be regulatory in nature. One suggestion was that it help PVOs set up a voluntary "code of ethics" as a self-regulatory measure.

Several PVOs also felt that a second-level organization would help by providing a place for PVO meetings, a personnel bank, and auditing services.

2. Size and Structure of Potential Umbrella Organization

Respondents generally felt that the organizations should be small, with only the staff absolutely necessary to carry out its mission. Several PVOs suggested that it might be a separate OPG department within AID itself.

It was generally felt that the organization should have its own legal status, that it should have an Ecuadorean staff, with a Board of Directors elected democratically from the member organizations.

One respondent suggested that the decision-making authority for the second-level organization be rotated from member-organization to member-organization on a monthly basis, to obviate the need for an Executive Director's salary.

There was a difference of opinion regarding whether the staff should be chosen from one of the member PVOs. One point of view was that it would be desirable for staff to have this experience, while another was that this might prejudice the staff's objectivity.

One PVO respondent felt strongly that the new organization should have a physical facility attractive enough to draw high-level representatives from member organizations for business meetings and social gatherings.

3. Financing of Potential Umbrella Organizations

The consensus of those interviewed was that there be an annual membership fee based either upon the total organizational budget, the organization's administrative budget, or the size of the OPG. All members felt the membership fee should be supplemented by fees-for-services.

There was disagreement as to whether the organizations could eventually be self-sufficient without on-going funding from either AID and/or GOE. Some respondents felt that the organization would need a permanent outside source of funding, either from GOE and/or AID.

One organization said that it would not contribute at all to the funding of a second-level organization. Another made the interesting suggestion that international PVOs be charged more for membership than Ecuadorean PVOs -- as a form of international assistance to Ecuadorean organizations.

4. Obstacles to an Umbrella Organization

Finally, PVOs were asked their opinions regarding possible obstacles to the formation of a second-level organization. The responses, in order of frequency mentioned, were the following: (a) that PVOs might not join because of not being convinced of the need for such an organization; (b) that financing for the umbrella would be inadequate to sustain it over the long run; (c) that politics related either to GOE or to the U.S. Government would stymie the organization; (d) that many PVOs would not join for fear of losing their autonomy; (e) institutional jealousies; (f) competition for funding between the umbrella and existing PVOs; (g) the difficulty of finding adequate staff for the organization; (h) that it would be just another level of bureaucracy; (i) that the potential PVO's members have too many different goals and technical foci to fit within one second-level organization; (j) that the second-level organization might not offer services of a high enough quality; and (k) that the umbrella organization's goals might not be clearly enough defined.

5. A Possible Bi-national Foundation

A related question raised was how the PVO would respond to a bi-nationally directed foundation which might be set up for the purpose of channelling U.S. Government funds to PVOs in Ecuador, if and when AID/Ecuador were to phase out. The bi-national foundation would also establish funding and technical assistance linkages between organizations in Ecuador and the U.S., involving as many former participants in AID-funded training programs as possible. Most respondents interviewed on this question felt that a bi-national foundation might be seen by Ecuadorean PVOs as being too close to the U.S. Government to accomplish the purposes of an umbrella organization serving PVOs in Ecuador. This does not, however, invalidate the idea as a possible channel for U.S. Government funds whenever AID/Ecuador might terminate.

B. AID Opinions

Most of the AID Project Officers interviewed felt that a second-level PVO organization would be desirable. They felt that such an organization would (a) help AID identify PVOs for future funding; (b) allow AID to deal with just

one organization for OPG purposes rather than with thirteen; (c) help PVOs in the planning, design, implementation, and evaluation of projects; (d) perform a useful brokerage function in linking PVOs with international donor organizations; and (e) effectively lobby for legislation and funding favoring PVOs in Ecuador. One AID Project Officer recommended that financing for the second-level organizations be provided through a specific line item in each AID/-Ecuador OPG.

The following concerns were expressed by AID Project Officers: that the organization not be a "cultural implant", insensitive to the needs of Ecuadorian organizations; that it might not be self-sustaining financially over the long term; and that it might have insurmountable political problems vis-a-vis GOE.

IV. RECOMMENDATIONS REGARDING A SECOND-LEVEL ORGANIZATION

A. Next Steps

This report should be seen as the first step in a process. The survey involved only those PVOs that are currently (or were until recently) receiving AID/Ecuador OPC funds. There may be as many as 500 PVOs in Ecuador. The universe of PVOs surveyed should be broadened to include a representative sampling of those that are not receiving AID funding. Many will want to join a second-level organization, although there will also be many that choose not to join for political reasons. Whatever umbrella is set up should be in response to the needs as expressed by the overall PVO community.

In the fall of 1986 there will be a gathering of PVOs receiving OPGs, to follow up on a similar meeting held in Chorlavi a few months ago. The fall meeting would provide an excellent forum in which to discuss the results of this survey. It would also be an opportune occasion which to discuss the experience acquired with second-level PVO organizations in other countries.

Both of the above two activities -- broadening the sample of the survey, and discussing the results of this preliminary survey with AID-funded PVOs -- could be accomplished in roughly the same time period. It is therefore

recommended that AID arrange for outside consultant assistance to carry out these two activities during the final months of 1986.

B. The Second-Level Organization Itself

The following is based upon the interviews with PVOs receiving OPGs. As mentioned above, the results should be seen as preliminary, in that the survey needs to be broadened to include non-AID funded PVOs.

Based upon the interviews carried out thus far, it is apparent that there is general acceptance of the idea of a PVO umbrella organization. Only one of the thirteen institutions surveyed did not desire some involvement with it.

1. Objectives

The objectives of a second-level organization should be the following: (a) to provide the technical and financial services needed to facilitate institution-building among PVO members; and (b) to broaden the umbrella's membership and the services it provides, thereby achieving independence and sustainability.

2. Functions

Initially, the organization should have limited functions, something like the "secretariat" of a consortium of organizations. With time, the functions and the services provided would expand.

The umbrella would have the function of coordinating and partially meeting the training, technical assistance and funding needs of member organizations. One of the most important ways of doing this would be to facilitate information-sharing. It would hold periodic seminars and conferences to which member organizations would be invited. (To encourage attendance, meals, lodging and transportation would be provided.) The new organization would also publish periodic bulletins with information regarding new developments affecting PVOs, technical information, schedules and reports of meetings, and related information. The organization would also establish linkages with other

second-level organizations like CODEM, ACORVAL, SEGESVOL and CETV.

The umbrella organization would also help member organizations meet their training, technical assistance and funding needs by establishing linkages and providing brokerage service with international organizations, leading to important cost-sharing for the member organizations.

Another function of the second-level organizations would be that of sharing physical resources such as a telex machine, a photocopier, a color print shop (to make such things as brochures, program materials, and business cards for the member organizations), audio-visual aids (such as overhead and 16 mm projectors), a library (containing books, films, audio cassettes, and video cassettes), a computer (with software for such things as a personnel bank), meeting rooms and other resources which can be shared.

Another important function of the second-level organization would be that of representation. By representing a large number of organizations, the umbrella would have more weight vis a vis GOE on such questions as property taxes, import duties and related matters. (Another possible result of umbrella representational activities would be a preferential rate of exchange on foreign currency converted into Ecuadorean sucres for PVO project activities.) The same would be true vis a vis AID on issues like the prompt payment of vouchers, the interpretation of AID regulations and general liaison, consultation, and information exchange with AID.

Another function of the second-level organizations would be to provide auditing services for those members that need it. In addition, the organization would eventually be able to provide accounting technical assistance to member organizations.

One of AID/Ecuador's needs is to handle a large number of relatively small OPGs without creating an intolerable work load for its staff. As AID faces continuing staff cuts, the need for outside assistance in selecting, monitoring, and evaluating OPGs becomes all the more important. Once the credibility of the second-level organization is established among the PVOs, AID could begin to channel some -- and ultimately all -- of its OPG funds through it,

and to look to it for the supervision and evaluation of OPGs. This would also meet the overall U.S. Government policy goal of strengthening the private sector by turning over to it more and more functions currently being carried out by the Government. AID's role would be one of general oversight of the umbrella organization in a supportive and collegial way. The effectiveness of this relationship would depend upon the mutual trust between AID and the second-level organization.

Currently most PVOs interviewed prefer to retain a direct link with AID rather than have funding channelled through a second-level organization. However, several commented that if AID wanted such channelling, it would be acceptable to them. As the umbrella organization enhances its credibility, it can be foreseen that most, if not all, PVOs will be willing to have their U.S. Government funds channelled through it.

This transfer of funding responsibilities from AID to the umbrella organization might best be combined with technical assistance from an outside contractor (such as currently is being done in Indonesia) on areas such as (a) identifying PVOs suitable for funding, (b) writing Requests for Proposals, (c) reviewing proposals, and (d) monitoring and evaluating grant performance.

3. Facilities

The facilities of a second-level organization would be consistent with the functions outlined above. It would need an office large enough for a library and meeting rooms (including one large conference room and at least one small meeting room). It would also need a telex machine, a photocopy machine, a color print shop, a computer, audio-visual aids, books, films, cassettes, video tapes, and adequate office equipment, furniture and supplies.

It is recommended that AID make a grant to the umbrella organization of these items of capital equipment to enable the umbrella to begin its operations.

4. Structure and Staff

Its structure would also depend upon its functions. Initially, personnel would be limited. Heading the staff would be the Executive Director, who should be an Ecuadorean, with experience in development work, with PVOs (but not with one of the member organizations) and with international organizations. He/she should speak fluent English and have a university degree. He/she should have excellent oral and written communications abilities. Ideally, he/she would have had experience as a volunteer. His/her selection should be on the basis of merit without political influence. The selection should be made jointly by an interim Board of Directors, elected by the member organizations, and by AID.

The Executive Director would be assisted by an Administrative Assistant (AA), a secretary, and a messenger. Initially, either the AA or the secretary would carry out the accounting function for the organization.

Subsequently, as the functions of the umbrella are broadened, the staff would include a bookkeeper and an accountant who would be familiar with the regulations of donor organizations and be able to provide technical assistance to member PVOs.

5. Financing

It is recommended that the funding for the second-level organization come from three sources. First, there should be a stable source of funding (an "endowment") from the GOE and/or AID, possibly making use of AID-generated local currency, such as Emergency Support Funds or P.L. 480 funds. Without a source of stable funding it is doubtful that the umbrella would be able to sustain itself financially over the long run.

In addition, each member organization should pay a membership fee, based upon the total budget of that organization. The second-level organization would also receive fees for the services it renders to each PVO. This combination of funding sources -- an "endowment", membership fees, and fees-for-services -- would enable the umbrella organization to meet its financial needs over the long term.

APPENDIX A

RESPONSES OF AID PROJECT OFFICERS REGARDING PVOs AND OPGs

AID Project Officers were for the most part satisfied with their experience working with PVOs. Their reasons are as follows: that PVOs are innovative, that there is stability and continuity in their staffs, and that they have more flexibility in their operations than GOE entities. At the same time AID officials expressed the following concerns about PVOs: that their project designs are often weak, that they don't know AID regulations sufficiently well, and that they lack adequate fund-raising capabilities.

With regard to the OPG system of financing projects, the AID officials were equally positive. With the exception of one Project Officer, who felt that OPGs are highly AID staff-time intensive, the AID officials felt that the OPG system saves significant AID staff time and energy. One official cited the fact that O.P.G. recipients are by and large groups already implementing this type of project in-country prior to AID's involvement--as opposed to a U.S.-based contractor, for example, which might not have expertise in the field and would have to "tool-up" to undertake a project in Ecuador. Most AID Project Officers also felt the OPG system enables AID to move more quickly--its financial and technical assistance getting to recipients faster, with a minimum of political involvement. Some officials said OPGs enable AID to test new approaches that might later be replicated in large, bilateral projects.

APPENDIX B

LIST OF INTERVIEWS

Private Voluntary Organizations

1. Ecuadorean Foundations

- a. Fundacion Natura--Yolanda Kakabadse, Executive Director
- b. Fundacion Ecuatoriana de Desarrollo--Dr. Jorge Landivar, Executive President; Dr. Cesar A. Alarcon Costta, Director; Linda Hammerton, Peace Corps Volunteer.
- c. Fundacion Eugenio Espejo--Dr. Santiago Carrasco Toral, Executive Director; Patricia de Estrada, Acting Credit Program Director; Carlos Work, Peace Corps Volunteer.
- d. Fundacion Wilson Popenoe--Ing. F. Rodolfo Arambulo M., President.

2. International PVOs

- a. Save the Children Alliance--Ing. Tore I. Floden, Director
- b. Medical Assistance Program, International--Richard Crespo, Greg Rake, Directors
- d. International Executive Service Corps--D. Chadwick Braggiotti, Director of Operations; Carmen Tobar S. de Carpio, Executive Assistant.

3. Vocational Training Institutes

- a. Centro Juvenil San Patricio--Padre Marco Paredes, School Director
- b. Escuela "Azuatequi" de Artes y Oficios (Benemerita Sociedad Filantropica del Guayas)--Gustavo Illingworth Baquerizo, President; Ing. Adriano Salazar Vera, School Director; Sylvia Klopstein de Witmer, Coordinator of Vocational Education Programs.

4. Management Training Institutes

a. Instituto de Practicas Bancarias y Financieras--Maria Eugenia Vaca E., Executive Director

b. Instituto de Desarrollo Profesional (IDEPRO)--Ing. Cesar Delgado Rendon, Executive Director; Leda. Caridad Arosemena de White, Resource Center Coordinator.

5. Non-profit Consulting Firms

a. Fundacion Jose Joaquin de Olmedo--Dr. Santiago Carrasco Toral, Director; Dra. Claudia Patricia Uribe, Project Coordinator.

AID Officials

1. Latin American/Caribbean Bureau--Paul McGuire
2. AID/Ecuador
 - a. Gerald R. Wein, Acting Director
 - b. Patricio Maldonado, Program Officer
 - c. Herb Caudill, Environment Health Engineer
 - d. Tom Chapman, General Development Officer
 - e. Giovanni de Choudens, Agribusiness Advisor
 - f. James Finucane, Private Sector Advisor
 - g. Rodrigo Lopez, Program Specialist
 - h. Darell L. McIntyre, Rural Development Officer

Other Individuals

1. Jose Antonio Lanusses, President, Instituto de Investigaciones Socio economicas y Tecnologicas (INSOTEC)
2. Gene Braun, Consultant
3. Econ. Guadalupe Rojas Navas, Technical Coordinator, CIDEM
4. Francisco Guzman, Peace Corps Program and Training Officer
5. Gene Lamb, United Schools of America, Consultant
6. Don Bryant, United Schools of American, Consultant
7. Gino Lofredo, United Schools of America, Consultant
8. Alina de Calderon, ACORVOL
9. Ilse de Rose, ACORVOL
10. Padre Oreste, Centro Educativo "Audiovisuales Don Bosco"
11. Lisa Valenzuela, Partnership for Productivity International
12. Kenneth Cole, Inter-American Development Bank
13. Ned Benner, Inter-American Foundation
14. Ronald Rivera, COMUNIDEC
15. Bolívar Rivera O., COMUNIDEC
16. Anne de Alvear, Experiment in International Living
17. Marionelly Nunez, Experiment in International Living
18. Anne Fitzgerald, Consultant

APPENDIX C

FORMAT FOR INTERVIEWS WITH PVO OFFICIALS

1. Survey Background
2. Mission and programs of PVO.
 - a. Date, size and prupose of OPG.
3. Discussion of GOE Legislation
 - a. Is there any general legislation covering PVOs in Ecuador?
 - b. Is there a need for such?
4. Discussions of Financing Mechanisms
 - a. Are there any GOE financing mechanisms for PVOs?
 - b. Is there a need for such?
 - c. Where does the PVOs financing come from?
 - d. What are the PVO's future financial prospects/needs?
5. PVO's administrative strengths and weaknesses---management, accounting, reporting, etc.
6. PVO's Project Planning and Implementation Strengths and Weaknesses---project identification and design; proposal writing; planning; implementation, including monitoring, record keeping and evaluation.
7. Training Capacities and Needs
8. Other Technical Assistance Needs
9. Linkages with Other PVOs
 - a. What exists nationally? Internationally?
 - b. Possible need for more linkages? For what purposes?
 - 1) Avoid programmatic duplication?

- 2) Information/resource sharing?
 - 3) Joint problem solving? (training, technical assistance, financing, lobbying, etc.)
 - 4) Other?
10. Would an umbrella organization meet the need for additional linkages?
What form should it take?
- a. At one extreme, a loose-knit committee similar to CIDEM?
 - b. At the other extreme, a regulatory organization with the authority to enforce its regulations on member PVOs?
 - c. Something in between?
11. How would such an organization be funded?
- a. How should member contributions be determined?
 - b. To what extent would your organization contribute?
12. What are the impediments to the establishment and maintenance of an umbrella organization?

APPENDIX D

FORMAT FOR INTERVIEWS WITH AID OFFICIALS

1. Survey Background
2. What is the extent of your experience with PVOs?
 - a. Are PVOs helpful in meeting AID goals?
3. What are the strengths and weaknesses of the PVOs you work with?
 - a. Administration--management, accounting, reporting, etc.
 - b. The project cycle--identification, design, proposal-preparation, planning, implementation (including monitoring and record-keeping and evaluation
 - c. Training capacity and needs
 - d. Technical assistance needs
 - e. Financing needs
4. In your opinion would an umbrella organization of PVOs be helpful? To AID? To PVOs. How would it be helpful?
5. What is the extent of your experience with OPGs?
 - a. Are OPGs a useful mechanism in meeting AID goals?

APPENDIX E

SUMMARY DESCRIPTIONS OF P.V.O.s INTERVIEWED

The following is a summary description of the 13 PVOs interviewed during the survey. The summaries will contain the most essential information about the organizations, the OPGs they administer, and some of their comments about a possible umbrella organization.

I. ECUADOREAN FOUNDATIONS

A. Fundacion Ecuatoriana de Desarrollo (FED)

Origin and Objectives

The FED was created in April of 1968 with the assistance of the National Foundations program of the Pan American Development Foundation. Its purpose is to 'improve the standard of living of the marginal sectors by channeling resources into innovative projects in the areas of promotion, organization, training, technical assistance, in order that the beneficiaries assume the responsibility for their own economic, social and cultural development.' (FED Brochure). The FED has a staff of approximately 50 employees.

Activities

The FED began its activity in rural areas, where its programs tried to integrate peasants into associations, to stimulate the establishment of collective enterprises and to train peasants in technical and administrative aspects. The main rural based activities were the development of "Centros de Acopio", livestock and pig-raising, cheese-making, and credit programs. Although its primary emphasis has been rural development, the FED initiated an urban program of credit and management assistance to informal sector entrepreneurs in April 1984. The program - Programa de Desarrollo de Microempresas (PRODEM) -

has as its goal the creation of employment and generation of greater income among the micro-enterprise sector. It is based on the AITEC model developed in other Latin American countries. (From "A Small Enterprise Development Program for Ecuador: Institutions Background Paper", prepared by Partnership for Productivity International, June 1985.)

Financing

Financing for FED programs has come from domestic and international donations and contracts, from the interest spread on credit programs, and from publications.

OPG

The OPG under which FED established its urban credit and management assistance program (PRODEM) was a grant to Accion Internacional AITEC in Cambridge, MA., with a sub-grant to FED. The grant, made in 1984, was in the amount of \$460,000.

B. Fundación Eugenio Espejo

Origin and Objectives

The Fundación Eugenio Espejo is a private voluntary agency which sponsors, funds, coordinates, and administers research, training, human development and community enterprise development projects. It was created in Guayaquil in 1980 with the objective of organizing and improving human resources in order to attain an improved standard of living for Ecuadoreans. Since then, the Fundación Espejo has opened offices in three other cities of Ecuador, including Quito.

Activities

The Fundación Espejo undertakes the following activities: 1) a school for administration; 2) programs of civic training (with funding from the Naumann Foundation); 3) a library with a development and administration emphasis; and 4) a pilot program for urban marginal communities which includes: PROCREDEM, credit and technical assistance to informal sector enterprises; CEDUES, a center for special education

for children; PRODECOMUN, a research and technical assistance project for urban marginal communities of Guayaquil; and CRESIU, an educational program promoting informal entrepreneurs. (From "A Small Enterprise Development Program for Ecuador: Institutions Background Paper", prepared by Partnership for Productivity International, June 1985.)

OPG

In 1982 an OPG of \$650,000 was granted to Fundacion Espejo for its PROCREDEM program. Its purpose was to stimulate new sources of employment and income, by promoting microenterprise development through credit, management training, and technical assistance programs.

C. Fundacion Natura

Origin and Objectives

Fundacion Natura was founded in 1978 with the following purposes:

- 1) educate Ecuadoreans regarding the need to adequately protect their natural resources, through the dissemination of information about Ecuador's environmental situation;
- 2) channel financial and technical assistance to individuals and institutions that implement projects to improve the relationship between man and nature; and
- 3) implement conservation and human development projects, using domestic and international donations.

Activities

Early in its life Fundacion Natura carried out extensive research in the environmental situation in Ecuador. In 1979, it began EDUNAT I, a program of gathering and disseminating information about environmental problems in Ecuador. Dissemination took place through such diverse channels as seminars for news reporters and members of the Ecuadorean Congress, and audio-visual presentations to other decision-makers and opinion-formers within the society.

In 1983, the Foundation embarked upon EDUNAT II, a comprehensive educational program designed for use within the formal and non-formal

education systems of Ecuador. It includes curriculum development, materials production, and teacher training. The educational packages produced are currently being utilized in all of Ecuador's public primary schools. Natura stresses in its programs a balanced approach between conservation and development.

Financing

Fundacion Natura has received project funding from sources such as The World Wildlife Fund, UNESCO, The United Nations Environmental Program, and AID. The Foundation is able to pay its administrative costs through private sector donations and from television programs that deal with environmental issues.

OPG

AID financed EDUNAT I, in 1979 with an OPG of \$360,000. It then financed EDUNAT II, in 1983 with an OPG of \$634,000.

D. Fundacion Wilson Popenoe

Origin and Objectives

The Wilson Popenoe Foundation was set up in 1984 to provide scholarship training for Ecuadorean students at the Panamerican Agricultural School in Zamorano, Honduras.

Activities

In addition to scholarship assistance, the Foundation provides the following services: promotion of scholarship opportunities to prospective Ecuadorean students; screening and pre-selection of scholarship recipients; liaison between the Zamorano School and AID regarding student academic progress; employment support services for returning graduates; and a continuing education program for graduates.

Financing

Project financing comes primarily from AID. Administrative costs are paid by donations and fees from the Foundations membership, which consists largely of Zamorano graduates.

OPG

The Wilson Popenoe Foundation OPG is in the amount of \$680,000, starting in 1985 with a duration of five years. \$650,000 of the OPG is for scholarships, with the remaining \$30,000 for technical assistance and publicity.

II. INTERNATIONAL PVOs

A. American Institute for Free Labor Development (AIFLD)

Origin and Objectives

AIFLD was set up in 1958 to promote democratic labor institutions around the world through training and financial and technical assistance programs.

Activities

In Ecuador AIFLD is involved in 1) general trade union development at the national level; and 2) development of agrarian federations in the provinces of Esmeraldas and Manabi. The latter activity consists of financial support in the form of administrative salaries; a revolving credit fund and technical assistance for farmers; promotion and education to encourage farmers to organize and maintain effective democratic associations, and to improve the economic and social conditions of their members.

Financing

AIFLD activities in Ecuador are financed in part by a Washington-level contract with SID; and in part by an OPG from AID/Ecuador.

OPG

The OPG in the \$800,000 range was granted in 1985, for a three-year program. The purpose is to support AIFLD's agrarian federation development program described above.

B. International Executive Service Corps (IESC)

Origin and Purpose

Based in Stamford, Connecticut, IESC is an organization that recruits and selects retired U.S. executives and technical advisors to share their expertise with business people in developing nations. The men and women work as Volunteers and serve on short-term assignments overseas. IESC was founded in 1964.

Activities

More than 300 IESC Volunteers have served in Ecuador since 1967, taking short-term assignments as diverse as hotel management consulting on the one hand and a feasibility study for leather products on the other.

Financing

IESC activities are financed by grants from AID, by client contributions toward project costs, and by contributions from corporate and private sponsors in the United States and other countries.

OPG

IESC's OPG dates from 1984. Under this \$225,000 grant approximately 10 volunteers (retired executives) are brought to Ecuador each year to take assignments in the agro-industry sector for periods averaging nine weeks.

C. Medical Assistance Programs (MAP) International

Origin and Objectives

MAP is a Christian global health charity based in Brunswick, Georgia, that has provided medical supplies and community health assistance to people in developing countries since 1954.

Its goal is health for the world's poor, and it specializes in assistance to Christian missions and national churches in health-related efforts.

Activities

MAP's worldwide activities include distribution of medicines to missionary hospitals, hospital management training, and assistance to communities in establishing local health education and health care systems.

In Ecuador MAP has been extensively involved in such projects as community water systems, training of rural Ecuadoreans in health education and small animal production, and establishing savings and loan cooperatives. The integrating element of all MAP projects in Ecuador is the training of community members to be adult educators.

Financing

MAP has received financing for its activities in Ecuador from AID, the Public Welfare Foundation, and other private donors in the United States and Western Europe.

OPG

MAP has received two OPGs from AID/Ecuador. Under the current OPG, initiated in 1985, MAP is exploring the feasibility of private sector financing of health care systems that would be available to the poor.

D. Save the Children Alliance (SCA)

Origin and Objectives

Save the Children is an international organization working to improve the living conditions of poor children, their families and communities. It presently works in more than 50 countries in America, Europe, Asia and Africa. In Ecuador, Save the Children is known as "Desarrollo Juvenil Comunitario" an Alliance formed by Save the Children Federation of the U.S. and Redd Barna (Save the Children) of Norway. Save the Children projects in Ecuador stress the following elements: 1) community participation in identification and execution of projects; 2) promotion and training of community leadership; 3) sensitivity to, and revitalization of, the local culture; 4) establishment and strengthening of second-level organizations to assist local

institutions in problem identification, planning, implementation, and evaluation; and 5) at the termination of a project, leaving a community capable of carrying out its own development process.

Activities

Save the Children has been working since 1981 in Ecuador on projects in the following communities: Salcedo, Cotopai Province; Jipijapa and Portoviejo, Manabi Province; and Quito, Pichincha Province. Projects are in the technical areas of production, health nutrition, education, small infrastructure projects (road bridges, etc.) and sports and cultural activities.

Financing

Most of Save the Children Alliance funding comes from public and private donations from Norway and the United States.

OPG

The OPG, granted in 1983, and extended in 1986, is for approximately \$500,000. Its purpose is to enable SCA to develop, test and implement a self-sustaining community development model in Salcedo and Jipijapa.

III. VOCATIONAL TRAINING INSTITUTES

A. Centro Juvenil San Patricio (CJSP)

Origins and Objectives

The Centro Juvenil San Patricio is a residential vocational training school founded in 1980 by the Salesian Society to provide an alternative for abandoned and/or abused boys living on the streets of Quito. Many of the boys have been involved in drugs, homosexuality, and other forms of delinquency. The school provides integrated education, focusing on skill-training for employment, to approximately 70 boys ages 13 to 18. It is located approximately 10 km east of Quito in the Tumbaco Valley.

Activities

Using well-equipped workshops in the areas of metalworking, carpentry, electricity and agriculture, CJSP provides practical vocational training oriented toward future employment. For the approximately 50% of the boys who have not completed primary school, the school also provides primary school instruction. The boys stay at CJSP an average of three years. The school provides employment counselling and follow-up services to its graduates.

Financing

CJSP has received financial, material and personnel assistance from the Salesian Community in Rome, the Government of Ecuador, AID, the Inter-American Foundation, and public and private groups in Ecuador, Germany, Italy, and Holland. There is a small amount of income from the products made in the workshops.

OPG

A five-year OPG in the amount of \$571,546 was signed in 1984. It provides technical assistance and training to enable the CJSP to 1) provide competency-based instruction; 2) increase its contacts with the private sector, leading to private sector involvement in instruction at the school and to future employment for CJSP graduates; and 3) develop a learning resource center.

B. Escuela Anzoategui de Artes y Oficios

Origin and Objectives

The Anzoategui vocational training school was founded in Guayaquil in 1881 by the Renemerita Sociedad Filantropica del Guayas, one of the oldest PVOs in Latin America. Its purpose was to provide free technical education to youth from Guayaquil's poor families.

Activities

Non-residential vocational training is provided in radio and television, carpentry, metalworking, automechanics, refrigeration and air conditioning, and graphic arts. Well-equipped workshops are available

in each subject area. The school's graduates are sought after by Guayaquil employers, reflecting the high quality of the education offered.

Financing

A major part of the school's financing comes from private individuals and institutions in Guayaquil. Since 1979 AID has assisted the school with OPGs.

OPG

The Anzoategui school has just completed its second three-year OPG. This OPG was in the amount of \$327,000 and was for equipment, technical assistance and training to enable the school to: 1) establish a competency-based curriculum; 2) develop a learning resource center; and 3) improve its links with Guayaquil's private sector, leading to a more relevant curriculum, better teacher training, and more job possibilities for its graduates.

IV. MANAGEMENT TRAINING INSTITUTES

A. Instituto de Desarrollo Profesional (IDEPRO)

Origin and Objectives

The Professional Development Institute, IDEPRO, is sponsored jointly by the Guayaquil Chamber of Commerce and AID. It began operations in 1985, specializing in management and administration courses for middle-level personnel, primarily in the private sector.

Activities

From January to June of 1986 IDEPRO offered 28 courses, 9 conferences, and 2 Round Table Discussions, in which 540 persons participated for a total of 1076 hours. Topics ranged from Office Organization to How to Start Your Own Business; most of the courses were at night. IDEPRO also organized a Learning Resource Center during the first six months of 1986.

Financing

The Guayaquil Chamber of Commerce donated IDEPRO's office space and furniture, and pays for maintenance, utilities, and secretarial salaries. In addition to the AID OPG (see below) the other source of financing are the student registration fees.

OPG

The four-year OPG in the amount of \$388,000 began in 1985. It covers instructional and administrative salaries, teaching materials and equipment.

B. Instituto de Practicas Bancarias y Financieras (IPBF)

Origin and Objectives

The Institute of Banking and Financial Practices was founded in 1983 by the Banco Central del Ecuador, the Superintendencia de Bancos, and the Asociacion de Bancos Privados del Ecuador. The objective of IPBF is to contribute to the creation of a modern and efficient financial system, by training dynamic and innovative banking and finance officials, capable of generating new ideas and organizing the development of their respective institutions.

Activities

From 1984 to 1986 IPBF carried out 54 courses and seminars, training 1146 persons in such fields as secretarial training, computer training, and human resource development. IPBF focusses on middle-level personnel training.

Financing

The Superintendencia de Bancos and the Banco Central provided the furniture and office renovation needed to get IPBF started. The Asociacion de Bancos Privados donated office and classroom space. In addition, course fees are paid by the employers of the participating students.

OPG

The two-year OPG was signed in 1984 and totals \$236,630. Its purpose is to provide equipment, teacher training, and technical assistance to IPBF.

V. NON-PROFIT CONSULTING FIRM

A. Fundacion Jose Joaquin de Olmedo

Origin and Objectives

The Fundacion Jose Joaquin de Olmedo is a non-profit consulting firm founded in 1983 to conduct cultural and socio-economic research, disseminate research results, consult on integrated development plans, organize courses and seminars, and carry out other activities related to socio-economic development.

Activities

Most of the Foundation's activities have been in the field of economic and agricultural research. The Foundation has also carried out 1) design and evaluation of projects; 2) feasibility studies; 3) consulting on administration, operations and financial planning; 4) macro-economic studies; 5) socio-economic studies; 6) econometric designs; 7) statistical sampling and analysis; 8) policy analyses; and 9) studies in specific technical areas like education, finances, etc.

Financing

The Foundation's financing comes primarily from project funding. Projects have been carried out with funding from the World Bank, FAO, the InterAmerican Development Bank, DELF (Holland) and AID.

OPG

The OPG with Fundacion Olmedo for \$98,000 began in 1985. Its purpose is to obtain data and gather experiences and lessons learned on PVO/OPG projects financed by AID/Ecuador from 1980 to 1984. This information will be disseminated through informational brochures and videotapes -- on the PVO/OPG projects in general, and on the "promising practices"

utilized in those projects. An administrative manual for directors of similar projects will also be prepared.

APPENDIX F

COMMENTS ABOUT POSSIBLE UMBRELLA ORGANIZATION

Federacion Ecuatoriana DE DESARROLLO (FED)

"The umbrella would be beneficial in promoting the sharing of physical resources among PVOs--telex machine, WATS line, print shop, etc. It should also facilitate self-regulation (for example, a code of ethics among PVOs to avoid GOE regulation. It should have an attractive physical facility that will draw top-echelon PVO officials to meetings, conferences and informal social gatherings."

Fundacion Eugenio Esbejo

"An umbrella would assist PVOs in providing them leverage with GOE."

Fundacion Natura

"An umbrella would be useful in channeling training resources, coordinating information and providing services like a telex machine, a copier and a print shop."

Funcation Wilson Popenoe

"An umbrella organization would increase information exchange among PVOs. It would also give PVOs greater leverage with GOE and AID."

American Institute of Free Labor Development

"We wouldn't join an umbrella organization because our activities are too political in nature."

International Executive Service Corps

"An umbrella organization should be small. It would facilitate information exchange through newsletters and periodic meetings and conferences."

Medical Assistance Program, International

"The umbrella should promote inter-PVO communications and resource-sharing. Most PVOs would balk at the umbrella having authority over them."

Save the Children Alliance

"An umbrella would help PVOs by giving them more leverage with GOE. We would not like the umbrella to change our direct contact with AID."

Centro Juvenil San Patricio

"An umbrella would help by facilitating cross-fertilization and resource-sharing among PVOs. It should sponsor periodic meetings of PVOs and publish periodic information bulletins. Could this be done just as well by an office within AID/Ecuador?"

Escuela Anzoategui de Artes y Oficios

"An umbrella could be useful for sharing information among PVOs. We wouldn't accept that it have control over us, however. Nor could we contribute financially."

Instituto de Desarrollo Profesional (IDEPRO)

"An umbrella would benefit PVOs by resource- and experience-sharing. Its Director should be selected strictly on the basis of merit. Stable, long-term financing will be necessary from either GOE and/or AID."

Instituto de Practicas Bancarias y Financieras

"If the umbrella's role is clear, it will be of value to the PVOs. If not, it

will be just another level of bureaucracy.

Couldn't AID/Ecuador set up the umbrella as another OPG.? Otherwise, how would the umbrella be financed?"

Fundacion Jose Joaquin de Olmedo

"If the advantages of the umbrella were significant, we would be willing to contribute to it and even give up some of our autonomy. But we prefer to retain our direct link with AID/Ecuador."