

**A.I.D. EVALUATION SUMMARY - PART I**

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1. BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS.  
2. USE LETTER QUALITY TYPE, NOT "DOT MATRIX" TYPE.

**IDENTIFICATION DATA**

<b>A. Reporting A.I.D. Unit:</b> Mission or AID/W Office <u>USAID/Honduras</u> (ES# <u>FY88-8</u> )		<b>B. Was Evaluation Scheduled in Current FY Annual Evaluation Plan?</b> Yes <input type="checkbox"/> Slipped <input checked="" type="checkbox"/> Ad Hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY <u>87</u> Q <u>3</u>	<b>C. Evaluation Timing</b> Interim <input checked="" type="checkbox"/> Final <input type="checkbox"/> Ex Post <input type="checkbox"/> Other <input type="checkbox"/>
<b>D. Activity or Activities Evaluated</b> (List the following information for project(s) or program(s) evaluated; if not applicable, list title and date of the evaluation report.)			

Project No.	Project /Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
522-0249	Evaluation of FHIA (Fundación Hondureña de Investigación Agrícola) (November, 1987)	08/31/84	08/30/94	20,000	10,709

**ACTIONS**

E. Action Decisions Approved By Mission or AID/W Office Director		Name of Officer Responsible for Action	Date Action to be Completed
Action(s) Required			
1.	Revise FHIA,s mandate reducing the number of programs from six to three (Banana & Plantain, Cacao and Diversification) core programs.	FHIA Assembly	2/88
2.	Provide accelerated disbursements to FHIA in 1988 and 1989.	USAID	5/88 & 2/89
3.	Seek a reasonable local currency endowment from the GOH as soon as possible.	Blair Cooper	6/89
4.	Remain on the FHIA Board of Directors as a non voting member (withdraw as voting member).	F. Fernández USAID	2/88
5.	Revise Logframe based on changes suggested by Evaluation and accepted by AID and FHIA assembly.	Blair Cooper	9/88
6.	Make changes in PROAG with a PIL based on changes suggested by Evaluation and accepted by AID and FHIA assembly.	E. Kvitashvili E. Kvitashvili	9/88
7.	Carry out study of FHIA governance system.	F. Fernández	2/89

**APPROVALS**

F. Date Of Mission Or AID/W Office Review Of Evaluation: (Month) March (Day) 21 (Year) 1988

G. Approvals of Evaluation Summary And Action Decisions:

Name (Typed)	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
	Blair Cooper	Fernando Fernández	Eugene Szepesy Carmen Zambrana	John Sanbrailo
Signature	<i>Blair Cooper</i>	<i>Mario Contreras</i>	<i>José A. Rivera (for)</i> <i>Carmen Zambrana</i>	<i>John Sanbrailo</i>
Date	<u>6-8-88</u>	<u>6-29-88</u>	<u>9/15/88</u>	

**ABSTRACT**

**H. Evaluation Abstract** (Do not exceed the space provided)

This project (522-0249), which began in September 1984, established the Honduran Agricultural Research Foundation (FHIA), an independent, private research foundation which was designed to contribute to the expansion and improvement of the national research system with special focus on nontraditional export crops. This mid-term evaluation was conducted by a Winrock International team on the basis of a review of project documents, visits to four experimental stations and several farmers' fields, and interviews with FHIA personnel, the Government of Honduras (GOH), universities, agrarian banks, private enterprises, and others. The purpose was to ascertain progress made in the organization of FHIA's operations, initiation of research programs, establishing linkages with other organizations, and fund raising activities. The major findings and conclusions are as follows:

- \* The FHIA is by all odds the most efficient and effective research institution in Honduras (and perhaps in the region).
- \* Progress in establishing the institute has been excellent, facilities are well developed, and professional staff is of highest caliber; and the leadership is experienced, dynamic, and visionary.
- \* The Project has fulfilled its mandate by developing viable research programs in six commodities and five disciplines as well as departments of communications library and publications.
- \* Validation and generation of new technology is proceeding a pace despite the short time since start-up. Greatest impact over the next five to ten years will accrue from the work on bananas/plantains --, particularly in developing of new, high-yielding disease resistant hybrids for both national and international use.
- \* The effective payback from projects of this kind are necessarily long-term (25 years or more), but few other activities have as much potential for benefitting Honduras. Therefore, AID is urged to assist FHIA in assuring long-term core support at the current level of \$3.5 million per year.

The evaluation Team noted the following lessons learned:

- \* Initial plans were over ambitious.
- \* Budgetary needs were grossly underestimated for the original mandate.
- \* Availability of external (non-AID) funding is much slower and more difficult than initially projected.
- \* Much closer monitoring of early project development is needed to avoid serious financial problems later.
- \* FHIA tried to respond to the diverse demands for services from too many beneficiary and donor groups.

**COSTS**

**I. Evaluation Costs**

1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. \$)	Source of Funds
Name	Affiliation			
Ken Rachie Jesus Moncada Bernie Henrie John Leslie Carlos Crisostomo	Winrock Int'l.	522-9103-1- 00-6249-00 W.O. No. 3	\$84,919.07	522-0249 Grant
2. Mission/Office Professional Staff Person-Days (Estimate) <u>40</u>		3. Borrower/Grantee Professional Staff Person-Days (Estimate) <u>200</u>		

## A.I.D. EVALUATION SUMMARY - PART II

### SUMMARY

**J. Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3) pages provided)**

Address the following items:

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|--|--|
| <ul style="list-style-type: none"> <li>• Purpose of evaluation and methodology used</li> <li>• Purpose of activity(ies) evaluated</li> <li>• Findings and conclusions (relate to questions)</li> </ul> | <ul style="list-style-type: none"> <li>• Principal recommendations</li> <li>• Lessons learned</li> </ul> |
|--|--|

Mission or Office: USAID/Honduras	Date This Summary Prepared: 02/04/88	Title And Date Of Full Evaluation Report: Evaluation of FHIA (Fundación Hondureña de Investigación Agrícola) - November 7, 1988.
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#### PURPOSE OF THE PROJECT

The Honduran Agricultural Research Foundation (FHIA) was established in September 1984 as an independent, private research organization to contribute to the national research system enabling it to better respond to the technological needs of farmers, especially those producing nontraditional export crops.

#### PURPOSE OF THE EVALUATION AND METHODOLOGY USED

The purpose of this evaluation is to determine progress made to date with respect to the organization of FHIA's operations, the initiation of its research, dissemination and fund raising programs, and to determine the future financial viability of FHIA.

The purpose of this evaluation process was carried out in country August 30 to October 3, 1987, and followed a schedule of briefings by USAID and FHIA staff followed by field trips to experiment stations, laboratories, farmers' fields, and various Honduran institutions and private enterprises (agrarian banks, exporters, and others). Most of the Team's activities (September 3 through 25) were centered around FHIA's headquarters at La Lima and San Pedro Sula on the north coast.

#### FINDINGS AND CONCLUSIONS

The Team examined virtually all aspects of FHIA development, operations and future plans. In the main, the Center should be highly commended for establishing itself and addressing the institutional mandate within the relatively short period of three years. However, there are some concerns about initial growth and its effect on institutional commitments as well as on the funding base needed for long-term sustainability.

The Team found that FHIA has made an heroic effort to address its mandate, but the original project resources are inadequate for the scope of effort required. In fact, some programs, scientific disciplines and supporting services are already or will become substantially understaffed within two or three years.

The present research program has both international (banana and plantain improvement) and national responsibilities (cacao, citrus and vegetables). FHIA also conducts exploratory studies on potential new export commodities like mango, black pepper, pineapple, and palm hearts under the Diversification Program. While the Center's initial program development has been well planned, it was overly ambitious and funding was inadequate. For these and other reasons the Evaluation Team arrived at the following major conclusions:

1. **Mandate.** The original mandate is too broad and does not accurately reflect FHIA's evolving role, potential clientele and comparative advantages, both nationally and internationally.
2. **Governance.** The system of governance is both cumbersome and expensive. Moreover, there does not appear to be a clear exercise of responsibility on major institutional issues like program expansion and institutional sustainability.

## S U M M A R Y (Continued)

3. Constituency. The FHIA permanency and long-term viability depends on developing domestic support through an organized constituency of producers and other interested parties.
4. Staffing. The complement of staff is of high caliber but inadequate in number for FHIA's programs. Most urgently needed are plant pathologists, economists, and agronomists in research and accountants in administration.
5. Banana/plantain research. This program is poised for major breakthroughs in controlling Black Sigatoka disease and yield increases. However, it urgently needs to begin reaching out to future cooperators and beneficiaries who can exploit the new technology.
6. Cacao. This program is making an excellent start at La Masica and will soon begin having an impact on national production. Cacao appears to be a good prospect for export.
7. Citrus and vegetables. Citrus is particularly well organized, and an energetic start has been made on pilot-scale vegetable production for export. There is heavy competition for export of both commodities and Honduras does not appear to have a competitive advantage over other sources, like Mexico, Guatemala, and the Caribbean region.
8. Communications. This well-developed division will soon be fully operational, but needs to turn its attention to training and outreach. However, further expansion should be geared to the realistic needs of FHIA research.
9. Administration and management. FHIA's administration and support services function well and are on track, albeit short-handed in some areas, like accounting. Management is excellent, ambitious, experienced, well organized, and highly dedicated.
10. Financial development. This aspect is underdeveloped owing to preoccupation with institutional development and the daunting nature of the task. This may require some initial assistance by an expert consultant for several months.
11. Impact. FHIA has already begun to have a significant impact. Research has saved plantain farmers thousands of dollars by recommending elimination of unessential potassium fertilizer. The banana and plantain varieties which are close to being released will save banana producers in Central and South America over \$100,000,000 per year in costs for control of Black Sigatoka.

### PRINCIPAL RECOMMENDATIONS

The following are the major recommendations (see attachment B for full listing of recommendations):

1. Redefine FHIA's mandate with input from USAID and give due consideration to other affected institutions. The Team urges that major emphasis be given to research on export crops. FHIA must retain its inherent flexibility to explore new commodities.
2. Prioritize research activities and add or reassign positions to give needed depth in more critical programs and to disciplinary departments that are presently understaffed.

## S U M M A R Y (Continued)

3. Develop a "critical mass" of research efforts to be funded on a continuing long-term basis.
4. Request USAID to front-load funds currently programmed for 1992 and 1993 for use in 1988 and 1989.
5. Request establishment of an endowment from the Government of Honduras and USAID, the proceeds from which would go to support the long-term core research fund.
6. In the case an endowment is not possible AID should consider funding a 10 year follow on project.
7. Place immediate emphasis on establishment of an aggressive fund raising program from all sources -- public and private, national and international.
8. Continue to establish and further develop national and international linkages to enhance dissemination of research findings.
9. Launch a campaign to alert the public of the role of FHIA, FEPROEXAAH and other interested organizations that play a role in the development of Honduras' agricultural export capacity.
- 10 Logframe. The Logframe should be revised thru a PIL to reflect changes suggested by the evaluation.

### LESSONS LEARNED

1. Planning. Good fiscal planning and careful definition of the institutional mandate are essential when developing new projects like FHIA. During the initial development stages, growth must carefully match the realistic availability of resources. This will require close monitoring by the founders, FHIA governance and management.
2. Institutional linkages. An institution such as FHIA needs to establish good relations with several related entities and to nurture these linkages carefully to build an enduring identity, both nationally and internationally.
3. The Comayagua experience. FHIA is well qualified to carry out research on the technological constraints to vegetable production. The marketing constraints, especially the high cost of transportation, are the critical limiting factors which need to be resolved so that Honduras can become competitive in the export markets. If not resolved FHIA should put its scarce resources into other more profitable crops.
4. Fund Raising. Availability of external (non-AID) funding is more difficult and will require considerably more time than earlier anticipated.

## ATTACHMENTS

K. Attachments (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier; attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

Attachment A: Outline of Basic Project Identification Data

Attachment B: Recommendations

Attachment C: Evaluation of FHIA (November 1987)

## COMMENTS

L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report

The Mission consensus is that the five-man evaluation team did an outstanding job within the short time frame allotted. They provided us with a clear and concise document which serves as the basis to make some very timely decisions about the future of the USAID/FHIA Project. The team complied fully with the scope of work.

It was felt that the team may have treated FHIA too much like and International Research Center and not enough like a National Research Foundation. This is understandable, however, since FHIA incorporates aspects of both types of research institution.

The Mission could not accept the recommendation that AID provide a Dollar Endowment to FHIA. There is no precedent in the Foreign Assistance Act for providing this type of assistance.

AID cannot remain on the FHIA Board of Directors as a voting member but will remain on the Board as a non voting member in an advisory capacity.

AID is also prohibited from funding fund raising activities.

FHIA Comments:

FHIA's management generally agrees with the contents of the document and commends the team for its perception and recommendations.. It does not agree that a specialist in genetic engineering for the Banana Breeding Program is a priority.

C

ATTACHMENT A

OUTLINE OF BASIC PROJECT IDENTIFICATION DATA

1. Country: Honduras
2. Project Title: Agricultural Research Foundation
3. Project Number: 522-0249
4. Project Dates:
  - a. First Project Agreement: 8/31/84
  - b. Final Obligation Date: FY91
  - c. Most recent Project Assistance Completion Date (PACD): 8/94

5. Project Funding:

	ACTUAL	PLANNED
a. A.I.D. Bilateral Funding (grant and /or loan)	US\$10,709,000	US\$20,000,000
b. Other Major Donors	US\$ 2,150,000	US\$15,000,000
c. Host Country Counterpart	US\$ 3,600,000	US\$ 6,500,000
TOTAL	US\$16,459,000	US\$41,500,000

6. Mode of Implementation: Host Country; Academy for Educational Development.
7. Project Designers: GOH; USAID/Honduras; S&T/Agriculture; Winrock International; Academy for Educational Development.
8. Responsible Mission Officials:
  - a. Mission Director(s): Anthony Cauterucci; John Sanbrailo
  - b. Project Officer(s): Richard Owens; Blair Cooper
9. Previous Evaluation(s): None

## ATTACHMENT B

### RECOMMENDATIONS

#### SCOPE AND MANDATE

##### New Mandate:

- Careful study and redefinition of the institutional goals, objectives, and responsibilities as stated in the 1984 project paper are urgently needed. 6/88
- A new mandate should give major emphasis to research on export crops, refrain from direct involvement in commodity development, and to ensure that FHIA retains its inherent flexibility to explore new potentialities and commodities. Completed 2/88
- (I) The primary focus of FHIA is on selected export. The distinction between traditional and nontraditional export crops should be removed. Completed 2/88
- (II) FHIA's responsibilities encompass all aspects of research of mandated commodities including the development of practical cost-effective, grower acceptable technology. This responsibility includes post-harvesting studies and rigorous market research but not production development activities. Completed 2/88
- (III) Include plantain agronomy in the Core Banana and Plantain breeding Program. Completed 2/88
- (IV) Strengthen linkages at all levels both within country and internationally particularly those involving close working relationships with other research institutions, extension agencies, production development organization, seed/planting materials suppliers, and farmers. 12/88

#### GOVERNANCE

##### The Governance Structure

- Major issues must be referred to the Board of Directors for study and recommendation before the Assembly acts. Assembly decided to contract study on overall Governance system. This study
- Increase Board membership from 9 to 12, reserving at least two slots for individual members from international organizations and donors.

Add a program committee comprised to three to four members with special expertise in programmatical policy matters to assist management and report to the Board of Directos.	will make recommendations on how to improve Governance system.
Appoint new members to the Board and the Committees on an individual basis. USAID should retain membership on the Board to moderate GOH political pressures on FHIA.	Begin study 7/88
Formalize the development committee under the aegis of the Board to broaden FHIA's political and financial base in Honduras.	End study 9/88
Formalize the Development Committee (presently headed by Lic. Jorge Bueso Arias) under the eegis of the Council to broaden FHIA's political and financial base in Honduras.	Completed 2/88
Reduce Council meetings to 2 or 3 times a year.	Completed 2/88 Reduced to 4 times a year.

RESEARCH PROGRAM

The Programs

FHIA should prioritize and classify activities as: (I) core program, or (II) special programs and projects. Core projects are those conferring FHIA's essential character' and which will require at least 10 or more years of concerted, in depth attention. Special programs/projects are those commodities and activities which are likely to command shorter term attention and will require additional (noncore) funding via special grants and contracts.	Completed 2/88
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The Commodities:

Banana/Plantain Breeding:

- |   |   |
|---|---|
| (I) Focus major attention on developing economic controls on major diseases, especially Black Sigatoka; | Completed 12/87                                 |
| (II) Seek the input of a competent genetic engineer to improve crossing methods;                        | FHIA sees this as unrealistic. Does not accept. |
| (III) Formalize a project for preservation and evaluation of Musa spp. germplasm; and                   | 12/88   |

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- (IV) Expand FHIA's cooperation on international banana/ plantain improvement through visits to world production centers and cooperative projects with other national and international programs. 4/88

Plantain Cultural Practices: Bring this program up to speed as rapidly possible. Also, establish a special task force to study prospects for finding a practical (nongenetic) solution to Black Sigatoka. 4/88

Cacao:

- (I) Increase staffing to double the present complement by 1992; 1/92
- (II) Increase cooperation and collaboration both within Honduras (esp. APROCACAO, MRN and INA); and internationally (esp. CATIE and the Trinidad Cacao Breeding program). 12/88
- (III) Support FHIA's clientele through increases of superior planting materials. Completed 12/87

Citrus:

- (I) A rigorous prioritization of citrus products with realistic export potential through a more precise definition of researchable major constraints. Completed 12/87
- (II) Phase out activities on oranges except for certification. Continue some further studies on grapefruit and possibly on limes until the export potential is established. 6/88

Vegetables:

Continue some exploratory studies on vegetables under diversification, but transfer development activities to FEPROEXAAH and national institutions as soon as possible. 6/88

Diversification:

- (I) Add a vigorous market research function (or unit) to the program; may be more efficiently accomplished through short-term consultancies. 12/89
- (II) Reallocate more human resources, facilities and equipment from lower priority activities. Completed 5/88

- (III) Further develop and refine commodity screening methodology to accommodate other important factors like potential international competition. 12/88
- (IV) Collaborate closely with the FHIA Development Division to facilitate preparation of new proposals and projects. Completed 1/88

Research Principles and Methodologies:

- (I) FHIA should be careful not to commit itself to projects and responsibilities beyond its available financial and human resources. Completed 2/88
- (II) FHIA should concentrate its efforts on researchable major constraints (i.e., Black Sigatoka) rather than on technological refinements. Completed 12/87
- (III) FHIA should critically review its staffing situation. Completed 12/87
- (IV) FHIA should stress the development and/or validation of appropriate and cost-effective intermediate technology, i.e., small scale and medium size spraying equipment, dwarf bananas and plantains, and other minimal purchased input systems. 12/88
- (V) FHIA needs to develop a greater capability in exploring market potential before embarking on a costly biologically oriented research program. 12/88

Specialized Technical Services:

FHIA must continue to expand the important specialized services to the institutional and producer level via diagnostic, analytical, and testing services. Completed 2/88

COMMUNICATIONS AND INSTITUTIONAL LINKAGES

Training: Training courses can be started on a modest scale beginning with communication methodologies and the more advanced programs like banana/plantain improvement during the next year. 12/88

Division Growth: Expansion of communications should remain within the same order of magnitude as overall institutional growth. Completed 2/88

AED/CTTA Contract: The Team recommends an early termination of the AED contract. 6/88

Institutional Linkages:

- (I) Carry linkages to the field level. Insofar as possible, experimentation, adaptation and validation trials are to be carried out on farmers' fields. This approach necessitates the nurturing of an attitude of concern for producers' problems and objectives, and stressing the on-farm research approach in all of FHIA's institutional training programs. 12/88
- (II) Coordinate its activities with the commodity system approach being implemented under the export development and services project, FEPROEXAAH, and other interested parties. 12/88
- (III) Assess the role, functions and effectiveness of the technical advisory committees and clarify the role and responsibility of each member. A list of objectives and goals along with a work plan must be jointly defined and evaluated. 7/88
- (IV) Define policies and strategies to assume a significant presence in the existing banana/plantain research networks. An attitude of cooperation and development of a strong linkage with the world scientific community dealing with Musa spp is essential for FHIA. 5/88
- (V) Develop close collaboration with MNR on soybeans and work out a mutually acceptable division of labor on research, technology transfer and training. 12/88

FINANCIAL MANAGEMENT

Administration and Management:

- (I) Review and update the original procedures and guidelines to be sure they meet current needs. 6/88
- (II) Develop additional operating procedures and guidelines where needed to assist the staff in management of the FHIA resources. 6/88
- (III) Add staff to enable the Accounting Office to ensure proper and accurate accounting for funds, including special projects. 4/88

12-

- (IV) Develop a fiscal report for the Administrative Council that capsulizes the highlights and important information. 4/88
- ( V) Obtain the ownership documents for land purchased for experiment station use. 6/88
- (VI) Perform a comprehensive indirect cost study to develop a valid rate for equitably charging of indirect cost. Completed 2/88
- (VII) Update the Staff Manual and personnel guidelines. Completed 12/87
- (VIII) Develop a unit to manage special projects to include proposals, negotiations, and technical and fiscal reporting. Completed 1/88
- (IX) Utilize its own Purchasing Office to acquire and import merchandise from outside Honduras, and discontinue use of the Purchasing Service Agent except in cases where the service would be useful. 3/88
- (X) Augment the Maintenance Section as facilities and equipment are becoming older. Use a micro-computer to implement a preventive maintenance program. 12/88
- (XI) Create an internal audit function whose responsibility would include administrative systems development and overview. Completed 2/88
- (XII) Have the external audit firm submit its annual audit to the Vigilance Committee. Will be reviewed as part of Governance study.
- (XIII) Increase the use of micro-computers in financial and administrative functions to provide greater efficiency and control. Completed 2/88
- (XIV) Make every attempt to complete and distribute its annual report as soon as possible after the close of the year. Completed 2/88
- (XV) Move ahead with planning for development of a food and housing facility near its La Lima officers. 12/89

## Institutional Sustainability

- (I) USAID should make available project funds now programmed for year 1992 and 1993 in 1988 and 1989 to meet the needs for the new scope of research work. 3/88 and 1/89
- (II) Further, to provide continuing long-term support for a base level research program, USAID and the GOH should make funds available to create an endowment fund beginning as soon as possible so that by no later than 1991 income from the endowment will be forth coming. 1/91 GOH may provide local currency. Other sources will also be explored.
- (III) FHIA should finance any added research efforts through special projects and income from other donors. 12/88
- (IV) If an endowment proves to be impossible, a less desirable means of providing long-term support would be for USAID to supplement core activities to the level of \$3.5 M/year from 1988 to 1993 and to commit at least \$3.5 M/year (in constant dollars) to FHIA for years subsequent to 1993. This commitment should be for at least 10 years after 1993. 1/91 USAID will review progress under the project and consider options at the appropriate time.

## Financial Development:

Fund raising: FHIA initiate immediately an aggressive fund-raising program that would have as its target \$2 million annually by 1990 from all sources -- public and private, national and international. Completed 2/88

Special support group: The appointment of a special Honduran development committee (by this or some other name) whose mandate would be to establish a broad base of annual support from leading businesses and influential individuals. Completed 2/88

For-profit activities: Explore in detail the potential of for-profit business operations through which FHIA would within 3-5 years begin receiving a steady flow of unrestricted income. 12/88

GOH commitments: USAID must use its good offices to persuade the Honduran government of the importance of fulfilling its funding commitments since 1985. Completed 2/88

Fund raising abroad: FHIA conduct its fund-raising activities in the United States under its own auspices rather than through the Friends of Central American Agriculture.

Completed  
2/88

Fund raising consultant: Considering the urgency of broadening its funding base, FHIA, with USAID support, should recruit a short-term (up to 6 months) fund raising expert with connections in the international community. The terms of reference would be to develop a comprehensive fund raising program and provide guidance on project development for external funding.

7/88  
USAID  
Resources  
can not  
be used to  
fund  
fund raising  
efforts.

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