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FORMATIVE PROCESS ASSESSMENT OF THE USAID DEVELOPMENT GRANTS PROGRAM

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I. Introduction

This process assessment was carried out at the request of the USAID Office of Development Partners, Private Voluntary Cooperation division (ODP/PVC), which is responsible for management and coordination of the Development Grants Program. It was conducted by personnel of Management Systems International (MSI) under the Integrated Managing for Results 2 (IMR-2) contract and was completed in June 2009 as year one of the Program was coming to a close.

The Development Grants Program (DGP) was established by Congress in Section 674 of the Consolidated Appropriations Act of 2008. As stated in USAID's July 2008 Report to the U.S. Congress, the DGP "is intended to re-establish direct grant relationships between the U.S. Agency for International Development and U.S. private voluntary organizations (PVOs) and indigenous non-governmental organizations (NGOs) that have no or limited experience managing direct USAID grants."

Funding of approximately $50 million was appropriated for FY 2008, and the "F" Bureau of the U.S. Department of State allocated approximately $37.197 million to ODP/PVC for DGP programming, including grants to US PVOs and Local NGOs (LNGOs) in six specific program sectors: Dairy, Environment, Women's Empowerment, DG/Civil Society, Microenterprise, and Water. The legislation provided that no individual organization could receive grants "in excess of $2,000,000." The program design planned for grants to be for a period of up to three years and a minimum amount of $50,000. The maximum amount was fixed at not more than $2 million for any one organization with an expectation that a maximum of $500,000 would be expected for individual LNGO awards. To be eligible, applicants must not have received more than $5 million in direct USAID assistance of any kind over the preceding five years. It was expected that approximately two-thirds of the available funds would support US PVO grants and one-third was to support grants to local NGOs.

It should be noted that the DGP was designed as a Mission-driven initiative, with overall coordination provided by ODP/PVC in Washington and decisions concerning grant awards and program management delegated to participating Missions. To reduce the burden on Missions, it was stipulated that they could call on ODP to provide any needed assistance with related tasks, such as proposal reviews and organizational capacity building for grantees.

II. Purpose of the Assessment and Methodology

The DGP is grounded in the theory that, over the years, USAID's partnerships with USPVOs and LNGOs have resulted in important development accomplishments. It is designed to be a new and innovative opportunity to expand the universe of organizations with which USAID works in order to better meet the development challenges ahead. ODP has made clear that it is committed to refining and improving the program over time. As noted in the Report to Congress, "We expect to refine the program as we absorb lessons learned during the process of implementation." The first round of the program required the creation of new systems and procedures and was marked by the need to get the whole effort up and running quickly. Now that start-up has been accomplished and the overall parameters have been outlined, it is important to step back and examine experience to date to identify the lessons learned and plan for any refinements needed.

Two specific questions were posed by the USAID/ODP CTO for exploration through this assessment:

1. *Has year one of the program achieved its objectives?*
2. *What lessons were learned concerning the DGP process?*

To answer these questions, information was collected through a review of e-mail traffic, results of a survey of USAID/W personnel involved in the process, a survey of participating Missions, and pertinent documents, plus interviews with key individuals involved in shaping the program.

III. Purpose of the Development Grants Program and the Year One Process

The timely establishment of program procedures and the initiation of the tasks involved in the award of DGP funding to US PVOs and LNGOs with no or limited experience with managing direct USAID grants required a complex and intense mix of activities over a short period of time. The major steps involved in the process of setting the DGP in motion may be summarized as follows:

Timing	Activity	Comments
2008 Feb-May	Agency-wide Working Group formed by ODP with representatives of missions, regional and technical bureaus, OAA and other offices at USAID/W.	Working Group met several times to discuss the new program and provide input for the Report to Congress.
July	DGP Team formed by ODP with representatives of regional bureaus and technical offices.	The original purpose of this Team was to design the program; it continues to meet to provide on-going advice and support.
July 11	Report to Congress presented.	Provides an overview of plans for implementation of the DGP.
July 11	New Assignment Plan issued to MSI through its IMR-2 contract to assist ODP with: coordination of communications with Missions, administrative support and documentation of the feedback loop; development of a work plan for management of the first grant cycle for consideration by ODP/PVC; organization of an outreach event for the PVO/NGO community to announce the release of the final APS; and other tasks as needed.	Original contract was to Sept, 30, 2008, but has had no-cost extensions to the end of June 2009.
July 29	E-mail sent by the ODP Director to all Missions with a description of the DGP and the sectors targeted, mission selection criteria and inviting them to apply for DGP funds by August 8.	Attachments included documents prepared by ODP: *Key Assumptions and Operational Highlights*; *Report to Congress*; *Mission Application Template.*
August 11-20	Mission Selection Team formed with two reps from each regional bureau and one technical specialist in each sector targeted to develop criteria for ranking the 41 applications received from Missions.	Team developed a Mission Scoring Sheet with four main criteria to assess the capabilities of the Missions that applied on a scale of 1 (lowest) to 5 (highest).
August 21-26	Mission Selection Review Team formed with two members from ODP and Regional and Technical Bureau Program Officers	ODP coordinated a series of group and individual meetings to review Mission applications and rank order them by sector. Of the 41 Missions that applied, a total of 27 were chosen for DGP participation.
August 27-29	On Aug 27, ODP sent an e-mail to Missions, indicating which had been selected, for which sectors and at what funding levels. The message also requested that participating Missions submit a supplemental narrative (1-2 pages) by August 29 (just three days later) to be posted with the APS in order to provide information specific to Mission priorities and related factors.	Attachments to the e-mail included the *DGP Concept Paper, Key Assumptions and Operational Highlights*, the *DGP FY-08 Participating Missions and Funding* excel chart, and *Mission Supplement Guidance*, outlining the content of the narrative to be provided.
August 29	Two final APSs were posted – one for PVOs and one for	APSs laid out the two step submission

Timing	Activity	Comments
	LNGOs. Mission Supplements had been compiled in a document titled *USAID Mission DGP Supplemental Information,* which was attached to the APS as Appendix G and also passed to LPA for posting on the ODP/PVC website. However, supplements had not been received from all Missions before the APSs were posted. Unrealistic time deadline to announce the solicitation during the summer prevented including the Mission supplemental information in the APSs.	and review process, specifying that Concept Papers were to be received by November 5 to be considered for review and that those received after that would be reviewed prior to the expiration date of the APS on January 29, 2009. Applicants invited to submit full proposals would need to do so by the "new date and time indicated in writing."
September 8	ODP convened a public event at USAID/W to launch the DGP.	A total of 133 organizations were represented at the event.
September 11	Guidance was sent to Missions for implementation of the DGP process, including the dissemination of the APSs and the request for Concept Papers.	ODP sent Missions a *Concept Paper Template* and guidance on forming Technical Review Committees, along with the names of technical points of contact should they want assistance from USAID/W.
November 5	Date by which Concept Papers were to be submitted to Missions with copy to ODP/W	Of the 508 Concept Papers received, 334 were received on/before Nov. 5, while 48 came in after that date and for 126 submissions the date is unknown.
By November 28	Missions were to notify applicants in writing (with copy to ODP) who had submitted Concept Papers by Nov 5 whether they were to proceed to the Full Application stage.	In Mission Guidance, ODP provided Missions with a *Full Application Evaluation Template.*
2009 By February 25	Date by which Missions were to inform ODP of award recommendations.	In Mission Guidance ODP had also provided Missions with an *Award Recommendation Template* in order to facilitate the reporting process.
o/a March 5	Date by which ODP was to make OYB transfers to Missions for grant awards. Due to delayed information from Missions, transfers were made in mid-April and early May.	Funds to be transferred to Missions for the award of Cooperative Agreements to the organizations selected for DGP grants.
April 15	Target date for the award of Cooperative Agreements by Missions.	Funds were required to be obligated before the end of FY 09.

As may be appreciated from the above summary, the start-up and management of the first round of the DGP grants process required extensive communication by ODP/PVC with operating units throughout the Agency, as well as with key external actors. It also required the creation of numerous new forms to facilitate the selection of participating Missions, the dissemination of information to potential grantees, the review of Concept Papers and Full Applications, numerous data tracking documents and other management tasks.

Thanks to these efforts, a DGP implementation process and related materials now exist. Since the initial kinks have been worked out and the system is in place, round two of the program can benefit greatly from experience to date.

IV. Did Year One of the Development Grants Program Achieve its Objectives?

This is the first question posed for examination through this assessment. In order to respond, it is first necessary to recall the two main objectives specified for the program in the legislation:

Objective 1:
To partner with US PVOs and indigenous NGOs that have limited or no experience managing direct USAID grants.

Objective 2:
To help grantees improve their planning and management systems and other competencies for USAID-funded development work and increase prospects for organizational and programmatic sustainability.

As shown in the **Performance Management Plan (PMP)** provided in ***Annex 1***, the overall Strategic Objective is: "*Wider universe of effective USPVO and Local NGO partners working with USAID.*" The objectives listed above are the two Intermediate Results (IRs). Given the need to get the program up and running as quickly as possible, including the selection of participating Missions and the issuance of the call for applications from potential grantees, the PMP was not completed until the final stage of round one. The only indicators or targets originally available were the six sectors and the amounts for each that were specified by "F" for FY 2008:

- Microenterprise $ 7.0 million
- Women's Empowerment $ 7.9 million
- Water $ 8.0 million
- Dairy $ 2.0 million
- Environment $ 3.2 million
- DG/Civil Society $ 2.0 million

The ODP Director's July 29 message to Missions describing the program and inviting them to apply for DGP funds resulted in applications from 41 Missions. Since the sector funds were insufficient for all Missions to participate, and total funding requested by Missions far exceeded the $30.1 million available for grants (20% was set aside for program support), it was necessary to develop selection criteria and create a process for choosing the most suitable Missions for participation. As a result of that process, which involved the Regional/Technical Agency DGP Team, 27 Missions were selected. See ***Annex 2*** for a matrix showing the *DGP Participating Missions,* together with the sectors and amounts allocated as of May 2009. Also shown are the amounts that required reprogramming as proposals were reviewed within each sector as Missions reported changes in the funds needed for the awards approved. (That process continued into June as new information was received from some Missions.)

In response to the two APSs, which were disseminated both in Washington and in the field, the 27 Missions received a total of 508 Concept Papers from potential applicants; 119 were from USPVOs and 389 were from LNGOs. Following Mission reviews, 113 organizations, including 36 USPVOs and 77 LNGOs, were invited to submit Full Applications. In response to the invitation, 78 Full Applications were received from 30 USPVOs and 43 LNGOs (information on five had not yet been sent to ODP). Of those, 65 applications were accepted from 19 USPVOs and 46 LNGOs; 64 Cooperative Agreements have been awarded (in Madagascar the award was not made due to political complications). The expectation that two-thirds of the available grant funds would go to USPVOs and one-third to LNGOs turned out to be inaccurate. In fact, nearly the reverse occurred. A total of $11,678,380 (38.8%) was awarded to USPVOs and $18,421,620 (61.2%) went to LNGOs. It should also be noted that not all Agreements are for the full three-year period specified in the APSs. Approximately 20% of the grants are for two years, while a number of others are for one year or 18 months.

The process of awarding Cooperative Agreements to the 60 grantees spanned the period from June through the end of the 2009 fiscal year by participating Missions. As stipulated in those

Objective 1
Given that USAID now has 60 new USPVO and LNGO partners with limited or no experience managing direct USAID grants, it is fair to say that the Development Grants Program did achieve the first of its two objectives in year one.

agreements, within six months after award ODP is to convene *Detailed Implementation and Management Plan (DIMP)* workshops for grantees in order to assist them in developing life-of-project work plans and strengthen financial systems in relation to their proposed activities

Mission Guidance also noted that, "as the capacity strengthening needs of new DGP partners become apparent, ODP will work with Missions to identify additional capacity building support and appropriate mechanisms for providing such support.

Objective 2

DIMP workshops are the first step for accomplishing the second objective. Planning has begun for five regional workshops, which are to take place in the last quarter of FY 2009 and the first quarter of FY 2010. While this objective cannot be fully met with a single activity, efforts are well underway to achieving it as year one comes to a close.

V. What Lessons Were Learned Concerning the DGP Process?

A careful and thorough examination of year one experience reveals a number of lessons related to all major facets of the DGP process. As shown below, for purposes of this assessment, they are grouped into four major categories: Timing, Need for Clarity, Eligibility, and Management Issues. Suggestions as to how each lesson might be applied in future DGP programming are also presented.

Lessons	Suggested Applications
Timing	
1. The July 29-Aug. 8 turn-around time for Missions to express interest in participating in the DGP was very tight. Moreover, the invitation was sent during the summer when many USAID staff were on vacation. And, because of the tight timeline, Regional Bureaus did not have an opportunity to ask follow-up questions of Missions and help them refine submissions in line with DGP criteria.	A minimum of two weeks should be allowed for Missions to apply for participation in the DGP. This would provide sufficient time for them to consider this possibility and for Regional Bureaus to consult with Missions.
2. Missions had only three days to provide updates and supplemental information for the APSs and many were not finalized by the time the APSs were posted. The information received was included in the Supplemental document on the DGP website but not in the APSs on Grants.gov.	Missions should have 10 days-two weeks to provide contact information and a description of the types of programs they are interested in funding. OAA should understand the likelihood that one or two updates will need to be made to the call for applications after it is posted.
3. The due date for the presentation of full applications was not clear due to using a rolling solicitation instead of an RFA, which caused confusion among applicants and Missions alike. (APSs stated that the Missions would let applicants know about when to submit applications if selected to go to the next phase.)	Dates for the receipt of Concept Papers (CPs) and Full Applications (FAs) need to be clearly stated in the call for applications. Use of an RFA with specific deadlines, rather than an APS, would reduce this confusion with regard to timing.
4. Missions were unsure as to whether or not they could consider CPs submitted after Nov 5, 2008 and as late as January 29, 2009 when the APSs closed. In fact, many CPs were not submitted until January 2009, which caused administrative complications and delays in the overall process.	An RFA with a single due date for CPs would ensure that all Missions work against the same deadline.
5. A number of Missions failed to review CPs and notify applicants of their decisions in accordance with the timeline specified in the APSs and in the Mission Guidance – i.e., 90 days after issuance of the APS.	To avoid confusion and duplication of effort, ODP needs to ensure that Missions understand that they are required to respond to applicants by the date specified in the call for CPs.

Lessons	Suggested Applications
Applicants that hadn't heard from Missions by the expected time wrote directly to ODP inquiring about the status of their CPs.	
Need for Clarity	
6. Many applicants had questions about which countries were participating and dozens of CPs were submitted for non-participating countries.	The list of participating Missions should be included in the body of the call for applications, rather than in the appendices. It should be clearly stated that submissions for projects in non-participating countries will not be considered. Supplemental information on Missions' areas of interest should also be in the body of the document.
7. One regional mission did not indicate in its Supplemental that it was only interested in projects in certain countries. As a result, applicants did not know for which countries the Mission would entertain applications.	If Regional Missions are included in the future, they should indicate for which countries they are willing to support what types of projects.
8. Some organizations attempted to submit CPs and FAs through Grants.gov, rather than submitting in accordance with the instructions in the APS (e-mail and hard copy).	Include clear instructions in the Grants.gov summary page and in the call for applications that CPs and FAs must be submitted directly to the relevant Mission. to
9. Mission requests for participation in DGP were not always in line with the sectors targeted (e.g., asking for funding for TIP programs or to expand/extend existing projects.)	Guidance to Missions needs to be more explicit in that the DGP is limited in scope to the specific sectors targeted and is only for new projects.
10. Mission requests for funding varied. Some requested all of the funds available for a given sector. Others requested a range of funds instead of a specific amount. Still others requested funding on an annual basis instead of a total for the three-year period.	The application guidance should instruct Missions to submit total dollar amounts for the three-year grant period (not a range of funding or an annual amount). It should also be made clear that the total amounts in each sector are to be shared among all interested Missions and that funding requests should be made with this in mind.
Eligibility	
11. There was confusion about whether the $5 million funding threshold was based on funds awarded to an organization or funds actually spent in the past five years. Organizations were also unclear as to how the five year period should be calculated. An amendment answering all eligibility questions was posted to www.Grants.gov.	Clarify the language to read: "Only organizations that have received $5 million or less in the aggregate from USAID during the past five-year period will be considered eligible for the DGP. The funding period under consideration extends from the date of CP submission back five calendar years. The amount is for any type of assistance from USAID, including grants, contracts, sub-grants, subcontracts, cooperative agreements or other non-monetary support funds. The $5 million applies to the award amount, not the amount of money received, distributed or utilized."
12. Some organizations with offices in the US and affiliates overseas were unclear as to whether they should apply as a local NGO or as a US PVO.	A concise definition of US PVO/Local NGO needs to be provided to help applicants determine into which category they fall.
13. A number of US-based organizations submitted PVO registration applications prior to submission of their CPs, per the instructions. However USAID did not have the capacity to review all of the applications received prior to Nov 5, making some organizations ineligible.	It should be specified that as long as the organization has submitted its registration application prior to submitting its CP it can be considered, pending approval of its registration by USAID.

Lessons	Suggested Applications
14. A number of participants who came to the launch event in Washington were interested in countries or sectors that were not included in the DGP.	Information about the launch event and the call for applications should clearly specify the countries and sectors included in the DGP. A handout at that event should also include this information.
Management Issues	
15. The process of selecting Missions was cumbersome and time-consuming given the large number of submissions and actors involved in the review process at USAID/W (ODP staff, Regional and Technial Bureaus).	The process could be made more efficient by incorporating the following changes: 1. If a similar selection process takes place again, give USAID/W evaluators sufficient time after the deadline for Mission expressions of interest to review applications, dialogue with Missions and complete score sheets. 2. Provide clear instructions to evaluators beforehand on how the review process will work and what is expected of them (i.e., familiarize themselves with Sector Descriptions, review Mission strategies and programs, be prepared to turn in score sheets at end of the meeting). 3. Ensure that the same Technical and Regional evaluators are available to participate in the entire Mission selection process, to ensure consistency in decision-making and preclude the need to repeat the orientation and instructions at each meeting. 4. Schedule Review/Selection meetings by sector with sequential time slots for Regional Bureau evaluators to participate.
16. The dual submission process (electronically to USAID/W and hard copy to Missions) led to inconsistencies with respect to CPs received in Washington and in the field. Both ODP and Mission staff had to spend time reconciling what had been received by each. Some Missions were confused about USAID/W's role in reviewing PVO CPs. One thought USAID/W would review them first.	CP submission instructions should not distinguish between Missions and USAID/W. Organizations should merely be asked to submit CPs electronically to the e-mail address provided and in hard copy to the Mission. Note: Since USAID/W did not review CPs and, with one exception, Missions did not request USAID/W assistance, then in Round Two CPs should be sent only to the Missions in both hard copy and electronically. Missions should be responsible for notifying USAID/W about the CPs received, while ODP and OAA/W should emphasize that they expect the Missions to review proposals, engage with their potential DGP partners and manage the grants, and that ODP will not review CPs unless requested by Missions to do so.
17. CP instructions did not include a requirement to state the amount of funding requested on the cover page. For the benefit of ODP, which must record all submissions, it would save time if the funding amount requested were included on the cover page of each CP.	Even if it is determined that applicants are not required to e-mail CPs to ODP (see previous item), the amount requested should still be included on the cover page, and Missions should be asked to provide that information in their updates to ODP regarding the CPs received.
18. The Grants.gov synopsis did not contain appropriate summary information and failed to provide a sufficient explanation of the program, leading to many questions from the public.	Before posting on Grants.gov, OAA should allow ODP to review the synopsis and verify that it accurately describes the program and its target audience and that it is user friendly.
19. A draft of the APS was posted on Grants.gov for public comment and questions. Quite a few organizations submitted CPs thinking this was an actual APS.	If another draft solicitation is posted for comments, the synopsis page on Grants.gov and the cover page of the document should more explicitly state that this is a draft for comment only and that CPs should not be submitted until the final document is posted.

Lessons	Suggested Applications
20. A number of applicants, particularly LNGOs, struggled downloading the main APS and all its appendices from Grants.gov. Posting many attachments on the web created a barrier to entry for local applicants with limited connectivity.	Materials on Grants.gov need to be streamlined to reduce the number of attachments to be downloaded. Also, Missions should be encouraged to post the call for applications on their own websites.
21. Two Missions reported that their preliminary review of CPs had not produced applicants suitable for proceeding to the FA stage. This led to a problem regarding the appropriate course of action and the need to allocate funds to other Missions if necessary. While there was no contingency plan, the issue was eventually resolved.	Missions had the option of either soliciting additional CPs by re-advertising the DGP through whatever means are appropriate, or releasing the funds back to ODP for allocation to other Missions. Future guidance should spell out the options available and the process for releasing funds back to ODP for reallocation.
22. Mission responses to applicants were varied. Some informed applicants of the strengths and weaknesses of their proposals and the reasons for acceptance/rejection, and some failed to do so. This caused some organizations to contact ODP for clarification or justification of a Mission's rationale.	Guidance to Missions needs to outline what feedback is to go to applicants regarding their proposals. Examples of letters sent to applicants in previous years could be included in Mission guidance.
23. Some Missions requested guidance/suggestions on how best to advertise the DGP to the local NGO audience.	Future Mission guidance could include examples of successful methods used in Round One by some Missions to advertise the program. (ODP has solicited information about effective practices through its survey of Mission personnel.)
24. Despite initial guidance from ODP in September 2008, some Missions remained unclear for months thereafter as to their role in awarding and managing DGP grants. This may be due to staff turnover or to lack of communication within the Mission between the Point of Contact (POC) and the Agreement Officer.	ODP needs to repeat key guidance to Missions at various stages in the process. In addition, if possible, DGP parameters and guidance should be sent separately to Mission AOs and POCs.
25. One Mission expressed concern that outreach to local organizations would be difficult since the APS was written in English and required submissions in English. The Mission in Senegal allowed applicants to submit applications in French.	To encourage more effective outreach and the submission of CPs and FAs in countries where English is not the standard language, guidance should note that Missions have the option of using the local language instead of or in addition to English, provided the review process is done by the Mission itself. Guidance should also state that, if a Mission wishes review assistance from USAID/W, it will be the Mission's responsibility to translate CPs and FAs into English, if necessary.
26. ODP's ability to track the grant-making process and manage the overall program depends in large measure on the timely receipt of information from participating Missions. Experience shows that more specific Mission guidance is needed on the precise timing and type of information that ODP needs from the Missions to ensure continued program continuity.	Of the awards made by Missions in round one, ODP has received only about half of the FAs and none of the Cooperative Agreements issued. Missions need to be made aware that this information is critical for organization of DIMP workshops and for ODP's continuing ability to track and report results. In the future, ODP needs to provide Missions with a timeline and set of procedures for the transmittal of the information required.

To collect opinions and recommendations for Round Two of the program, a survey of participating Missions was just completed. Sixteen (61%) of the 26 Missions responded. Full results are provided in ***Annex 3*** and are summarized here for quick reference. As shown, they provide further support for the foregoing suggestions.

1. 92.3% agree with the issuance of a single RFA rather than two APSs for Round Two.
2. 40% found the DGP to be "very helpful" and 40% found it "moderately helpful" in pursuit of their Missions' objectives.
3. 57.1% report a need for Mission staff training to manage the DGP process. Training for AOTRs/COTRs was suggested for general NGO grant management, particularly with regard to target DGP partners who have little or no prior experience with USAID and in light of frequent staff turnover. Other suggestions included M&E training, helping partners develop work plans, and training for evaluating proposals and TEC participation.
4. For 100% of the Concept Papers reviewed but not invited to submit Full Applications, "conceptually weak proposals" was the major reason followed by "submissions not in line with DGP sectors or Mission priorities" (66.7%) and "organizations failed to meet eligibility requirements" (46.7%).
5. 85.7% believe that the Full Application Selection Criteria and Standards provided by ODP were adequate for scoring the applications received.
6. 57.1% of grantees are committed to cost-sharing, and 21.4% are committed to public-private partnerships (PPPs).
7. 53.3% believe that cost-sharing should be required in Round 2 of the DGP. Amounts recommended range from 5-10% to 50%, with most falling in the 25-30% range.
8. 86.7% believe that DGP grantees will need technical assistance to strengthen their organizational capacity. The type of TA needed was seen by most to include financial management, Monitoring & Evaluation, USAID reporting requirements, personnel policies, institutional development, record keeping and fund-raising. One respondent suggested that ODP should ask for copies of the pre-award surveys to identify common weaknesses.
9. Suggestions for Round Two of the DGP process included:
    - Please don't even contemplate a Round Two without program support costs for salaries for new staff, transportation costs for monitoring, and additional costs for TA in assisting the organizations in strengthening their management.
    - Missions should be asked to provide a likely COTR for DG fund recipients. This individual should be involved in the DG process beginning with CP reviews. This consistent oversight would ensure that the missions are positioned to provide sufficient support to eventual recipients under the DG and fulfill the capacity building objectives of the program.
    - Could ODP add another evaluation criterion, let say "Quality of Proposal Key Personnel" and allocate 5 points to this criterion? This may cause DG to reduce the Technical Approach criterion from 55 to 50 points.
    - Who is going to do the work – pre-award, award, and post-award? Make sure that you at least reach out to them at some point before the solicitation goes out on the street.
    - Maximum guidance to Mission on involving Acquisition and Assistance Office, clearer guidance on what NGOs are to submit (we got many questions on what forms, proof, etc.).

VI. Final Observations

The universe of USPVOs and LNGOs working with USAID was definitely broadened in year one of the Development Grants Program. An additional 60 (65 prior to USAID/Madagascar termination due to DOS Determination) partners working in six key sectors are now engaged with 26 Missions around the world. In addition, as shown in the PMP, baselines have now been established for subsequent rounds of DGP

grants. We know that in round one it took 508 Concept Papers, 113 of which were accepted by Missions, to produce 78 Full Applications, of which 65 were given final approval. When translated into percentages, the process may be expressed as follows:

- 12.7% of the Concept Papers submitted led to Cooperative Agreements with new partners;
- 22% of the 508 Concept Papers received were accepted by Missions;
- 69% of the 113 organizations invited to present Full Applications did so;
- 82% of the 78 Full Applications received were given final approval and resulted in Cooperative Agreements with new partners.

Through application of the changes suggested above in response to the lessons resulting from round one, the process can be made more efficient in round two. It will be particularly important to create ways to increase the percentage of CPs that are found by Missions to be acceptable, thus reducing the unfruitful expenditure of effort by potential grantees and the time spent in unproductive reviews by USAID personnel. It will also be important to increase the percentage of organizations that submit FAs in response to Mission invitations. By clarifying timelines and the parameters set for the various phases of the process, and by ensuring that all parties have a clear understanding of their respective responsibilities, greater efficiencies will surely be achieved.

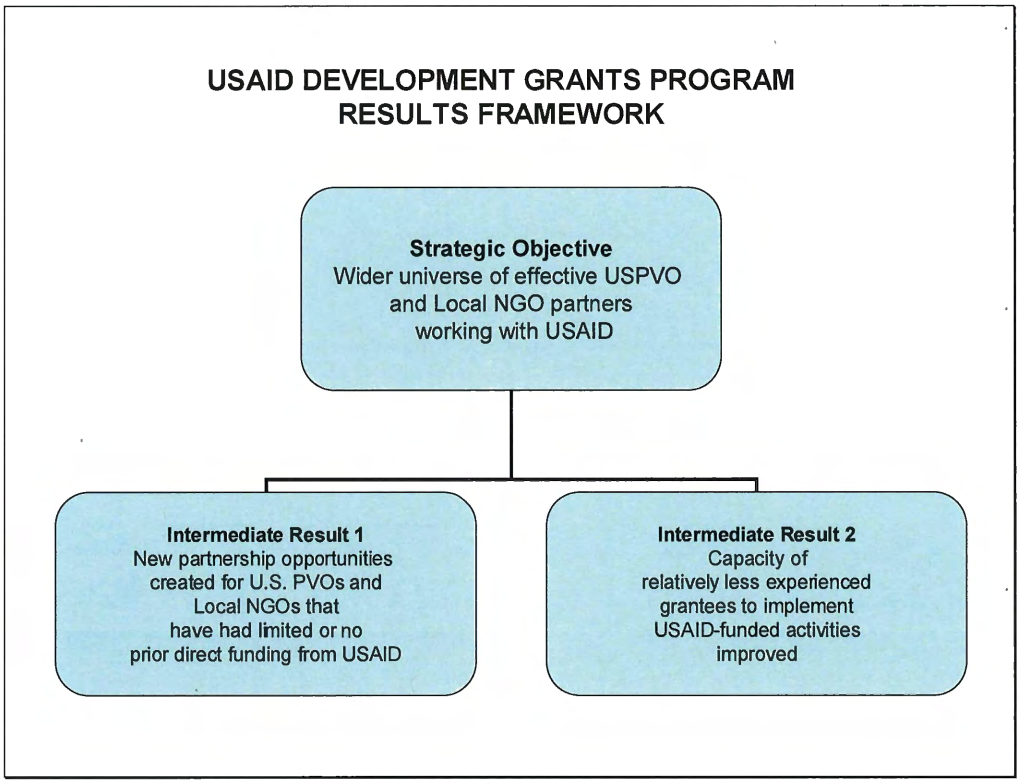
As reflected in Mission survey responses, there is an inverse relationship between the level of experience with USAID grants by DGP recipients and the degree of work required of Mission staff to manage the program. Given that DGP targets organizations "that have no or limited experience managing direct USAID grants," the capacity of Missions to manage the process and oversee grantee performance will be a significant factor for the achievement of longer term success. As one survey respondent put it: "Many of these groups have never managed USAID funds before. There will be a tremendous amount of work to help these organizations succeed."

In addition to the recruitment of a new cadre of DGP grantees, round two activities will also see the initiation of the capacity-building component of the program, which is linked to IR 2. This will begin with five regional *Detailed Implementation and Management Plan (DIMP)* workshops to take place in the last quarter of 2009 and early in FY 2010.

In the longer term, it will be important to continue to collect and document the lessons that flow from the DGP process and to verify the degree to which these new grantees prove to be effective USAID partners, as well as the degree to which prospects have improved for their organizational and programmatic sustainability.

ANNEX 1

PERFORMANCE MANAGEMENT PLAN


USAID DEVELOPMENT GRANTS PROGRAM
RESULTS FRAMEWORK
Strategic Objective
Wider universe of effective USPVO and Local NGO partners working with USAID
Intermediate Result 1
New partnership opportunities created for U.S. PVOs and Local NGOs that have had limited or no prior direct funding from USAID
Intermediate Result 2
Capacity of relatively less experienced grantees to implement USAID-funded activities improved

USAID DEVELOPMENT GRANTS PROGRAM
PERFORMANCE MANAGEMENT PLAN

Indicator	Indicator Definition and Unit of Measurement	Method/Approach for Data Collection or Calculation	Baseline & Target(s)	Data Acquisition by ODP/PVC	
				Schedule/ Frequency	By Whom
Strategic Objective: Wider universe of effective USPVO and Local NGO partners working with USAID					
Number of new DGP partners working with USAID	Number of new USPVO and LNGO partners that receive DGP grants	Review of ODP records	Baseline = 65 Target = 40	Every two years	ODP
Intermediate Result 1: New partnership opportunities created for U.S. PVOs and Local NGOs (LNGOs) that have had limited or no prior direct funding from USAID					
1.1 Number of country and sector-relevant Concept Papers received	Number of country and sector-relevant Concept Papers received, disaggregated by USPVOs and LNGOs	Analysis of ODP records	Baseline = 508 Concept Papers received; 119 from USPVOs and 389 from LNGOs Target = 400	Annually	ODP
1.2. Number of organizations submitting Concept Papers invited to submit Full Applications	Number of organizations submitting Concept Papers that are invited to submit Full Applications, disaggregated by USPVOs and LNGOs	Analysis of ODP records	Baseline = 113 organizations – 36 PVOs and 77 LNGOs Target = 90	Annually	ODP
1.3. Number of Full Applications received	Number of Full Applications received, disaggregated by USPVOs and LNGOs	Analysis of ODP records	Baseline = 78 Full Applications received, 30 from PVOs and 43 from LNGOs (5 = unknown) Target = 65	Annually	ODP
1.4. Number of Cooperative Agreements awarded	Number of Cooperative Agreements awarded, disaggregated by a) USPVOs and LNGOs, and b) number of first-time recipients of USAID assistance	Analysis of the OYB transfers issued by ODP to Missions for Cooperative Agreements to be awarded for DGP activities	Baseline = 65 Cooperative Agreements to 19 USPVOs and 46 LNGOs; First-time grantees = 37 Target = 40	Annually	ODP

Indicator	Indicator Definition and Unit of Measurement	Method/Approach for Data Collection or Calculation	Baseline & Target(s)	Data Acquisition by ODP/PVC	
				Schedule/ Frequency	By Whom
1.5. Amount of private resources directed to development assistance leveraged through the DGP	Amount (in US$) of cost-sharing and Public-Private Partnerships (PPPs) established by DGP grantees, disaggregated by USPVOs and LNGOs	Analysis of cost-sharing and PPP information received by ODP from Missions, disaggregated by USPVOs and LNGOs	Baseline = to be determined after grants are fully awarded Target = TBD	Annually	ODP
Intermediate Result 2: Improved capacity of relatively less experienced grantees to implement USAID-funded activities					
2.1 % of DGP grantees using USAID assistance to improve internal organizational and/or technical capacity	% of DGP recipients that request and use TA from USAID to improve internal organizational and/or technical capacity, disaggregated by USPVOs and LNGOs	Review of ODP records and Mission reports	Baseline = 0 Target = 20% of USPVO and LNGO grantees that use TA from USAID each year	Annually	ODP
2.2 Number of DGP recipients that adopt organizational and/or technical changes that improve performance	Number of DGP recipients that operationalized TA from USAID and increased their organizational and/or technical capacity, disaggregated by USPVOs and LNGOs	Review of reports from Missions and ODP personnel on DGP recipients that received TA from USAID	Baseline = 0 Target = 10% of USPVO and LNGO grantees that used TA from USAID and improved performance each year	Annually	ODP
2.3 Number of DGP grantees that have achieved program objectives	Number of DGP recipients that have achieved grant objectives, disaggregated by USPVOs and LNGOs	Review of post-evaluation rankings by COTRs on the effective performance of program objectives, disaggregated by USPVOs and LNGOs	Baseline = 0 Target = 15% have achieved program objectives by the completion of their grants	Every two years	ODP

ANNEX 2

DGP PARTICIPATING MISSIONS – FINAL ALLOCATIONS-MAY 2009

DGP Participating Missions

Final Allocations-May 2009

Africa 15 missions; $21,562,384											
Dairy	Actual Funding	**Environment**	Actual Funding	**Women's Empowerment**	Actual Funding	**DG/Civil Society**	Actual Funding	**Microenterprise**	Actual Funding	**Water**	Actual Funding
Rwanda	$ 600,000	**Madagascar (+50k)** *To be reprogrammed*	**$ 450,000**	Rwanda (-$500k)	$ 500,000	Zimbabwe	$ 800,000	**Zambia (+1mm)**	$ 2,000,000	Senegal	$ 2,500,000
Malawi	$ 350,000	Mali	$ 400,000	Senegal	$ 600,000	Senegal	$ 250,000	Malawi	$ 400,000	Ethiopia	$ 2,000,000
Ethiopia(-250k)	$ -			Ethiopia	$ 1,000,000			**Nigeria (+100k)**	$ 800,000	Angola	$ 500,000
				Angola (+$40K)	$ 540,000			**Angola (+$200k)**	$ 500,000	Uganda	$ 1,000,000
				DRC (-$500k)	$ -			DRC (-$341,620)	$ 658,380	Mozambique	$ 500,000
				Zambia (+$490k)	$ 1,190,000			**Sierra Leone (+43k)**	$ 443,000	Zambia	$ 1,500,000
				Malawi	$ 800,000			**Madagascar (+81,004)**	$ 781,004		
				Tanzania	$ 500,000						
3	**$ 950,000**	**2**	**$ 850,000**	**8**	**$ 5,130,000**	**2**	**$ 1,050,000**	**7**	**$ 5,582,384**	**6**	**$ 8,000,000**
Asia 3 Missions; $1,800,000											
Dairy	Actual Funding	**Environment**	Actual Funding	**Women's Empowerment**	Actual Funding	**DG/Civil Society**	Actual Funding	**Microenterprise**	Actual Funding		
Timor Leste (+$250k)	$ 550,000	India ($-250k)	450,000			Kazakhstan (CAR)	300,000	Timor Leste(-$300k)	$ 500,000		
1	**$ 550,000**	**1**	**$ 450,000**	**0**		**1**	**$ 300,000**	**1**	**$ 500,000**		
Europe and Eurasia 5 Missions: $4,217,616											
Dairy	Actual Funding	**Environment**	Actual Funding	**Women's Empowerment**	Actual Funding	**DG/Civil Society**	Actual Funding	**Microenterprise**	Actual Funding		
Azerbaijan	$	Georgia	$	Georgia	$	Macedonia	$	**Georgia**	$		

	500,000		800,000		700,000		350,000	**(+217,616 k)**	917,616		
				Russia (+$215k)	**$ 715,000**						
				Moldova (-$265k)	$ 235,000						
1	**$ 500,000**	**1**	**$ 800,000**	**3**	**$ 1,650,000**	**1**	**$ 350,000**	**1**	**$ 917,616**		
Latin America and Caribbean- 4 Missions; $2,520,000											
Dairy	Actual Funding	**Environment**	Actual Funding	**Women's Empowerment**	Actual Funding	**DG/Civil Society**	Actual Funding	**Microenterprise**	Actual Funding		
		Haiti (-$300k)	$ -	**Haiti (+280k)**	$ 780,000	Haiti	$ 300,000	Haiti (-$1mm)	$ -		
		Peru (+500k)	$ 900,000	**Ecuador (+$240k)**	$ 340,000						
		Dominican Republic	$ 200,000								
0		**3**	**$ 1,100,000**	**2**	**$ 1,120,000**	**1**	**$ 300,000**	**1**	**$ -**		
	$ 2,000,000		$ 3,200,000		$ 7,900,000		$ 2,000,000		$ 7,000,000		$ 8,000,000
	$ 2,000,000		$ 3,200,000		$ 7,900,000		$ 2,000,000		$ 7,000,000		$ 8,000,000

ANNEX 3

SURVEY OF DGP MISSIONS

SURVEY OF DGP MISSIONS

Please Complete the following:

Answer Options	Response Percent	Response Count
Name:	100.0%	14
Mission:	100.0%	14
Position:	100.0%	14
	answered question	**14**
	skipped question	**2**

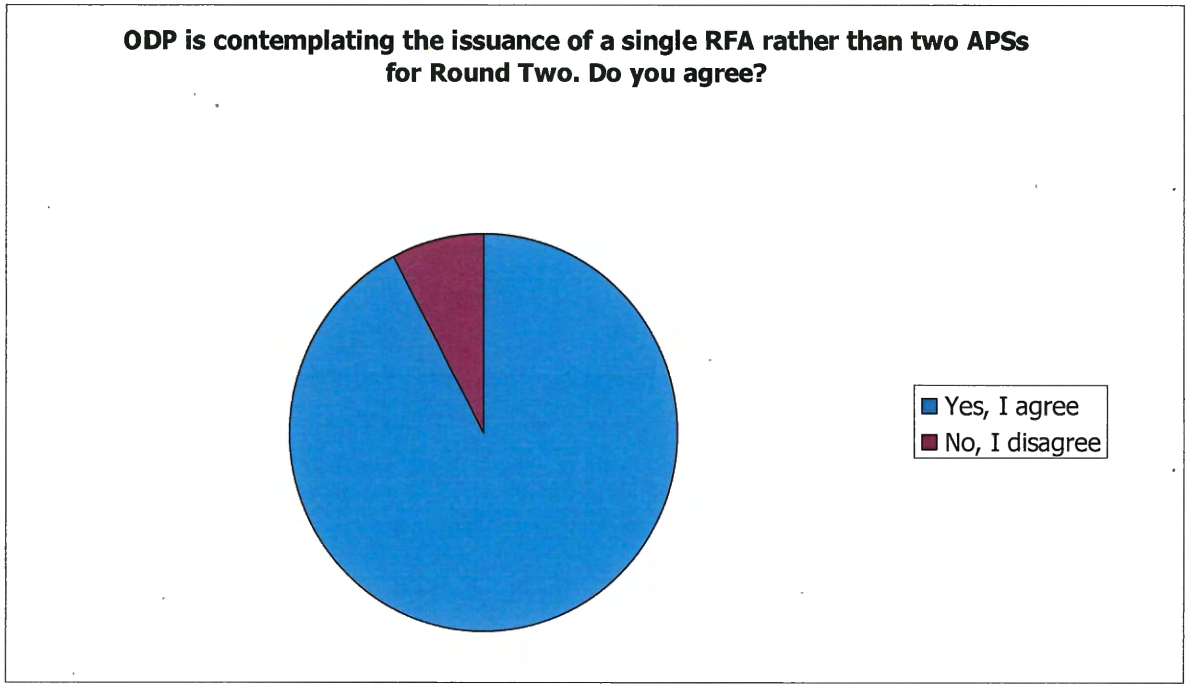
Response Date	Name:	Mission:	Position:
Jun 12, 2009 5:42 AM	Brian Conklin	UGANDA	GDO - Economic Growth
Jun 12, 2009 8:08 AM	Jenny Neville	Angola	Program Office Consultant
Jun 12, 2009 8:35 AM	Christopher Frost	USAID/ Southern Africa	Agreements Officer
Jun 12, 2009 8:41 AM	Babacar Thioune	USAID/Guinea/Conakry	Sr. A&A Specialist
Jun 12, 2009 2:44 PM	Doreen Robinson	Madagascar	Team Leader, Environment, Rural Development & Food Security
Jun 15, 2009 9:45 AM	Brandy Witthoft	Senegal	Program Officer.
Jun 16, 2009 7:20 AM	Kevin Smith	Ethiopia	Supervisory Program Officer
Jun 17, 2009 2:17 PM	Matthew Sumpter	Tanzania	Program Officer
Jun 17, 2009 4:39 PM	Isabel Santillan	Ecuador	Small grants coordinator
Jun 18, 2009 5:06 PM	Jeffery Cohen	USAID/DR	Program Officer
Jun 19, 2009 6:08 PM	Hubert Sylney	Haiti	Program Specialist/Mission Design and Planning Officer
Jun 22, 2009 6:27 AM	GULSHAN BHATLA	USAID/India	DEVELOPMENT PROGRAM SPECIALIST
Jun 22, 2009 2:55 PM	Victoria Gellis	Rwanda	Deputy Program Officer

Question 1

As recommended by those surveyed in Washington, to better ensure one cohort of new grantees for workshops and capacity building, to reduce confusion caused by the APS deadlines, to reduce the time required for the DGP process, and to increase overall efficiency, ODP is contemplating the issuance of a single RFA rather than two APSs for Round Two. Please let us know if you agree:

Answer Options	Response Percent	Response Count
Yes, I agree	92.3%	12
No, I disagree	7.7%	1
Comments:		5
	answered question	**13**
	skipped question	**2**

Number	Response Date	Comments:
1	Jun 12, 2009 5:42 AM	It does not matter. Grantees were able to navigate the process adequately.
2	Jun 12, 2009 8:41 AM	It would be time saving, as only one submission date will be mentioned.
3	Jun 17, 2009 4:39 PM	It will reduce unnecessary expectations from organizations that are very weak and are unable to follow guidances and submit full proposals. It will also reduce time required for the complete awarding process.
4	Jun 19, 2009 6:08 PM	We think it would be a good idea to have one APS instead of two. When reviewing the concept papers and the full applications it took us some time to make sure that we were using the appropriate APS for a given applicant that could be a US PVO or a local NGO.
5	Jun 22, 2009 2:55 PM	I would agree, if the actual application due was fairly simple or if there was technical assistance available for organizations. Otherwise, although time consuming, the two-stage process is necessary to weed about technically weak ideas. A clearer, fixed deadline for stage one would make the two-stage process smoother as we felt obliged by the reading of the APS to accept concept papers through the January deadline and that delayed us significantly.

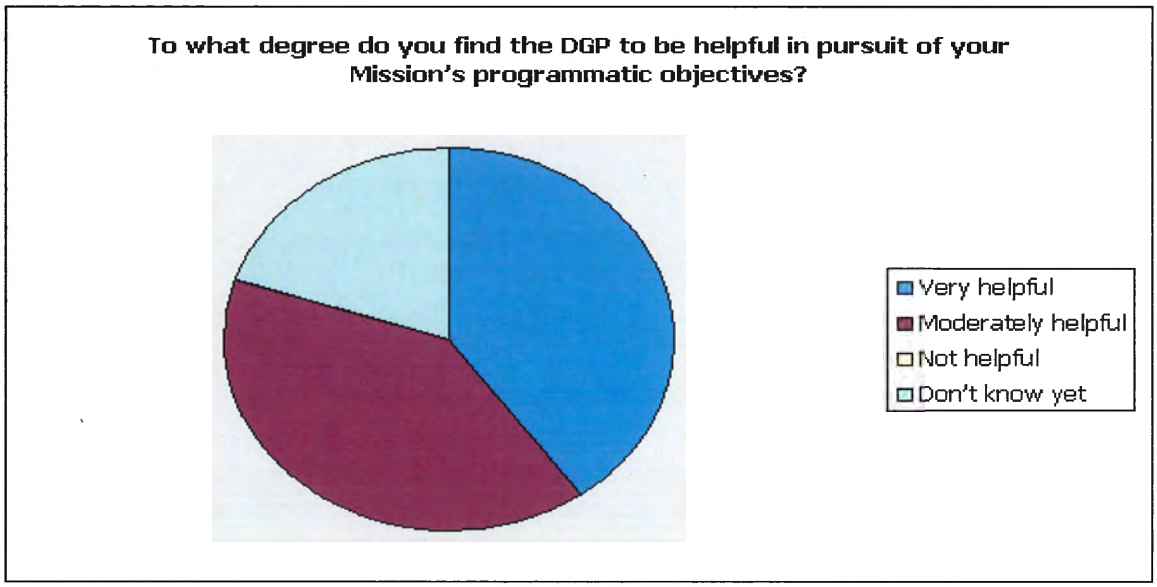


Question 2

To what degree do you find the DGP to be helpful in pursuit of your Mission's programmatic objectives?

Answer Options	Response Percent	Response Count
Very helpful	40.0%	6
Moderately helpful	40.0%	6
Not helpful	0.0%	0
Don't know yet	20.0%	3
Comments		11
	answered question	**15**
	skipped question	**0**

Number	Response Date	Comments
1	Jun 12, 2009 5:42 AM	There is an extra management burden of awarding and managing smaller projects - at the same time, it has allowed us to get invovled with some local organizations and do proof of concept on some innovative ideas and approaches.
2	Jun 12, 2009 8:35 AM	These programs are at best an auxiliary to the Mission's programs. It does create possibilities to develop new partners particularly indigenous ones; however given limited Mission management resources (qualified AOTRs), USAID will likely only engage them as sub-grantees under larger programs.
3	Jun 12, 2009 8:41 AM	It gives a chance to award agreements and develop the capacity building of those NGOs/PVOs, who either have received funding from AID or have received just small fundings.
4	Jun 15, 2009 9:45 AM	It takes a great deal of Mission personnel time to award and manage these small grants.
5	Jun 16, 2009 7:20 AM	We are a very large Mission and can easily make the case for DGP activities to augment the sectors we are working in.
6	Jun 17, 2009 2:17 PM	The capacity development focus may help the Mission learn ways to pursue its overarching goal of building the capacity of local, non-state actors.
7	Jun 17, 2009 4:39 PM	As our Missions are facing severe budget deductions, the possibility of these additional funds really complement our country objectives.
8	Jun 19, 2009 9:56 AM	DGP is helpful in achieving the economic development and poverty reduction objectives of the Mission. In the aftermath of the August War and economic crisis, the vulnerability of the rural and IDP communities deepened. The DGP allows developing their capacities towards improved productiveness and better treatment by the society, which should help to undermine the effects of the political and economic crisis.
9	Jun 19, 2009 6:08 PM	The DGP is helpful to our Mission's programmatic objectives in that it will support activities that are in alignment with our country strategy.
10	Jun 22, 2009 2:55 PM	It appears that both of our grants will be very helpeful and dovetail nicely with strategy and ongoing activities but as they have not started yet, it is not completely certain.
11	Jun 23, 2009 2:57 AM	The current DGP does help in persuitin Mission objectives in our case the Economic Growth. Our DGP projects implemented by local NGO focusing on specific target population and working in rural area which also align with the host Government's development priorities.



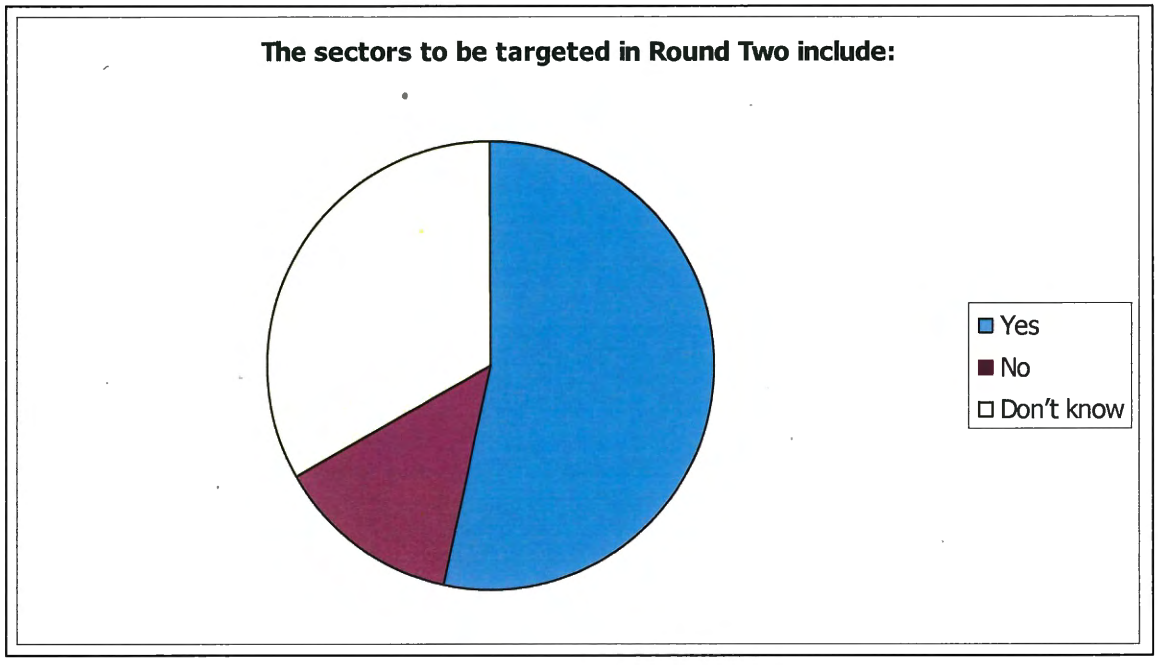
Question 3

The sectors to be targeted in Round Two include: Water and Sanitation, Agriculture/Dairy; Microfinance; and Environment/Adaptation to Climate Change. Assuming interest in one of these sectors, and based on experience to date, is it likely that your Mission will again apply for participation in the DGP?

Answer Options	Response Percent	Response Count
Yes	53.3%	8
No	13.3%	2
Don't know	33.3%	5
Comments:		8
	answered question	**15**
	skipped question	**0**

Number	Response Date	Comments:
1	Jun 12, 2009 5:42 AM	It is totally unrealistic to take on a burden of this magnitude with no additional support to manage it. Had the Mission known, I don't know that we would have pursued the funding for the grants we currently have. Someone needs to take a hard and honest look at this program and draw the line between small grants to new partners and the amount of time and effort requried to manage these grants. At a minimum we would require additional funding for staff ($300,000 for every $1 million).
2	Jun 12, 2009 8:35 AM	As an Agreements Officer, I do not participate in the identification of Mission programmatic areas.
3	Jun 12, 2009 8:41 AM	We particularly need to develop above mentioned sectors, in our poor sub-region.
4	Jun 16, 2009 7:20 AM	Definitely!
5	Jun 17, 2009 2:17 PM	Depends on internal capacity. Our current DGP award will require a lot of work for a small program, which is not ideal. If we have the capacity or if the award is noticeably larger, then we may apply again.
6	Jun 19, 2009 9:56 AM	I think, Water and Sanitation, and Agriculture/Dairy are the two crucial areas to further support the most rural communities of Georgia. Media reports, Government Assessments, environmental reports almost daily show local landslides, floods, and other natural phenomenon, most of which happen due to the lack of river shed management. Many pastures and planted fields are increasingly taken away by floods every year; diseases (like Malaria) became authentic for some Kakheti villages because the river banks are not properly developed, creating a large flooded area, a reservoir for Malaria. The poor municipalities in these regions have to rely on the central government programs for water-shed arrangement; the latter is investing in roads and infrastructure, leaving little resources for these needs. Many communities in rural Georgia have unused potential for the productive agriculture, but because of the lack of knowledge and skills, they work with old technologies, seeds, and methodologies that only allow for subsistence activities.
7	Jun 22, 2009 2:55 PM	It is not likely we will apply again for DGP participation for a few reasons. First, the two new grants from Year 1 will require a high degree of management and staff resources are limited--I am not sure we can absorb other such awards in the coming year. Two, the fields mentioned above were fairly well-funded in our FY09 budget so we have fewer gaps in the coming year. That said, we would consider it again when the time comes to apply for participation, looking at our staffing and current project portfolio.
8	Jun 23, 2009	The mission is very interesting to continue participated in the next round. The

2:57 AM	DGP sectors, specially Agriculture/Dairy and Microfinance will support mission's objective of Economic Growth and Water and Sanitation will be directly support mission's objective of Improve Timorese Health.

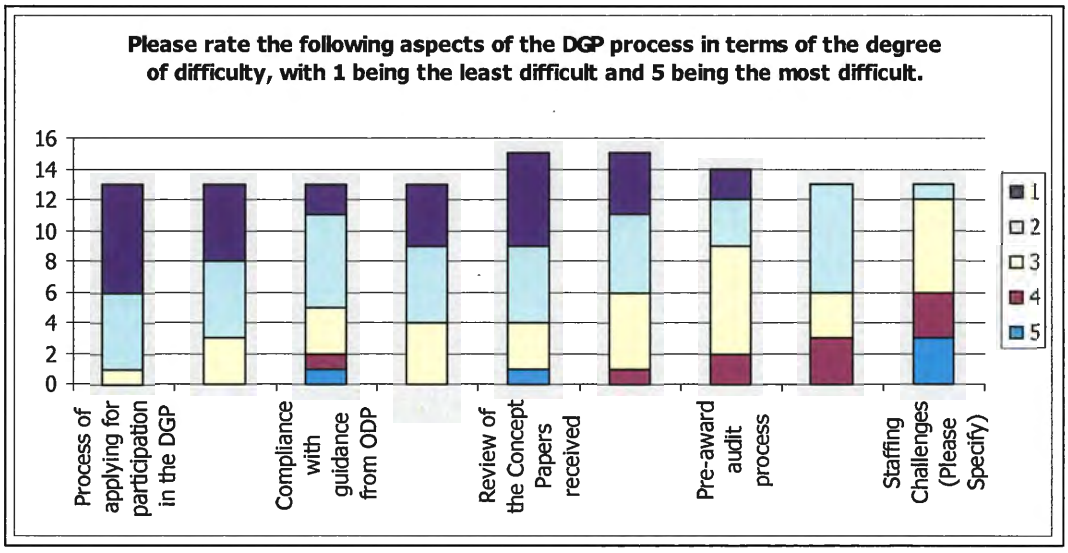


Question 4

Answer Options	**1**	**2**
Process of applying for participation in the DGP	7	5
Preparation of the Mission Supplement	5	5
Compliance with guidance from ODP	2	6
Outreach to civil society to elicit applications	4	5
Review of the Concept Papers received	6	5
Review of the Full Applications received	4	5
Pre-award audit process	2	3
Award of Cooperative Agreements	0	7
Staffing Challenges (Please Specify)	0	1

Number	**Response Date**	**Comments**
1	**Jun 12, 2009 5:42 AM**	Selecting, awarding and managing a small grant ($100,000 over 3 years) takes as much work as a grant for $5 million. In fact, since these groups are new to USAID, the management burden is actually more. We are in the process of awarding three grants and the management burden is tremendous. Without the (orginally) promised program support dollars to hire a senior FSN to manage this initiative, as well as funds to pay for other program support costs (travel, TA to organizations to address management weaknesses, etc) this program is unsustainable and a burden most Missions cannot afford.
2	**Jun 12, 2009 8:08 AM**	Staff Challenges has been the most difficult aspect of the DGP for the Angola mission. In an environment in which each person is already performing the maximum possible number of functions, it has been difficult to leverage additional resources to provide adequate support to this program. The USAID mission has resolved this with a short term consultant position but it is not guaranteed that this will be possible in years to come.
3	**Jun 12, 2009 8:35 AM**	USAID/ Malawi has critical staff shortages. We also experienced delays in getting funding sent to the field for award. Finally, it was determined in

		Washington that the field would manage the award process. However, nobody sought field input from Agreements Officers. It is recommended that a TEC review template be developed for concept papers and applications.
4	**Jun 12, 2009 8:41 AM**	Most of the time, once applicants are informed that their concept papers are selected, they just submit a full application, without following the guidance in the RFP
5	**Jun 16, 2009 7:20 AM**	The greatest challenges are having the applicants understand the process, and the importance of our Acquisition and Assistance Office being involved from the beginning (as they issue the awards, only they may communicate to applicants once submissions are received - our office was not aware of this, the necessity to treat DGP applicants like every other applicant).
6	**Jun 17, 2009 2:17 PM**	Small budget requiring a lot of attention. This is difficult when a mission lacks internal capacity.
7	**Jun 17, 2009 4:39 PM**	The oversight and monitoring of the three awards with local NGOs have been added to the job responsibilities of one person. Hopefully, it will not represent a significant workload for that person that has other additional job responsibilities..
8	**Jun 19, 2009 9:56 AM**	large number of concepts. This could be handled in a way that two-three committees were created to reduce the workload.
9	**Jun 19, 2009 6:08 PM**	USAID/Haiti will have two new management units by using these ODP funds: one for the Civil Society sector and the other one for the Women's Empowerment sector.
10	**Jun 22, 2009 6:27 AM**	Because of recent budget cuts, USAID/India staff has been cut. To manage DGP grants, we need additional program support funds, which are not provided to the mission as part of the DGP funds.
11	**Jun 22, 2009 2:55 PM**	We encountered staffing difficulties with leave and training schedules that made it difficult for the TEC to meet in a timely manner. We also had a problem that some small local organizations did not follow instructions to submit and their applications were misdirected by the mailroom to the self-help coordinator's office, and not to the DGP point of contact or A&A office.
12	**Jun 23, 2009 2:57 AM**	Since our OFM seats at regional, usualy it takes time to do pre-awards survey, also staff limitation is an issue. At the mission level since DGP project will be working with unexperience organization staff time is highly consume to manage the project. So we recomend to include staff support cost in the next round.

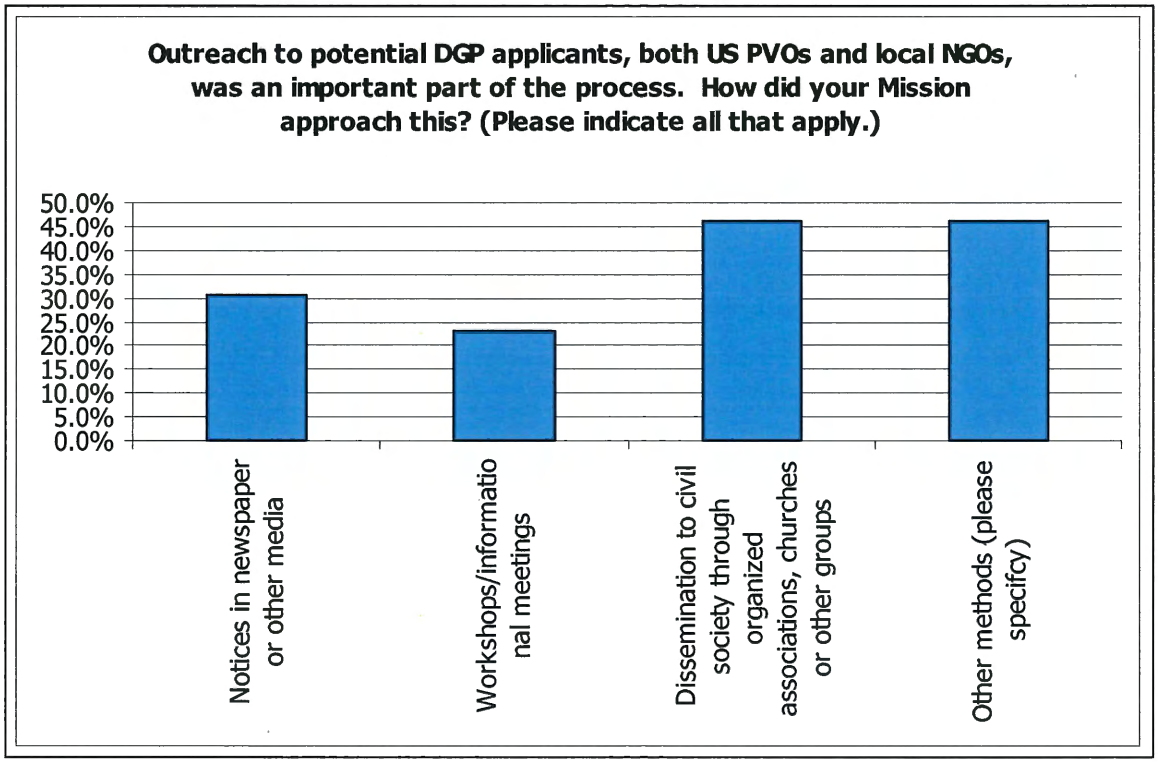


Question 5

Outreach to potential DGP applicants, both US PVOs and local NGOs, was an important part of the process. How did your Mission approach this? (Please indicate all that apply.)

Answer Options	Response Percent	Response Count
Notices in newspaper or other media	30.8%	4
Workshops/informational meetings	23.1%	3
Dissemination to civil society through organized associations, churches or other groups	46.2%	6
Other methods (please specifcy)	46.2%	6
	answered question	**13**
	skipped question	**2**

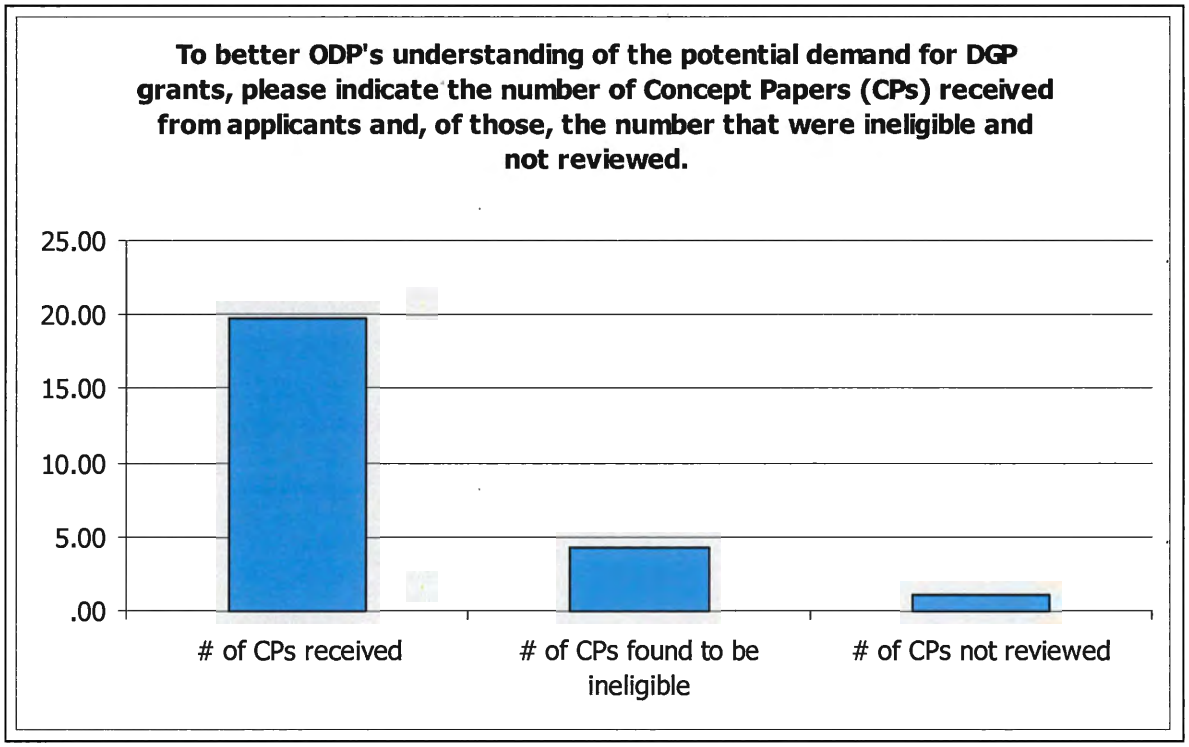
Number	Response Date	Other methods (please specifcy)
1	Jun 12, 2009 5:42 AM	No actual outreach - and yet we had 23 applications - many from local organizations.
2	Jun 16, 2009 7:20 AM	Informed staff to inform their partners, as we have very many local NGOs.
3	Jun 17, 2009 4:39 PM	We sent a circular letter with the DGP details to local NGOs working in areas related with our specific requirements.
4	Jun 18, 2009 5:06 PM	None, the mission does not realy have time to focus attention on small cooperative agreements. This first one was our test case and matches with some of our program goals; however, we are too busy to get invovled a second time.
5	Jun 22, 2009 6:27 AM	We notified them through emails.
6	Jun 22, 2009 2:55 PM	Email distribution to contacts, including organizations with whom we had met over prior months.



Question 6

Answer Options	Response Average	Response Total
# of CPs received	19.75	237
# of CPs found to be ineligible	4.33	52
# of CPs not reviewed	1.17	14
		answered question
		skipped question

Number	Response Date	# of CPs received	# of CPs found to be ineligible
1	Jun 12, 2009 5:42 AM	23	0
2	Jun 12, 2009 8:08 AM	12	1
3	Jun 12, 2009 8:41 AM	2	1
4	Jun 15, 2009 9:45 AM	81	7
5	Jun 16, 2009 7:20 AM	16	1
6	Jun 17, 2009 2:17 PM	8	8
7	Jun 17, 2009 4:39 PM	8	5
8	Jun 18, 2009 5:06 PM	8	1
9	Jun 19, 2009 6:08 PM	21	17
10	Jun 22, 2009 6:27 AM	20	5
11	Jun 22, 2009 2:55 PM	31	1
12	Jun 23, 2009 2:57 AM	7	5

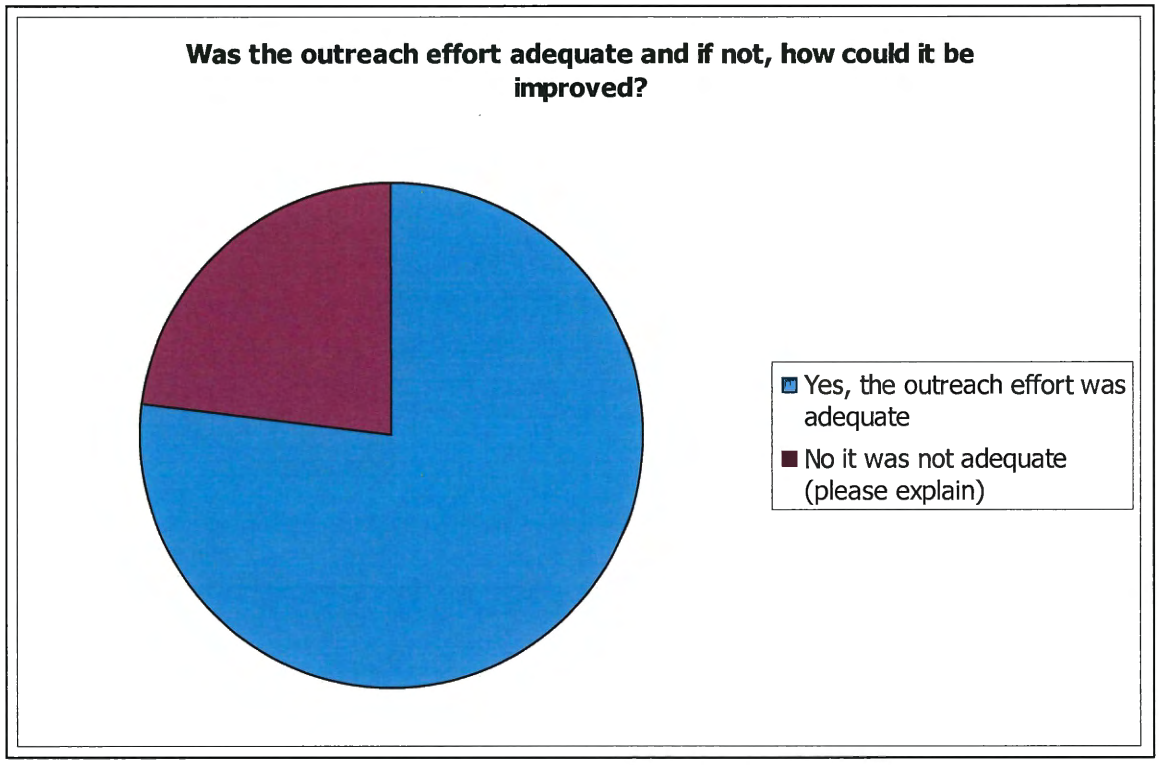


Question 7

Was the outreach effort adequate and if not, how could it be improved?

Answer Options	Response Percent	Response Count
Yes, the outreach effort was adequate	76.9%	10
No it was not adequate (please explain)	23.1%	3
	answered question	**13**
	skipped question	**2**

Number	Response Date	No it was not adequate (please explain)
1	Jun 16, 2009 7:20 AM	It would have been useful to receive guidance from ODP on how to inform potential applicants.
2	Jun 17, 2009 2:17 PM	Ideally we would have reached out to local NGOs more. In fact, if we were awarded funds through the DGP again, we would focus on reaching out to local NGOs. Working with and building the capacity of local non-state actors is a priority of the relatively new MD.
3	Jun 18, 2009 5:06 PM	As we did not do any outreach, but still got a strong porposal, I would say it was adecuate enough.



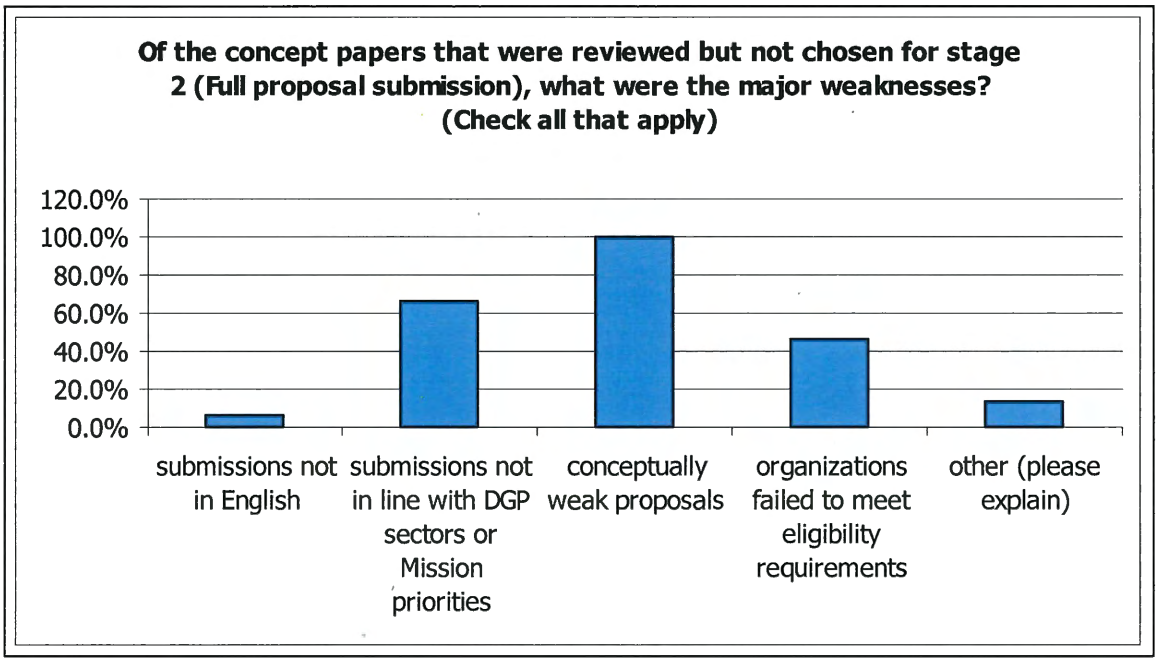
Question 8

Of the concept papers that were reviewed but not chosen for stage 2 (Full proposal submission), what were the major weaknesses? (Check all that apply)

Answer Options	Response Percent	Response Count
submissions not in English	6.7%	1
submissions not in line with	66.7%	10

DGP sectors or Mission priorities		
conceptually weak proposals	100.0%	15
organizations failed to meet eligibility requirements	46.7%	7
other (please explain)	13.3%	2
Comments:		4
	answered question	**15**
	skipped question	**0**

Number	Response Date	Comments:
1	Jun 12, 2009 5:42 AM	Most of the concept papers submitted by US PVOs were broad and vague with no demonstrated understanding of Uganda or the particular sector. A fair number were completely unresponsive to the APS (ie a literacy project for a water grant, or a university professor who wanted to market a water filter but never actually asked for funding to do anything). Very few of the concept papers identified specific communities with specific projects.
2	Jun 12, 2009 2:44 PM	Poorly written and organized-lack of writing skills
3	Jun 22, 2009 2:55 PM	Submissions were in English but poorly written English and difficult to interpret.
4	Jun 23, 2009 2:57 AM	One proposal was in the enviromente which our mission did not get environment funds. Some proposal just conceptually weak and others were failed during the pre-award survey.



Question 9

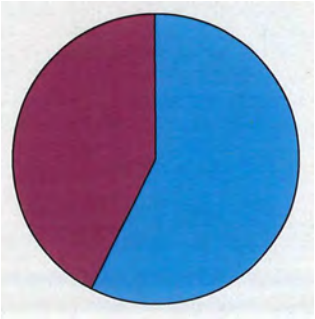
If there were major issues with concept papers in the question above, do you believe DGP should take steps to address them in future rounds and if so, what steps should be taken?

Answer Options	Response Percent	Response Count
Yes (please explain)	57.1%	8
No	42.9%	6
Comments:		10

answered question	**14**
skipped question	**1**

Number	Response Date	Comments:
1	Jun 12, 2009 5:42 AM	Applicants need to demonstrate that they understand the context and communities in which they are proposing to work - at a minimum they need to identify the commuity in which they are going to work. To say that they are going to do water projects in Uganda (somewhere) is simply not adequate.
2	Jun 12, 2009 8:35 AM	If it is a requirement that an organization be registered with USAID, then that process should be streamlined - 48 hours and not two weeks. Sample budgets forms could be provided with explanatory notes explaining what information should be provided for each line item. Sample budgets forms could be provided with explanatory notes explaining what information should be provided for
3	Jun 12, 2009 8:41 AM	That will help potential apllicants know their weaknesses and hen, improve them for eligibility
4	Jun 16, 2009 7:20 AM	The fact is, some NGOs are not very good at writing proposals, especially local ones. The Mission doesn't, nor should ODP, school these NGOs on how to submit good ideas. There are many NGOs that start with good intentions but simply do not have the capacity to do what they hope to do.
5	Jun 18, 2009 5:06 PM	Most of the applicants had never seen the mission specific state as to what we were looking for. You had to wade through the internet to find it or, in the case of the only project we funded, contact the mission directly. These mission specific criteria would save all applicants a lot of time and effort if they were to know them right away in the APS.
6	Jun 19, 2009 9:56 AM	This is outside of our control.
7	Jun 19, 2009 6:08 PM	DDGP provided a link to verify US PVO registry. We hope DGP could provide another link where Missions can access information to verify whether a given US PVO applicant has exceeded or not the $5 million threshold criterion. That way Missions can go faster in determining which PVOs have met or not this eligibility criterion.
8	Jun 22, 2009 6:27 AM	Having the host government approval to accept USAID funds was a major concern. We are encouraging applicants to have such approvals at the time they submit concept/full application.
9	Jun 22, 2009 2:55 PM	Language issues would be outside the purview of the DGP, but organizations could use TA in elaborating their concept and associated activities.
10	Jun 23, 2009 2:57 AM	APS should include minimum criteria for Pre-award survey so potential partner can comply.

If there were major issues with concept papers in the question above, do you believe DGP should take steps to address them in future rounds and if so, what steps should be taken?

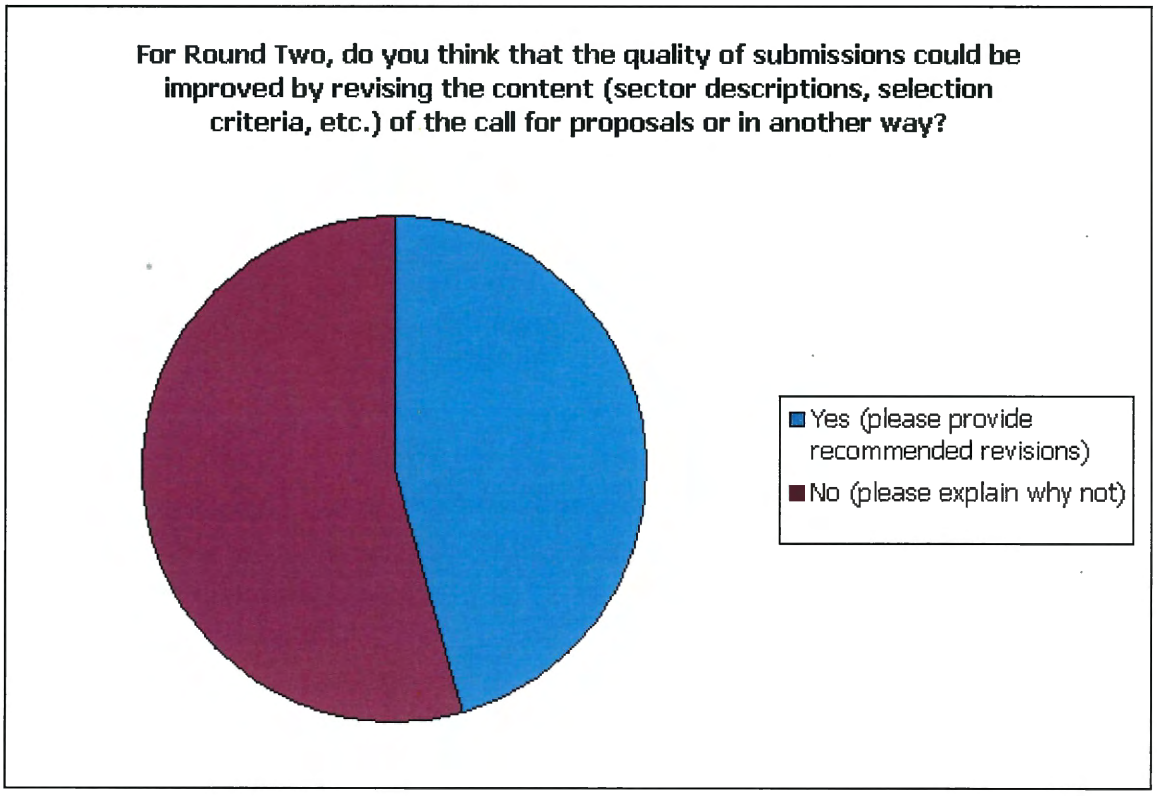


Question 10

For Round Two, do you think that the quality of submissions could be improved by revising the content (sector descriptions, selection criteria, etc.) of the call for proposals or in another way?

Answer Options	Response Percent	Response Count
Yes (please provide recommended revisions)	45.5%	5
No (please explain why not)	54.5%	6
	answered question	**11**
	skipped question	**4**

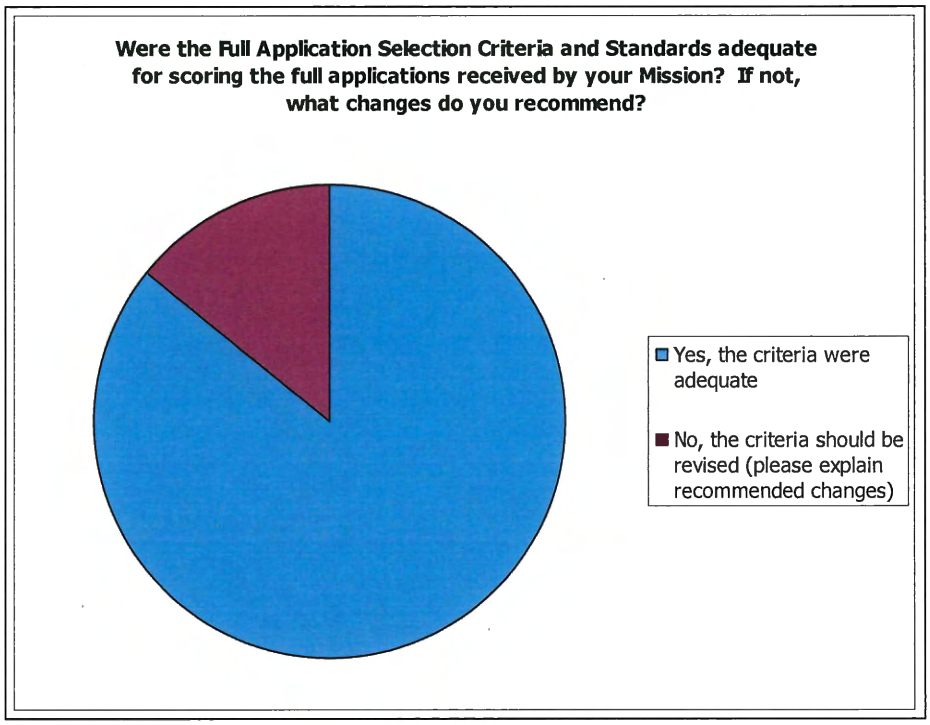
Number	Response Date	Yes (please provide recommended revisions)	No (please explain why not)
1	Jun 12, 2009 5:42 AM	Yes – emphasis on detailed, credible proposals.	
2	Jun 12, 2009 8:08 AM		in general, the relevance and quality of the submissions received met USAID/Angola expectations.
3	Jun 12, 2009 8:41 AM		the selection criteria are already clearly set in the APS
4	Jun 12, 2009 2:44 PM		we got what we asked for
5	Jun 16, 2009 7:20 AM	More detail would always be useful to appclicants	
6	Jun 17, 2009 2:17 PM		Quality is more dependent on applicant pool than the content of the procurement document.
7	Jun 17, 2009 4:39 PM	The specific requirements for each country should be highlighted. Not all applicants takes the additional step to go to a link page. We did receive proposals that did not respond to our specific requirements. .	
8	Jun 18, 2009 5:06 PM	Sector descriptions are almost less important than the mission specific criteria.	
9	Jun 19, 2009 6:08 PM		We think that the Full Application is very well designed. It is detailed enough and very understandable.
10	Jun 22, 2009 6:27 AM		Sector descriptions, selections criteria, etc. were adequate in the Round One
11	Jun 23, 2009 2:57 AM	Need to improve sector description and Selection criteria.	



Question 11:
Were the Full Application Selection Criteria and Standards adequate for scoring the full applications received by your Mission? If not, what changes do you recommend?

Answer Options	Response Percent	Response Count
Yes, the criteria were adequate	85.7%	12
No, the criteria should be revised (please explain recommended changes)	14.3%	2
	answered question	**14**
	skipped question	**1**

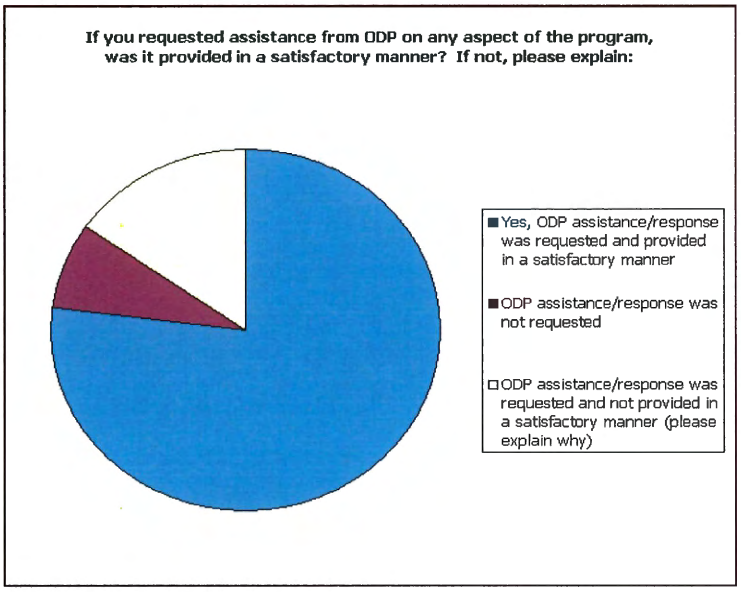
Number	Response Date	No, the criteria should be revised (please explain recommended changes)
1	**Jun 12, 2009 8:08 AM**	The following criterium should be included: sustainability strategy: does the proposal present a plan for both financial and technical sustainability of the said activities. (This may include the leveraging of additional financial resources for ongoing complimentary work OR the institutionalization of activity responsibilities within a sustainable entity OR capacity development of target beneficiaries).
2	**Jun 19, 2009 9:56 AM**	The selection criteria were not clear, and there were too many of them. This has to be condensed, especially because that the competition is for local NGOs, who are not very experienced with USAID approaches.



Question 12

If you requested assistance from ODP on any aspect of the program, was it provided in a satisfactory manner? If not, please explain:

Answer Options	Response Percent	Response Count
Yes, ODP assistance/response was requested and provided in a satisfactory manner	76.9%	10
ODP assistance/response was not requested	7.7%	1
ODP assistance/response was requested and not provided in a satisfactory manner (please explain why)	15.4%	2
	answered question	**13**
	skipped question	**2**

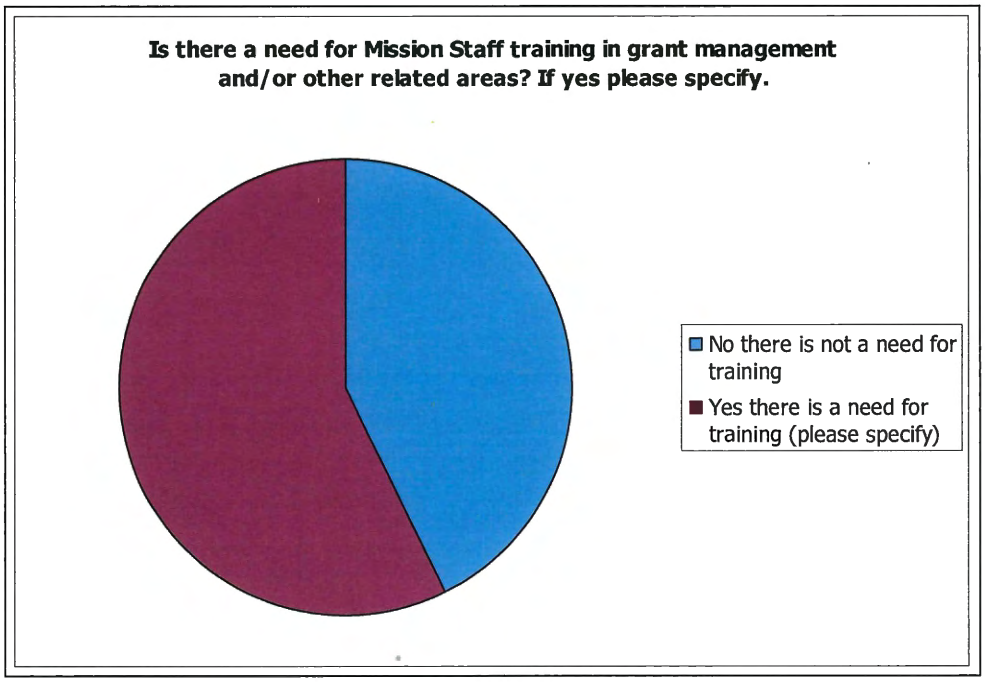


Question 13

Is there a need for Mission Staff training in grant management and/or other related areas? If yes please specify.

Answer Options	Response Percent	Response Count
No there is not a need for training	42.9%	6
Yes there is a need for training (please specify)	57.1%	8
	answered question	**14**
	skipped question	**1**

Number	Response Date	Yes there is a need for training (please specify)
1	Jun 12, 2009 8:08 AM	As the USAID mission has frequent staff turn-over, training for COTRs would be helpful in general grants management particularly as pertains to the target partners of the DGP who have little or no prior experience with USAID.
2	Jun 12, 2009 8:35 AM	While AOTR/COTR training is reasonably good, there is not any training on evaluting proposals and TEC participation.
3	Jun 12, 2009 8:41 AM	In some Missions, there are new A&A comers who don't have much experiene and need some training in grant management.
4	Jun 16, 2009 7:20 AM	AOTR and COTR are required
5	Jun 17, 2009 4:39 PM	It is always important to receive updated information on grant management
6	Jun 22, 2009 6:27 AM	Mission staff has already undergone COTR/AOTR training and also PPP training in New Delhi.
7	Jun 22, 2009 2:55 PM	M&E, helping partners develop and elaborate workplan, judging and monitoring work plans
8	Jun 23, 2009 2:57 AM	One person in grant manager and also attend any confrence or work shop on the sectors

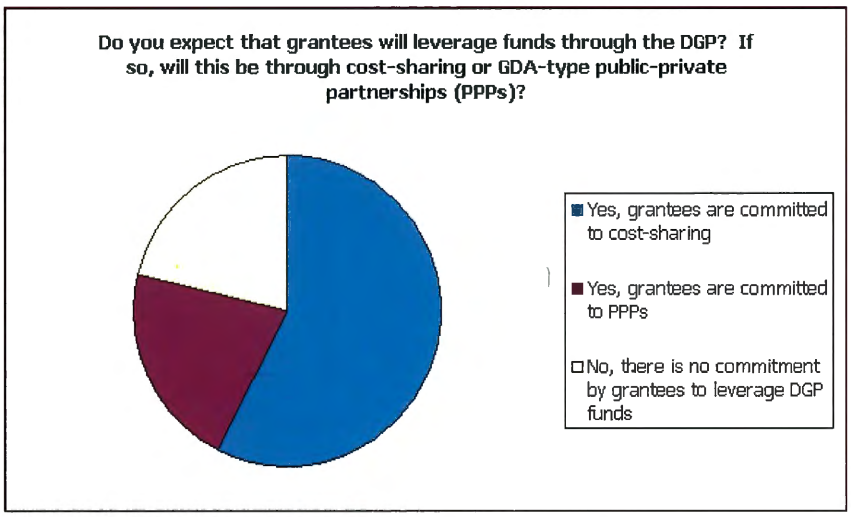


Question 14

Do you expect that grantees will leverage funds through the DGP? If so, will this be through cost-sharing or GDA-type public-private partnerships (PPPs)?

Answer Options	Response Percent	Response Count
Yes, grantees are committed to cost-sharing	57.1%	8
Yes, grantees are committed to PPPs	21.4%	3
No, there is no commitment by grantees to leverage DGP funds	21.4%	3
Comments:		8
	answered question	**14**
	skipped question	**1**

Number	Response Date	Comments:
1	Jun 12, 2009 5:42 AM	At least one of our grantees is using USAID to levaging 60 percent of the project. A true grant should be to a group that is trying to leverage other funds to do what they would do anyway. The cost share was an indicator of which groups were credible.
2	Jun 12, 2009 8:08 AM	Angola grantees are leveraging funds through both cost-sharing and through PPP's.
3	Jun 12, 2009 8:35 AM	It will only be done if it is an evaluation criteria. Even then, we are more likely to see what is more truly called cost share. The reason is that leverageable partners will not commit to a program until after the NGO has an established stream of funding from the USG, meaning post award.
4	Jun 12, 2009 8:41 AM	Through cost-saharing
5	Jun 16, 2009 7:20 AM	US NGOs are committed to cost sharing, though not PPPs. Local NGOs are not, as they are poor and cost sharing is a new way of USAID and other donors doing business, at least in our country.
6	Jun 19, 2009 9:56 AM	Mostly for cost sharing. The GDA is not common approach among NGOs here.
7	Jun 19, 2009 6:08 PM	Since the DGP grantees are given an oportunity to become familiar with USAID maanagement practices we think it may be to soon to encourage them to get involved in cost-sharing or GD-type public-private partnerships.
8	Jun 22, 2009 2:55 PM	Grantees are committed to cost-share but it is a concern for newer organizations to ensure they have the institutional strength/resource base to guarantee their cost share committment.

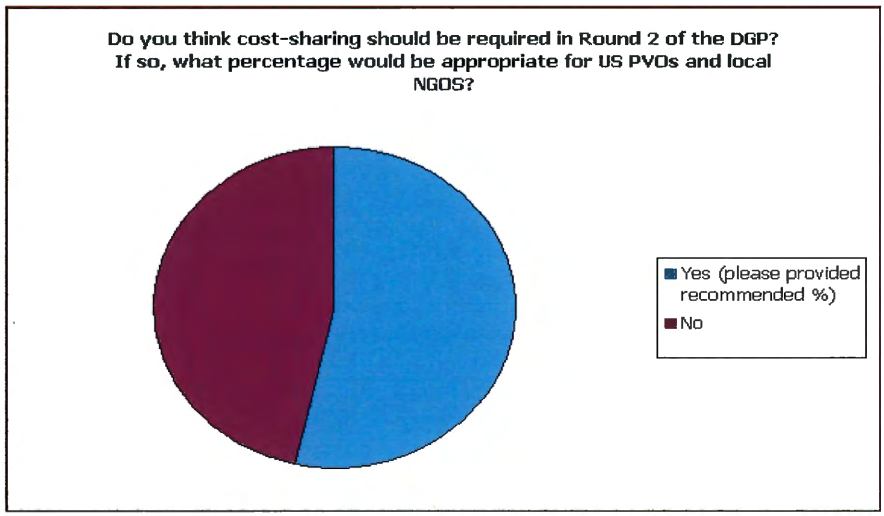


Question 15

Do you think cost-sharing should be required in Round 2 of the DGP? If so, what percentage would be appropriate for US PVOs and local NGOS?

Answer Options	Response Percent	Response Count
Yes (please provided recommended %)	53.3%	8
No	46.7%	7
Recommended Percentage:		9
	answered question	**15**
	skipped question	**0**

Number	Response Date	Recommended Percentage:
1	Jun 12, 2009 5:42 AM	30%
2	Jun 12, 2009 8:08 AM	but sustainability of some sort should be required- ie. the DGP should not support activities that are 100% dependent on USAID with no strategy for sharing responsibility or drawing in other resources (see evaluation criteria comment above)
3	Jun 15, 2009 9:45 AM	5-10 %
4	Jun 16, 2009 7:20 AM	33% for US NGOs, 0% for local NGOs though
5	Jun 17, 2009 2:17 PM	25 percent
6	Jun 17, 2009 4:39 PM	There could be a good technical sound proposal from an organization unable to comply with a fixed cost-share
7	Jun 18, 2009 5:06 PM	50%
8	Jun 19, 2009 9:56 AM	This could reduce the number of applications. 15% cost sharing (both in-kind and in cash) could be possible.
9	Jun 22, 2009 6:27 AM	20-30 percent

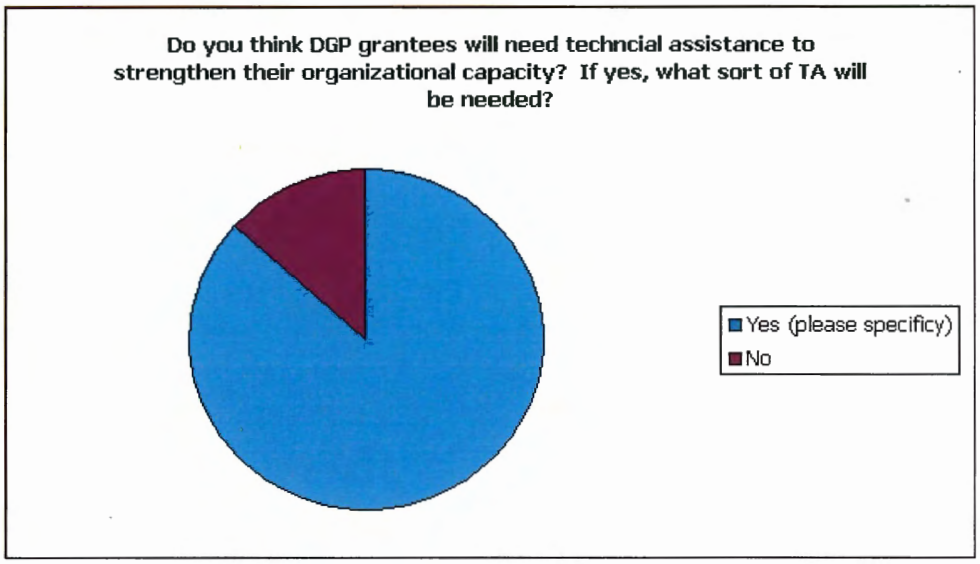


Question 16

Do you think DGP grantees will need techncial assistance to strengthen their organizational capacity? If yes, what sort of TA will be needed?

Answer Options	Response Percent	Response Count
Yes (please specificy)	86.7%	13
No	13.3%	2
Comments:		12
	answered question	**15**
	skipped question	**0**

Number	Response Date	Comments:
1	Jun 12, 2009 5:42 AM	ABSOLUTELY. Many of these groups have never managed USAID funds before. There will be a tremendous amount of work to help these organizations succeed.
2	Jun 12, 2009 8:08 AM	Angola DGP grantees will likely require significant TA in the areas of: USAID reporting requirements Monitoring and Evaluation Financial Management
3	Jun 12, 2009 8:35 AM	It should cover all areas of operation - financial management, procurement, personnel policies, and record keeping in all of these areas. Nearly every pre-award identifies these areas. If you are serious about addressing this weakness, then ask for copies of the pre-award surveys and identify common weaknesses. There are contracts and assistance instruments already in place that can provide this assistance.
4	Jun 12, 2009 8:41 AM	Most of the grant don't have experience with AID
5	Jun 12, 2009 2:44 PM	Monitoring and evaluation; workplanning; report writing
6	Jun 15, 2009 9:45 AM	financial management, grant-writing, personnel systems, monitoring and evaluation
7	Jun 16, 2009 7:20 AM	Financial management, monitoring and evaluation, program implementation. Especially local NGOs can be very inexperienced managing a true development project, despite their best intentions.
8	Jun 17, 2009 4:39 PM	Preparation of workplans with realistic project results, performance monitoring plans, accounting, internal controls, sustainability and fund raising
9	Jun 18, 2009 5:06 PM	We are working with a USPVO; however the other applicants were local NGOs that need a lot of support. I imagine the same goes for other Missions.
10	Jun 19, 2009 9:56 AM	institutional development, fund-raising, financial management.
11	Jun 19, 2009 6:08 PM	We think DGP grantees should be given technical assistance in the area of managing for results and USAID Financial Management.
12	Jun 23, 2009 2:57 AM	Organizational and Financial management for Local NGOs. Also special technical assistance for sector they are working in.



Question 17

Please provide any comments or suggestions you may have for the DGP process in Round Two:

Answer Options	Response Count
	6
answered question	**6**
skipped question	**9**

Number	Response Date	Response Text
1	Jun 12, 2009 5:42 AM	Please don't even contemplate a Round Two without program support costs for salaries for new staff, transportation costs for monitoring, and additional costs for TA in assisting the organizations in strengthening their management.
2	Jun 12, 2009 8:08 AM	Missions should be askdd to provide a likely COTR for DGP fund recipients. This individual should be involved in the DGP process beginning with concept paper review. This consistent oversight would ensure that the missions are positioned to provide sufficient support to eventual recipients under the DGP and fulfill the capacity building objectives of the program.
3	Jun 12, 2009 8:35 AM	Ask yourself, who is going to do the work - pre-award, award, and post-award. Make sure that you at least reach out to them at some point before the solicitation goes out on the street.
4	Jun 16, 2009 7:20 AM	Maximum guidance to Mission on involving Acquisition and Assistance Office, clearer guidance on what NGOs are to submit (we got many questions on what forms, proof, etc.)
5	Jun 17, 2009 2:17 PM	No comments at this time but I hope to have another chance to provide feedback once the activities are moving along - say one year in.
6	Jun 19, 2009 6:08 PM	Could ODP add another evaluation critrion, let say "Quality of Proposed Key Personnel" and allocate five (5) points to this criterion? This may cause DGP to reduce the Technical Approach criterion from 55 to 50 points.