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MICROENTERPRISE RESULTS REPORTING

YEAR THREE WORKPLAN

NOVEMBER 2012

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MICROENTERPRISE RESULTS REPORTING

YEAR THREE ANNUAL WORKPLAN

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Sponsoring USAID Office: USAID/E3/MPEP

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Contractor: DAI/Nathan Group (DNG), implemented by DAI

Subcontractor: QED Group, LLC

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PROJECT OVERVIEW

The current Microenterprise Results Reporting (MRR) contract is a 32 month activity, starting on Sept 27, 2010 and ending on May 26, 2013. MRR is contracted to the DAI/Nathan Group joint venture (DNG) through Task Order number AID-OOA-TO-10-00050 under the Global Business, Trade and Investment II (GBTI II) IQC, (EEM-I-00-07-0009-00). With full approval from Nathan Associates and the DAI/Nathan Group, DAI is performing as lead contractor on MRR. QED Group, LLC is subcontractor to DAI.

DAI is providing one key personnel position - the Project Team Leader/Microenterprise Operations Specialist, Alexis Nguyen. QED is providing the second key personnel position - Information Systems Specialist, Parvati Patil. The USAID Contracting Officer's Technical Representative (COTR) for MRR is Maria Stephens, and the USAID Contracting Officer is Michael Douglas, supported by USAID Acquisitions Specialist David Lavine.

PROJECT OBJECTIVE AND APPROACH BY TASK

The MRR Annual Reports are prepared in response to a body of Congressional legislation and U.S. government initiatives that testify to the U.S. government's longstanding and strong commitment to effective and targeted microenterprise development. The MRR Annual Report to Congress fulfills the provision in Section 6 of PL 108-484, the Microenterprise Results and Accountability Act of 2004, (MRAA), that USAID will submit an annual report on the implementation of 12 reporting requirements, presented in **Annex A – MRAA Reporting Requirements**. Through the Microenterprise Results Reporting (MRR) system and project, USAID collects and analyzes funding data on its global investments and outreach in microenterprise, and is able to respond to Congress's requirements in this regard. Not only does MRR produce USAID's annual Microenterprise Results Report to Congress, but it responds to inquiries about USAID's microenterprise investments – conducting various kinds of data analysis and reporting. The project maintains the MRR website, an integrated web-based database to collect and process accurate, timely information from missions and partners on funding, institutional data, results, and other requirements (www.mrreporting.org).

The MRR project has four main tasks: a) Tracking of Estimated and Actual Obligations; b) Microfinance, Enterprise Development and Enabling Environment Institution Tracking; c) USAID Microenterprise Results Reporting; d) Microenterprise Results Reporting Website. As MRR is based around the USAID fiscal year, each project year operates on a similar schedule. In this final year of the current MRR project, the activity timeline is shifted forward to the extent possible, given the Task Order end date of May 26th, 2012, more than a month before the Congressional due date for the MRR Annual Report to Congress. The revised and condensed project timeline for this final year of the current MRR project is presented in **Annex B – Project Timeline**. Activities associated with each of the four tasks are listed below.

TASK A - TRACKING OF ESTIMATED AND ACTUAL OBLIGATIONS

For Fiscal Year (FY) 2012, USAID plans to report on a sample of Missions/Offices, rather than surveying all of USAID for funding for microenterprise. USAID has approval from Congress to report in this way for the MRR FY 2012 cycle (and most likely beyond). USAID identified the following 36 Missions/Offices for inclusion in MRR's FY 2012 reporting cycle:

	Mission or Office	PAT	FTF
1	Afghanistan		
2	Bolivia	PAT	
3	Cambodia	PAT	FTF
4	Colombia	PAT	
5	DR Congo		
6	East Timor	PAT	
7	Ethiopia	PAT	FTF
8	Georgia		
9	Guatemala	PAT	FTF
10	Guyana		
11	Haiti	PAT	FTF
12	Iraq		
13	Jamaica	PAT	
14	Kenya	PAT	FTF
15	Kosovo	PAT	
16	Kyrgyzstan		
17	Lebanon		
18	Liberia	PAT	FTF
19	Macedonia		
20	Malawi	PAT	FTF
21	Mali		FTF
22	Moldova		
23	Nepal	PAT	FTF
24	Nicaragua	PAT	FTF
25	Office of Microenterprise and Private Enterprise Promotion		
26	Pakistan		
27	Peru	PAT	
28	Philippines	PAT	
29	Regional Development Mission for Asia (RDM/A)		
30	Rwanda	PAT	FTF
31	Sri Lanka		
32	Sudan		
33	Tanzania	PAT	FTF
34	USAID/East Africa		
35	Zambia		FTF
36	Zimbabwe		

USAID selected these 36 Missions/Offices based on the following rationale and conditions (provided by the USAID MPEP office):

- **1st condition:** Capture information from the largest programs, (*considering previous reporting to MRR*). Threshold options were \$9m/\$5m/\$4m/\$2m (*from Mission-level reporting to MRR for FY 2011*). It was decided that a \$5m threshold captured the Agency's largest programs.
- **2nd condition:** Feed the Future (FtF) is the Agency's largest initiative that has as a primary development objective, reducing poverty. Given this overlap with the intent of the Microenterprise for Self-Reliance and Anti-Corruption Act of 2000 (H.R. 1143), it is recommended that any FtF country with microenterprise funds be included;
- **3rd condition:** Recognizing that there are a number of other Agency priorities, if it is determined that a country is of particular importance to the Agency regardless of the size of their microenterprise budget, they will be included;
- **4th condition:** A random sample will be taken of countries receiving less than \$5m who have not been selected for participation.

With this approach we are able to ensure capturing between 80-90% of the Agency's funding for microenterprise activities in any given year, per the Microenterprise Results and Accountability Act of 2004 (Public Law 108-484).

For the coming 2012 MRR, this means that the survey will account for:

- 17 countries whose obligations are >\$5m (including FtF countries)
- 8 additional FtF (Feed the Future) countries
- 11 countries who obligations are <\$5m and were selected at random (see below)

The total number of countries is 36, whose *FY 2011 allocations* represent 94% of the Agency's total *FY 2011 reported allocations* of \$338,991,441 for microenterprise (*which included agreements that were pending at the end of fiscal year 2011*).

A number randomizer was used to randomly prioritize the 29 countries whose total FY 2011 obligations were less than \$5m. The random order was: 8, 2, 19, 11, 10, 27, 18, 17, 1, 20, 28, 15, 29, 25, 16, 26, 6, 5, 4, 24, 13, 9, 22, 21, 14, 12, 23, 7, 3

The first phase of MRR's annual data collection cycle is to track USAID funding for microenterprise related programming and support. From October 2012 – January 2013, the team will facilitate this process. To do so, and to complete Task A, the team will conduct the following specific activities:

- Work with USAID to draft Mission-level data collection communication and instructions, sending to the select Missions for FY 2012 reporting during the week of Oct 15, whereby "launching" FY 2012 reporting six - eight weeks ahead of the usual MRR calendar.

- Manage the process of gathering Mission data, assuring that all data is captured in the MRR website through follow-up and support to the USAID personnel responsible for reporting to MRR, troubleshooting any technical or reporting issues, and answering any questions.
- Check data for completeness, adherence to basic definitions and internal consistency, identify gaps and problems in data, and attempt to fill or rectify them; and contact relevant USAID personnel to fill gaps and correct errors.
- Confirm that the reported funding fits the definition of microenterprise specified in reporting guidelines, and that a given unit's reporting is plausible and consistent from year to year.
- Focus efforts on obtaining complete and accurate “actual-year” data for the fiscal year most recently completed, and ensuring that the budget estimates for the following year are reasonable. In addition, ensure that the actual-year funding is tied to specific institutions, activities, or holding projects, thus allowing compilation of a complete list of partners receiving funding for microenterprise from USAID in that year.
- Collect funding projections for future year(s) as available.
- Maintain a historical data series on USAID microenterprise funding.

TASK B - MICROFINANCE, ENTERPRISE DEVELOPMENT AND ENABLING ENVIRONMENT INSTITUTION TRACKING

The second phase of MRR data collection involves the survey of implementing partners identified during the Mission-level data collection process described in Task A. For the MRR FY 2012 cycle, the MRR team will manage partner-level data collection between January and April 2012, (specific timing detail provided in Annex A). As with Task A, Task B will be launched earlier than in previous years in an effort to condense the MRR calendar due to the project's end date of May 26, 2013. Specific steps under Task B include:

- Work with USAID and web development personnel to update the partner level survey to reflect USAID's current approach to microenterprise, and to streamline the process for reporters to the extent possible. The team will ensure availability of questionnaire and other data collection tools in Spanish, French or other languages as the need may arise.
- Update and distribute partner level data collection instructions to all relevant partners for FY 2012 reporting cycle.
- Obtain results and implementation data from partner organizations that received funding from the 36 FY 2012 Missions/Offices in FY 2010, FY 2011 and/or FY 2012.
- Manage the process of gathering partner data and assure that all data is captured in the MRR website. The data may be gathered from USAID Missions, PVO and contractor headquarters, or local NGO(s) and firms as appropriate to the specific circumstances.

- Manage MRR helpdesk, following up and troubleshooting with reporters to assure maximum reporting and accuracy.
- Conduct data cleaning and verification, identifying any gaps and inconsistencies in the data, and following up with Missions and/or partner organizations to obtain a complete and accurate data set.

TASK C - USAID MICROENTERPRISE RESULTS REPORTING PUBLICATIONS

After completing data collection under Task B, the MRR team will aggregate the reported Mission and partner level data, compiling the data to respond to the 12 requirements of the MRR legislation, detailed in **Annex A: MRAA Reporting Requirements**. With this data, the team will produce a complete draft of the MRR Annual Report to Congress for submission to USAID, addressing all 12 reporting requirements. Given the project end date of May 26th, 2013, USAID will manage the final review and revision process, and the final submission to Congress (the report is due to Congress on June 30th of each year). USAID will also manage report printing, distribution and posting online. These steps have historically occurred in July/August (or beyond in some years) with timing that is largely dependent on internal USAID communications and processes, and unfortunately, the contracted team will not be available beyond May 26th.

TASK D - MICROENTERPRISE RESULTS REPORTING WEB SITE

The team will continue to manage the MRR website via a combination of in-house management and partnership with web design firm, WolfeReiter, as well as hosting provider, Peer 1. Additionally, members of DAI's Office of Information Management and Technology (OIMT) will continue to advise and support the MRR team on website maintenance and provide technical support as needed.

To supplement the MRR Operations Manual which the team updates every year, the team has generated a Technical and Database Administration Guide to specifically document website and database management and maintenance. The team will continue to update and maintain this guide in the final year of the project, as it will be useful in project handover.

PROJECT MANAGEMENT

The MRR team is located at QED, with DAI employee Alexis Nguyen based at QED's offices to facilitate efficient communication and project management. With QED's proximity to USAID, this also greatly facilitates regular meetings with USAID, since QED is in downtown Washington, DC. DAI will continue to effectively manage subcontractors and vendors, efficiently manage project finances, and successfully manage and oversee all system and database updates. The MRR team will continue to develop and submit all project deliverables in a timely manner.

The MRR project will operate with a somewhat reduced and modified team in its final year, given the reduced budget and reporting universe for FY 2012. The team has also replaced two personnel who left QED in 2012 – replacing Key Personnel Ms. Ruth Speyer with Ms. Parvati Patil in May 2012, and currently proposing two candidates from DAI's Home Office of Information Technology (OIMT) to replace QED's outgoing Database Administrator, Mr. Gang Liu. The current team is comprised of the professionals listed below:

Alexis Nguyen - Team Leader/Microenterprise Operations Specialist. Ms. Nguyen is responsible for daily management of MRR, including subcontractor relationships and all project deliverables, and serves as the primary point of contact for USAID. She assures that MRR operates according to the timeline presented in Annex A, responds in a timely manner to USAID requests, and produces high quality outputs in a cost-effective manner.

Parvati Patil - Information Systems Specialist. Ms. Patil is responsible for MRR data collection, providing guidance and data support to Missions and partners through the MRR Help Desk, and performing data quality checks and analysis. She also works with the Team Leader in response to requests from USAID, Congress and other actors and contributes to the MRR annual report and annexes.

TK May – Web Developer and Reporting Specialist. Mr. May is a Software Engineer in DAI's Office of Information Technology. He will assume the reporting responsibilities previously held by Mr. Gang Liu, who resigned from QED in September 2012, and will assume MRR website maintenance from IT firm WolfeReiter (as DAI plans to manage this function in house from January 2012 until the end of the MRR Task Order in May 2013). Mr. May will generate data reports for the project, develop new SQL queries based on planned revisions and ad-hoc report requests, maintain and modify data entry screens, perform updates to the MRR website, and/or any new reporting requirements that are identified. He will also assist in quality assurance by verifying data quality and conducting detailed data comparisons and cross-checks.

Satyadev Malladi - Database Specialist. Mr. Malladi will assume the MRR database administration responsibilities previously held by Mr. Gang Liu who resigned from QED in September, 2012. Mr. Malladi is a Senior Database Administrator in DAI's Office of Information Technology. Mr. Malladi will ensure end to end database maintenance, access, security, backups, and upgrades. He will also manage the IIS Web server and content for the front end MRR site (<http://www.mrreporting.org>), conduct server management, provide security updates and patches, and troubleshoot any issues with the system. As needed, he will support the proposed Web Developer and Reporting Specialist, Mr. TK May, in addressing reporting requirements and report development as needed.

Robin Young - DAI Home Office/Project Team Lead. Ms. Young provides technical and management oversight from a DAI Corporate perspective. She is a Principal Development Specialist at DAI and is an expert in microfinance.

Anna Langer - DAI Home Office/Administrative Backstop. Ms. Langer provides operational support from the DAI home office. She will continue liaise with DAI's support offices (Finance, Contracts, Information Technology and Human Resources) to facilitate efficient project operations.

ANNEX A: MRAA REPORTING REQUIREMENTS

1	<p>Funding: The number of grants, cooperative agreements, contracts, contributions, or other form of assistance provided under section 252 [the section of the law authorizing USAID to provide microenterprise assistance], with a listing of:</p> <p>(A) the amount of each grant, cooperative agreement, contract, contribution or other form of assistance;</p> <p>(B) the name of each recipient and each developing country with respect to which projects or activities under the grant, cooperative agreement, contract, contribution, or other form of assistance were carried out; and</p> <p>(C) a listing of the number of countries receiving assistance authorized by section 252.</p>
2	<p>Central Mechanisms: The amount of assistance provided under section 252 through central mechanisms.</p>
3	<p>Development Credit Authority: The name of each country that receives assistance under section 256 [the section of the law pertaining to the Development Credit Authority and credit instruments] and the amount of such assistance.</p>
4	<p>USAID Funding Recipients: The level of funding provided through contracts; the level of funding provided through grants, contracts, and cooperative agreements that is estimated to be subgranted or subcontracted, as the case may be, to direct service providers; and an analysis of the comparative cost-effectiveness and sustainability of projects carried out under these mechanisms.</p>
5	<p>Matching Assistance: It is the sense of Congress that USAID should include in the report required by section 258 of the Foreign Assistance Act of 1961 [as added by section 6 of this Act] a description of all matching assistance [as described in paragraph (1)] provided for the prior year by recipients of microenterprise development assistance under such title.</p>
6	<p>Funds for Very Poor Clients: The percentage of assistance furnished under section 252 that was allocated to the very poor based on the data collected using the certified methods required by section 254 [the section of the law outlining the requirement for USAID to develop client poverty assessment methods and require their use by awardees by October 2006].</p>
7	<p>Estimated Number of the Very Poor reached with assistance provided under section 252.</p>
8	<p>Poverty Assessment Methods: The process of developing and applying poverty assessment procedures required under section 254.</p>
9	<p>Funds to Assist Victims of Trafficking and Exploitation: Information on the efforts of the Agency to ensure that recipients of United States microenterprise and microfinance development assistance work closely with non-governmental organizations and foreign governments to identify and assist victims or potential victims of severe forms of trafficking in persons and women who are victims of or susceptible to other forms of exploitation and violence.</p>
10	<p>Poverty and Race/Ethnicity: An estimate of the percentage of beneficiaries of assistance under this title in countries where a strong relationship between poverty and race or ethnicity has been demonstrated.</p>
11	<p>Performance Monitoring System: The results of the monitoring system required under section 253 [see A-D below].</p> <p>(A) The monitoring system shall include performance goals for the assistance and expresses such goals in an objective and quantifiable form, to the extent feasible.</p> <p>(B) The monitoring system shall include performance indicators to be used in measuring or assessing the achievement of the performance goals described in paragraph (1) and the objective of the assistance authorized under section 252.</p> <p>(C) The monitoring system provides a basis for recommendations for adjustments to the assistance to enhance the sustainability and the impact of the assistance, particularly the impact of such assistance on the very poor, particularly poor women.</p> <p>(D) The monitoring system adopts the widespread use of proven and effective poverty assessment tools to successfully identify the very poor and ensure that they receive adequate access to microenterprise loans, savings, and assistance.</p>
12	<p>Additional Information: Any additional information relating to the provision of assistance authorized by this title, including the use of poverty assessment methods required by section 254, or additional information on assistance provided by the United States to support microenterprise development under this title or any other provision of law.</p>

ANNEX B - PROJECT TIMELINE

MRR Workplan Tasks	Performance Period - Condensed calendar in Year 3 due to May 26, 2013 Task Order end date (with MRR Annual Report due to Congress on June 30 each year, and MRR Methodology and Statistical Annexes normally prepared in July and August).											
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep
Project Year Three - reporting on FY 2012												
Task A - Tracking of Estimated and Actual Obligations												
A.1 Update and maintain point-of-contact information for Missions and Operating Units	●	●	●									
A.2 Update and distribute instructions to Missions	●	●										
A.3 Provide help desk support to Missions	●	●	●	●								
A.4 Obtain and review estimated and actual obligation data	●	●	●									
A.5 Resolve data problems	●	●	●									
A.6 Promote Mission data collection in Connections and on microLINKS	<i>Not in Year 3, since only 36 Missions included</i>											
A.7 Finalize Mission level data			●	●								
Task B - Microfinance, Enterprise Development, and Enabling Environment Institution												
B.1 Develop instructions for partner level reporting			●	●	●							
B.2 Update partner level contacts as needed			●	●	●							
B.3 Assign partner level questionnaires to partners				●	●	●						
B.4 Provide help desk support to reporting implementing partners				●	●	●	●					
B.5 Follow-up with implementing partners to improve response rates				●	●	●	●					
B.6 Ensure data accuracy through data cleaning & identify priority indicators for review				●	●	●	●					
B.7 Finalize partner level data				●	●	●						
Task C - USAID Microenterprise Results Reporting Publications												
C.1 Update database queries and run data required for FY 2012 reporting						●	●	●				
C.2 Conduct final data verification and cleaning						●	●	●				
C.3 Aggregate and analyze data required for FY 2012 reporting						●	●	●				
C.4 Collect additional information and/or language and prepare draft report						●	●	●				
C.5 Develop, produce, and disseminate the annual report	<i>Not in Year 3, given May 26th Task Order end date. USAID will manage final internal report approvals, submission to Congress, in-house printing and posting</i>											
C.6 Prepare MRR Methodology and Statistical Annexes						●	●	●				

MRR Workplan Tasks	<i>Performance Period - Condensed calendar in Year 3 due to May 26 , 2013 Task Order end date (with MRR Annual Report due to Congress on June 30 each year, and MRR Methodology and Statistical Annexes normally prepared in July and August).</i>												
Project Year Three - reporting on FY 2012	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	
Task D - Microenterprise Results Reporting Web Site													
D.1 Maintain the MRR website and database	●-----●												
D.2 Conduct regular database and system backups	●-----●												
D.3 Refine MRR services	●-----●												
D.4 Develop new capabilities, as required/possible	●-----●												
D.5 Address ad hoc inquiries for analysis	●-----●												
D.6 Other tasks as assigned	●-----●												
Poverty Tools and DCA													
Work with USAID and PAT to develop appropriate procedures for PAT data collection	●-----●												
Work with USAID and PAT to develop language for Missions and partners on PAT	●-----●												
Adapt questionnaires to include new PAT questions	●-----●												
Share PAT results data with USAID and PAT	-----●●												
Contact DCA to obtain information on guarantees	-----●●												
Project Management													
Update operations manual	●-----●												
Submit annual work plan	●-----●												
Conduct regular meetings with USAID	●-----●												
Manage project finances, including budget management and invoicing	●-----●												
Manage subcontractors, vendors, and consultants	●-----●												
Prepare quarterly financial reports	●●-----●●												
Develop quarterly progress reports	●●-----●●												
Develop final report	-----●●												
Project closedown	-----●●												

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